

Integration Joint Board Audit & Risk Committee 06.03.24
Agenda Item: 5.1.1
Purpose: For Discussion

No	Report	Title	Issue	Risk	Recommendation	Action Owner	WI Council Grade	Azets Grade	Original Timescale	Revised Timescale	Previous Update	Current Update	New Timescale	Status	
1	2019/20 Risk Management		<p>A risk management strategy and policy is in place and was approved by the IJB in March 2016 with a review date of one year after implementation. The document has yet to be reviewed therefore this should be carried out as soon as possible with staff being provided with an updated copy of the policy/strategy document.</p> <p>A strategic risk register is in place and is reviewed regularly. However, the register seems to omit key risks such as strategic officers being absent for a significant period of time. Contingency plans would need to be in place for the IJB to gain assurance that there is continuity in the delivery of strategic roles.</p> <p>We also noted that the entry regarding governance arrangements has Audit Scotland and the Chief Auditor as being the responsible officers for that risk. The responsible officer should be corrected with the appropriate staff member as External/Internal audit would be part of the controls in place to reduce the risk as opposed to owning the risk.</p> <p>The current risk management process appears to be satisfactory within each parent body. The difficulty, however, is the sharing of information between both parent bodies in matters relating to IJB provided services which can and do affect both bodies but neither is informed of this in a timely or coherent way.</p> <p>An example of this may include vacant posts or staff leaving home care which could lead to peaks in delayed discharges. It is therefore important that a unified risk register is produced which mirrors key issues/risks across parent bodies. This would allow a bigger picture to be obtained quickly and be reported, where required, to the IJB in a more timeous manner.</p>		Risk management strategy and policy to be reviewed with updated version made available to staff.	Chief Officer	3	1	Apr-20	Mar-24	The risk strategy and policy have now been updated and include the Risk Appetite Statement of the Board. The current risks are in the process of being moved over onto DATIX and this should be complete by the end of March.				
2	2019/20 Risk Management		<p>At present an annual governance statement is produced for the accounts. This should be supported by verified certificates of assurance from senior officers across both parent bodies. For example, in the Comhairle each Director is required to sign a statement of assurance outlining that all key processes are in place and whether any significant matters have occurred in the year and what has been done to mitigate the risk going forward.</p> <p>Such documented processes should be implemented within the IJB where all senior staff providing key services within the parent bodies formally provide assurance that the necessary controls are in place within each service area. The Chief Officer should consider these signed statements of assurance on receipt along with other regulatory and audit reports and decide whether any significant matters exist in order to inform the disclosures in the Corporate Governance Statement.</p>		The Chief Officer should consider the signed statements of assurance on receipt and consider any significant matters along with other regulatory reports and audit reports in order to inform the disclosures in the Corporate Governance Statement.	Chief Officer	2	3	Apr-20		The Chief Officer has been undertaking a piece of work regarding governance of ICMT and reporting to the IJB Board along with the escalation processes in place.				
											The Chief Officer is working with the Chief Executives on the assurance statements required.				
