



PWYLLGOR ARCHWILIO A SICRWYDD RISG AUDIT AND RISK ASSURANCE COMMITTEE

DYDDIAD Y CYFARFOD: DATE OF MEETING:	23 February 2021
TEITL YR ADRODDIAD: TITLE OF REPORT:	UHB Central Tracker
CYFARWYDDWR ARWEINIOL: LEAD DIRECTOR:	Joanne Wilson, Board Secretary
SWYDDOG ADRODD: REPORTING OFFICER:	Debbie Stone, Assurance and Risk Officer Charlotte Beare, Head of Assurance and Risk

Pwrpas yr Adroddiad (dewiswch fel yn addas)

Purpose of the Report (select as appropriate)

Er Sicrwydd/For Assurance

ADRODDIAD SCAA SBAR REPORT

Sefyllfa / Situation

This report provides the Audit and Risk Assurance Committee (ARAC) with progress in respect of the implementation of recommendations from audits and inspections.

Cefndir / Background

Audits, inspections and reviews play an important independent role in providing the Board with assurance on internal controls and that systems and processes are sufficiently comprehensive and operating effectively. Therefore, it is essential that recommendations from audits, inspections and reviews are implemented in a timely way.

All reports from audits, reviews and inspections carried out across the UHB are logged onto the UHB central tracker and prior to COVID-19.

Inspection activity across the UHB has continued, albeit at reduced level, over the pandemic as auditors, inspectorates and regulators allow NHS organisations to focus on its response. As a result of increasing community transmission and hospital admissions within NHS Wales, Health Inspectorate Wales (HIW) paused routine 'quality checks' from 24 December 2020 to the end of January. HIW will resume the routine 'quality check' programme in mid-February and are considering including these as part of their inspection programme going forward.

Both Audit Wales (AW) and Internal Audit (IA) continue with their work as per agreed Audit Plans, although plans are under regular review to avoid placing additional pressures on operational services.

The Health and Safety Executive (HSE) and Mid and West Wales Fire and Rescue Service (MWWFRS) is maintaining a level of activity across Health Board sites throughout the pandemic.

A review meeting was held between the Health Board and the Welsh Language Commissioner's office on 26 January 2021 to discuss the open investigation (CSG584) and agree new timescales for completion. There has been no inspection activity by the Community Health Council (CHC).

Asesiad / Assessment

Management of outstanding recommendations during COVID-19

In the absence of Executive Performance Management meetings, the assurance and risk team have put in place a rolling programme to obtain progress from individual services on a bi-monthly basis in the absence of the formal quarterly performance management meetings. This means that services are providing updates on progress, more frequently which has enabled subsequent formal approval of closure of reports from Executive Directors. This also includes an escalation process to the relevant Executive Director where no response is received from the service.

The table below sets out a summary of the status of the high priority recommendations. Appendix 1 provides an individual breakdown.

External Body	Open High Priority Recommendations	Update summary
Health Inspectorate Wales (HIW) Immediate Assurance (pre-COVID)	1 immediate improvement recommendation.	One immediate recommendation remains at Wylabush General Hospital (WGH) Ward 7, relating to fire safety doors at the entrance to ward. This has not gone beyond the timescale for completion (August 2021) which is in line with the fire safety work programme being undertaken by Estates.
HIW 'Quality Checks'	4 improvement recommendations from 2 reports	<p>The improvement plan for Bryngolau Ward at Prince Philip Hospital (PPH) contains two recommendations, which were due for completion by the end of December 2020. The delays were due to a COVID-19 outbreak and staff sickness. Work is underway to complete these by end of February 2021 and HIW have been informed.</p> <p>The improvement plan for Towy Ward at Glangwili General Hospital (GGH) contains two recommendations, due for completion by the end of February 2021.</p>
Health and Safety Executive (HSE)	17 recommendations from 5 improvement notices and 5 material breaches.	<p>17 recommendations have timescales that exceed the HSE extended compliance dates (previous ARAC meeting reported 12 of 30 recommendations exceeding HSE timescales). 13 recommendations have been completed since the last ARAC meeting, and the remaining 17 outstanding recommendations have a small number of actions that cannot be progressed due to COVID-19, for example, face-to-face training, or awaiting the implementation of the new All Wales Datix system (Incident module).</p> <p>Progress on all improvement notices and material breaches action plans have been</p>

	<p>3 recommendations from 1 material breach Notification of Contravention - Shielding. Letter dated 17 January 2021</p> <p>2 recommendations from 1 material breach Notification of Contravention – COVID-19 arrangements dated 28 January 2021</p>	<p>recently submitted to HSE. The HSE visited the Health Board on 21 January 2021 and feedback from this visit and the submitted action plans is awaited. Once feedback is received, the audit tracker will be updated accordingly.</p> <p><i>All actions for Improvement Notices 1, 4 & 5, and material breaches 2, 5, 6, 8, 10, 11, 12 & 13 have been completed. These are awaiting official sign off by HSE before they are closed on the audit tracker.</i></p> <p>The Health and Safety Assurance Committee is overseeing implementation.</p> <p>The Head of Health, Safety and Security is in discussion with the Assistant Director of Workforce and OD to establish if any further actions are required to close the recommendations.</p> <p>The material breach contains 2 recommendations. The HSE have requested written confirmation that the Health Board has taken appropriate action in relation to these matters by 1 March 2021.</p>
Mid and West Wales Fire and Rescue Service (MWWFRS)	21 recommendations	<p>Only 1 of the 21 areas of improvement is behind schedule (previous ARAC meeting reported 3 behind schedule of 27 areas of improvement) and refers to the following:</p> <ul style="list-style-type: none"> • 1 recommendation from Enforcement Notice Withybush General Hospital (KS/890/02) was due to be completed end of January 2021 but is delayed by several weeks due to installation, staff being affected by COVID-19. MWWFRS have been informed and are fully supportive of the extension, which the Health Board is confident in reaching by the end of February 2021. <p>The Health Board and MWWFRS have regular meetings in respect of the fire safety work programme. All current Enforcement Notices and Letters of Fire Safety Matters now fully align with the delivery programme being managed by the Health Board.</p> <p>The Health and Safety Assurance Committee is overseeing implementation.</p>

Audit Wales (AW)	8 recommendations	<p>5 of the 8 AW 'high' priority recommendations are behind schedule. <i>(8 of the 11 high priority recommendations previously reported to ARAC).</i></p> <p>3 recommendations have been implemented since the last meeting.</p> <p>4 of the 5 recommendations behind schedule are without a revised timescale and relate to Primary Care Services at Hywel Dda report November 2018, which have not been progressed due to COVID-19.</p>
Internal Audit (IA)	19 recommendations	<p>12 of 19 IA high priority recommendations are behind schedule <i>(14 out of 22 'high' priority recommendations previously reported at ARAC).</i></p> <p>9 high priority recommendations have been implemented since the previous meeting.</p> <p>There have been 6 new high priority recommendations added since the last report as follows</p> <ul style="list-style-type: none"> • 1 recommendation from the Backlog Maintenance report December 2020 • 4 recommendations from the IM&T Control and Risk Assessment report November 2020 • 1 recommendation from the WCISS Project report November 2020 <p>5 of the 12 recommendations that are behind schedule without revised timescales, as below.</p> <ul style="list-style-type: none"> • 2 recommendations from the Partnership Governance (ICF) report October 2020. • 1 recommendation from the Records Management report February 2019. • 1 recommendation is from the Theatres Directorate report April 2018. • 1 recommendation is from National Standards for Cleaning in NHS Wales report February 2018 (which is outside the gift of the UHB to implement).

Appendix 2 provides a list of other recommendations that still need to be implemented (these are RAG rated amber (in progress and on schedule) or red (behind schedule)). It does not include recommendations from HIW and CHC reports relating to inspections of independent contractors (i.e. GP and dental practice not managed by the UHB). The practices remain directly accountable for implementing these recommendations.

Appendix 2 also contains 43 recommendations, which do not have revised timescales (36 reported at previous meeting). This may be due to the service not providing a clear enough response, which is being followed up, staffing pressures from responding to COVID-19 or staff have been redeployed, or due to COVID-19 the service may not be in a position to provide a revised timescale at this point in time and some Ward refurbishment plans delayed.

UHB Central Tracker

Since December 2020, a further 25 reports have been closed or superseded, with 12 new reports received by the Health Board. These are listed in Appendix 3.

As of 3 February 2021, there are 117 reports currently open, 58 of which have recommendations that have exceeded their original completion date. The number of recommendations where the original implementation date has passed has marginally decreased from 156 to 153, and a small increase in recommendations that have gone beyond six months of their original completion date from 92 to 96 as reported in December 2020. Of the 153 overdue recommendations, 15 recommendations are identified on the tracker as an 'external recommendation', whereby the recommendation is outside the gift of the UHB to currently implement, i.e. reliant on an external organisation (e.g. NWIS) to implement. Below is a summary of activity on the audit tracker since it was previously reported to ARAC in December 2020.

	No of reports open at ARAC Dec-20	No of reports received since ARAC Dec-20	No of reports closed since ARAC Dec-20	No of reports open at ARAC Feb-21	No of reports that have passed their original implementation date	No of red recommendations i.e. Original implementation date has passed or will not be met	No of red recommendations beyond 6 months of original completion date
AW	13	0	3	10	7	16	14
CHC	5	0	1	4	3	4	4
CHC / HIW Contractors	5	0	0	5	3	0	0
Coroner Reg 28	0	0	0	0	0	0	0
DU	6	0	0	6	6	13	13
HEIW	0	0	0	0	0	0	0
HSE	21	2	0	23	0	17	16
HIW (Acute & Community)	11	1	6	6	3	14	4
HIW (MH&LD)	8	0	2	6	6	19	15
IA	33	7	7	33	21	42	18
MWWFRS	11	0	1	10	0	1	0
Peer Reviews	3	0	0	3	3	8	7
PSOW - S16	0	0	0	0	0	0	0
PSOW - S21	10	2	5	7	3	5	0
Royal Colleges	1	0	0	1	1	4	2
Other	1	0	0	1	0	9	2
WLC	2	0	0	2	2	1	1
TOTAL	130	12	25	117	58	153	96

Argymhelliad / Recommendation

The Committee is asked to take an assurance on the following:

- Executive Directors and Lead Officers understand that there is still the expectation that outstanding recommendations from auditors, inspectorates and regulators should continue to be implemented during COVID-19, to ensure services are safe and the risk of harm to patients and staff is managed and minimised.
- The rolling programme to collate updates from services on a bi-monthly basis in order to report progress to the Committee.

Amcanion: (rhaid cwblhau)

Objectives: (must be completed)

Committee ToR Reference Cyfeirnod Cylch Gorchwyl y Pwyllgor	5.3 In carrying out this work the Committee will primarily utilise the work of Internal Audit, Clinical Audit, External Audit and other assurance functions, but will not be limited to these audit functions. It will also seek reports and assurances from directors and managers as appropriate, concentrating on the overarching systems of good governance, risk management and internal control, together with indicators of their effectiveness.
Cyfeirnod Cofrestr Risg Datix a Sgôr Cyfredol: Datix Risk Register Reference and Score:	Not applicable.
Safon(au) Gofal ac Iechyd: Health and Care Standard(s):	Governance, Leadership and Accountability
Amcanion Strategol y BIP: UHB Strategic Objectives:	All Strategic Objectives are applicable
Amcanion Llesiant BIP: UHB Well-being Objectives: Hyperlink to HDdUHB Well-being Statement	Not Applicable

Gwybodaeth Ychwanegol:

Further Information:

Ar sail tystiolaeth: Evidence Base:	N/A
Rhestr Termiau: Glossary of Terms:	ARAC – Audit and Risk Assurance Committee AW- Audit Wales (previously WAO (Wales Audit Office)) BGH – Bronglais General Hospital CHC- Community Health Council DU- Delivery Unit GGH - Glangwili General Hospital HEIW-Health Education and Improvement Wales

	HIW- Health Inspectorate Wales HSE- Health and Safety Executive IA- Internal Audit MWWFRS – Mid & West Wales Fire & Rescue Service NWIS – NHS Wales Informatics Service PPH – Prince Philip Hospital PSOW- Public Services Ombudsman for Wales SSU – Specialist Services Unit UHB – University Health Board WLC- Welsh Language Commissioner WGH- Worthybush General Hospital
Partion / Pwyllgorau â ymgynhorwyd ymlaen llaw y Pwyllgor Archwilio a Sicrwydd Risg: Parties / Committees consulted prior to Audit and Risk Assurance Committee:	Board Secretary

Effaith: (rhaid cwblhau) Impact: (must be completed)	
Ariannol / Gwerth am Arian: Financial / Service:	No direct impacts from this report however late or non-delivery of recommendations from audits and inspections could mean that the UHB is not addressing any gaps in control and exploiting opportunities to achieve value for money.
Ansawdd / Gofal Claf: Quality / Patient Care:	No direct impacts from this report however late or non-delivery of recommendations from audits and inspections could mean that the UHB is not addressing any gaps in control in relation to patient quality and care.
Gweithlu: Workforce:	No direct impacts from this report however late or non-delivery of recommendations from audits and inspections could mean that the UHB is not addressing any gaps in control in relation to workforce issues and risks.
Risg: Risk:	No direct impacts from this report however late or non-delivery of recommendations from audits and inspections could mean that the UHB is not addressing any gaps in control and identified risks are not being managed.
Cyfreithiol: Legal:	No direct impacts from this report however late or non-delivery of recommendations from audits and inspections could mean that the UHB is less likely to defend itself in a legal challenge which could lead to larger fines/penalties and damage to reputation.
Enw Da: Reputational:	As above.
Gyfrinachedd: Privacy:	No direct impacts from this report
Cydraddoldeb: Equality:	No direct impacts from this report

Appendix 1 - High Priority Recommendations:

