

# Audit Tracker

Report	Recommendation	Action Owner	WI Council Grade	Azets Grade	Original timescale	Revised timescale	Management Update January 2024	Status
<b>T1 - 2019/20 Risk Management</b>	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.	<b>Partially Complete</b>
<b>T6 - 2019/20 Risk Management</b>	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	Jun 24	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 captured through review of the Scheme – scheme discussed at ICMT on 01.02.24. Scheme is subject to approval with CnES & NHSWI	<b>Partially Complete</b>

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<b>T7 - 2019/20 Financial Planning, Management and Savings</b>	Strategic <b>plan/refresh</b> Framework to be reviewed as required and current plan to be made available online.	Chief Officer	3	1	Dec 19	June 24	<p>The draft strategic framework was developed and is in the consultation phase with a paper going to the Board in February 24</p> <p>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</p>	<b>Partially Complete</b>
<b>T15 - 2019/20 Business Continuity Planning and Disaster Recovery</b>	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	Mar 24	<p>The Chief Officer is currently looking into what assurance is needed and how this is provided.</p> <p>CEO to provide assurance to the CO that business impact assessments have been carried out.</p>	<b>Partially Complete</b>
<b>T16 - 2019/20 Business Continuity Planning and Disaster Recovery</b>	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	Mar 24	<p>The Chief Officer will speak with the partner bodies to determine what assurances are available in this area.</p> <p>Email has been sent to IT leads in both parent bodies</p>	<b>Partially Complete</b>

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<b>T10 - 2020/21 Workforce Planning and Organisational Development</b>	<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.	<b>Partially Complete</b>
<b>T11 - 2020/21 Workforce Planning and Organisational Development</b>	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	June 24	<p>The strategic documents will be published on the website following redevelopment as a result of the cyber-attack on the WI Council.</p> <p>NHSWI has established a temporary page on its website noted as Health &amp; Social Care to support the publication of documents until the Chief Officer identifies the long term support.</p>	<b>Partially Complete</b>

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<b>T13 - 2021/22 Consultation, Participation and Engagement</b>	<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	<p>The Chief Officer is discussing the consultation and engagement strategy at the February Board meeting.</p> <p>Presented Consultation re; Framework to ICMT on 01.02.24. Framework to be uploaded to the website as part of the consultation</p>	<b>Partially Complete</b>

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<b>T18 - 2021/22 Scheme Review</b>	<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	June 24	<p>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.</p> <p>Discussed at ICMT 01.02.24 – to be presented with revisions from CnES &amp; NHS WI at March ICMT</p>	<b>Partially Complete</b>

<b>2022/23 Workforce Management Information</b>	<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"> <li>• 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.</li> <li>• Roles and responsibilities.</li> <li>• Frequency of reporting to the IJB and a timetable for the production of data.</li> <li>• The process for senior managers to quality assure the data before it is reported to the IJB.</li> </ul> <p>The IJB should review the workforce KPIs in the current Performance Management Framework document and confirm whether these</p>	Chief Officer		3	Dec 2023	Mar 24	<p>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.</p> <p>Diane MacDonald, HR Director NHS &amp; Norma Skinner HR Director from CnES to present their workforce reports for information and understanding</p>	<b>Partially Complete</b>
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	remain relevant and should be included in any future reporting.							
<b>2022/23 Workforce Management Information</b>	<p>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.</p> <p>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.</p>	Chief Officer		2	Dec 2023	Mar 24	<p>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.</p> <p>Diane MacDonald, HR Director NHS &amp; Norma Skinner HR Director from CnES to present their workforce reports for information and understanding</p>	<b>Partially Complete</b>

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<b>2022/23 Workforce Management Information</b>	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 2023	Mar 24	<p>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.</p> <p>Diane MacDonald, HR Director NHS &amp; Norma Skinner HR Director from CnES to present their workforce reports for information and understanding</p>	<b>Partially Complete</b>
<b>2022/23 Workforce Management Information</b>	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 2023	Mar 24	<p>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.</p> <p>Diane MacDonald, HR Director NHS &amp; Norma Skinner HR Director from CnES to present their workforce reports for information and understanding</p>	<b>Partially Complete</b>



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<b>2022/23 Workforce Management Information</b>	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 2023	Mar 24	<p>This will be supported by the identification of corporate support to provide the necessary information.</p> <p>Diane MacDonald, HR Director NHS &amp; Norma Skinner HR Director from CnES to present their workforce reports for information and understanding</p>	<b>Partially Complete</b>
<b>2022/23 Strategic Planning</b>	Management should provide a clear timeline to complete the strategic planning cycle, including Board approval.	Chief Officer		3	Dec 2023	<del>Feb 24</del> Mar 24	The strategic framework document has been developed and is being presented to the Board in February.	<b>Partially Complete</b>
<b>2022/23 Strategic Planning</b>	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	Sept 2023	Feb 24	The strategic framework document has been developed and is being presented to the Board in February.	<b>Partially Complete</b>

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<b>2022/23 Strategic Planning</b>	Management should ensure 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 2023	Feb 24	<p>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</p> <p>Framework does not provide for SMART actions it provides key principles which describe the strategic direction</p>	<b>Partially Complete</b>
<b>2022/23 Strategic Planning</b>	Management should ensure that the strategic context is adequately addressed in the Health and Social Care Strategic Framework 2023-2026 document.	H&SC P Senior Leadership Team		2	Dec 2023	Feb 24	<p>The strategic framework document includes a PESTEL analysis and outcome measures included in the document are linked to the MSG indicators.</p> <p>This action has been addressed but will not be fully completed until the revised Framework has been presented / approved</p>	<b>Partially Complete</b>  <b>Complete In part.</b>

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<b>2022/23 Strategic Planning</b>	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 2023	<del>Feb 24</del> Mar 24	The Chief Officer is discussing the consultation and engagement strategy at the February Board meeting.  Initial discussion held with ICMT on 01.02.24 Plan to be updated and agreed by ICMT	<b>Partially Complete</b>
<b>2022/23 Strategic Planning</b>	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.  Please note attached the draft corporate support / responsibility document	<b>Not Yet Due</b>