3	2019/20 Financial Planning, Management and Savings		<p>The strategic plan covers the period 2016-19 while a refresh document was implemented for the period 2018/20. As the refresh document is due to expire in the coming months, this will require both documents to be revisited and either extended with regards to the period they cover or updated and reissued with current and updated plans being made available online.</p> <p>A medium term financial plan covering the three years 2019-2022 is currently in place as approved by committee in March 2019. However, this should be extended to a five year plan which is now the standard medium or long term period within the public sector.</p> <p>Whilst we acknowledge that any long term planning is difficult with annual settlements, appropriate use of sensitivity analysis and probability planning can be useful in terms of giving a high level overview.</p> <p>There is also a need to link the three key documents; Financial Strategy, Workforce Plan and Strategic Plan, to allow a formulated response to be made by the IJB in order to deliver its aspirations and services within budget and within staff availability. These aspirations of output should be documented and SMART based in terms of accountability, progress monitoring and tangible in terms of change.</p>		Strategic plan/refresh to be reviewed as required and current plan to be made available online.	Chief Officer	3	1	Dec-19	Jun-24	The draft strategic framework was developed and is in the consultation phase with a paper going to the Board in February 24				
											This was available on the Western Isles Council website, however as a result of the Cyber incident this will be delayed until a new site is developed				
4	2019/20 Business Continuity Planning and Disaster Recovery		<p>At present the IJB does not have an overarching business continuity policy in place. Although Business Continuity should be managed within each partner organisation the IJB should set out its BC policy in order to outline what it expects from partner organisations.</p> <p>Although each partner organisation has the ability to raise any BC issues for potential inclusion on the risk register there is no formal assurance presently being provided to the IJB that appropriate BC arrangements are in place. The IJB should consider gaining formal confirmation from each partner organisation, as part of the annual assurance statement, that organisational business continuity plans are in place and up to date.</p> <p>Business impact analysis should also be carried out for each service area with assurance again provided to the board that this is in place and operating as expected.</p>		Implementation of Business Continuity policy statement along with formal annual assurance being sought from partner organisations that Business Impact Assessments have been carried out and appropriate Business Continuity arrangements are in place.	Chief Officer	2	3	Apr-20		The Chief Officer is currently looking into what assurance is needed and how this is provided.				
5	2019/20 Business Continuity Planning and Disaster Recovery		<p>The responsibility of having the appropriate IT controls in place is similar to that of business continuity being the responsibility of each individual organisation. As IT and related disaster recovery issues could have a major impact on service delivery the IJB should be aware of any potential risks involved as a result of not having the necessary controls in place.</p> <p>The IJB should consider gaining annual assurance from each partner organisation that appropriate IT systems, controls, arrangements with third parties and disaster recovery systems are all in place, have been tested and are operating effectively.</p> <p>Assurance should also be sought that appropriate budgetary provision has been made for this matter within the budget setting cycle of each organisation.</p>		Formal annual assurance should be given by each partner organisation confirming whether the necessary IT systems and controls have been tested and are operating effectively and whether adequate budgetary provision has been made to enable this to take place.	Chief Officer	2	3	Jan-20		The Chief Officer will speak with the partner bodies to determine what assurances are available in this area.				
6	2020/21 Workforce Planning and Organisational Development		<p>The workforce strategy was updated and submitted to the board in December 2019 and covers the period 2019-22. The previous version contained an action plan detailing agreed outputs required across both organisations to support the strategy. However, it is unclear as to whether this action plan is still in place and whether progress is being routinely reported to the board.</p> <p>Without an integrated workforce plan there is no breakdown of SMART deliverables which makes it harder to define and report progress. As the IJB is required to have an integrated workforce plan in place this is a matter that will need to be fundamental to its considerations in achieving success. In order for the objectives of the strategy to be realised a comprehensive action plan will need to be implemented detailing action points, responsible officers and timeframes.</p> <p>The workforce strategy published on the IJB's website is out of date and requires to be replaced with the latest version. This is also the case with regards to the strategic plan.</p> <p>An audit carried out in 2019 identified that the Integrated HR Forum had not met for some time. We understand that the forum is still in abeyance although HR matters are discussed at the Integrated Corporate Management Team meetings.</p> <p>The workforce strategy states that the development of an integrated workforce will be overseen by the HR forum and that the forum would be responsible for ensuring that the statutory responsibilities of each parent body are being met within the context of integrated services. Consideration should therefore be given to whether the group is reinstated as this would provide a specialist forum for HR matters to be discussed as per the intentions of the strategy. Comprehensive, monthly financial reporting is undertaken by the Chief Finance Officer with the board also being provided with financial updates each quarter. However, current and future spending plans, annual reports and annual accounts are not available on the website. These should be made available for the public to view and potentially provide feedback on.</p> <p>Within the covering report submitted to the board regarding the financial plan, it was stated that public engagement within the financial planning process had been limited. We were informed that this was due to time pressures and that a fuller engagement process would be carried out earlier in the next planning cycle.</p> <p>The Communication Strategy also requires reviewing and updating as appropriate as the current version is now out of date.</p>		<p>An Integrated Workforce Plan is implemented with progress on action points communicated regularly to the board.</p> <p>An updated workforce strategy along with closer joined up working will be required to consider and plan to mitigate the current and medium-term staffing matters affecting both parent bodies in the provision of services to the IJB.</p>	Chief Officer	1	4	Review by April 21	Feb-24	The Chief Officer has undertaken and exercise to identify corporate support in the production of workforce information from the NHS and Council for reporting as the overall workforce plans sit with the respective organisations.				

