

INTEGRATION JOINT BOARD AUDIT COMMITTEE

INTERNAL AUDIT RECOMMENDATION TRACKER

Report noted as at January 2023

Management Responses

Appendix 2: Summary of outstanding actions

Report	Recommendation	Action Owner	Grade	Original timescale	Revised timescale	Management Update November 2022	Status
2019/20 Risk Management	Risk management strategy and policy to be reviewed with updated version made available to staff.	Chief Officer	3	Apr 20	Jan 23	<p>A Risk Management Strategy and Policy has been written and presented to the IJB Audit Committee. An overarching document including the risk appetite and policy has been rewritten and will go to the Board for Approval in December.</p> <p>In addition, conversations are being had around putting Risk Registers into Datix moving forward.</p>	Partially Complete

Management Update noted as at January 2023 ↔ ↓ ↑

CHIEF OFFICER UPDATE

Risk Management Strategy and Policy has been written and presented to the IJB Audit Committee. An overarching document including the risk appetite and policy has been rewritten and will go to the Board for Approval in December.

The risk register is now approved and an accompanying risk management strategy is being developed in line with the principles

Report	Recommendation	Action Owner	Grade	Original timescale	Revised timescale	Management Update November 2022	Status
2019/20 Risk Management	Risk register to be reviewed to include absence of key staff and other similar scenarios as well as updating responsible officers where appropriate	Chief Officer	2	Dec 19	Jan 23	<p>A Risk Management Strategy and Policy has been written and presented to the IJB Audit Committee. An overarching document including the risk appetite and policy has been rewritten and will go to the Board for Approval in December.</p> <p>In addition, conversations are being had around putting Risk Registers into Datix moving forward.</p>	Partially Complete

Management Update noted as at January 2023 ↔ ↓ ↑

CHIEF OFFICER UPDATE

A Risk Management Strategy and Policy has been written and presented to the IJB Audit Committee. An overarching document including the risk appetite and policy has been rewritten and will go to the Board for Approval in December.

The CO has requested that the newly agreed Strategic Risk register is housed within the Datix System.

Report	Recommendation	Action Owner	Grade	Original timescale	Revised timescale	Management Update November 2022	Status
2019/20 Risk Management	Unified risk register to be implemented showing all risks across both parent bodies	Chief Officer	2	Apr 20	Jan 23	<p>A Risk Management Strategy and Policy has been written and presented to the IJB Audit Committee. An overarching document including the risk appetite and policy has been rewritten and will go to the Board for Approval in December.</p> <p>In addition, conversations are being had around putting Risk Registers into Datix moving forward.</p>	Partially Complete

Management Update noted as at January 2023 ↔ ↓ ↑

CHIEF OFFICER UPDATE

A Risk Management Strategy and Policy has been written and presented to the IJB Audit Committee. An overarching document including the risk appetite and policy has been rewritten and was approved in December 2022.

The unified risk register takes cognisance of the risks held by parent bodies

Report	Recommendation	Action Owner	Grade	Original timescale	Revised timescale	Management Update November 2022	Status
2019/20 Risk Management	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.	Chief Officer	2	Dec 19	Mar 23	<p>Both parent bodies have developed their own workforce plan, as the IJB is not an employer and as such the workforce plans for the Parent Bodies informs the work of the IJB. The Chief Officer will present a headline paper to the Board influenced by these plans and the demographics within the western Isles. This will also cover initiatives such as working with NES on supporting career paths.</p> <p>This will be done in advance of the new financial year.</p>	Partially Complete

Management Update noted as at January 2023 ↔ ↓ ↑

2019/20 Risk Management	Implementation of integrated strategic risk management group.	Chief Officer	2	Apr 20	Jan 23	<p>The Integrated Corporate Management Team has membership from both parent bodies. The Risk Register and wider supporting risk management documents were considered by the ICMT prior to being presented to the Audit Committee and the Board.</p> <p>The Chief Officer considers the ICMT the most appropriate place for risk management to be considered as a separate meeting will consist of the same individuals under a different name.</p>	Partially Complete
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Management Update noted as at January 2023 ↔ ↓ ↑

CHIEF OFFICER UPDATE

The Integrated Corporate Management Team has membership from both parent bodies. The Risk Register and wider supporting risk management documents were considered by the ICMT prior to being presented to the Audit Committee and the Board.

The Chief Officer considers the ICMT the most appropriate place for risk management to be considered as a separate meeting will consist of the same individuals under a different name. Additional attendance will be invited as required.

2019/20 Risk Management	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	Apr 20	Mar 23	Arrangements will be put in place to ensure that appropriate assurances can be given to the IJB. This will be undertaken at the time of the IJB budget being agreed each year.	Partially Complete
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Management Update noted as at January 2023 ↔ ↓ ↑

2019/20 Financial Planning, Management and Savings	Strategic plan/refresh to be reviewed as required and current plan to be made available online.	Chief Officer	3	Dec 19	Mar 23	A new strategy is being worked on and will go out for consultation. Upon completion of the new strategy the website will be updated. As part of this a new Financial Plan will be developed supporting the length of the plan.	Partially Complete
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Management Update noted as at January 2023 ↔ ↓ ↑

CHIEF OFFICER UPDATE

A new strategy is being developed following the IJB development session. Upon completion of the new strategy the website will be updated. As part of this a new Financial Plan will be developed supporting the length of the plan.