Reference Number	Date of report	Report issued by	Report Title	Status of report	Assurance Rating	Service / Directorate	Responsible Officer	Director	Recommendation Reference	Priority Level	Recommendation	Management Response	Original Completion Date	Revised Completion Date	Status (Red-behind schedule, Amber- on schedule, Green-complete)	Progress update/ Reason overdue
946A2018-19	Nov-18	Audit Wales	Primary care services at Hywel Dda	Open	N/A	Primary Care, Pharmacy (community), LTC & LVWS	Rhian Bond	Director of Primary, Community and Long Term Care	WAO_PrimaryCare_001	High	R3a. Calculate a baseline position for its current investment and resource use in primary and community care.	The Health Board need to set the baseline for expenditure in primary and community care based on the information used to produce its audited annual accounts. A plan for implementation of the baseline needs to be compiled and implemented to reflect services at 31st March 2019. Changes will then be measured relative to this baseline annually.	Apr-19	Nov-20 N/K	Red	12/10/2020- update from Head of Financial Planning- Baseline to be set using 2018/19 programme budgeting data. The deadline for completion of this work is the end of November 2020 (Data is produced a year in arrears). 24/12/2020- Requested confirmation from Head of Financial Planning if recommendation is complete, no response received. 22/01/2021- Head of Financial Planning confirmed 3a is still being worked on, revised timescale requested.
946A2018-19	Nov-18	Audit Wales	Primary care services at Hywel Dda	Open	N/A	Primary Care, Pharmacy (community), LTC & LVWS	Rhian Bond	Director of Primary, Community and Long Term Care	WAO_PrimaryCare_002	High	R3b. Review and report, at least annually, its investment in primary and community care, to assess progress since the baseline position and to monitor the extent to which it is succeeding in shifting resources towards primary and community care.	The shift of resources into primary and community care can be monitored on an annual basis using the information that forms the basis of the Health Board's audited accounts. The shift of resources needs to be measured in accordance with the national paper dealing with the transfer of services and resources to primary care.	Apr-19	Mar-21	Red	12/10/2020- update from Head of Financial Planning- First comparison to take place for investment in 2019/20 following the finalisation of programme budgeting data for 2019/20. Target date end of March 2021 (Data is produced a year in arrears).
946A2018-19	Nov-18	Audit Wales	Primary care services at Hywel Dda	Open (external rec)	N/A	Primary Care, Pharmacy (community), LTC & LVWS	Rhian Bond	Director of Primary, Community and Long Term Care	WAO_PrimaryCare_003	High	R5b. Revisit its primary care workforce plans to ensure they take account of the issues arising from the Transforming Clinical Services programme.	Work is ongoing to understand the current staffing within primary care across the contractor professions to ensure that the Primary Care Model for Wales is implemented.	Oct-19	N/K	Red	Response from Director of Primary Care, Community and Long Term Care- It should ultimately align to our strategy and what we want to see from Practices in that context. However where it becomes challenging is that whether or not we were linking nationally or locally, we still need to access the data and the only way in which we can get the accurate workforce data is through the national reporting tool which will then allow us to align our plans with our local Strategy. 29/09/2020- no progress due to COVID and no timescale of when we are likely to be in a position to progress these areas of work. 09/11/2020- Director of Primary Care, Community and Long Term Care confirmed there is no change at present.
946A2018-19	Nov-18	Audit Wales	Primary care services at Hywel Dda	Open	N/A	Primary Care, Pharmacy (community), LTC & LVWS	Rhian Bond	Director of Primary, Community and Long Term Care	WAO_PrimaryCare_004	High	R7b. Subject to positive evaluation, begin to fund new models from mainstream funding rather than the Primary Care Development Fund.	To be considered in line with the Primary Care Model for Wales, the IMTP and the shift of funding within the system to support service change and remodelling.	Oct-19	N/K	Red	No update provided. Reporting officer responded due to other pressures she may not be able to respond with update before commencing leave. 29/09/2020- no progress due to COVID and no timescale of when we are likely to be in a position to progress these areas of work. 09/11/2020- Director of Primary Care, Community and Long Term Care confirmed there is no change at present.
946A2018-19	Nov-18	Audit Wales	Primary care services at Hywel Dda	Open	N/A	Primary Care, Pharmacy (community), LTC & LVWS	Rhian Bond	Director of Primary, Community and Long Term Care	WAO_PrimaryCare_005	High	R7c. Work with the public to promote successful new ways of working, particularly new alternative first points of contact in primary care that have the potential to reduce demand for GP appointments.	Public engagement plan regarding access to all primary care services to be developed and implemented.	Oct-19	N/K	Red	No update provided. Reporting officer responded due to other pressures she may not be able to respond with update before commencing leave. 29/09/2020- no progress due to COVID and no timescale of when we are likely to be in a position to progress these areas of work. 09/11/2020- Director of Primary Care, Community and Long Term Care confirmed there is no change at present.
N/A	Jul-20	Audit Wales	Effectiveness of Counter-Fraud Arrangements	Open	N/A	Finance	Ben Rees	Director of Finance	Effectiveness of Counter-Fraud Arrangements_001	High	R1. Counter-fraud training: Implement mandatory counter-fraud training for some or all staff groups. (Hywel Dda Specific Recommendation)	Actions have already been taken to implement mandatory learning in the form of Counter Fraud eLearning. This should be achieved within 2020/21 and will sit alongside a general programme of counter fraud awareness work and regular risk bespoke training for high risk staff groups.	Mar-21	Mar-21	Amber	22/01/2021- Head of Local Counter Fraud Services confirmed following discussions with Workforce it has now been agreed that Counter Fraud Awareness Training will become mandatory to HDUHB employees. This action will be closed once the mandatory training is in place. On track for March 2021 completion.
N/A	Jul-20	Audit Wales	Effectiveness of Counter-Fraud Arrangements	Open	N/A	Finance	Ben Rees	Director of Finance	Effectiveness of Counter-Fraud Arrangements_002	High	R2. Intelligence sharing activities: Examine and implement the potential for further sharing of intelligence with local authorities. (Hywel Dda Specific Recommendation)	More regular meetings with local partners would be beneficial. This encompasses all enforcement bodies. Whilst the Health Board as a whole maintains relationships with these local partners, counter fraud specific sharing does not exist. Introductory meetings will be held to ascertain exactly how we can assist one another. Maintaining these relationships going forward will be the key consideration.	Mar-21	Mar-21	Amber	22/01/2021- Head of Local Counter Fraud Services confirmed – Following discussions with Information Governance arrangements are in place to create a Information Sharing Protocol with our surrounding County Councils, local Police and neighbouring Health Boards. This work will continue into the 2021/22 workplan. On track for March 2021 completion.
N/A	Jul-20	Audit Wales	Effectiveness of Counter-Fraud Arrangements	Open	N/A	Finance	Ben Rees	Director of Finance	Effectiveness of Counter-Fraud Arrangements_003	High	R3. Counter-fraud staff capacity: Consider the LCFS capacity required to resource required levels of proactive and investigative work, including staff training, and build in resilience to the team. (Hywel Dda Specific Recommendation)	It is accepted that an increase in capacity could lead to greater impact and return within Counter Fraud work. However, economies of scale have yet to be explored in detail. As per the report the Health Boards resource per 1000 staff is 0.2 WTE compared to the national average for NHS Wales of 0.19 WTE.	Mar-21	Mar-21	Amber	09/11/2020-Head of Local Counter Fraud Services provided timescale of March 2021, to incorporate this recommendation into the Counter Fraud end of year report and subsequent year plan. Any data used in the annual report can be used to highlight the necessity to increase / maintain current staffing levels. 22/01/2021- Head of Local Counter Fraud Services confirmed –The current standing will be reviewed as part of the Annual Report and findings reported back to the Director of Finance. On track for March 2021 completion.
JHET/HD/04102019/03	04/10/2019	Health and Safety Executive	Improvement notice - Accident and Emergency Department, Withybush Hospital 02-11/07/19 IN3	Open	N/A	Nursing (Health & Safety)	Tim Harrison	Director of Nursing, Quality and Patient Experience	JHET/HD/04102019/03_001	High	R1. In consultation with employees or their representatives, and with the assistance of a competent person, assess the risk from violence and aggression in the Accident and Emergency Department. In order to be suitable and sufficient the risk assessment should include consideration of the following: a. Information on the number and nature of recent previous incidents and near misses, and learning from these. b. The physical layout and design of the department, and how it is currently used at different times of day and night. c. Different groups who may be harmed e.g. agency staff, porters, students, visitors. d. Alarm systems and the response to these e. Sharing of risk information between agencies and between employees, e.g. patient history f. Lone working or isolation within the department g. Information, instruction and training for employees h. Communication with patients and relatives	Various actions notes under this recommendation.	May-20 Jul-20 Jan-21	Jan-21 N/A	Red	The HSE wrote a notice of extension agreeing that the timescale of 01/05/2020 for this improvement notice is extended to 31/07/2020. Update provided by reporting officer. One action under 'Consideration of g). Information, instruction and training for employees' has a timescale of 2021. Clarity is being sought from the reporting officer if this revised timescale has been agreed with the HSE. Due to COVID-19 it is unclear when these actions will be achieved. 07/09/2020- HSE granted extension to 29/01/2021. 25/01/2021- Action Plans submitted to HSE, part G is still showing as outstanding and cannot be full implemented until post Covid. Feedback from HSE January 2021 visit awaited.
LP1/HD/04102019/06	04/10/2019	Health and Safety Executive	Improvement notice - Incidents 02-11/07/19 IN6	Open	N/A	Nursing (Health & Safety)	Tim Harrison	Director of Nursing, Quality and Patient Experience	JHET/HD/04102019/06_003	High	R3. Design the system to effectively capture the accurate recording of incident details including the clear setting out of responsibilities for those expected to use this system.	Various actions noted under this measure.	May-20 Jul-20 Jan-21	Apr-21	Red	The HSE wrote a notice of extension agreeing that the timescale of 01/05/2020 for this improvement notice is extended to 31/07/2020. 22/06/2020- Update provided to Health & Safety Assurance Committee. Recs are behind schedule with varying timescales until April 2021. 07/09/2020- HSE has granted extension to 29/01/2021. 25/01/2021- Action Plans submitted to HSE, feedback from HSE January 2021 visit awaited.

LPI/HD/04102 019/06	04/10/2019	Health and Safety Executive	Improvement notice - Incidents 02-11/07/19 IN6	Open	N/A	Nursing (Health & Safety)	Tim Harrison	Director of Nursing, Quality and Patient Experience	JHET/HD/04102019/0 6_004	High	R4. Determine how the system will be monitored by senior managers to ensure that follow-up action is carried out, and how it will be audited and reviewed.	Various actions noted under this measure.	May-20 Jul-20 Jan-21	Jan-21 N/A	Red	The HSE wrote a notice of extension agreeing that the timescale of 01/05/2020 for this improvement notice is extended to 31/07/2020. 07/09/2020- HSE has granted extension to 29/01/2021. This recommendation is on track to be implemented by this date. 02/11/2020- update from H&S Assurance Committee paper shows timescale of December 2020. 25/01/2021- Action Plans submitted to HSE, showing this recommendation not being fully implemented until post Covid. Feedback from HSE January 2021 visit awaited.
LPI/HD/04102 019/08	04/10/2019	Health and Safety Executive	Improvement notice - Locations where Health Board employees and Agency workers work (Needlestick injuries) IN8	Open	N/A	Nursing (Health & Safety)	Tim Harrison	Director of Nursing, Quality and Patient Experience	JHET/HD/04102019/0 8_001	High	EITHER R1. Implement an effective management system to ensure all incidents where employees and others (such as Agency staff) have suffered an injury from a medical sharp are fully recorded and investigated. This system should also be used to manage any remedial actions required to ensure ongoing risks are mitigated.	Various actions notes under this recommendation.	May-20 Jul-20 Jan-21	Dec-20 N/K	Red	The HSE wrote a notice of extension agreeing that the timescale of 01/05/2020 for this improvement notice is extended to 31/07/2020. 07/09/2020- HSE has granted extension to 29/01/2021. 02/11/2020- update from H&S Assurance Committee paper shows timescale of December 2020. 25/01/2021- Action Plans submitted to HSE, reporting that recommendation cannot be fully implemented until post-Covid. Feedback from HSE January 2021 visit awaited.
LPI/HD/04102 019/08	04/10/2019	Health and Safety Executive	Improvement notice - Locations where Health Board employees and Agency workers work (Needlestick injuries) IN8	Open	N/A	Nursing (Health & Safety)	Tim Harrison	Director of Nursing, Quality and Patient Experience	JHET/HD/04102019/0 8_002	High	AND R2. Implement a suitable follow up monitoring system for managing employees and others (e.g. Agency workers) post injury (caused by a medical sharp) that exposed, or may have exposed, the person to a biological agent, to ensure they receive appropriate medical advice, treatment and counselling. OR Implement any other equally effective measures to remedy the said contraventions.	Various actions notes under this recommendation.	May-20 Jul-20 Jan-21	Dec-20 N/K	Red	The HSE wrote a notice of extension agreeing that the timescale of 01/05/2020 for this improvement notice is extended to 31/07/2020. 07/09/2020- HSE has granted extension to 29/01/2021. 02/11/2020- update from H&S Assurance Committee paper shows timescale of December 2020. 25/01/2021- Action Plans submitted to HSE, reporting that recommendation cannot be fully implemented until post-Covid. Feedback from HSE January 2021 visit awaited.
JHET/HD/0410 2019/02	04/10/2019	Health and Safety Executive	Improvement notice - Manual Handling 02-11/07/19 IN2	Open	N/A	Nursing (Health & Safety)	Tim Harrison	Director of Nursing, Quality and Patient Experience	JHET/HD/04102019/0 2_003	High	R3. Identify sources of information on manual handling incidents and near misses, and use these to reach a reliable estimate of occurrence and severity. This could include: a. Incidents recorded on Datix and how these are coded; b. Referrals to Occupational Health related to musculoskeletal disorders; c. Sickness absence records related to musculoskeletal disorders; d. Information from employee groups who do not have access to Datix; e. Information from employee representatives; f. Information from those providing training under the All Wales Manual Handling Training Passport.	See management response for recommendation1 - not clear how the actions are split across the 5 recommendations	May-20 Jul-20 Jan-21	Dec-20 May-21	Red	The HSE wrote a notice of extension agreeing that the timescale of 01/05/2020 for this improvement notice is extended to 31/07/2020. 02/11/2020- update from H&S Assurance Committee paper-All of the actions identified in the notice schedule are in the process of being addressed by the Moving and Handling Team (M&H Team) through their Action Plan for 2020-2021. Revised timescale December 2020. 25/01/2021- Action Plans submitted to HSE showing recommendations will be fully implemented by May 2021, feedback from HSE January 2021 visit awaited.
JHET/HD/0410 2019/02	04/10/2019	Health and Safety Executive	Improvement notice - Manual Handling 02-11/07/19 IN2	Open	N/A	Nursing (Health & Safety)	Tim Harrison	Director of Nursing, Quality and Patient Experiences	JHET/HD/04102019/0 2_001	High	R1. Establish a management system to monitor and review the implementation of your Manual Handling Policy number 273. This should include but is not limited to: a. Setting standards by which to assess the performance of those with responsibilities. b. Developing systems for proactive monitoring by managers and senior managers appropriate to their roles to identify whether suitable risk controls are in place. c. Developing systems for the auditing of risk control measures by competent person(s) outside the line management chain.	Critically review the Manual Handling Policy to ensure that it is fit for purpose. Request assistance of General Managers in achieving aims. Increase moving and handling risk assessments where required. Introduction of new Moving & Handling risk assessment paperwork to standardise nursing documentation across Wales. Link to Incident Investigation Control Group.	May-20 Jul-20 Jan-21	Oct-20 Dec-20 May-21	Red	The HSE wrote a notice of extension agreeing that the timescale of 01/05/2020 for this improvement notice is extended to 31/07/2020. 07/09/2020- HSE granted extension to 29/01/2021. 02/11/2020- update from H&S Assurance Committee paper-All of the actions identified in the notice schedule are in the process of being addressed by the Moving and Handling Team (M&H Team) through their Action Plan for 2020-2021. Revised timescale December 2020. 25/01/2021- Action Plans submitted to HSE showing recommendations will be fully implemented by May 2021, feedback from HSE January 2021 visit awaited.
JHET/HD/0410 2019/02	04/10/2019	Health and Safety Executive	Improvement notice - Manual Handling 02-11/07/19 IN2	Open	N/A	Nursing (Health & Safety)	Tim Harrison	Director of Nursing, Quality and Patient Experience	JHET/HD/04102019/0 2_002	High	R2. Identify the resources needed to effectively implement and sustain the systems developed in response to 1 above.	Full action plan held by Estates.	May-20 Jul-20 Jan-21	Oct-20 Dec-20 May-21	Red	The HSE wrote a notice of extension agreeing that the timescale of 01/05/2020 for this improvement notice is extended to 31/07/2020. 07/09/2020- HSE granted extension to 29/01/2021. 02/11/2020- update from H&S Assurance Committee paper-The M&H Team are in the process of developing an SBAR to request funding for a new 0.6FTE Band 4 to assist the team in fulfilling their duties. Revised timescale December 2020. 25/01/2021- Action Plans submitted to HSE showing recommendations will be fully implemented by May 2021, feedback from HSE January 2021 visit awaited.
JHET/HD/0410 2019/02	04/10/2019	Health and Safety Executive	Improvement notice - Manual Handling 02-11/07/19 IN2	Open	N/A	Nursing (Health & Safety)	Tim Harrison	Director of Nursing, Quality and Patient Experience	JHET/HD/04102019/0 2_004	High	R4. Identify how the findings from monitoring, auditing and review will be considered and consulted on, and responsibilities allocated to ensure that suitable and timely action is taken and completed.	Full action plan held by Estates.	May-20 Jul-20 Jan-21	Dec-20 May-21	Red	The HSE wrote a notice of extension agreeing that the timescale of 01/05/2020 for this improvement notice is extended to 31/07/2020. 07/09/2020- HSE granted extension to 29/01/2021. 02/11/2020- update from H&S Assurance Committee paper-All of the actions identified in the notice schedule are in the process of being addressed by the Moving and Handling Team (M&H Team) through their Action Plan for 2020-2021. Timescale December 2020. 25/01/2021- Action Plans submitted to HSE showing recommendations will be fully implemented by May 2021, feedback from HSE January 2021 visit awaited.
JHET/HD/0410 2019/02	04/10/2019	Health and Safety Executive	Improvement notice - Manual Handling 02-11/07/19 IN2	Open	N/A	Nursing (Health & Safety)	Tim Harrison	Director of Nursing, Quality and Patient Experience	JHET/HD/04102019/0 2_005	High	R5. Start to implement the system identified as far as reasonably practicable in the timescale of this Notice.	Full action plan held by Estates.	May-20 Jul-20 Jan-21	Dec-20 May-21	Red	The HSE wrote a notice of extension agreeing that the timescale of 01/05/2020 for this improvement notice is extended to 31/07/2020. 07/09/2020- HSE granted extension to 29/01/2021. 02/11/2020- update from H&S Assurance Committee paper-All of the actions identified in the notice schedule are in the process of being addressed by the Moving and Handling Team (M&H Team) through their Action Plan for 2020-2021. Timescale December 2020. 25/01/2021- Action Plans submitted to HSE showing recommendations will be fully implemented by May 2021, feedback from HSE January 2021 visit awaited.
LPI/HD/04102 019/07	04/10/2019	Health and Safety Executive	Improvement notice - Theatres, Bronglais Hospital 02-11/07/19 IN7	Open	N/A	Nursing (Health & Safety)	Tim Harrison	Director of Nursing, Quality and Patient Experience	JHET/HD/04102019/0 7_002	High	R2. Where such manual handling operations cannot be avoided you should in consultation with the Health Board's health & safety competent persons, and with their employee representatives, assess the risks and identify additional controls for all manual handling activities in theatres: You should take into consideration the following: a) Identifying all of those activities which pose a risk to employees' health and are not included in the All Wales Manual Handling Passport including: static support of patients' limbs, moving and handling patients into the	Various actions noted under this measure.	May-20 Jul-20 Jan-21	Jul-20 Oct-20 Dec-20 May-21	Red	The HSE wrote a notice of extension agreeing that the timescale of 01/05/2020 for this improvement notice is extended to 31/07/2020. Delayed to October 2020. Some of the delays are due to the impact of COVID-19 and the required re-directing of resource to manage the evolving Health Board response to the situation. Others, such as the contractor compliance work, are based on a phased approach to compliance. 07/09/2020- HSE has granted extension to 29/01/2021. 02/11/2020- update from H&S Assurance Committee paper shows timescale of December 2020.
LPI/HD/04102 019/07	04/10/2019	Health and Safety Executive	Improvement notice - Theatres, Bronglais Hospital 02-11/07/19 IN7	Open	N/A	Nursing (Health & Safety)	Tim Harrison	Director of Nursing, Quality and Patient Experience	JHET/HD/04102019/0 7_003	High	R3. From the findings of your assessment provide a timetabled programme for implementing the necessary controls identified to reduce the risk of injury so far as is reasonably practicable. OR R4. Implement any other equally effective measures to remedy the said contraventions.	Various actions noted under this measure.	May-20 Jul-20 Jan-21	Jul-20 Oct-20 Dec-20 May-21	Red	The HSE wrote a notice of extension agreeing that the timescale of 01/05/2020 for this improvement notice is extended to 31/07/2020. Delayed to October 2020. Some of the delays are due to the impact of COVID-19 and the required re-directing of resource to manage the evolving Health Board response to the situation. Others, such as the contractor compliance work, are based on a phased approach to compliance. 07/09/2020- HSE has granted extension to 29/01/2021. 02/11/2020- update from H&S Assurance Committee paper shows timescale of December 2020. 25/01/2021- Action Plans submitted to HSE, feedback from HSE January 2021 visit awaited. 25/01/2021- Action Plans submitted to HSE, showing one action outstanding to May 2021. Feedback from HSE January 2021 visit awaited.
MB3	Oct-19	Health and Safety Executive	Material breaches- The Management of Health and Safety at Work Regulations 1999, Regulation 3(1) - Bronglais Hospital MB3	Open	N/A	Nursing (Health & Safety)	Tim Harrison	Director of Nursing, Quality and Patient Experience	MB3	High	You should undertake a suitable and sufficient assessment for all employees (e.g.. Agency staff) required to work alone at Bronglais Hospital and make arrangements for their protection from exposure to violence where this is reasonably foreseeable.	Various actions notes under this recommendation.	May-20 Jul-20 Jan-21	Dec-21	Red	The HSE wrote a notice of extension agreeing that the timescale of 01/05/2020 is extended to 31/07/2020. 07/09/2020- HSE Granted extension to 29/01/2021. 02/11/2020- update from H&S Assurance Committee paper- PAMOVA training has been identified as a priority action. Training with regards to safe holding is in place but is unfortunately currently disrupted due to COVID-19 restrictions. Timescale stated as just the year 2021, therefore December 2021 assumed as implementation date. 25/01/2021- Action Plans submitted to HSE. Notice to stay as red on the tracker for now until feedback is received from HSE.