7	2020/21 Workforce Planning and Organisational Development		<p>The workforce strategy was updated and submitted to the board in December 2019 and covers the period 2019-22. The previous version contained an action plan detailing agreed outputs required across both organisations to support the strategy. However, it is unclear as to whether this action plan is still in place and whether progress is being routinely reported to the board.</p> <p>Without an integrated workforce plan there is no breakdown of SMART deliverables which makes it harder to define and report progress. As the IJB is required to have an integrated workforce plan in place this is a matter that will need to be fundamental to its considerations in achieving success. In order for the objectives of the strategy to be realised a comprehensive action plan will need to be implemented detailing action points, responsible officers and timeframes.</p> <p>The workforce strategy published on the IJB's website is out of date and requires to be replaced with the latest version. This is also the case with regards to the strategic plan.</p> <p>An audit carried out in 2019 identified that the Integrated HR Forum had not met for some time. We understand that the forum is still in abeyance although HR matters are discussed at the Integrated Corporate Management Team meetings.</p> <p>The workforce strategy states that the development of an integrated workforce will be overseen by the HR forum and that the forum would be responsible for ensuring that the statutory responsibilities of each parent body are being met within the context of integrated services. Consideration should therefore be given to whether the group is reinstated as this would provide a specialist forum for HR matters to be discussed as per the intentions of the strategy.</p>		Strategic documentation published on the website to be updated with the latest versions. Including Spending plans, annual accounts and annual reports and Publication scheme to be reviewed and updated.	Chief Officer	3	1	Apr-21	Jun-24	The strategic documents will be published on the website following redevelopment as a result of the cyber-attack on the WI Council.				
8	2021/22 Consultation, Participation and Engagement		<p>The IJB approved a Communications Strategy along with a Participation and Engagement Strategy in 2016, both covering the period up to 2019. A previous audit indicated that these were now out of date and required to be revised. We understand that, whilst the pandemic has affected progress, the relevant officers are in the process of updating and combining these documents, to incorporate various national guidance documents and frameworks spanning Health and Social Care. This matter has also already been the subject of a concurrent follow up audit report and an update will be provided in due course.</p> <p>The National Standards for Community Engagement (NSfCE) are discussed within the current strategy. These are a set of best practice principles that promote effective community engagement, helping organisations to benchmark their own performance against each standard. A revised guide to the NSfCE was published in September 2020 in light of the Covid-19 pandemic. The guide is aimed at helping organisations engage communities during and after the pandemic in order to support recovery and renewal. The current strategy documents recognise the importance of the National Standards. However, it is important that this new guide is considered throughout the refresh of the Participation Strategy and also when planning and conducting engagement exercises. There is also a self-review form which accompanies the NSfCE. This tool helps organisations review their own performance against each standard and encourages users to reflect on key lessons that have been learned in concluding the engagement exercise and next steps to be taken. Consideration should be given to promoting its use in order to promote a consistent approach to logging lessons learned.</p>		<p>The review of the Participation and Engagement Strategy takes cognisance of the updated guide on the National Standards for Community Engagement and associated review form.</p> <p>The outcomes of consultation and engagement exercises undertaken should be clearly communicated on the website along with a link to the relevant partner body website where relevant.</p>	Chief Officer	3	1	Once the system moves out of emergency footing	Feb-24	The Chief Officer is discussing the consultation and engagement strategy at the February Board meeting.				