Report	Recommendation	Action Owner	Grade	Original timescale	Revised timescale	Management Update November 2022	Status
2019/20 Financial Planning, Management and Savings	Spending plans, annual accounts and annual reports to be published on the IJB website.	Chief Officer	3	Dec 19	Mar 23	This action remains ongoing	Incomplete

Management Update noted as at January 2023 ↔ ↓ ↑

CHIEF OFFICER UPDATE

All reports relating to the budget presentation and the formal update on the monthly fiscal position is presented to the IJB & IJBAC by Section 95 Officer

Suggest Committee note completed and remove

2019/20 Financial Planning, Management and Savings	Communication/Engagement Strategy to be updated.	Chief Officer	3	Apr 21	Jun 23	This remains ongoing. The current plan is still in place but requires updating.	Incomplete
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Management Update noted as at January 2023 ↔ ↓ ↑

2020/21 Workforce Planning and Organisational Development	An Integrated Workforce Plan is implemented with progress on action points communicated regularly to the board.	Chief Officer	1	Review by April 21	Mar-23	Both parent bodies have developed their own workforce plan, as the IJB is not an employer and as such the workforce plans for the Parent Bodies informs the work of the IJB. The Chief Officer will present a headline paper to the Board influenced by these plans and the demographics within the western Isles. This will also cover initiatives such as working with NES on supporting career paths. This will be done in advance of the new financial year.	Partially Complete
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Management Update noted as at January 2023 ↔ ↓ ↑

CHIEF OFFICER UPDATE

Both parent bodies have developed their own workforce plan, as the IJB is not an employer and as such the workforce plans for the Parent Bodies informs the work of the IJB. The Chief Officer will present a headline paper to the Board influenced by these plans and the demographics within the Western Isles. This will also cover initiatives such as working with NES on supporting career paths.

Workforce Plan is available for NHS WI awaiting sign off for CnES to support joint plan.

2020/21 Workforce Planning and Organisational Development	Strategic documentation published on the website to be updated with the latest versions.	Chief Officer	3	Apr 21	Mar 23	The website is up to date currently. A new strategy is being worked on at the moment and will go out for consultation. Upon completion of the new strategy the website will be updated.	Partially Complete
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Management Update noted as at January 2023 ↔ ↓ ↑

CHIEF OFFICER UPDATE

The website will be updated upon completion of the above

2020/21 Workforce Planning and Organisational Development	Strategic plan and integration scheme to be reviewed.	Chief Officer	2	Apr 21	Draft by 31 Dec 2022 Final sign off Feb 2023	Tim Langley, Head of Law and Governance at Western Isles Council is currently reviewing the Integration Scheme on behalf of the partners and IJB. In addition a new strategic plan is being developed.	Partially Complete
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Management Update noted as at January 2023 ↔ ↓ ↑

CHIEF OFFICER UPDATE

Tim Langley, Head of Law and Governance at Western Isles Council is currently reviewing the Integration Scheme on behalf of the partners and IJB. In addition a new strategic plan is being developed. Still outstanding from Head of Law & Governance

Report	Recommendation	Action Owner	Grade	Original timescale	Revised timescale	Management Update November 2022	Status
2021/22 Consultation, Participation and Engagement	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.	Chief Officer	3	Once the system moves out of emergency footing	Jun 23	This action is still ongoing, the plan is still in place but requires revision. The staff responsible for undertaking the revisions are currently off with sickness. The role of the PPG is also a part of this as they have community representation on them.	Incomplete

Management Update noted as at January 2023 ↔ ↓ ↑

CHIEF OFFICER UPDATE

This is linked to the new guidance on Planning with People which SG intends to implement in autumn 2023.

Suggest a review of the timescale is agreed to November 2023 to enable the implementation of the revised guidance.

2021/22 Consultation, Participation and Engagement	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.	Chief Officer	3	Once the system moves out of emergency footing	Jun 23	This action is still ongoing, the plan is still in place but requires revision. The staff responsible for undertaking the revisions are currently off with sickness. The role of the PPG is also a part of this as they have community representation on them.	Incomplete
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CHIEF OFFICER UPDATE

This is linked to the new guidance on Planning with People which SG intends to implement in autumn 2023

Suggest a review of the timescale is agreed to November 2023 to enable the implementation of the revised guidance.