MB1	Oct-19	Health and Safety Executive	Material breaches- The Management of Health and Safety at Work Regulations 1999, Regulation 3(1) - Estates MB1	Open	N/A	Nursing (Health & Safety)	Tim Harrison	Director of Nursing, Quality and Patient Experience	MB1	High	You should undertake a suitable and sufficient assessment of the risks to Estates employees who are required to work alone across all UHB estates (including Secure Mental Health Units) and implement a system whereby the identified risks (that include exposure to violence where reasonably foreseeable) are minimised and managed.	Various actions notes under this recommendation.	May-20 Jul-20 Nov-20	Nov-20 Dec-20 N/K	Red	The HSE wrote a notice of extension agreeing that the timescale of 01/05/2020 is extended to 31/07/2020. 07/09/2020- HSE Granted extension to 27/11/2020. 02/11/2020- update from H&S Assurance Committee paper shows timescale of December 2020 (after HSE extension of November 2020, rec turned from amber to red). 25/01/2021- Action Plans submitted to HSE. Further information required - work in progress. Notice to stay as red on the tracker for now until feedback is received from HSE.
MB7	Oct-19	Health and Safety Executive	Material breaches- The Management of Health and Safety at Work Regulations 1999, Regulation 3(1) - Glangwili Hospital A&E (inc. reception) MB7	Open	N/A	Nursing (Health & Safety)	Tim Harrison	Director of Nursing, Quality and Patient Experience	MB7	High	You should undertake a suitable and sufficient assessment for all employees and others (e.g., Agency staff) within Glangwili Hospital A&E (inc. reception) and make arrangements for their protection from exposure to violence where this is reasonably foreseeable.	Various actions notes under this recommendation.	May-20 Jul-20 Jan-21	Dec-21	Red	The HSE wrote a notice of extension agreeing that the timescale of 01/05/2020 is extended to 31/07/2020. 07/09/2020- HSE Granted extension to 29/01/2021. 02/11/2020- update from H&S Assurance Committee paper-PAMOVA training has been identified as a priority action. Training with regards to safe holding is in place but is unfortunately currently disrupted due to COVID-19 restrictions. Timescale stated as just the year 2021, therefore December 2021 assumed as implementation date. 25/01/2021- Action Plans submitted to HSE. Notice to stay as red on the tracker for now until feedback is received from HSE.
MB9	Oct-19	Health and Safety Executive	Material breaches- The Management of Health and Safety at Work Regulations 1999, Regulation 3(1) - Mental Health MB9	Open	N/A	Nursing (Health & Safety)	Tim Harrison	Director of Nursing, Quality and Patient Experience	MB9	High	You should undertake a suitable and sufficient assessment of the risks to all employees and others (e.g., Agency staff) within the Mental Health teams involved with the transportation of patients and make arrangements for their protection from exposure to violence where this is reasonably foreseeable.	Various actions notes under this recommendation.	May-20 Jul-20 Jan-21	Dec-21	Red	The HSE wrote a notice of extension agreeing that the timescale of 01/05/2020 is extended to 31/07/2020. 07/09/2020- HSE Granted extension to 29/01/2021. 02/11/2020- H&S Assurance Committee paper does not make clear if this will be implemented by January 2021. Rec to remain red (behind schedule) until clarification received from H&S team. 25/01/2021- Action Plans submitted to HSE. Notice to stay as red on the tracker for now until feedback is received from HSE.
MB4	Oct-19	Health and Safety Executive	Material breaches- The Management of Health and Safety at Work Regulations 1999, Regulation 3(1) - Prince Phillip Hospital MIU / AMAU MB4	Open	N/A	Nursing (Health & Safety)	Tim Harrison	Director of Nursing, Quality and Patient Experience	MB4	High	You should undertake a suitable and sufficient assessment for all employees and others (e.g., Agency staff) within Prince Phillip Hospital MIU / AMAU who are required to work alone and make arrangements for their protection from exposure to violence where this is reasonably foreseeable.	Various actions notes under this recommendation.	May-20 Jul-20 Jan-21	Dec-21	Red	The HSE wrote a notice of extension agreeing that the timescale of 01/05/2020 is extended to 31/07/2020. 07/09/2020- HSE Granted extension to 29/01/2021. 02/11/2020- update from H&S Assurance Committee paper-PAMOVA training has been identified as a priority action. Training with regards to safe holding is in place but is unfortunately currently disrupted due to COVID-19 restrictions. Timescale stated as just the year 2021, therefore December 2021 assumed as implementation date. 25/01/2021- Action Plans submitted to HSE. Notice to stay as red on the tracker for now until feedback is received from HSE.
4197045 / 4645313	Nov-20	Health and Safety Executive	Material Breach: Notification of Contravention - Shielding. Letter dated 17/11/2020	Open	N/A	Nursing (Health & Safety)	Tim Harrison	Director of Nursing, Quality and Patient Experience	4197045 / 4645313_001	High	You should ensure that managers and the Occupational Health department are proactive to identify any employee or prospective employee who is clinically extremely vulnerable in accordance with government guidelines.		Not provided on letter	Not provided on letter	Amber	
4197045 / 4645313	Nov-20	Health and Safety Executive	Material Breach: Notification of Contravention - Shielding. Letter dated 17/11/2020	Open	N/A	Nursing (Health & Safety)	Tim Harrison	Director of Nursing, Quality and Patient Experience	4197045 / 4645313_001	High	Personal risk assessment for each employee in this category should take into account not only the immediate working environment but all aspects. Which are involved in them coming to and being at work (e.g. public transport, visiting other clinical or non-clinical areas, meal breaks, personal circumstances).		Not provided on letter	Not provided on letter	Amber	
4197045 / 4645313	Nov-20	Health and Safety Executive	Material Breach: Notification of Contravention - Shielding. Letter dated 17/11/2020	Open	N/A	Nursing (Health & Safety)	Tim Harrison	Director of Nursing, Quality and Patient Experience	4197045 / 4645313_001	High	Such risk assessment is likely to result in them working from home, or in a carefully managed working environment with safe systems of work. The risk assessment should be reviewed regularly to ensure the risk continues to be managed.		Not provided on letter	Not provided on letter	Amber	
4674961	Jan-21	Health and Safety Executive	Health and Safety Executive: Material Breach – Notification of Contravention – Covid-19 arrangements dated 28/01/2021	Open	N/A	Nursing (Health & Safety)	Tim Harrison	Director of Nursing, Quality and Patient Experience	4674961_001	High	Although you had many signs in corridors, canteens etc. reminding of the 2m rule, controls for social distancing (SD) are not adequate. In the staff canteen employees were witnessed breaking the 2m rule to speak with colleagues. And this was repeated on occasions in the corridors and some of the workstations in the wards. Some of the rest rooms on the wards had been assessed for maximum occupancy but consideration did not appear to consider staff movement when seats were occupied. All eating areas must adhere to the 2m SD rule as these are high risk areas	You should review your procedures for 2m distancing and educate employees to challenge those colleagues who breach it. You also need to ensure that you implement monitoring regime to ensure continued compliance. Please forward details of this review and actions taken to address the matters identified above.	Mar-21	Mar-21	Amber	HSE requesting e-mail or written confirmation that the UHB have acted on each of the matters by 01/03/21.
4674961	Jan-21	Health and Safety Executive	Health and Safety Executive: Material Breach – Notification of Contravention – Covid-19 arrangements dated 28/01/2021	Open	N/A	Nursing (Health & Safety)	Tim Harrison	Director of Nursing, Quality and Patient Experience	4674961_002	High	Cleaning and hygiene Additional cleaning had been implemented in clinical areas, but the staff canteen did not have a cleaning regime in place to clean down tables after use. Employees were witnessed placing their used face coverings on the table which were then not cleaned prior to it being used by someone else. You had a Clinell plastic container fixed to the wall in the canteen, but it was empty.	You should develop a suitable cleaning regime which should involve deep and periodic cleaning to reduce the risk of cross infection from potential contaminated work surfaces. Deep cleaning is a thorough clean of all frequently touched surfaces at least once a day. Periodic cleaning is cleaning at different times throughout the day. It can include cleaning items immediately after use as well as cleaning surfaces on a regular basis throughout a single day. You should review the availability of cleaning products at key points, such as in tea/kitchen/canteen areas, next	Mar-21	Mar-21	Amber	HSE requesting e-mail or written confirmation that the UHB have acted on each of the matters by 01/03/21.
19097	Jul-20	HIW	Wards 7 & 11, WGH 04-05 Feb 20	Open	N/A	Unscheduled Care (WGH)	Janice Cole-Williams	Director of Operations	19097IA_004	High	R4. The Health Board is required to provide HIW with details of the action it will take to ensure that: Fire doors are fitted to the entrance of ward 7 in line with the requirements of the Enforcement notice issued by the Mid and West Wales Fire and Rescue Service to ensure the Health Board adequately protects patients, staff and the general public in the event of fire. We were informed that the doors to the entrance of ward 7 were not fire doors. An Enforcement Notice was issued by the Mid and West Wales Fire and Rescue Service requiring action to fit fire doors by the 30th November 2019. We were informed the doors were due to be replaced in September 2020 at the earliest as part of phase 2 of improvement work.	The Health Board has a fully structured plan for fire safety at WGH developed in response to the Mid and West Wales Fire and Rescue Service Enforcement Notice (MWWFRS). The plan presented to MWWFRS is a staged approach allowing us to undertake advance works very promptly with the substantive element of work progressed via a Business Case process. Within this plan all fire requirements to escape routes identified within the above Enforcement Notice will be undertaken at WGH between May 2020 and August of 2021. This programme is currently being considered by the MWWFRS and we are awaiting further clarity from them on the agreed timelines on this work. The Welsh Government are also fully engaged in this process and are supportive of the approach being taken by the Health Board. This work will include doors at the entrance to Ward 7 and any other Fire Doors necessary within the escape routes in this Hospital.	Aug-21	Aug-21	Amber	
20068	Dec-20	HIW	Glangwili Hospital (Towy Ward)	Open	N/A	Unscheduled Care (GGH)	Olwen Morgan	Director of Operations	20068_001	High	We recommend that an updated action plan for falls and pressure and tissue damage is submitted to HIW, within three months from the date of the quality check, so that we can assess progress made to improve and support patients' safety on the ward.	All staff to be 100% compliant with Purpose T E-learning.	Feb-21	Feb-21	Amber	22/01/2021- Update from Hospital HON- Training progressing well. Aim for all staff to have completed training by 08/02/2021.

20068	Dec-20	HIW	Glangwili Hospital (Towy Ward)	Open	N/A	Unscheduled Care (GGH)	Olwen Morgan	Director of Operations	20068_001	High	We recommend that an updated action plan for falls and pressure and tissue damage is submitted to HIW, within three months from the date of the quality check, so that we can assess progress made to improve and support patients' safety on the ward.	Arrange ward based pressure damage training.	Dec-20	Dec-20 N/K	Red	22/01/2021- Update from Hospital HON- Awaiting confirmation of training dates from TV Practitioner. E-mail chaser sent 22/01/2021
20068	Dec-20	HIW	Glangwili Hospital (Towy Ward)	Open	N/A	Unscheduled Care (GGH)	Olwen Morgan	Director of Operations	20068_001	High	We recommend that an updated action plan for falls and pressure and tissue damage is submitted to HIW, within three months from the date of the quality check, so that we can assess progress made to improve and support patients' safety on the ward.	Arrange further ward based falls, documentation and frailty training.	Dec-20	Dec-20 N/K	Red	22/01/2021- Update from Hospital HON- Training commenced in December 2020. Suspended due to Ward COVID outbreak.
20068	Dec-20	HIW	Glangwili Hospital (Towy Ward)	Open	N/A	Unscheduled Care (GGH)	Olwen Morgan	Director of Operations	20068_001	High	We recommend that an updated action plan for falls and pressure and tissue damage is submitted to HIW, within three months from the date of the quality check, so that we can assess progress made to improve and support patients' safety on the ward.	Frailty teaching sessions began 27th November	Nov-20	Nov-20 N/K	Red	22/01/2021- Update from Hospital HON- Training commenced in 27/11/2020. Suspended due to Ward COVID outbreak.
20068	Dec-20	HIW	Glangwili Hospital (Towy Ward)	Open	N/A	Unscheduled Care (GGH)	Olwen Morgan	Director of Operations	20068_001	High	We recommend that an updated action plan for falls and pressure and tissue damage is submitted to HIW, within three months from the date of the quality check, so that we can assess progress made to improve and support patients' safety on the ward.	All staff to attend frailty teaching session.	Jan-21	Jan-21 N/K	Red	22/01/2021- Update from Hospital HON- Training commenced in 27/11/2020. Suspended due to Ward COVID outbreak.
20068	Dec-20	HIW	Glangwili Hospital (Towy Ward)	Open	N/A	Unscheduled Care (GGH)	Olwen Morgan	Director of Operations	20068_002	High	We recommend that an updated action plan for completion of mandatory training is submitted to HIW within three months of the quality check so that we can assess progress made to improve compliance with mandatory training.	Mandatory training compliance to be above 80% currently 65.52%	Feb-21	Feb-21	Amber	22/01/2021- Update from Hospital HON- Progress is on track for completion by February 2021.
20068	Dec-20	HIW	Glangwili Hospital (Towy Ward)	Open	N/A	Unscheduled Care (GGH)	Olwen Morgan	Director of Operations	20068_002	High	We recommend that an updated action plan for completion of mandatory training is submitted to HIW within three months of the quality check so that we can assess progress made to improve compliance with mandatory training.	All staff to attend in house training when available. There has been a reduced face to face in-house training programme due to COVID-19.	Feb-21	Feb-21	Amber	22/01/2021- Update from Hospital HON- In-house training currently suspended due to COVID-19
20068	Dec-20	HIW	Glangwili Hospital (Towy Ward)	Open	N/A	Unscheduled Care (GGH)	Olwen Morgan	Director of Operations	20068_002	High	We recommend that an updated action plan for completion of mandatory training is submitted to HIW within three months of the quality check so that we can assess progress made to improve compliance with mandatory training.	Staff to prioritise E-Learning elements of mandatory training in the absence of face to face training.	Feb-21	Feb-21	Amber	22/01/2021- Update from Hospital HON- Progress is on track for completion by February 2021.
20068	Dec-20	HIW	Glangwili Hospital (Towy Ward)	Open	N/A	Unscheduled Care (GGH)	Olwen Morgan	Director of Operations	20068_002	High	We recommend that an updated action plan for completion of mandatory training is submitted to HIW within three months of the quality check so that we can assess progress made to improve compliance with mandatory training.	Develop and arrange ward based fire and cardiac arrest Scenario sessions to bridge the gap until face to face training sessions are available post pandemic.	Jan-21	Jan-21 N/K	Red	22/01/2021- Update from Hospital HON- Awaiting confirmation of training dates from Resus Officer and Fire Safety Officer. E-mail chaser sent 22/01/2021.
20051	Oct-20	HIW MHL	Bryngolau Ward, Prince Philip Hospital	Open	N/A	Mental Health & Learning Disabilities	Sara Rees	Director of Operations	20051_001	High	The last ligature risk assessment was dated January 2019 and included a number of areas that required remedial work to reduce the ligature risks. We were told that some issues were still outstanding such as windows had not been changed, that involved a large capital cost. Actions taken as a result of the assessment were not documented on the risk assessment provided. The health board must ensure that these risk assessments are completed annually, the risk assessment is updated with the actions taken and the responsibility for completing these actions, on a regular basis.	Following completion of the risk assessment a joint action plan will be developed with estates, captured within the agreed template which identifies leads for each action.	Dec-20	Dec-20 Feb-21	Red	04/12/2020 update requested, response received: Bryngolau has been issued to Mel. 17/12/2020, Due to a number of Covid outbreaks at our Older Adult and Learning Disabilities locations, staff are working to contain the outbreaks. Recommendations will be reviewed once the outbreak is contained. 08/01/2021 This has been delayed due to the ward being closed due to COVID 19.
20051	Oct-20	HIW MHL	Bryngolau Ward, Prince Philip Hospital	Open	N/A	Mental Health & Learning Disabilities	Sara Rees	Director of Operations	20051_002	High	Compliance was low for the online training called the All Wales COVID-19 Workforce Risk Assessment compliance and the face to face training relating to Fire Safety Level 2, Resuscitation Level 2 and Level 3, and information governance. The health board must ensure that all staff have completed training in all mandatory subjects.	Training compliance to be scrutinised and a position statement completed.	Oct-20	Oct -20 Feb-21	Red	04/12/2020 update requested, response received: Bryngolau has been issued to Mel. 17/12/2020, Due to a number of Covid outbreaks at our Older Adult and Learning Disabilities locations, staff are working to contain the outbreaks. Recommendations will be reviewed once the outbreak is contained. 08/01/2021 there has been an improvement in completion of the risk assessment and training compliance. Improvement was affected by the Covid outbreak on the ward and revised date for review is 1st March 2021. confirmation of date still required.