9	2021/22 Scheme Review		<p>The integration scheme is required to be reviewed within 5 years of implementation with the original deadline being 16 June 2020. In March 2020 the Scottish Government stated that they would not require a full review to be carried out at that time due to the onset of the coronavirus pandemic and that, as a minimum, an initial review should be fulfilled. It also noted that the current integration scheme would remain in place until such time when a successor scheme be produced, if required.</p> <p>A report submitted to the IJB in September 2020 reiterated the need for an initial review, suggesting that dispute resolution be one area covered, and further recommended that a complete review be carried out by 1 April 2021 once a Chief Officer was in post. The board subsequently agreed that a full review be carried out as above.</p> <p>A letter issued to all IJB's in August 2021 reiterated that scheme reviews were still outstanding in some areas and that this was still required, notwithstanding the NCS Consultation, as it was envisaged that the NCS would likely be in place by the end of the parliamentary term. It went on to request a timeline when reviews and related consultations would be undertaken and stated that, given the timescales for the NCS to be in place, scheme reviews must now be done at pace.</p> <p>We understand that due to the pressure on Health and Social Care at this time, it has not been possible to undertake a full review of the scheme. We were also informed that once more information was known regarding the outcome of the NCS consultation, this would be provided, however, this would likely be into April 2022. Furthermore, we understand that it had been agreed with the Scottish Government that a "light touch" review could be undertaken.</p> <p>We were later informed that an informal "light touch" review, has been undertaken focusing specifically on dispute resolution. However, the board should consider whether a full review of the scheme is still required in line with its original request as outlined above.</p> <p>The Chief Officer will need to provide the IJB with an update of any progress on this matter. An update should also be provided to the Scottish Government as appropriate as to the current status of the scheme review and with an indication of timelines when this will be complete including any consultation processes that may be required</p>		<p>Consideration is given to whether a full review of the integration scheme is still required as per the original requirements of the IJB.</p> <p>An update should be provided to the IJB and Scottish Government regarding the status of the scheme review with any future amendments approved, as necessary.</p> <p>Where any amendments are made to the current scheme, any successor scheme should be placed on the website</p>	Chief Officer	1	4	Once the system moves out of emergency footing	Jun-24	A full review of the Integration scheme has been undertaken and the Chief Officer is to share the updated version with the Chief Executives of the Partner organisations for comment. When agreement has been reached it will be presented through the governance structure for approval prior to being sent to the Scottish Government. Once approved by the Scottish Government it will be published on the website.				
10	2022/23 Workforce Management Information	1.1 Communicating Workforce Reporting Requirements	<p>Section 14.5 of the Standing Orders for the IJB states that "The Integration Joint Board shall approve the content, format and frequency of performance reporting."</p> <p>However, we found no evidence that the workforce information required by the IJB has been formally agreed or communicated to NHS Western Isles or Comhairle nan Eilean Siar. Further, all staff spoken to during fieldwork confirmed they had no knowledge of any agreement or communication of the workforce information required by the IJB.</p> <p>We also noted the IJB Performance Management Framework document (dated 2016) includes four KPI's related to workforce, however these are not currently being reported on. Further the Performance Management Framework document does not include a review date and as such is potentially out of date.</p> <p>We also identified that the level of detail provided on workforce varies between partner bodies. Clarity around the workforce information required and roles and responsibilities for providing the information will help ensure a level of parity is achieved in relation to the information provided from the partner bodies.</p>	The IJB is not fully aware of issues related to workforce recruitment and retention due to a lack of management information, leading to issues not being identified and addressed and objectives not being achieved.	<p>The IJB should formally agree, document and communicate the workforce performance information required to provide assurance that there are appropriate arrangements in place within the partner bodies to recruit and retain the required workforce to deliver integrated services. In line with good practice, it is suggested that the request should cover the following:</p> <ul style="list-style-type: none"> • Content and format of reporting - the metrics and information required i.e. quantitative or qualitative. These should provide coverage of all key workforce areas for example recruitment/vacancies, staff turnover levels, shift fill rates, sickness and other absence rates, staff survey/satisfaction outcomes and training. • Roles and responsibilities. • Frequency of reporting to the IJB and a timetable for the production of data. • The process for senior managers to quality assure the data before it is reported to the IJB. <p>The IJB should review the workforce KPIs in the current Performance Management Framework document and confirm whether these remain relevant and should be included in any future reporting.</p>	Chief Officer		3	Dec-23		The Chief Officer to consider what information is available that will be useful to the Board and will consider what KPIs should be in place to ensure the metrics are built around the partner bodies requirements and legislative requirements.				

