



REPORT TO: East Lothian IJB – Audit and Risk Committee

MEETING DATE: 12 December 2017

BY: Chief Internal Auditor

SUBJECT: Internal Audit Report – IJB Strategic Plan

1 PURPOSE

- 1.1 To inform the Audit and Risk Committee of the recently issued audit report on the IJB Strategic Plan.

2 RECOMMENDATION

- 2.1 That the Audit and Risk Committee note the contents of the Executive Summary and Action Plan.

3 BACKGROUND

- 3.1 A review of the IJB Strategic Plan was recently undertaken as part of the Audit Plan for 2017/18.
- 3.2 The objective of the audit was to ensure that the arrangements in place for the implementation of the IJB Strategic Plan were operating effectively.
- 3.3 The main findings from our audit work are outlined in the attached report.

4 POLICY IMPLICATIONS

- 4.1 None

5 INTEGRATED IMPACT ASSESSMENT

- 5.1 The subject of this report does not affect the wellbeing of the community or have a significant impact on equality, the environment or economy.

6 RESOURCE IMPLICATIONS

- 6.1 Financial - None
- 6.2 Personnel - None
- 6.3 Other - None

7 BACKGROUND PAPERS

- 7.1 None

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EAST LoTHIAN IJB – INTERNAL AUDIT IJB STRATEGIC PLAN

1. EXECUTIVE SUMMARY

1.1 Introduction

As part of the Audit Plan for 2017/18, a review was undertaken of the arrangements in place for the implementation of the IJB Strategic Plan. A summary of our main findings is outlined below.

1.2 Areas where Expected Controls were Met

- The Public Bodies (Joint Working) (Scotland) Act 2014, sets out the framework for integrated adult health and social care services. The Act places a duty on the IJB to develop a Strategic Plan. The IJB's Strategic Plan 2016-2019 was approved in February 2016.
- The Strategic Plan provides the strategic direction of how health and social care services will be shaped in East Lothian. The Plan outlines the transformational changes and key actions that require to be undertaken to achieve this vision.
- A Strategic Planning Framework is in place for the management and delivery of the Strategic Plan – the Framework outlines the roles and remits of the Strategic Planning Group (SPG), the Strategic Planning Programme Board (SPPB) and specific themed project groups.

1.3 Areas with Scope for Improvement

- The monitoring and reporting arrangements in place for providing an overview to the IJB on the progress being made in implementing the priorities outlined in the Strategic Plan Implementation Programme require review. *Risk – failure to monitor progress on the implementation of the Strategic Plan.*
- The arrangements in place for preparing delivery plans and business action plans require review – there was a lack of evidence to indicate that plans were being prepared on an annual basis as set out in the Strategic Plan. *Risk – failure to outline priorities to be addressed in the coming year.*
- The Strategic Planning arrangements in place require review to ensure that roles and remits, accountability structures and governance are operating in accordance with the Strategic Planning Framework. *Risk – failure to adopt a robust and cohesive approach.*
- There had been delays in establishing project groups with responsibility for delivering defined packages of work. *Risk – failure to deliver on priorities within the agreed timescales.*
- There was a lack of arrangements in place for reviewing and refreshing the Strategic Plan. *Risk – failure to reflect current priorities.*

1.4 Summary

Our review of the IJB's Strategic Plan has identified some areas with scope for improvement. Detailed findings and recommendations are contained in our main audit report.

Mala Garden
Chief Internal Auditor

December 2017

**EAST LoTHIAN IJB – INTERNAL AUDIT
IJB STRATEGIC PLAN**

ACTION PLAN

PARA REF	RECOMMENDATION	GRADE	RESPONSIBLE OFFICER	AGREED ACTION	RISK ACCEPTED/ MANAGED	AGREED DATE OF COMPLETION
3.3.1	Consideration should be given to reviewing and refreshing the Strategic Plan to ensure that it continues to be an accurate reflection of the IJB's priorities.	Medium	IJB Chief Officer	Agreed – to be part of planning for 2018/19		March 2018
3.4.1	<p>Management should ensure that appropriate monitoring and reporting arrangements are in place to provide an overview to the IJB of the progress being made in implementing the Strategic Plan Implementation Programme.</p> <p>Management should ensure that delivery plans and business action plans are prepared on an annual basis clearly outlining the priorities to be addressed in the coming year.</p>	Medium	IJB Chief Officer	<p>Agreed – update on progress to be provided to the IJB</p> <p>Agreed – Delivery Plans to be prepared</p>		<p>December 2017</p> <p>March 2018</p>
3.5.1	Management should review the Strategic Planning arrangements in place to ensure that roles and remits, accountability structures and governance are operating in accordance with the Strategic Planning Framework.	Medium	IJB Chief Officer	Agreed		February 2018

PARA REF	RECOMMENDATION	GRADE	RESPONSIBLE OFFICER	AGREED ACTION	RISK ACCEPTED/ MANAGED	AGREED DATE OF COMPLETION
3.5.1 (cont)	Management should ensure that adequate arrangements are in place for the regular reporting of the progress being made by project groups with responsibility for delivering defined packages of work.	Medium	IJB Chief Officer	Agreed – updates to SPPB and reports on overall progress to the IJB on a quarterly basis		February 2018

Grading of Recommendations

In order to assist Management in using our reports, we categorise our recommendations according to their level of priority as follows:

Level	Definition
High	Recommendations which are fundamental to the system and upon which Management should take immediate action.
Medium	Recommendations which will improve the efficiency and effectiveness of the existing controls.
Low	Recommendations concerning minor issues that are not critical, but which may prevent attainment of best practice and/or operational efficiency.