20051	Oct-20	HIW MHL	Bryngolau Ward, Prince Philip Hospital	Open	N/A	Mental Health & Learning Disabilities	Sara Rees	Director of Operations	20051_002	High	Compliance was low for the online training called the All Wales COVID-19 Workforce Risk Assessment compliance and the face to face training relating to Fire Safety Level 2, Resuscitation Level 2 and Level 3, and information governance. The health board must ensure that all staff have completed training in all mandatory subjects.	Where there is poor compliance identified, improvement plan will be produced.	Nov-20	Nov -20 Feb- 21	Red	04/12/2020 update requested, response received: Bryngolau has been issued to Mel. 17/12/2020, Due to a number of Covid outbreaks at our Older Adult and Learning Disabilities locations, staff are working to contain the outbreaks. Recommendations will be reviewed once the outbreak is contained. 08/01/2021 there has been an improvement in completion of the risk assessment and training compliance. Improvement was affected by the Covid outbreak on the ward and revised date for review is 1st March 2021. confirmation of date still required.
20051	Oct-20	HIW MHL	Bryngolau Ward, Prince Philip Hospital	Open	N/A	Mental Health & Learning Disabilities	Sara Rees	Director of Operations	20051_002	High	Compliance was low for the online training called the All Wales COVID-19 Workforce Risk Assessment compliance and the face to face training relating to Fire Safety Level 2, Resuscitation Level 2 and Level 3, and information governance. The health board must ensure that all staff have completed training in all mandatory subjects.	Compliance against the improvement plan will be monitored and scrutinised via the Older Adult Mental Health Dashboard Meeting which reports to the MH/LD Business Planning and Performance Group.	Dec-20	Dec-20 Feb-21	Red	04/12/2020 update requested, response received: Bryngolau has been issued to Mel. 17/12/2020, Due to a number of Covid outbreaks at our Older Adult and Learning Disabilities locations, staff are working to contain the outbreaks. Recommendations will be reviewed once the outbreak is contained. 08/01/2021 There has been an improvement in completion of the risk assessment and training compliance. Improvement was affected by the Covid outbreak on the ward and revised date for review is 1st March 2021. confirmation of date still required.
HDUHB-1718-34	Feb-18	Internal Audit - HDUHB	National Standards for Cleaning in NHS Wales	Open (external rec)	Reasonable	Estates	Rob Elliott	Director of Operations	HDUHB-1718-34_001	High	R4 • C4C audit methods and practices should be actioned by all Domestic Supervisors to ensure C4C are consistently thorough across all sites. • Audits should be planned ahead and noted on schedules and rotas to ensure audits are completed and do not get overlooked if a member of staff is away or on secondment. • If a member of staff is absent during the 48 hours following an audit, an	inspecting C4C Audits across the Health Board in order to ensure that consistency is appropriately applied. Due to the imminent release of the new MICAD System and C4C upgrade along with the revised National Cleaning Standards for Wales 2009, planned for April 2018, all domestic supervisors will be retrained which will present an opportunity to address any non-consistency in audits and reduce any	Jun-18	N/K	Red	As required the audit check list is amended to the current use on the Estate. Any additional elements are added so that the area is scored as if it was already on the system. The information on the existing system has been amended to reflect the functional use of areas to make more user friendly/less time consuming. Some areas have now moved priority ratings from Very High to High Risk and vice versa as the use of areas has now changed. The full remap of areas would be part of the updated system which is still pending.
HDUHB1718-35	Apr-18	Internal Audit - HDUHB	Theatres Directorate	Open	Reasonable	Scheduled Care	Stephanie Hire / Diane Knight	Director of Operations	HDUHB1718-35_001	High	R4. The practice of claiming enhanced hours for the whole period of an on-call shift should be officially reviewed, as a matter of urgency, with appropriate personnel involved in the process. Any decision made on the future payment of enhanced provision should be made in line with the Agenda For Change On-Call Agreement. The decision should be fully documented and appropriately approved for use.	This relates to current practice of the resident on-call shift for ODPs at GGH. Recent review of on-call has produced an SBAR with recommendations to address the anomalies as stated above. *Meeting with Workforce to follow by 31 Jan 2018 – completed. Significant pay costing implications to place in night shift and pay compensatory pay for 12 months. To undertake roster review and costings through finance and complete further SBAR. As of 13 Feb 2018, HoN Scheduled Care assumes responsibility with SNMs for all elements of workforce management.	Jun-18	N/K	Red	The recommendations cannot be addressed until grievance process is complete. Recommendation currently with Director of Operations.
HDUHB1819-33	Feb-19	Internal Audit - HDUHB	Records Management	Open	Limited	Health Records/ Planning, Performance & Commissioning (Informatics)	Steven Bennett	Director of Operations	HDUHB1819-33_003	High	R3. We would recommend that management review current storage arrangements to establish whether they continue to be fit for purpose, whilst consideration should be given in the progression of other solutions for example, scanning of documents, to reduce the amount of manual health records retained by the Health Board.	In November 2018 a records management brief was presented to the Executive Team highlighting a number of issues in various services across the Health Board. In addition to the issues a number of potential solutions were identified which could significantly improve current storage arrangements, increase efficiencies and also provide some potential savings. A follow up paper is being presented to the Executive Team on the 19th December 2019 and within the paper it clearly identifies future arrangements to deliver the solutions. The proposal is to have one overall project group with Executive leadership, with working sub group responsible for carrying out the work. As part of this process all services involved will be completing a detailed review of their current records management arrangements, storage arrangements and storage capacity. The project proposal should be finalised early in the new year.	Mar-19	Jul-21	Red	22/10/2020 - update as per follow up report issued to ARAC in October 2020: In October 2019, a Health Records Management Report was submitted to the Business Planning & Performance Assurance Committee providing an update on the progress made with the health records modernisation programme. The programme established a Health Records Management Group and five key workstreams. The Health Records Management Report also provided an updated of the work being/to be undertaken with the key theme of storage capacity (and the reduction of manual records) running through the workstreams. An update paper was submitted to the Executive Team meeting in March 2020 providing an update of the health record modernisation programme and also a request for additional resource to create a dedicated Programme Management Office Support to aid in the development of the workstreams. However, since February 2020 the progress of the workstreams to address storage capacity within the organisation has been paused due to the impact of Covid-19. Timescale unknown. 08/12/2020- Health Records Manager update-The Health Records Manager sent a global reminder to all Health Board staff, however currently due to the destruction embargoes; the Health Board is unable to destroy any patient records. This recommendation formed a key element of the various work streams that were involved with the HRPMPG. Progress has been delayed due to covid. Revised timescale of July 2021.
HDUHB1819-33	Feb-19	Internal Audit - HDUHB	Records Management	Open	Limited	Health Records/ Planning, Performance & Commissioning (Informatics)	Steven Bennett	Director of Operations	HDUHB1819-33_006	High	R6, section1. Management should review the current arrangements in place with third party storage providers to establish whether they meet the required Health Board standards.	Again as identified in finding 3 and 4 early this year a financial report was presented to the non pay review panel. The report identified that the Health Board was utilising private storage companies to store a wide range of records and Health Board information. There were significant costs associated with the storage facilities and the report was presented to the Health Records Manager for comment. Following the comments received it was identified that potentially not all service/departments utilising private storage may have confirmed contractually arrangements in place. Further discussion lead to the records management brief presented to the Executive Team in November 2018. Again as part of the relevant project groups there will be a requirement and responsibility for the groups to confirm: *What records/information they have in storage *What are the costs (per box per month/year) *Are there any exit costs *Is there an agreed formal contract in place between the Health Board and the company Again this work will be driven by the main project group with sub group implementation planned for early next year.	Mar-19	N/K	Red	22/10/2020 - update as per follow up report issued to ARAC in October 2020: The previous report identified two recommendations for the finding of third party storage providers: *To review the current storage arrangement with third party providers; and *To establish what information is stored with third party storage providers and that retention and destruction of information is done within guidelines . The storage of Health Board documents and records by third party providers was another key driver of the Health Record Modernisation Programme. Whilst we noted the formation of the Health Record Modernisation Programme and workstreams to address this issue, since February 2020 this work has been paused due to the impact of Covid-19 on the organisation. Timescale unknown. 08/12/2020- Health Records Manager unable to provide revised timescale at this time- discussions taking place with Internal Audit team around suggestion to audit specific areas and make those service leads and identified information Asset Owners responsible for taking forward the actions.
HDUHB1819-33	Feb-19	Internal Audit - HDUHB	Records Management	Open	Limited	Health Records/ Planning, Performance & Commissioning (Informatics)	Steven Bennett	Director of Operations	HDUHB1819-33_006	High	R6, section2. Management should establish what information is stored with the third party storage providers and that the retention and destruction of information is being undertaken in line with the Welsh Government arrangements.	Again as identified in finding 3 and 4 early this year a financial report was presented to the non pay review panel. The report identified that the Health Board was utilising private storage companies to store a wide range of records and Health Board information. There were significant costs associated with the storage facilities and the report was presented to the Health Records Manager for comment. Following the comments received it was identified that potentially not all service/departments utilising private storage may have confirmed contractually arrangements in place. Further discussion lead to the records management brief presented to the Executive Team in November 2018. Again as part of the relevant project groups there will be a requirement and responsibility for the groups to confirm: *What records/information they have in storage *What are the costs (per box per month/year) *Are there any exit costs *Is there an agreed formal contract in place between the Health Board and the company Again this work will be driven by the main project group with sub group implementation planned for early next year.	Mar-19	N/K	Red	22/10/2020 - update as per follow up report issued to ARAC in October 2020: The previous report identified two recommendations for the finding of third party storage providers: *To review the current storage arrangement with third party providers; and *To establish what information is stored with third party storage providers and that retention and destruction of information is done within guidelines . The storage of Health Board documents and records by third party providers was another key driver of the Health Record Modernisation Programme and workstreams to address this issue, since February 2020 this work has been paused due to the impact of Covid-19 on the organisation. Timescale unknown. 08/12/2020- Health Records Manager unable to provide revised timescale at this time- discussions taking place with Internal Audit team around suggestion to audit specific areas and make those service leads and identified information Asset Owners responsible for taking forward the actions.