11	2022/23 Workforce Management Information	1.2 Identified Reporting Gaps	Workforce reporting to the IJB is not an HR led process. The IJB workforce reports are prepared by the IJB Chief Officer and Chief Financial Officer from data provided by the partner bodies HR departments. Given the remit of both these roles, capacity for collating and reporting on workforce information reporting is a challenge with the Chief Financial Officer advised us that due to workload demands, it is not always possible for a workforce report to be provided to the IJB. Our sample testing of meeting minutes and papers confirmed the workforce reports prepared by the IJB Chief Financial Officer are strategic in nature and provide an analysis of the demographic challenges facing the IJB workforce. The report is an in-depth analysis and examines vacancies, available workforce, age, retireals and sickness. However, we identified that the workforce report does not contain information relating to staff turnover/attrition rates to provide assurance to the IJB that issues with workforce retention are suitably identified and addressed. In addition, management advised that the 2022-2025 workforce plans for the two partner bodies are currently in draft format and are to be reviewed by the IJB. The IJB Performance Management Framework document (dated 2016) contains information on the Key Performance Indicators (KPIs) relating to the previous IJB workforce plan. We would expect workforce performance reports to provide information on the key deliverables in the workforce plan, however we reviewed the KPIs for the previous IJB workforce plan and confirmed that not all of the workforce plan KPIs have been included in workforce reporting to the IJB.	There is a risk the IJB is not fully aware of issues with workforce recruitment and retention due to a lack of management information, leading to issues not being identified and addressed and objectives not being achieved.	The IJB should ensure that workforce reports include data on staff turnover and the KPIs linked to the workforce plan and other workforce related targets. This recommendation is linked to MAP 1.1. Management should reflect on the reporting capacity of the IJB and consider whether the Chief Financial Officer is the most appropriate person to produce regular IJB workforce reports.	Chief Officer		2	Dec-23		The Chief Officer to consider what information is available that will be useful to the Board and will consider what KPIs should be in place to ensure the metrics are built around the partner bodies requirements and legislative requirements.				
12	2022/23 Workforce Management Information	1.3 HR Forum and Integrated Corporate Management Team	Management advised that there was previously an IJB HR Forum in place that consisted of representatives from both partner bodies, however this forum no longer meets. During the audit, we noted feedback from HR staff from both partner bodies who agreed that it would be useful to reinvigorate this forum to allow HR staff from both bodies to come together to address IJB workforce related issues and plans. Management advised us that operational workforce information is discussed at the Integrated Corporate Management Team (ICMT) which sits below the IJB, however as a result of the COVID-19 pandemic attendance at the ICMT is not as good as it was previously. Management also noted that due to staffing changes, there has been no representation at ICMT from HR within the partner body organisations.	Due to a lack of representation, information sharing and collaboration between the HR departments in the partner bodies, IJB workforce issues may not be identified and addressed, and workforce plan objectives may not be achieved.	The IJB should ensure, where possible, that there is HR representation from both partner bodies at the Integrated Corporate Management Team meeting (ICMT). Consideration should also be given to reinvigorating the HR forum to allow HR colleagues from both partner bodies to come together to discuss, collaborate and progress issues affecting the IJB workforce and to report directly in to the IJB.	Chief Officer		2	Aug-23		The Chief Officer has undertaken and exercise to identify corporate support in the production of workforce information from the NHS and Council for reporting as the overall workforce plans sit with the respective organisations.				