Report	Recommendation	Action Owner	Grade	Original timescale	Revised timescale	Management Update November 2022	Status
2019/20 Business Continuity Planning and Disaster Recovery	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	Apr 20	Feb 23	There is a lack of clarity around how Boards provide assurance around the effectiveness of BCP activities A conversation needs to be had with Chief Execs on what and how it should be reported on.	Partially Complete

Management Update noted as at January 2023 ↔ ↓ ↑

CHIEF OFFICER UPDATE

Recommendation that copies of BCP are made available for the March IJB. Documents to provide assurance re BCP and for noting

Suggest consideration of a revised timescale for March 2023.

2019/20 Business Continuity Planning and Disaster Recovery	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	Jan 20	Feb 23	There is a lack of clarity around how Boards provide assurance around the effectiveness of BCP activities A conversation needs to be had with Chief Execs on what and how it should be reported on.	Partially Complete
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CHIEF OFFICER UPDATE

CO is seeking assurance from respective IT leads re compliance.

Suggest consideration of a revised timescale for March 2023.

Report	Recommendation	Action Owner	Grade	Original timescale	Revised timescale	Management Update November 2022	Status
2021/22 Information Governance and Data Sharing	Publication scheme to be reviewed and updated with consideration given to publishing the updated scheme on the website.	Chief Officer	3	Once the system moves out of emergency footing	Jun 23	This action is still ongoing, the plan is still in place but requires revision.	Partially Complete

Management Update noted as at January 2023 ↔ ↓ ↑

CHIEF OFFICER UPDATE

This action is still ongoing, the plan is still in place but requires revision.

2021/22 Scheme Review	Consideration is given to whether a full review of the integration scheme is still required as per the original requirements of the IJB.	Chief Officer	1	Once the system moves out of emergency footing	Draft by Dec 2022 Final sign off 29 Feb 2023	Tim Langley, Head of Law and Governance at Western Isles Council is currently reviewing the Integration Scheme on behalf of the partners and IJB. A light touch review was also completed through covid.	Partially Complete
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Management Update noted as at January 2023 ↔ ↓ ↑

CHIEF OFFICER UPDATE

Tim Langley, Head of Law and Governance at Western Isles Council is currently reviewing the Integration Scheme on behalf of the partners and IJB. A light touch review was also completed through covid.

Suggest that the revised date is amended to March 2023 for the presentation of the draft document.

2021/22 Scheme Review	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.	Chief Officer	2	Once the system moves out of emergency footing	Draft by Dec 2022 Final sign off 29 Feb 2023	Tim Langley, Head of Law and Governance at Western Isles Council is currently reviewing the Integration Scheme on behalf of the partners and IJB. A light touch review was also completed through covid.	Partially Complete
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Suggest that the revised date is amended to March 2023 for the presentation of the draft document.

Report	Recommendation	Action Owner	Grade	Original timescale	Revised timescale	Management Update November 2022	Status
2021/22 Scheme Review	Where any amendments are made to the current scheme, any successor scheme should be placed on the website	Chief Officer	3	Once the system moves out of emergency footing	Draft by Dec 2022 Final sign off 29 Feb 2023	Tim Langley, Head of Law and Governance at Western Isles Council is currently reviewing the Integration Scheme on behalf of the partners and IJB. A light touch review was also completed through covid.	Partially Complete

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CHIEF OFFICER UPDATE

Tim Langley, Head of Law and Governance at Western Isles Council is currently reviewing the Integration Scheme on behalf of the partners and IJB. A light touch review was also completed through covid.

Suggest that the revised date is amended to March 2023 for the presentation of the draft document.

2021/22 Scheme Review	Financial Regulations to be reviewed and submitted to the board for approval with annual reviews implemented thereafter.	Chief Officer	3	Jun-22	Mar 23	Financial Regulations to be reviewed and submitted to the board for approval with annual reviews implemented thereafter.	Partially Complete
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CHIEF OFFICER UPDATE

The revised Regulations were presented to the IJB in June 2022 and approved

Suggest as the papers will form part of the annual work plan, this items could be removed ~ seek agreement from the IJB Audit Committee

Appendix 3: Risk Categorisations

Grade	Description
Grade 1	<p>Critical – High Likelihood, High Impact (HH)</p> <p>The weakness is almost bound to happen or is already happening (likelihood) and could have a significant impact on the Comhairle’s services, reputation, control, financial position, statutory, regulatory or constitutional compliance if not contained.</p>
Grade 2	<p>Contingent/Insurable Risk – Low Likelihood, High Impact (LH)</p> <p>The weakness is unlikely to happen but would have a significant impact on the Comhairle’s services, reputation, control, financial position, statutory, regulatory or constitutional compliance if it did occur.</p>
Grade 3	<p>Housekeeping – High Likelihood, Low Impact (HL)</p> <p>The weakness is almost bound to happen or is already happening but is unlikely to have a material impact on the Comhairle’s services, reputation, control, financial position, statutory, regulatory or constitutional compliance, and can be contained.</p>
Grade 4	<p>Value for Money – High Likelihood, Value for money impact (HV)</p> <p>The weakness is almost bound to happen or is already happening but if contained would have a positive impact on economy, efficiency and effectiveness in the use of resources.</p>