HDUHB 1819-11	May-19	Internal Audit - HDUHB	Integrated Care Fund – Follow Up	Open	Reasonable	Community & Primary Care (Carmarthenshire)	Peter Skitt / Martyn Palfreman	Director of Operations	HDUHN 181-11_001	High	R2. Management must ensure that quarterly ICF reports are submitted to Welsh Government no later than the designated submission dates set out in the Written Agreement.	Late submissions of quarterly reports have been due largely to delays in receiving activity and financial data from partners. Welsh Government has been fully informed of anticipated delays and the reasons for them on all occasions.	Jul-19	Feb-21	Red	14/10/2020 Response received : This has been discussed at the Regional Integrated Executive Group where it was considered that the responsibility for reporting regional business to WG is not solely a HB responsibility. Jill Paterson to discuss this with ARAC . 29/10/2020 County Director Carmarthenshire 'Governance and administration of the Integrated Care Fund is not solely the responsibility of the Health Board however it is also recognised that the Regional Partnership is not a statute body. The issue of assurance regarding financial and reporting probity was discussed at Regional Partnership Board 29.10.20 with the following recommendation – that a quarterly scrutiny
HDUHB-1920-25	Oct-19	Internal Audit - HDUHB	Estates Directorate Governance Review	Open	Limited	Estates	Rob Elliott	Director of Operations	HDUHB-1920-25_004	High	R4: Estates Management should review the Directorate and Service risk registers to ensure the scoring of risks and the application of risk treatment is accurate and correct, and the identified corporate risks are included on the directorate registers.	A full review is underway of all Directorate, Corporate and Service Risks within the FM team. It is planned to do this review in line with the agreed work plan by the end of Jan 2020. We intend to work closely with the Governance Team and Internal Audit within this review to ensure clarity on the recommendation.	Jan-20	Oct-20 Nov-20 Jan-21 Feb-21	Red	27/05/2020- Follow up report HDUHB-1920-39 shows this recommendation as only partially addressed; 'We noted the positive steps taken by the directorate to address the original finding, whilst acknowledging that continued actions are needed to be undertaken to ensure the risk register allows for the effective and robust management of risks'. Recommendation changed back to red on the audit tracker, to be confirmed when final report is agreed by ARAC. Recommendation being tracked by this original report. Revised timescale of Oct 2020 provided by service. 06/10/2020-Assistant Head of Operational Facilities Management confirmed this recommendation is on track, update to be provided at Central Compliance & Audit Assurance Meeting on 20/10/2020. 02/11/2020- Assistant Head of Operational Facilities Management agreed recommendation will be
HDUHB 1819-32	Oct-19	Internal Audit - HDUHB	Radiology Directorate	Open	Reasonable	Radiology	Amanda Evans	Director of Operations	HDUHB1819-32-002	High	R8: It should be ensured that staff work on call or overtime hours in addition to their basic hours and not instead of. The full number of basic hours should be worked prior to receiving any payments for additional hours.	As per previous response, the on call arrangements are historic with the reasoning for this being the need to sustain out of hours services with the levels of staff available. However it is noted key staff are often away from the department on rest days and this is acknowledged as a significant issue with efficiency. Compensatory rest days count towards the basic hours with the current on call arrangements and as per previous response the system is to be reviewed with the task and finish group and staff consultation. Please note any staff member that works less than full time hours does not receive overtime payments until they reach normal working hours.	Apr-19	Aug-20 Dec-21	Red	Further meetings have been held with leads from the programme management office in an effort to maintain momentum. Another is scheduled to happen in August. In addition discussions in July have been held with Workforce and Organisational Development regarding the bespoke leadership training for the radiology site leads. Any changes to current staging rotas have taken into consideration new ways of working. There however has been no opportunity to present developments to date or the revised staffing models to the executive team due to the response to Covid-19. 24/08/2020- revised date of December 2021 date as this relies on a new system, substantial more staff and a whole radiology transformation. Update to be provided to ARAC in February 2021.
HDUHB 1920-16	Jan-20	Internal Audit - HDUHB	Medical Devices	Open	Reasonable	Clinical Engineering	Chris Hopkins	Director of Operations	HDUHB 1920-16_002	High	R2: Management should review the current approach to medical devices training for clinical and nursing staff to ensure: • all training is coordinated through a central point; • training provided by external parties can be quality assessed; and • training records can be accurately maintained.	Undertake mapping exercise to prioritise the training in accordance to high medium and low risk devices. (complete) To map the high risk devices across acute and community areas to identify which devices are used in each area and the number of staff in each area that will require training. (August 2020). To complete training needs analysis. The training needs analysis when completed will identify the initial training resource to deliver training on the high risk devices. (October 2020).	Nov-20	Nov-20 Feb-21	Red	Revised management response reported to ARAC June 2020. Timescale November 2020. 04/12/2020- update from Head of Clinical Engineering- Medical Device Training sat under Sian Hall's structure within Clinical Skills and Resuscitation Training. As of 1st December 2020, Medical Device Training came across to our structure (Clinical Engineering) and I have been working on a business case with Stuart Burn (Finance Business Partner) to address the internal audit requirements. We should have a final draft business case ready in early January 2021 for presentation to Deputy Director of Operations in the first instance and then on to Executive team for approval. Revised timescale of February 2021.
HDUHB 1920-20	Feb-20	Internal Audit - HDUHB	Cyber Security (Stratia Report)	Open	Reasonable	Digital and Performance	Paul Solloway/ Anthony Tracey	Director of Finance	HDUHB 1920-20_002	High	R2. The Health Board ICT department should formally define the cyber security tasks that cannot be undertaken within the current resource envelope and the associated risks. This should be reported through the organisational governance structure so that a decision on risks and priorities can be made.	Management response to be agreed at ARAC June 2020: Agreed In conjunction with Recommendation 1, a more detailed assessment of the gaps / tasks from the Stratia report action plan will be undertaken by the Band 6 Cyber Security once they are in post. It is envisaged that the Stratia report action plan will be fully implemented by March 2021, providing the	Mar-21	Mar-21	Amber	ARAC raised concerns at the June 2020 meeting that the date had changed from June 2020 to March 2021 for rec 2, and queried whether this significant deferment in a high priority recommendation was acceptable from a risk perspective. Director of Finance advised that he has discussed this with the Assistant Director of Informatics and the statement reflects the reality being dealt with by the IM&T team currently. It has been agreed that support for Cyber Security will be strengthened; however, recruitment is likely to be a challenge and will take time. The revised deadline is probably
HDUHB_1920_40	Mar-20	Internal Audit - HDUHB	IM&T Assurance – Follow Up	Open	Reasonable	Digital and Performance	Anthony Tracey / Sarah Brain	Director of Finance	HDUHB_1920_40_001	High	The Health Board should consider a wider security awareness programme. To facilitate this the Assistant Director of Informatics should identify individuals with jurisdiction to implement the recommendation fully, drawing on their expertise and services, coordinating a programme of work to improve the security arrangements surrounding the Health Boards IT assets. The programme should include a communications plan to better publicise good practices and individuals responsibilities in	In terms of the wider awareness program and physical environmental security, initial conversations took place with stakeholders (security, estates, etc.) the intention was to set up a virtual group to carry this forward. This progress was reported to the Health Board governance team as being on schedule for completion, however these initial conversations did not progress any further. Now the intention is to incorporate these tasks into the new Welsh IG toolkit work stream, the rationale for this is that section 6 of	Feb-20	May-21	Red	This was put on hold due to COVID-19, but will be picked up again and progressed with estates colleagues. Estimated completion of May 2021. 03/09/2020- Recommendation to be picked during wider security work by Estates/H&S tem. H&S advisors to pick up security awareness as they go around each area and record this as part of their review process. 01/10/2020-H&S advisor to request at H&S team meeting if this recommendation can be included as part of the wider estates security work (a question include in the review to cover this off).
HDUHB-1920-33	Jun-20	Internal Audit - HDUHB	Variable Pay	Open	Reasonable	Workforce & OD	Annmarie Thomas	Director of Workforce & OD	HDUHB-1920-33_001	High	R1(a). The Blood Sciences Service should introduce an electronic rostering system to ensure an accurate audit trail of contracted hours, pay enhancements, on-call and overtime payments are captured. In the interim, Management should ensure: • A standardised claims form is agreed and implemented across all department sites to ensure a key information is recorded and captured; • Pay enhancements, on-call and overtime figures submitted on their	Pathology Blood Sciences will review the current record keeping practices across all four hospital sites with an aim to ensure standardisation and clarity in relation to the capture of enhancements and overtime. Practice in relation to the requirements for signing certification will be raised with managers and staff. Pathology Blood Sciences to explore if "RosterPro" has the functionality to support the Blood Sciences sector.	Nov-20	Nov-20 Feb-21 Dec-22	Red	Update – 7th December 2020 The Health Board Workforce Information System (WFIS) group explored an approach to place Pathology onto RosterPro. The conclusion being, it was not advisable to bring a new service onto RosterPro when the system is being discontinued, and replaced with Allocate. Allocate delivery plan commences in April 2021, with Nursing services. The overall roll out plan, runs over a 2 year period. ARAC is being asked to review if Pathology can be aligned to the two year roll out plan, considering manual processes related to contracted hours, pay enhancements and on-call and overtime payments have recently been highlighted. If this timeline is
HDUHB 2021-08	Oct-20	Internal Audit - HDUHB	Partnership Governance (Integrated Care Fund)	Open	Limited	Primary Care, Pharmacy (community), LTC & LVWS	Anna Bird	Director of Primary Care, Community and Long Term Care	HDUHB 2021-08_002	High	R2. Management must ensure that quarterly ICF reports are submitted to Welsh Government no later than the mandatory submission dates set out in the Written Agreement and a clear audit trail of submission is maintained.	Quarterly returns for 2020-21 will be submitted within Welsh Government timescales and copies of emails providing confirmation of dates of submissions retained centrally.	Oct-20	Jan-21 N/K	Red	ARAC October 2020- agreed that report will be highlighted to Integrated Executive Group (which reports to the RPB) for discussion to agree how the recommendations within the report will be addressed. 13/01/2021-Head of Regional Collaboration confirmed remaining quarterly returns will be submitted within WG timescales and emails retained. Next Quarterly return due 29 January 2021. Revised completion date end of January 2021.
HDUHB 2021-08	Oct-20	Internal Audit - HDUHB	Partnership Governance (Integrated Care Fund)	Open	Limited	Primary Care, Pharmacy (community), LTC & LVWS	Anna Bird	Director of Primary Care, Community and Long Term Care	HDUHB 2021-08_003	High	R3. ICF Leads should ensure all project leads provide complete and timely project impact updates to the Regional Programme & Change Coordination Manager on a regular basis.	ICF Leads to ensure information is submitted within stated deadlines. Breaches to be reported formally to IEG.	Oct-20	Jan-21 N/K	Red	ARAC October 2020- agreed that report will be highlighted to Integrated Executive Group (which reports to the RPB) for discussion to agree how the recommendations within the report will be addressed. 13/01/2021-Head of Regional Collaboration confirmed this is in train. IEG will be formally advised of breaches in respect of Q3 return (January 2021). Revised completion date end of January 2021.
HDUHB-2021-20	Nov-20	Internal Audit - HDUHB	IM&T Control and Risk Assessment	Open	N/A	Digital and Performance	Anthony Tracey	Director of Finance	HDUHB-2021-20_004	High	R4. The organisation should maintain oversight of the extent to which IM&T satisfies obligations (regulatory, legislation, common law, contractual), internal policies, standards and professional guidelines. A register of compliance requirements for all IM&T related legislation and standards should be developed along with a process for reporting status upwards via the Digital Sub-Committee and IGSC.	Agreed – The Digital Team acknowledges the requirement to adhere to industry standard such as COBIT (Control Objectives for Information and Related Technologies), ITIL and ISO27001. The Health Board has adopted ITIL within ICT for a number of years, and we have been working towards ISO27001 for a number of years and much of the readiness work has been progressed. As this assessment was based on COBIT, the Health Board will need to fully understand the requirements, and then undertake a gap analysis. It is recognised that this is an industry standard, however, the NHS Wales approach has been progressing to the attainment of ITIL and ISO27001. IM&T Control & Risk Assessment Final Internal Audit Report Hywel Dda University Health Board Appendix A - Action Plan NHS Wales Audit & Assurance Services The Digital Team will therefore undertake a scoping exercise to assess and create a log of requirements, compliance which will be reported/monitored via the already established sub-committees.	Jun-21	Jun-21	Amber	15/12/2020- Scoping exercise to begin March 2021, with an aim to report in June 2021.
HDUHB-2021-20	Nov-20	Internal Audit - HDUHB	IM&T Control and Risk Assessment	Open	N/A	Digital and Performance	Anthony Tracey	Director of Finance	HDUHB-2021-20_006	High	R6. Schedules and results of uninterruptible power supply tests should be held and monitored by Informatics, providing assurance that power can be switched to the supply without any significant effect on business operations.	Partially agree – The Digital Team will work with our Data Centre suppliers to explore monitoring of the uninterruptible power supply (UPS) during the generation tests. As outlined above the electrical testing is the responsibility of Estates, Digital can only monitor the health check of the UPS. The Committee should also note constant checking and switching of the UPS would greatly affect the lifespan of the batteries, which will incur additional	Mar-21	Mar-21	Amber	
HDUHB-2021-20	Nov-20	Internal Audit - HDUHB	IM&T Control and Risk Assessment	Open	N/A	Digital and Performance	Anthony Tracey	Director of Finance	HDUHB-2021-20_007	High	R7. The Health Board should develop sufficient resources in order to implement the cyber agenda.	Agreed – The Committee should note that we have advertised twice for the Cyber post but have been unsuccessful in appointing. As a result we have increased the banding of the post to see whether we are able to appoint a suitable candidate. In parallel to the recruitment process we are also looking	Mar-21	Mar-21	Amber	15/12/2020- report deadlines state: Commencement Date - March 2021 (Dependent upon a suitable candidate being appointed). Agency Staff – December 2020 (Dependent upon a suitable candidate being identified)
HDUHB-2021-20	Nov-20	Internal Audit - HDUHB	IM&T Control and Risk Assessment	Open	N/A	Digital and Performance	Anthony Tracey	Director of Finance	HDUHB-2021-20_010	High	R10. Once in post, the health board cyber security staff should carry out periodic testing of system security to determine adequacy of system protection.	Agreed – The completion of this recommendation is dependent on the appointment of the specific Cyber Security resource. Once appointed then they will utilise the national product (Nessus) to undertake a full vulnerability scan of the Health Board.	Aug-21	Aug-21	Amber	15/12/2020- report states August 2021 deadline is dependent on a suitable candidate being appointed in March 2021.