13	2022/23 Workforce Management Information	2.1 Action Management	From our review of workforce reports, we found no specific documentation of action being taken to address the issues raised therein. We also reviewed meeting minutes and confirmed that there was in-depth discussion at the IJB meeting around the issues raised in the reports and during the discussion there was mention of actions that were already being carried out. It is unclear however how those actions are being managed and monitored by the IJB due to the lack of documentation. For example, it was discussed that the issue of island depopulation and recruitment challenges was being raised with the Scottish Government, however this action has not been captured in the IJB action log for subsequent updates, as such it is unclear how the outcome of this has been fed back to the Board. More robust controls are required to ensure that actions relating to the issues raised in workforce reports are recorded and tracked for progress.	There is a risk that action is not taken to address emerging issues relating to the workforce, due to a lack of accountability for mitigating actions, resulting in an inability to deliver the strategic objectives of the IJB effectively and efficiently.	Management should include details of relevant mitigating actions within the body of the workforce reports. The IJB should ensure that all relevant actions are recorded on the IJB action log with clear owners and due dates so that progress can be monitored and the IJB can be assured that appropriate action is being taken.	Chief Officer		2	Aug-23		The Chief Officer has undertaken and exercise to identify corporate support in the production of workforce information from the NHS and Council for reporting as the overall workforce plans sit with the respective organisations.				
14	2022/23 Workforce Management Information	3.1 Escalation Process	We found no evidence of a formal escalation process for the IJB. We met with staff from the two partner bodies and IJB and none were aware of a formally agreed and documented escalation route, however it was noted said that they would escalate matters via the Chief Officer of the IJB if required. The IJB Chief Officer advised that they would escalate issues to the Chief Executives of the partner bodies and/or seek advice and support externally from Audit Scotland, the Scottish Government, Healthcare Improvement Scotland, and the Care Inspectorate. The escalation route followed would ultimately depend on the nature of the issue. Management identified a few instances where further escalation may be required such as the workforce information provided by Comhairle nan Eilean Siar not being as comprehensive as that provided by NHS Western Isles and recent challenges with the IJB accessing qualitative data relating to Comhairle staff surveys. However, it is unclear if or how these issues were escalated.	There is a risk that action is not taken to address challenges with the provision of workforce information from the partner bodies, due to the lack of a clear escalation route, resulting in a lack of accountability and an inability to deliver the operational and strategic objectives of the organisation.	The IJB should develop a formal escalation framework and ensure that there is a clear process to escalate matters when the performance information required by the IJB is not forthcoming from the partner body organisations.	Chief Officer		3	Dec-23		This will be supported by the identification of corporate support to provide the necessary information.				
15	2022/23 Strategic Planning	1.1 Strategic Planning	The last approved strategic plan covered the period 2020-2021. The new strategic plans covering the period 2023-2026 are not yet developed, with the supporting framework not yet formally approved. We have however confirmed that the Health and Social Care Strategic Framework 2023-2026 does include a clear mission, vision and objectives. The document also provides high level data on the operational environment, e.g. population needs. The Chief Officer has noted that setting out a detailed strategic plan for three years will unlikely deliver the impacts required given the operating environment the IJB is currently working in, as such the strategic framework has been created to allow more flexibility to adapt to the changing environment not afforded under a strategic plan. In the absence of fully formed and approved supporting strategic plans and annual plans, delivery continues against the extant 2020-2021 plan. Management noted that whilst there will be some changes required following the development of the new plans the majority of activity and services are likely to continue in some form. Whilst only two months into the 2023 financial year, there is currently no clear timeframe for approval of the strategic framework and the creation of the supporting plans	There is a risk that a formal strategic planning framework is not in place, as a clear timeframe for development and approval is not identified, leading to a lack of clarity, ineffective use of resources and objectives not being achieved.	Management should provide a clear timeline to complete the strategic planning cycle, including Board approval.	Chief Officer		3	Dec-23	Feb-24	The strategic framework document has been developed and is being presented to the Board in February.				