HUHB-2021-22	Nov-20	Internal Audit - HDUHB	WCCIS Project (Ceredigion Locality)	Open	Reasonable	Digital and Performance	Anthony Tracey	Director of Finance	HUHB-2021-22_001	High	R1. The Health Board needs to complete the work needed to identify appropriate local outcome measures which can then be baselined to demonstrate the realisation of identified benefits. The project benefits register should then be reviewed to ensure that it is complete and up to date, once this is done a baseline should be taken to allow for future benefits monitoring and realisation of this project and the wider deployment of the WCCIS across the Health Board.	Agreed. Following the successful pilot within Ceredigion County a benefits tracker has been developed, which brings together the project benefits, proposed financial savings which will also encompass a risk stratification of the benefits and savings. The Benefits Tracker will be presented as part of the revised Business Case.	Jun-21	Jun-21	Amber	
SSU-HDU-2021-08	Dec-20	Internal Audit - SSU	Backlog Maintenance	Open	Reasonable	Estates	Rob Elliott	Director of Operations	SSU-HDU-2021-08_001	High	R1. PBC's should include appropriate funding strategies and plans to manage maintenance and backlog maintenance which will arise over the life cycle of the new (or repurposed) assets.	Agreed	Sep-21	Sep-21	Amber	13/01/2021- Director of Estates, Facilities and Capital Management confirmed timescale of September 2021, however this will be subject to Welsh Government feedback/approval and the UHB's ability to progress the business case.
BFS/KBI/SJM/00113573	10/12/2019	Mid and West Wales Fire and Rescue Service	Letter of Fire Safety Matters. The Regulatory Reform (Fire Safety) Order 2005. Letter of Fire Safety Matters. St Nons (Secure EMI unit)/ St Brynach's (Day Hospital) / Bro Cerwyn (Offices)	Open	N/A	Estates	Rob Elliott	Director of Operations	BFS/KBI/SJM/00113573_001	High	R.1. St Nons. Ensure that door sets than can resist fire and smoke for 30 minutes are provided in the following locations: Throughout Units, many doors were defective, these were on escape routes. The terms door set refers to the complete element as used in practice: - The door leaf or leaves. - The frame in which the door is hung	Full action plan held by Estates.	Mar-20 Dec-21 Apr-22	Dec-21 Apr-22	Amber	All works to be completed by December 2021 (delayed from August 2021 due to COVID-19). Survey will be completed by July 2020 which will establish the extent of the work to be undertaken. This work is part of the stage 2 WGH Fire Enforcement Programme and will take to December 2021 to be fully completed. Letter dated 24/08/2020 from MWFRS granted extension to coincide with the timescale the stage 2 works (phase 1) revised to Dec 2021 agreed within the outcome of the meeting on the 06 June 2020 and again agreed as in meeting on the 20 August 2020. This work to be completed as part of
BFS/KBI/SJM/00113573	10/12/2019	Mid and West Wales Fire and Rescue Service	Letter of Fire Safety Matters. The Regulatory Reform (Fire Safety) Order 2005. Letter of Fire Safety Matters. St Nons (Secure EMI unit)/ St Brynach's (Day Hospital) / Bro Cerwyn (Offices)	Open	N/A	Estates	Rob Elliott	Director of Operations	BFS/KBI/SJM/00113573_002	High	R2. St Nons. Reinstate the fire resistance in the following location(s): Compartmentation issues throughout unit, due to Dampers showing fault on system.	Full action plan held by Estates.	Mar-20 Dec-21 Apr-22	Dec-21 Apr-22	Amber	All works to be completed by December 2021 (delayed from August 2021 due to COVID-19). Survey will be completed by July 2020 which will establish the extent of the work to be undertaken. This work is part of the stage 2 WGH Fire Enforcement Programme and will take to December 2021 to be fully completed. Letter dated 24/08/2020 from MWFRS granted extension to coincide with the timescale the stage 2 works (phase 1) revised to Dec 2021 agreed within the outcome of the meeting on the 06 June 2020 and again agreed as in meeting on the 20 August 2020. This work to be completed as part of
BFS.KS/SJM/00175424/00175421/00175428/00175426/00175425	07/01/2020	Mid and West Wales Fire and Rescue Service	Letter of Fire Safety Matters. The Regulatory Reform (Fire Safety) Order 2005. Withybush General Hospital, Kensington, St Thomas, etc.	Open	N/A	Estates	Rob Elliott	Director of Operations	BFS.KS/SJM/00175424 / 00175421/00175428/00175426/00175425_001	High	R1. Compartment • A Compartmentation survey of all the listed blocks above including floor to roof (Loft separation between stairwell and accommodation / office areas) must be carried out to ensure that fire and smoke cannot pass. • All Loft hatches are to be fire resisting to a minimum of 30 minutes. • Data cables, pipes and ducting need to be fire stopped, noted within St	Full action plan held by Estates.	Jul-20 Dec-21 Apr-22	Dec-21 Apr-22	Amber	All works to be completed by December 2021 (delayed from August 2021 due to COVID-19). Survey will be completed by July 2020 which will establish the extent of the work to be undertaken. This work is part of the stage 2 WGH Fire Enforcement Programme and will take to December 2021 to be fully completed. Letter dated 24/08/2020 from MWFRS granted extension to coincide with the timescale the stage 2 works (phase 1) revised to Dec 2021 agreed within the outcome of the meeting on the 06 June 2020 and again agreed as in meeting on the 20 August 2020. This work to be completed as part of
BFS.KS/SJM/00175424/00175421/00175428/00175426/00175425	07/01/2020	Mid and West Wales Fire and Rescue Service	Letter of Fire Safety Matters. The Regulatory Reform (Fire Safety) Order 2005. Withybush General Hospital, Kensington, St Thomas, etc.	Open	N/A	Estates	Rob Elliott	Director of Operations	BFS.KS/SJM/00175424 / 00175421/00175428/00175426/00175425_002	High	R2. Fire Resisting Corridors Ensure that the means of escape is kept free from fire and smoke for a period of 30 minutes by ensuring that: • Bedroom / flat doors, Kitchen, cleaners and Laundry room doors, are all to be a minimum fire resistance of FD30s with a self-closer. (Pembroke county, Springfield, St Thomas, Kensington blocks) these doors should not be wedged open and any intumescent smoke seals that is damaged	Full action plan held by Estates.	Jul-20 Dec-21 Apr-22	Dec-21 Apr-22	Amber	All works to be completed by December 2021 (delayed from August 2021 due to COVID-19). Survey will be completed by July 2020 which will establish the extent of the work to be undertaken. This work is part of the stage 2 WGH Fire Enforcement Programme and will take to December 2021 to be fully completed. Letter dated 24/08/2020 from MWFRS granted extension to coincide with the timescale the stage 2 works (phase 1) revised to Dec 2021 agreed within the outcome of the meeting on the 06 June 2020 and again agreed as in meeting on the 20 August 2020. This work to be completed as part of
BFS.KS/SJM/00175424/00175421/00175428/00175426/00175425	07/01/2020	Mid and West Wales Fire and Rescue Service	Letter of Fire Safety Matters. The Regulatory Reform (Fire Safety) Order 2005. Withybush General Hospital, Kensington, St Thomas, etc.	Open	N/A	Estates	Rob Elliott	Director of Operations	BFS.KS/SJM/00175424 / 00175421/00175428/00175426/00175425_003	High	R3. Improve Fire Detection System The detection within the means of escape from the flats and bedrooms should be changed from heat detection to smoke detection to allow the maximum amount of time between detection alert and escape. It was noted that there was heat detection in the bedrooms and entrance halls into the flats and within the lounge areas where smoke detection would be the preferred safer option, it was explained to me that this was due to the residents being able to smoke within the premises before the smoking ban to reduce the false alarm calls. • It was noted that there was a detector being covered at time of	Full action plan held by Estates.	Jul-20 Dec-21 Apr-22	Dec-21 Apr-22	Amber	All works to be completed by December 2021 (delayed from August 2021 due to COVID-19). Survey will be completed by July 2020 which will establish the extent of the work to be undertaken. This work is part of the stage 2 WGH Fire Enforcement Programme and will take to December 2021 to be fully completed. Letter dated 24/08/2020 from MWFRS granted extension to coincide with the timescale the stage 2 works (phase 1) revised to Dec 2021 agreed within the outcome of the meeting on the 06 June 2020 and again agreed as in meeting on the 20 August 2020. 12/01/2021- Revised letter from MWFRS confirmed this item is to be completed in line with the agreed first phase works: Stage 2 / Phase 1 works relate to all remaining escape routes at WGH and all remaining work at St
BFS/KS/SJM/00113573-KS/890/05 (supersedes EN/262/08)	04/02/2020	Mid and West Wales Fire and Rescue Service	Enforcement Notice The Regulatory Reform (Fore Safety) Order 2005: Article 30 Premises: St Caradogs, Bro Cerwyn, Fishguard Road, Harverfordwest, SA61 2PG KS/890/05	Open	N/A	Estates	Rob Elliott	Director of Operations	BFS/KS/SJM/00113573_003	High	R3. Compartmentation / Dampers Reinstate the fire resistance in the following location: • The ventilation system will need to be inspected and repaired as necessary to ensure all its inherent fire safety devices are functioning in line with its design specifications and manufacturer's instructions. According to the action plan dated 02 December 2019 V2 these ongoing works are to be completed in the timescale of this Enforcement Notice	Full action plan held by Estates.	04-20 Feb-21 Dec-21 Apr-22	Dec-21 Apr-22	Amber	This work is part of the stage 2 WGH Fire Enforcement Programme. Estates colleagues are meeting with MWFRS on 16/06/2020 to agree revised date of December 2021 (delayed by 4 months due to impact of COVID-19). Revised completion date issued on 24/08/2020 by MWFRS of 21/12/2021. This is remedial works required to complete by February 2021 for priority works (advanced works) remaining works in Phase 1. 17/12/2020- Detailed work to review the delivery program being undertaken with a view to comply with the original date.
BFS/KS/SJM/00114719-KS/890/02	09/02/2020	Mid and West Wales Fire and Rescue Service	Enforcement Notice The Regulatory Reform (Fire Safety) Order 2005: Article 30 Premises: Withybush General Hospital. The serving of this Notice dated 09 February 2020 and numbered KS/890/02	Open	N/A	Estates	Rob Elliott	Director of Operations	BFS/KS/SJM/00114719_02_001	High	R1. Compartmentation – All Vertical Escape Routes. To undertake whatever works are necessary to ensure that any / all breaches in fire resisting compartmentation that affect the Vertical Escape Routes within Withybush Hospital are addressed. Fire resisting structures are to continue to slab / upper floor level / roof level and pass through any false ceiling provided.	Full action plan held by Estates.	Sep-20 Jan-21	Jan-21 Feb-21	Red	This work is part of the Advanced Works WGH Fire Enforcement Programme. 21/07/2020 - correspondence received from MWFRS that original completion date has been extended to 30/01/2021 for this advanced works. 17/12/2020- on track for end of January 2021 completion. 28/01/2021- Recommendation has slight delay to mid/end of February 2021. MWFRS are aware of this delay which is due to installation staff being affected by Covid.
BFS/KS/SJM/00114719-KS/890/03	09/02/2020	Mid and West Wales Fire and Rescue Service	Enforcement Notice The Regulatory Reform (Fire Safety) Order 2005: Article 30 Premises: Withybush General Hospital. The serving of this Notice dated 09 February 2020 and numbered KS/890/03	Open	N/A	Estates	Rob Elliott	Director of Operations	BFS/KS/SJM/00114719_03_001	High	R1. Compartmentation – All Horizontal Corridor Escape Routes To undertake whatever works are necessary to ensure that any / all breaches in fire resisting compartmentation that affect the Horizontal Escape Routes within Withybush Hospital are addressed. Fire resisting structures are to continue to slab / upper floor level / roof level and pass through any false ceiling provided.	Full action plan held by Estates.	Aug-21 Dec-21 Apr-22	Dec-21 Apr-22	Amber	This work is part of the phase 1 WGH Fire Enforcement Programme. 13/11/2020- Letter dated 05/11/2020 from MWFRS this notice is extended to 30 April 2022 as agreed in the programme for Phase 1 Works (presented to them on the 02 October 2020).
BFS/KS/SJM/00114719-KS/890/03	09/02/2020	Mid and West Wales Fire and Rescue Service	Enforcement Notice The Regulatory Reform (Fire Safety) Order 2005: Article 30 Premises: Withybush General Hospital. The serving of this Notice dated 09 February 2020 and numbered KS/890/03	Open	N/A	Estates	Rob Elliott	Director of Operations	BFS/KS/SJM/00114719_03_002	High	R2. Compartmentation – All Vertical Breaches and / or Penetrations To undertake whatever works are necessary to ensure that any / all breaches in fire resisting compartmentation that affect the intermediate floors between levels within Withybush Hospital are addressed. Fire resisting structures are to continue to slab/ upper floor level / roof level and pass through any false ceiling provided.	Full action plan held by Estates.	Aug-21 Dec-21 Apr-22	Dec-21 Apr-22	Amber	This work is part of the phase 1 WGH Fire Enforcement Programme. 13/11/2020- Letter dated 05/11/2020 from MWFRS this notice is extended to 30 April 2022 as agreed in the programme for Phase 1 Works (presented to them on the 02 October 2020).
BFS/KS/SJM/00114719-KS/890/04	09/02/2020	Mid and West Wales Fire and Rescue Service	Enforcement Notice The Regulatory Reform (Fire Safety) Order 2005: Article 30 Premises: Withybush General Hospital. The serving of this Notice dated 09 February 2020 and numbered KS/890/04	Open	N/A	Estates	Rob Elliott	Director of Operations	BFS/KS/SJM/00114719_004	High	R1. Compartmentation – All Other Compartmented Areas. To undertake whatever works are necessary to ensure that any / all breaches in fire resisting compartmentation that affect the Wards, Theatres, Plant Rooms, Offices, Surgeries, Specialist Units and any other compartmented spaces within Withybush Hospital are addressed. Fire resisting structures are to continue to slab / upper floor level / roof level and pass through any false ceiling provided.	Full action plan held by Estates.	Apr-22 Apr-25	Dec-24 Apr-25	Amber	This work is part of the phase 2 WGH Fire Enforcement Programme. Commencement of work to take place in May 2022. This will be a large piece of work involving entering individual wards and decanting of services as required. 13/11/2020- Letter dated 05/11/2020 from MWFRS this notice is extended to 30 April 2025 as agreed in the programme for Phase 2 Works (presented to them on the 02 October 2020). Recommendation changed back from red to amber.
BFS/KS/SJM/00107739	Aug-20	Mid and West Wales Fire and Rescue Service	Letter of Fire Safety Matters. The Regulatory Reform (Fire Safety) Order 2005. Glangwili General Hospital, Dolgellau Road, Carmarthen SA31 2AF	Open	N/A	Estates	Rob Elliott	Director of Operations	BFS/KS/SJM/00107739_Aug2020_001	High	R1. The areas visited in this inspection should be included into the current Compartmentation survey (areas listed at end of schedule)	Full action plan held by Estates.	Feb-21 Aug-21	Feb-21 Mar-21	Amber	17/12/2020- On track. Contractors have been procured to undertake surveys at the end of January 2021. 12/01/2021- Revised letter from MWFRS confirms this item is to be completed in line with the agreed advanced, first and second phase works. Stage 1 / Advanced works relate to Vertical Escape routes by end August 2021. 29/01/2021- action plan provided by Assistant Head of Operational Facilities Management shows recommendation to be completed by Mar-21.
BFS/KS/SJM/00107739	Aug-20	Mid and West Wales Fire and Rescue Service	Letter of Fire Safety Matters. The Regulatory Reform (Fire Safety) Order 2005. Glangwili General Hospital, Dolgellau Road, Carmarthen SA31 2AF	Open	N/A	Estates	Rob Elliott	Director of Operations	BFS/KS/SJM/00107739_Aug2020_001	High	R1. Ensure the holes in the ceiling within the area mentioned are repaired to reinstate the fire resistance of this room (Block 3 FF RM 36 IT Room)	Full action plan held by Estates.	Feb-21 Aug-21	Feb-21	Amber	17/12/2020- On track. Contractors have been engaged. 12/01/2021- Revised letter from MWFRS confirms this item is to be completed in line with the agreed advanced, first and second phase works. Stage 1 / Advanced works relate to Vertical Escape routes by end August 2021. 29/01/2021- action plan provided by Assistant Head of Operational Facilities Management shows recommendation to be completed by Feb-21.

BFS/KS/SJM/0 0107739	Aug-20	Mid and West Wales Fire and Rescue Service	Letter of Fire Safety Matters. The Regulatory Reform (Fire Safety) Order 2005. Glangwili General Hospital, Dolgwilli Road, Carmarthen SA31 2AF	Open	N/A	Estates	Rob Elliott	Director of Operations	BFS/KS/SJM/00107739 _Aug2020_002	High	R2. Ensure that the means of escape is kept free from fire and smoke for a minimum period of 30 minutes by ensuring that: All fire doors within all of the blocks listed in this letter are included in the ongoing fire door survey	Full action plan held by Estates.	Feb-21 Jul-22	Feb-21 Nov-21	Amber	17/12/2020- clarification to be sought from MWWFRS if this can be marked as implemented, as the survey element has been completed. 12/01/2021- Revised letter from MWWFRS confirms this item is to be completed in line with the agreed advanced, first and second phase works. Stage 1 / Advanced works relate to Vertical Escape routes by end August 2021. Stage 2 / Phase 1 works relate to all remaining escape routes at GGH to be completed by end July 2022. 29/01/2021- action plan provided by Assistant Head of Operational Facilities Management shows recommendation to be completed by Nov-21
BFS/KS/SJM/0 0107739	Aug-20	Mid and West Wales Fire and Rescue Service	Letter of Fire Safety Matters. The Regulatory Reform (Fire Safety) Order 2005. Glangwili General Hospital, Dolgwilli Road, Carmarthen SA31 2AF	Open	N/A	Estates	Rob Elliott	Director of Operations	BFS/KS/SJM/00107739 _Aug2020_002	High	R2. Ensure that the means of escape is kept free from fire and smoke for a minimum period of 30 minutes by ensuring that: The fire doors within the Junior Doctors Residence were being held open by bins wedges and other items, these doors should have hold open devices fitted and be linked into the detection system to stop the residents engaging in this dangerous activity, further education regarding the seriousness of this action needs to be passed on to the tenants within this block.	Full action plan held by Estates.	Feb-21 Aug-21	Feb-21 Mar-21	Amber	17/12/2020- On track. Discussions with Junior Doctors Residence will take place before February 2021 on the issues and risks with the fire doors. 12/01/2021- Revised letter from MWWFRS confirms this item is to be completed in line with the agreed advanced, first and second phase works. Stage 1 / Advanced works relate to Vertical Escape routes by end August 2021. 29/01/2021- action plan provided by Assistant Head of Operational Facilities Management shows recommendation to be completed by Mar-21.
BFS/KS/SJM/0 0107739	Aug-20	Mid and West Wales Fire and Rescue Service	Letter of Fire Safety Matters. The Regulatory Reform (Fire Safety) Order 2005. Glangwili General Hospital, Dolgwilli Road, Carmarthen SA31 2AF	Open	N/A	Estates	Rob Elliott	Director of Operations	BFS/KS/SJM/00107739 _Aug2020_002	High	R2. Ensure that the means of escape is kept free from fire and smoke for a minimum period of 30 minutes by ensuring that: Remove the key locks and replace with a single action locking device within Blocks 18A & D.	Full action plan held by Estates.	Feb-21 Aug-21	Feb-21 Mar-21	Amber	17/12/2020- Being delivered, on track for Feb-21. 12/01/2021- Revised letter from MWWFRS confirms this item is to be completed in line with the agreed advanced, first and second phase works. Stage 1 / Advanced works relate to Vertical Escape routes by end August 2021. 29/01/2021- action plan provided by Assistant Head of Operational Facilities Management shows recommendation to be completed by Mar-21.
BFS/KS/SJM/0 0107739	Aug-20	Mid and West Wales Fire and Rescue Service	Letter of Fire Safety Matters. The Regulatory Reform (Fire Safety) Order 2005. Glangwili General Hospital, Dolgwilli Road, Carmarthen SA31 2AF	Open	N/A	Estates	Rob Elliott	Director of Operations	BFS/KS/SJM/00107739 _Aug2020_002	High	R2. Ensure that the means of escape is kept free from fire and smoke for a minimum period of 30 minutes by ensuring that: Padlocks / slide bolts should be removed from gates that are part of exit from Blocks 18B & A	Full action plan held by Estates.	Feb-21 Aug-21	Feb-21 Mar-21	Amber	17/12/2020- Being delivered, on track for Feb-21. 12/01/2021- Revised letter from MWWFRS confirms this item is to be completed in line with the agreed advanced, first and second phase works. Stage 1 / Advanced works relate to Vertical Escape routes by end August 2021. 29/01/2021- action plan provided by Assistant Head of Operational Facilities Management shows recommendation to be completed by Mar-21.
BFS/KS/SJM/0 0107739	Aug-20	Mid and West Wales Fire and Rescue Service	Letter of Fire Safety Matters. The Regulatory Reform (Fire Safety) Order 2005. Glangwili General Hospital, Dolgwilli Road, Carmarthen SA31 2AF	Open	N/A	Estates	Rob Elliott	Director of Operations	BFS/KS/SJM/00107739 _Aug2020_002	High	R2. Ensure that the means of escape is kept free from fire and smoke for a minimum period of 30 minutes by ensuring that: All Redlam panic bolts fitted to exits should have the hammer fitted in case of emergency on inspection these were missing within Block 4 FF, SF, TF	Full action plan held by Estates.	Feb-21 Aug-21	Feb-21 Mar-21	Amber	17/12/2020- Being delivered, on track for Feb-21. 12/01/2021- Revised letter from MWWFRS confirms this item is to be completed in line with the agreed advanced, first and second phase works. Stage 1 / Advanced works relate to Vertical Escape routes by end August 2021. 29/01/2021- action plan provided by Assistant Head of Operational Facilities Management shows recommendation to be completed by Mar-21.
BFS/KS/SJM/0 0107739	Aug-20	Mid and West Wales Fire and Rescue Service	Letter of Fire Safety Matters. The Regulatory Reform (Fire Safety) Order 2005. Glangwili General Hospital, Dolgwilli Road, Carmarthen SA31 2AF	Open	N/A	Estates	Rob Elliott	Director of Operations	BFS/KS/SJM/00107739 _Aug2020_002	High	R2. Ensure that the means of escape is kept free from fire and smoke for a minimum period of 30 minutes by ensuring that: Doors to rooms not accessed by the public / patients should always be kept locked shut to reduce the risk of Arson, it was noted that the following fire doors were open at the time of the inspection. Block 1 bin store on access corridor, Block 3 RM 36, Block 4 TF RM 40, SF RM 39, 46 & 30, FF RM 37, Block 26 exit from ward block 4 RM 59.	Full action plan held by Estates.	Feb-21 Aug-21	Feb-21 Mar-21	Amber	17/12/2020- Being delivered, on track for Feb-21. 12/01/2021- Revised letter from MWWFRS confirms this item is to be completed in line with the agreed advanced, first and second phase works. Stage 1 / Advanced works relate to Vertical Escape routes by end August 2021. 29/01/2021- action plan provided by Assistant Head of Operational Facilities Management shows recommendation to be completed by Mar-21.
BFS/KS/SJM/0 0107739	Aug-20	Mid and West Wales Fire and Rescue Service	Letter of Fire Safety Matters. The Regulatory Reform (Fire Safety) Order 2005. Glangwili General Hospital, Dolgwilli Road, Carmarthen SA31 2AF	Open	N/A	Estates	Rob Elliott	Director of Operations	BFS/KS/SJM/00107739 _Aug2020_002	High	R2. Ensure that the means of escape is kept free from fire and smoke for a minimum period of 30 minutes by ensuring that: Move all recycling bins to an accessible area not in the means of escape, noted in the following areas: Block 1 GF & FF and in any other area not accessed if located in the means of escape	Full action plan held by Estates.	Feb-21 Aug-21	Feb-21 Mar-21	Amber	17/12/2020- Being delivered, on track for Feb-21. 12/01/2021- Revised letter from MWWFRS confirms this item is to be completed in line with the agreed advanced, first and second phase works. Stage 1 / Advanced works relate to Vertical Escape routes by end August 2021. 29/01/2021- action plan provided by Assistant Head of Operational Facilities Management shows recommendation to be completed by Mar-21.
BFS/KS/SJM/0 0107739	Aug-20	Mid and West Wales Fire and Rescue Service	Letter of Fire Safety Matters. The Regulatory Reform (Fire Safety) Order 2005. Glangwili General Hospital, Dolgwilli Road, Carmarthen SA31 2AF	Open	N/A	Estates	Rob Elliott	Director of Operations	BFS/KS/SJM/00107739 _Aug2020_002	High	R2. Ensure that the means of escape is kept free from fire and smoke for a minimum period of 30 minutes by ensuring that: Move the photocopiers located on the means of escape within Blocks 24 & 26	Full action plan held by Estates.	Feb-21 Aug-21	Feb-21 Mar-21	Amber	17/12/2020- to be checked by Head of Fire Safety Management if this is completed. 12/01/2021- Revised letter from MWWFRS confirms this item is to be completed in line with the agreed advanced, first and second phase works. Stage 1 / Advanced works relate to Vertical Escape routes by end August 2021. 29/01/2021- action plan provided by Assistant Head of Operational Facilities Management shows recommendation to be completed by Mar-21.
BFS/KS/SJM/0 0107739	Aug-20	Mid and West Wales Fire and Rescue Service	Letter of Fire Safety Matters. The Regulatory Reform (Fire Safety) Order 2005. Glangwili General Hospital, Dolgwilli Road, Carmarthen SA31 2AF	Open	N/A	Estates	Rob Elliott	Director of Operations	BFS/KS/SJM/00107739 _Aug2020_002	High	R2. Ensure that the means of escape is kept free from fire and smoke for a minimum period of 30 minutes by ensuring that: Ensure that fire doors default to a closed position on the activation of an alarm, the corridor doors in Block 4 GF Wards access area default to an open position.	Full action plan held by Estates.	Feb-21 Aug-21	Feb-21 Mar-21	Amber	17/12/2020- to be checked by Head of Fire Safety Management if this is completed. 12/01/2021- Revised letter from MWWFRS confirms this item is to be completed in line with the agreed advanced, first and second phase works. Stage 1 / Advanced works relate to Vertical Escape routes by end August 2021. 29/01/2021- action plan provided by Assistant Head of Operational Facilities Management shows recommendation to be completed by Mar-21.
BFS/KS/SJM/0 0107739	Aug-20	Mid and West Wales Fire and Rescue Service	Letter of Fire Safety Matters. The Regulatory Reform (Fire Safety) Order 2005. Glangwili General Hospital, Dolgwilli Road, Carmarthen SA31 2AF	Open	N/A	Estates	Rob Elliott	Director of Operations	BFS/KS/SJM/00107739 _Aug2020_002	High	R2. Ensure that the means of escape is kept free from fire and smoke for a minimum period of 30 minutes by ensuring that: Ensure that the hold open device and door both work as one unit, within Ceri ward the sub compartment doors by rm s 11 & 20 had to be pushed further passed its 1st held open position to attach to the magnetic hold open device, meaning that in position 1 if the alarm activates this door will not close automatically	Full action plan held by Estates.	Feb-21 Aug-21	Feb-21 Mar-21	Amber	17/12/2020- Being delivered, on track for Feb-21. 12/01/2021- Revised letter from MWWFRS confirms this item is to be completed in line with the agreed advanced, first and second phase works. Stage 1 / Advanced works relate to Vertical Escape routes by end August 2021. 29/01/2021- action plan provided by Assistant Head of Operational Facilities Management shows recommendation to be completed by Mar-21.
BFS/KS/SJM/0 0107739	Aug-20	Mid and West Wales Fire and Rescue Service	Letter of Fire Safety Matters. The Regulatory Reform (Fire Safety) Order 2005. Glangwili General Hospital, Dolgwilli Road, Carmarthen SA31 2AF	Open	N/A	Estates	Rob Elliott	Director of Operations	BFS/KS/SJM/00107739 _Aug2020_002	High	R2. Ensure that the means of escape is kept free from fire and smoke for a minimum period of 30 minutes by ensuring that: Green Box release switches that require a key within Block 26 should be replaced with ones that don't require a key, not all of the staff may have access to a key to open these devices this is mainly aimed at the out of hours DR service provided from this Block.	Full action plan held by Estates.	Feb-21 Aug-21	Feb-21 Mar-21	Amber	17/12/2020- Being delivered, on track for Feb-21. 12/01/2021- Revised letter from MWWFRS confirms this item is to be completed in line with the agreed advanced, first and second phase works. Stage 1 / Advanced works relate to Vertical Escape routes by end August 2021. 29/01/2021- action plan provided by Assistant Head of Operational Facilities Management shows recommendation to be completed by Mar-21.
BFS/KS/SJM/0 0107739	Aug-20	Mid and West Wales Fire and Rescue Service	Letter of Fire Safety Matters. The Regulatory Reform (Fire Safety) Order 2005. Glangwili General Hospital, Dolgwilli Road, Carmarthen SA31 2AF	Open	N/A	Estates	Rob Elliott	Director of Operations	BFS/KS/SJM/00107739 _Aug2020_003	High	R3. Provide your employees with instruction and training, so that they know the fire precautions you have put in place. They must also be familiar with what they need to do in case of fire to ensure that they are safe and can keep other people safe.	Full action plan held by Estates.	Feb-21 Aug-21	Feb-21	Amber	17/12/2020- Being delivered, on track for Feb-21. 12/01/2021- Revised letter from MWWFRS confirms this item is to be completed in line with the agreed advanced, first and second phase works. Stage 1 / Advanced works relate to Vertical Escape routes by end August 2021. 29/01/2021- action plan provided by Assistant Head of Operational Facilities Management shows recommendation to be completed by Feb-21.
BFS/KS/SJM/0 0107739	Aug-20	Mid and West Wales Fire and Rescue Service	Letter of Fire Safety Matters. The Regulatory Reform (Fire Safety) Order 2005. Glangwili General Hospital, Dolgwilli Road, Carmarthen SA31 2AF	Open	N/A	Estates	Rob Elliott	Director of Operations	BFS/KS/SJM/00107739 _Aug2020_006	High	R6. Provide a device complying with BS 5839 part 1 and linked to the existing fire alarm system in the following locations: 1. Add a Manual call point in Block 24 Rm 18 by final exit. 2. Move Manual call point in corridor within Block 28 as it is hidden by a held open door. 3. Extend the detection to cover Rm 48 Block 4 TF as it is now a Hazard room. As mentioned in the previous EN letter a number of Detector heads were seen to be outdated, this was also noted within the risk assessments, the fire detection needs to be updated in accordance with BS 5839 part 1. This was noted in: Block 1, Block 3, Block 18 a,b,d. The changes should be carried out and commissioned by a competent person	Full action plan held by Estates.	Feb-21 Aug-21	Feb-21 Mar-21	Amber	17/12/2020- Being delivered, on track for Feb-21. 12/01/2021- Revised letter from MWWFRS confirms this item is to be completed in line with the agreed advanced, first and second phase works. Stage 1 / Advanced works relate to Vertical Escape routes by end August 2021. 29/01/2021- action plan provided by Assistant Head of Operational Facilities Management shows recommendation to be completed by Mar-21.

BFS/KS/SJM/00107739	Aug-20	Mid and West Wales Fire and Rescue Service	Letter of Fire Safety Matters. The Regulatory Reform (Fire Safety) Order 2005. Glangwili General Hospital, Dolgwlili Road, Carmarthen SA31 2AF	Open	N/A	Estates	Rob Elliott	Director of Operations	BFS/KS/SJM/00107739_Aug2020_007	High	R7. Manage all waste on site responsibly. Block 18B the storage of bins is in an area that is not enclosed or at a safe distance from the building. The bins can remain in the area as long as a locked structure is erected around them. If not carefully managed and controlled, rubbish stacked in a haphazard	Full action plan held by Estates.	Feb-21 Aug-21	Feb-21 Mar-21	Amber	17/12/2020- Being delivered, on track for Feb-21. 12/01/2021- Revised letter from MWWFRS confirms this item is to be completed in line with the agreed advanced, first and second phase works. Stage 1 / Advanced works relate to Vertical Escape routes by end August 2021. 29/01/2021- action plan provided by Assistant Head of Operational Facilities Management shows
BFS/KS/SJM/00107739	Aug-20	Mid and West Wales Fire and Rescue Service	Letter of Fire Safety Matters. The Regulatory Reform (Fire Safety) Order 2005. Glangwili General Hospital, Dolgwlili Road, Carmarthen SA31 2AF	Open	N/A	Estates	Rob Elliott	Director of Operations	BFS/KS/SJM/00107739_Aug2020_008	High	R8. Medical Gas Cylinders must be stored in appropriate racks within marked locations throughout the hospital site.	Full action plan held by Estates.	Feb-21 Aug-21	Feb-21	Amber	17/12/2020- Being delivered, on track for Feb-21. 12/01/2021- Revised letter from MWWFRS confirms this item is to be completed in line with the agreed advanced, first and second phase works. Stage 1 / Advanced works relate to Vertical Escape routes by end August 2021. 29/01/2021- action plan provided by Assistant Head of Operational Facilities Management shows recommendation to be completed by Feb-21.
BFS/KS/SJM/00107739	Aug-20	Mid and West Wales Fire and Rescue Service	Letter of Fire Safety Matters. The Regulatory Reform (Fire Safety) Order 2005. Glangwili General Hospital, Dolgwlili Road, Carmarthen SA31 2AF	Open	N/A	Estates	Rob Elliott	Director of Operations	BFS/KS/SJM/00107739_Aug2020_009	High	R9. Reduce the quantity of combustible materials: 1. There are files stored in close proximity to the Electrical intake within RM 34 Block 1 SF either remove these items to another area or construct a fire resisting structure to protect these combustible items in the event of a fire. 2. Reduce the number of boxes stored in RM 42 Block 1 SF as at the time of the inspection they were stored to the ceiling close to the light fitting. 3. Staff room in Block 4 GF had a considerable amount of storage, IT server room Block 18D and 18b also had unnecessary storage.	Full action plan held by Estates.	Feb-21 Aug-21	Feb-21	Amber	17/12/2020- Being delivered, on track for Feb-21. 29/01/2021- action plan provided by Assistant Head of Operational Facilities Management shows recommendation to be completed by Feb-21.
KS/890/07	Nov-20	Mid and West Wales Fire and Rescue Service	Enforcement Notice The Regulatory Reform (Fire Safety) Order 2005: Article 30 Premises: West Wales General Hospital, Glangwili, Dolgwlili Road, Carmarthen, Carmarthenshire, SA31 2AF KS/890/07	Open	N/A	Estates	Rob Elliott	Director of Operations	KS/890/07_01	High	R1. Compartmentation – All Vertical Escape Routes. (Agreed Advanced works). To undertake whatever works are necessary to ensure that any/all breaches in fire resisting compartmentation that affect the Vertical Escape Routes within Glangwili General Hospital are addressed as agreed in the programme for Advanced works (presented to us on the 02 October 2020). Fire resisting structures are to continue to slab/upper floor level/roof level and pass through any false ceiling provided.	Full action plan held by Estates.	Oct-20 Feb-21 Aug-21	Aug-21	Amber	13/11/2020- Letter dated 05/11/2020 from MWWFRS confirming enforcement notice KS/890/06 is withdrawn and replaced by KS/890/07, KS/890/08, KS/890/09 dated 04/11/2020. KS/890/07 to be completed by 31/08/2021 as agreed in the programme for Advanced Works (presented to them on the 02 October 2020). Original completion dates shown on tracker taken from original KS/890/06 enforcement notice. 17/12/2020- on track for Aug-21 completion.
KS/890/08	Nov-20	Mid and West Wales Fire and Rescue Service	Enforcement Notice The Regulatory Reform (Fire Safety) Order 2005: Article 30 Premises: West Wales General Hospital, Glangwili, Dolgwlili Road, Carmarthen, Carmarthenshire, SA31 2AF KS/890/08	Open	N/A	Estates	Rob Elliott	Director of Operations	KS/890/08_01	High	R1. Compartmentation – All Horizontal Corridor Escape Routes (Agreed Phase 1 Works). To undertake whatever works are necessary to ensure that any/all breaches in fire resisting compartmentation that affect the Horizontal Escape Routes within Glangwili General Hospital are addressed as agreed in the programme for Phase 1 Works (presented to us on the 02 October 2020). Fire resisting structures are to continue to slab/upper floor level/roof level and pass through any false ceiling provided.	Full action plan held by Estates.	Oct-20 Feb-21 Jul-22	Jul-22	Amber	13/11/2020- Letter dated 05/11/2020 from MWWFRS confirming enforcement notice KS/890/06 is withdrawn and replaced by KS/890/07, KS/890/08, KS/890/09 dated 04/11/2020. KS/890/08 to be completed by 31/07/2022 as agreed in the programme for Advanced Works (presented to them on the 02 October 2020). Original completion dates shown on tracker taken from original KS/890/06 enforcement notice. 17/12/2020- on track for July 2022 completion.
KS/890/08	Nov-20	Mid and West Wales Fire and Rescue Service	Enforcement Notice The Regulatory Reform (Fire Safety) Order 2005: Article 30 Premises: West Wales General Hospital, Glangwili, Dolgwlili Road, Carmarthen, Carmarthenshire, SA31 2AF KS/890/08	Open	N/A	Estates	Rob Elliott	Director of Operations	KS/890/08_02	High	R2. Compartmentation – All Vertical Breaches and / or Penetrations. To undertake whatever works are necessary to ensure that any/all breaches in fire resisting compartmentation that affect the intermediate floors between levels within Glangwili Hospital are addressed as agreed in the programme for Phase 1 Works (presented to us on the 2nd Oct 2020). Fire resisting structures are to continue to slab/ upper floor level/roof level and pass through any false ceiling provided.	Full action plan held by Estates.	Oct-20 Feb-21 Jul-22	Jul-22	Amber	13/11/2020- Letter dated 05/11/2020 from MWWFRS confirming enforcement notice KS/890/06 is withdrawn and replaced by KS/890/07, KS/890/08, KS/890/09 dated 04/11/2020. KS/890/08 to be completed by 31/07/2022 as agreed in the programme for Advanced Works (presented to them on the 02 October 2020). Original completion dates shown on tracker taken from original KS/890/06 enforcement notice. 17/12/2020- on track for July 2022 completion.
KS/890/09	Nov-20	Mid and West Wales Fire and Rescue Service	Enforcement Notice The Regulatory Reform (Fire Safety) Order 2005: Article 30 Premises: West Wales General Hospital, Glangwili, Dolgwlili Road, Carmarthen, Carmarthenshire, SA31 2AF KS/890/09	Open	N/A	Estates	Rob Elliott	Director of Operations	KS/890/09_01	High	Item Number 1 - Compartmentation. (Agreed Phase 2 works). To undertake whatever works are necessary to ensure that any/all breaches in fire resisting compartmentation that affect the Wards, Theatres, Plant Rooms, Offices, Surgeries, Specialist Units and any other compartmented spaces within Glangwili General Hospital are addressed as agreed in the programme for Phase 2 works (presented to us on the 02 October 2020). Fire resisting structures are to continue to slab/upper floor level/roof level and pass through any false ceiling provided.	Full action plan held by Estates.	Oct-20 Feb-21 Aug-24	Aug-24	Amber	13/11/2020- Letter dated 05/11/2020 from MWWFRS confirming enforcement notice KS/890/06 is withdrawn and replaced by KS/890/07, KS/890/08, KS/890/09 dated 04/11/2020. KS/890/09 to be completed by 31/08/2024 as agreed in the programme for Advanced Works (presented to them on the 02 October 2020). Original completion dates shown on tracker taken from original KS/890/06 enforcement notice. 17/12/2020- Director of Estates, Facilities and Capital Management confirmed 'All Vertical Escape Routes' included in the notice (schedule section) in error.