16	2022/23 Strategic Planning	1.2 Medium to Longer Term Strategy	The Public Bodies (Joint Working) (Integration Scheme) (Scotland) Regulations 2014 states that local arrangements must support the preparation of a strategic plan. In addition, the plan should cover a three-year period, i.e. the medium term. The premise of the Health and Social Care Strategic Framework 2023-2026 is to allow flexibility within the arrangements, by providing direction to the relevant partners so that the measures taken to achieve the objectives and outcomes can be suited to the needs of the communities. Therefore, the underlying plans (service development, locality planning and H&SCP Annual Delivery Plans (Local Authority Plan and the NHS Annual Delivery Plan)) equate to a strategic plan. These will be summarised by the IJB in an annual plan. We have confirmed that the NHS Annual Delivery Plan for 2022/23 is in place, however we have not been provided with the Local Authority Plan, locality plans, and we could not find these on the Comhairle nan Eilean Siar/IJB websites. As such we have been unable to confirm whether the medium to longer term3 has adequately been addressed. We have no clear timeframe for the publication of these documents (MAP 1.1) nor how those already published i.e. NHS Western Isles Annual Delivery Plan will be retrospectively aligned to the approved strategic objectives and outcomes. Whilst supportive of the approach, especially as the Health and Social Care Strategic Framework 2023-2026 document sets out the mission, vision, objectives and operating environment, which are normally included within a strategic plan, we feel there is lack of clarity regarding how the IJB will receive assurance over the medium to longer term strategic delivery through the annual plan.	There is a risk that strategic plans are not in place or sufficiently detailed, due to the strategic planning framework not being adequately considered or timebound, resulting in incomplete reporting, inappropriate use of resources and objectives not being achieved.	Management should ensure that the IJB Board is provided with a timescale outlining when underlying plans should be produced. In addition strategic plans should address medium- and long-term activities. The Health and Social Care Strategic Framework 2023-2026 document should address how it will ensure alignment with strategic vision and objectives of underlying plans.	Chief Officer		2	Sep-23	Feb-24	The strategic framework document has been developed and is being presented to the Board in February.				

17	2022/23 Strategic Planning	2.1 SMART Outcomes	<p>The Public Bodies (Joint Working) (Integration Scheme) (Scotland) Regulations 2014 indicates that measures and targets need to be considered at the time of developing the strategic plan:</p> <ul style="list-style-type: none"> • The process used to prepare a list of all targets and measures should include a statement on the extent to which responsibility for each target, measure or arrangement has been transferred to each party to the agreement. • The timescale within which the list of targets and measures is to be prepared. • The targets and measures are to be taken account of by the integration authority when it is preparing a strategic plan. <p>As indicated in MAP 1.1 the new strategic plans for 2023-2026 are not yet in place. The draft Health and Social Care Strategic Framework 2023-2026 identifies a vision and operating environment but provides insufficient detail on the outcomes. We also reviewed the agreed Scottish Government Outcome Measures utilised as measures within the strategic framework and identified that these were not consistently SMART:</p> <ul style="list-style-type: none"> • Achievable – Whilst some of the outcomes seem to be attainable e.g. 95% Adults able to look after their health very well or quite well (currently 93%), some seem very stretching for example 70% Carers who felt supported to continue in their caring role (currently 41%). From our review only three of the nine outcomes would be considered to be readily attainable. • Realistic - We do not deem all of the goals as realistic, as some are expecting a high percentage of improvement and there is a lack of clear statement of how these will be accomplished. Again only three of the nine outcomes would be considered as realistic. • Timebound - The outcomes do not have a specific timeframe, while it can be assumed that the outcomes will be expected to be achieved at the end of the three-year framework, this would require further justification. Moreover, there is no sense of measurements of the outcomes over time, and whether these are the end outcomes for the three years. <p>Whilst we recognise there is limited opportunity for the IJB to amend these specific measures, providing additional context to demonstrate to readers how these fit within the Western Isles operating environment would be beneficial, including the identification of SMART actions.</p>	There is a risk the organisation is not aware of when objectives have been achieved, as measures of success and outcomes are not in place or adequately described, leading to objectives not being delivered or inefficient use of resources.	that actions within the strategic framework and plans are sufficiently SMART, where these actions are derived from national outcomes additional context and supporting SMART actions should be documented. In addition they should also ensure the Health and Social Care Strategic Framework 2023-2026 document complies with the legislative requirements.	Chief Officer		2	Dec-23	Feb-24	A section has been included within the strategic framework document which includes SMART actions which have been linked to outcomes. These actions have been linked to the strategic directions in the year.				
18	2022/23 Strategic Planning	2.2 Gap in Strategic Context	The Health and Social Care Strategic Framework 2023-2026 documents the strategic issues, objectives and ways of working. We reviewed these against the operating context, challenges and needs identified within the document, as these direct the IJB to the areas to be covered in its strategy. We found all but two areas (ways of working) were adequately explained and considered for inclusion: Openness, compassion and transparency, and Dignity, compassion and respect. While these could be considered as values and therefore intrinsic to all ways of working, it isn't clear where these came from or what supported their inclusion within the table.	There is a risk that the organisation has not adequately communicated its strategic intent, as issues, objectives and ways of working are not adequately explained, leading to objectives not resources being used to address non-essential activity.	Management should ensure that the strategic context is adequately addressed in the Health and Social Care Strategic Framework 2023-2026 document.	H&SCP Senior Leadership Team		2	Dec-23	Feb-24	The strategic framework document incudes a PESTEL analysis and outcome measures included in the document are linked to the MSG indicators.				
19	2022/23 Strategic Planning	3.1 Stakeholder Engagement	The Health and Social Care Strategic Framework 2023-2026 process included an environmental assessment, with a PESTLE5 analysis undertaken. The analysis identified both internal and external factors that impacted the strategy. The Health and Social Care Outcomes were considered as part of the development of the Health and Social Framework. We confirmed the outcomes are based on stakeholder engagement as part of the Health and Care Experience Survey, which is run every two years. This is a survey that is sent to a random selection of people who have used GP Services within the 12 months prior to the survey questions being sent out. Further stakeholder engagement is planned as part of the approval process and developing the underlying plans. In addition, engagement with a range of partnerships will be engaged as part of ongoing engagement and partnership activities identified as a result of delivering the agreed plans. As yet there is no set timescale for these activities to conclude.	There is a risk the strategic plan does not adequately consider stakeholder input, because the stakeholders are not identified or aware of the process/timeline, leading to a strategic plan which is not fit-for-purpose.	Management should develop an outline communication and engagement plan, aligned with strategic plans development (MAP 1.1) which clearly identifies when and how stakeholders, both internal and external will be involved in the strategic planning process	Chief Officer		2	Dec-23	Feb-24	The Chief Officer is discussing the consultation and engagement strategy at the February Board meeting.				
20	2022/23 Strategic Planning	4.1 Roles and Responsibilities	<p>We confirmed the Chief Officer, Integrated Joint Board developed the Health and Social Care Strategic Framework 2023-2026 . He received support from the Strategic Planning and Development Officer at NHS Western Isles, amongst other staff in partner bodies, to develop the document and to provide public health intelligence information used to set the operating context. The underlying plans (service development, locality planning and H&SCP Annual Delivery Plans) will be provided by the relevant partner organisations and Locality Planning Groups.</p> <p>The terms of reference of the Strategic Planning Group states that 'The role of the Strategic Planning Group is to develop and finalise the strategic commissioning plan.' However, given the approach being taken, we are unclear where the group fits within this and how they will be able to confirm they have discharged their duties as the strategic framework has been developed by the Chief Officer, and the intention that a formal strategic commissioning plan will not be developed, it appears this group has a limited role in developing strategic plans.</p> <p>The Public Bodies (Joint Working) (Integration Scheme) (Scotland) Regulations 2014 also provides a clear process for preparation of the strategic plan:</p> <ul style="list-style-type: none"> • Draft plan prepared and Strategic Planning Group comment on proposals. • Revised draft plan considered and commented on by the Strategic Planning Group. • Revised draft plan shared with constituent bodies and other defined groups or persons having an interest in commenting. • Finalise plan taking account of all comments received. <p>From the evidence provided, we are unable to confirm and provide assurance that the above process has been followed.</p>	There is a risk of lack of clarity over roles, as they are not formally defined or comply with legislation, leading to duplication of effort and/or gaps and an ineffective and non-compliant strategic planning process, increasing the risk of reputational damage.	Management should clarify the roles and responsibilities for strategic planning with the planning framework document, ensuring that this complies with the integration legislation. In addition any terms of reference or job descriptions should be updated accordingly. Management should also ensure the Integration Joint Board is provided with assurance that the strategic plan develop process complies with legislation.	Chief Officer		2	Mar-24		The Chief Officer has undertaken and exercise to identify corporate support and has documented this for presentation to the Board in Feb 24.				