Appendix 2- In Progress and Overdue recommendations

Reference Number	Date of report	Report issued by	Report Title	Status of report	Assurance Rating	Service / Directorate	Responsible Officer	Director	Recommendation Reference	Priority Level	Recommendation	Management Response	Original Completion Date	Revised Completion Date	Status (Red-behind schedule, Amber- on schedule, Green- complete)	Progress update/ Reason overdue
684A2014	Jun-15	Audit Wales	A Comparative Picture of Orthopaedic Services - Hywel Dda	Open	N/A	Scheduled Care	Lydia Davies	Director of Operations	684A2014_001	Not High	R10. Operating theatres: The rate of cancelled operations made by the Health Board was five per cent compared with the Welsh Government target of two per cent. In November 2015, the Deputy CEO requested a review of all cancelled operations. Like other NHS hospitals, Hywel Dda routinely tracks the number of operations cancelled 'on the day' of admission but does not track those cancelled on the day prior to admission, nor does it effectively track those patients cancelled on each hospital site against those detailed on the Myrddin report. The prior to the day numbers are not routinely collected or made available by hospitals, but give a much fuller account of cancelled operations. Hywel Dda has reported total cancellations (and reasons for them) to Welsh Government for a number of years but there are validation errors within the submissions. Improvements required : Data cleansing Bed reconfiguration and activity management Critical Care Escalation Sterile services / equipment Theatre Scheduling and Pre-assessment We recognise that we need to continue our work to reduce cancelled operations and deliver further improvement to ensure patients waiting for elective surgery receive the best possible experience and outcomes. We are fully committed to working with clinical colleagues to build on the work described above and ensure that we maximise the potential benefits from existing work streams. We will continue to focus on improved scheduling, booking processes and sterile services provision. A project manager has been appointed to lead on root cause analysis of remaining cancellations to identify where further improvement work should be focussed, and this together with learning from other Health Boards, will inform the next stage of our improvement work.	A theatres improvement programme is being formalised as part of the HB QIPP programme. In November 2015, the Deputy CEO requested a review of all cancelled operations. Like other NHS hospitals, Hywel Dda routinely tracks the number of operations cancelled 'on the day' of admission but does not track those cancelled on the day prior to admission, nor does it effectively track those patients cancelled on each hospital site against those detailed on the Myrddin report. The prior to the day numbers are not routinely collected or made available by hospitals, but give a much fuller account of cancelled operations. Hywel Dda has reported total cancellations (and reasons for them) to Welsh Government for a number of years but there are validation errors within the submissions. Improvements required : Data cleansing Bed reconfiguration and activity management Critical Care Escalation Sterile services / equipment Theatre Scheduling and Pre-assessment We recognise that we need to continue our work to reduce cancelled operations and deliver further improvement to ensure patients waiting for elective surgery receive the best possible experience and outcomes. We are fully committed to working with clinical colleagues to build on the work described above and ensure that we maximise the potential benefits from existing work streams. We will continue to focus on improved scheduling, booking processes and sterile services provision. A project manager has been appointed to lead on root cause analysis of remaining cancellations to identify where further improvement work should be focussed, and this together with learning from other Health Boards, will inform the next stage of our improvement work.	2015/16	Mar-22	Red	Follow up audit by Audit Wales is due Autumn 2020. Unable to currently implement this recommendation due to COVID-19. Plan is being put in place re-start operating theatres with a paper being provided to the Acute Bronze Committee in June 2020 to agree steps required for operations to take place (e.g. pre assessment appointment, COVID-19 risk assessment, 2 week patient isolation prior to surgery day, etc.) and decision will need to be made on which site will be safest for routine operations to take place. Currently a lot of questions still to be answered. 20/11/20- Paper to QSEAC November 2020 on recommencing Orthopaedic Services, recognises that on balance, the clinical risk to these patients is greater if they do not receive the procedures than if they do, providing the Committee with assurance on the actions taken. Assurance & risk officer to pick up this recommendation when reporting officer returns from sick leave.
651A2015	Feb-16	Audit Wales	Hospital Catering and Patient Nutrition Follow-up Review	Open (external rec)	N/A	Nursing	Sharon Daniel	Director of Nursing, Quality and Patient Experience	WAO_Catering001	Not stated	R4b: We recommend that NHS bodies introduce computerised catering information systems, supported by clear cost benefit analysis in comparison to existing manual based information systems. Introducing a computerised catering system will incur additional revenue costs as the inputting of live data is key to providing timely and accurate information. The costs associated with such systems would ordinarily need to be sourced from Capital funding. • A review of cost benefits will be undertaken during 2016 as part of the work on the Catering Business case development , with a view to including in the Outline Business case if the review demonstrates it to be appropriate to do so	Dec-16	N/K	Red	The national IT catering Solution is now available via All Wales Procurement Framework. The system has been introduced in part to Aneurin Bevan and representatives from Hywel Dda visited to consider the benefits of procuring the system. The feedback received is that the benefits realisation has yet to be assured and for this reason a business case has not yet been progressed. Director of Nursing, Quality and Patient Experience currently considering if this recommendation will be implemented, or if it will not be taken forward. 04/12/2020- Director of Nursing, Quality and Patient Experience contacted to request if final recommendation and therefore report can be closed. No response received.	
385A2016	May-17	Audit Wales	Review of Estates	Open	N/A	Estates	Rob Elliott	Director of Operations	WAO_Estates001	Not High	R6: Widen the range of performance management KPI to include: ⌚ time; ⌚ cost; ⌚ productivity; ⌚ non-productive time; ⌚ quality; ⌚ service; and ⌚ customer feedback. Establish a Working Group to set out the IT requirements to capture this range of KPIs Implement any changes necessary to ensure these KPIs are reported. Actions/Timescales to be progressed during 2016/17 with reports to be provided to CEIMTSC as part of agreed work plan	Sep-19	May-20 Sept-20 Mar-21 Jul-21	Red	The CAFFM system has been purchased and is currently being set up and populated with HDUHB data. Monitoring reports on KPI's are being developed as part of this process to address the performance measures identified above. It was originally anticipated that this system would be in use by June 2020 however, this process has been delayed as a consequence of the impact of Covid-19. It is currently proposed that the system will be live by the end of the third quarter 2020/21 with monitoring reports available in the last quarter of the Financial Year. 22/10/2020 - update provided to October ARAC as follows: UPDATED OCTOBER 2020 Invest to Save Bid approved by Welsh Government The above implementation has been substantially impacted on by Covid- 19 restrictions. This has impacted on both the ability for both the company to undertake necessary work on systems locally and on the capacity of the Operations Estates staff to undertake the work necessary to undertake a new system. Despite these delays, we now have a revised programme to deliver these improvements. We have already completed: *The full review of software systems and a selection confirmed * Staff engagement sessions * Software installation The next stage is to complete formal staff training which is due to complete by the end of November 20. The construction of the system data and input of all PPM schedules and cost information will be completed by December 20. System testing and completion of installation scheduled for April 2021. The current plan indicates that whilst the system will go live the first review of our data analysis and KPIs will be at the end of the 1st quarter of 2021/22.	
385A2016	May-17	Audit Wales	Review of Estates	Open	N/A	Estates	Rob Elliott	Director of Operations	WAO_Estates002	Not High	R8: Ensure the right number of people with the right skills are available now and in the future by developing fully funded plans for workforce and training. Review to be undertaken of workforce plans to identify:- ⌚ Existing resources/ age profile This is updated annually Currently working with Workforce and OD to develop an "apprentice academy" ⌚ To consider all Investment plans and any subsequent resource impact within Estates.. ⌚ Action plan to address identified gaps.	Dec-16	Apr-20 Sep-20 June-21	Red	Most of the work on this has been completed but has now been knocked back due to COVID. A 'work in progress' type paper on future training of workforce has been shared with the CEO. 17/09/2020- An updated paper was completed at the end of September 2020 covering the above which will be submitted to the next Workforce and OD Meeting. 22/10/2020 - update provided to October 2020ARAC: The Estates Operational Team have now developed a Workforce Plan setting out a range of information including: *Age Profile of Staff *Full analysis of Resources and Skills needed *Opportunities for Apprenticeships *Training Needs Analysis 16/11/2020- Assurance & Risk Officer requesting clarity from Director of Estates, Facilities and Capital Management on the revised timescale for the succession planning to be fully incorporated into the financial planning budget. 04/12/2020- Director of Estates, Facilities and Capital Management confirmed revised date of June 2021 to allow time for OCP (if required) and further funding to be agreed.	
238A2017-18	Dec-17	Audit Wales	Follow-up Outpatient Appointments: Update on Progress	Open	N/A	Scheduled Care	Stephanie Hire	Director of Operations	WAO_Outpatient_006	Not High	R6: Put in place systems and processes that will allow the Health Board to identify patients with these conditions. Robust quality controlled systems to be developed across the process for the usage of outcome forms to ensure reduce errors.	Mar-18	Jun-20 Jan-21	Red	A revised outcome form has been developed and created to ease the completion of the form and emphasise the directive to ensure the that the clinical conditions are updated. This was in testing phase with two specialties to ensure it meets the needs of the clinical team and medical records staff, however required changes have been delayed as a result of COVID-19. Revised timescale of January 2021 to allow further testing and final version to be approved and rollout to take place.	
No ref	Mar-18	Audit Wales	Follow-up Information Backup, Disaster Recovery and Business Continuity, and Data Quality: Update on Progress	Open	N/A	Digital and Performance	Anthony Tracey	Director of Finance	WAO_InfoBackUp_006	Not stated	Disaster Recovery & Business Continuity. R8. Design and implement a schedule of regular back-up media and disaster recovery testing to provide assurance that applications and data can be successfully restored in the time required after the loss of a system. No revised management response provided in this follow up report.	N/K	Mar-21	Red	Currently undertaken at local level but not national. Processes are in place and asset group is back up and running following COVID-19. Business Continuity plans are also in place. 01/10/2020- Informatics Business Manager to send schedule to Assurance&Risk Officer, this rec can then hopefully be closed. 04/12/2020- Informatics Business Manager confirmed this recommendation is on track to be completed by March 2021. 07/01/2021- Digital Business Manager update- work is no taking place nationally (NWIS) with a cloud based approach. Should be on track for the March 2021 date.	
603A2018-19	Jun-18	Audit Wales	District Nursing: Update on Progress	Open (external rec)	N/A	Community and Primary Care (Ceredigion)	Tracey Evans / Sharon Daniel	Director of Operations	WAO_DistrictNursing_001	Not stated	R6. Workload varies between teams. The Health Board should use the all-Wales dependency tool when it becomes available to monitor and review the casemix between teams compared with team resources. The Health Board said that it expects this issue to be definitively addressed through the publication of the All Wales dependency tool, currently expected in 2020.	Jan-19	Mar-20 Nov-20 Dec-21	Red	24/11/2020- Community Head of Nursing confirmed the All Wales DN Workstream is progressing well with the development of a dependency and acuity tool and the first testing phase of the DN Welsh Levels of Care Acuity and Dependency tool is planned for March / April 2021. There is good representation on the national workstream from HDUHB and all DN teams will be engaging in the planned pilot phases of testing. Malinko scheduling system is also being rolled out across the community nursing teams in HDUHB which will further support the use of this tool. The plan is a 6 month pilot followed by review and then most likely a further 6 month testing phase. It is more likely that there will be a tool in use consistently in 2022 although we will have something to use from Spring 2021. Revised timescale December 2021.	

175A2019-20	Apr-19	Audit Wales	Clinical coding follow-up review	Open	N/A	Digital and Performance	Anthony Tracey / Gareth Beynon	Director of Finance	WAO_ClinicalCoding_001b	Not stated	R1. Improve the management of medical records to ensure that the quality of, and access to, medical records effectively supports the clinical coding process. This should include: b) removing the use of temporary records, including poly-pockets and ensure files are merged into the master patient record.	Temporary notes and poly-pockets are still in use across the organisation. The Health Board's self-assessment response indicated that the numbers received into coding offices are not high. However, clinical coders across the Health Board told us that the situation had deteriorated over the period since our last review. There has been a decline in the organisation, maintenance and condition of individual patient case note folders because of greater movement of patients around the Health Board and shorter lengths of stay. Both factors add to the challenge of ensuring the notes are maintained in line with standards, and available when needed by clinical coding teams as well as clinicians. A note is entered in Medicode whenever a polypocket is used as the source for coding. If an audit of the full case note is subsequently carried out, there will then be a flag to indicate that it was not available at the time of coding.	Sep-19	Oct-20 Dec-20 Apr-21	Red	An action plan has been developed via the Health Records Group. The Health Records Group has agreed to focus on the correct Tracking of Patient Records, with Temporary notes and poly-pockets looking to be addressed following this work. Progress has been delayed (3-4 months) due to the COVID pandemic, with a newly revised completion date of October 2020. 22/10/2020 - update provided to ARAC. The Health Records Group has agreed to focus on the correct Tracking of Patient Records, with Temporary notes and poly-pockets looking to be addressed following this work Progress has been delayed significantly due to the COVID pandemic (6-9 months). The Health Records Group have only recently begun to meet since the pandemic (September 2020). Monthly meetings have now been arranged to progress the work at pace. Newly revised completion date of April 2021. 07/01/2021 Digital Business Manager update- hopeful for group to meet in February/March 2021, this has been delays due to Covid.
175A2019-20	Apr-19	Audit Wales	Clinical coding follow-up review	Open	N/A	Digital and Performance	Anthony Tracey / Gareth Beynon	Director of Finance	WAO_ClinicalCoding_001e	Not stated	R1. Improve the management of medical records to ensure that the quality of, and access to, medical records effectively supports the clinical coding process. This should include: e) improving compliance with the medical records tracker tool within the Myrddin Patient Administration System.	All the clinical coding teams are asked to track case notes correctly using the Myrddin Patient Administration System. The Health Board's self-assessment indicated that this always happens, except for when case notes are collected from a ward in the morning and returned that afternoon. However, coding staff indicated that case note tracking is generally poor, except at Withybush Hospital.	Aug-20	Dec-20 Jun-21	Red	The first PSDA cycle was undertaken and lessons learned have been feed into the next PSDA cycle, which unfortunately was paused due to the COVID outbreak. It is anticipated that there will be a delay of 3-4 months. 01/10/2020- Health Records Group re-established in September 2020 following a pause due to Covid. This recommendation is now on the workplan and a revised timescale of December 2020 has provided to give the Group time to implement. 22/10/2020 - update provided to ARAC as follows: An action plan has been developed via the Health Records Group. The Tracking of Records will be the focus of the Health Records Group for the next 6 months with a review at the end of this period along with lessons learned. The work plan suggests a number of phases to the work, ensuring that there are feedback loops and reviews. Timescale – 16 months, based around 4 x 4 month PSDA cycles. The first PSDA cycle was undertaken and lessons learned have been feed into the next PSDA cycle, which unfortunately was paused due to the COVID outbreak. Progress has been delayed significantly due to the COVID pandemic (6-9 months). The audits are now programmed to begin November 2020. 03/12/2020- Informatics Business Manager confirmed revised timescale of June 2021. 07/01/2021 Digital Business Manager update- hopeful for group to meet in February/March 2021, this has been delays due to Covid.
1496A2019-20	19-Oct	Audit Wales	Implementing the Well-being of Future Generations Act- Hywel Dda Health Board	Open	N/A	Public Health	Claire Hurlin	Director of Public Health	WAO_Futuregenerations_003	Not stated	R3: Address the barriers to promoting the EPP.	A bid for funding to undertake specific research to understand the barriers to engagement and take-up of the programme is being developed. The aim would be to complete the research by Feb 2021. Work is also on-going to develop a bespoke programme to reflect cultural and language needs in order to further support the Syrian Vulnerable Persons Resettlement Programme. A bid is being developed to seek funding to support this innovation through the Self-management and Well-being Fund. Bid submission date is Nov 2019 and if successful work will be completed by April 2020.	Feb-21	Dec-21	Red	All bids were unsuccessful. A new plan has yet to be discussed on how to deliver this work. 25/09/2020 Request for update issued 14/10/2020 14/10/2020 update received: All bids were completed but unsuccessful. A new plan has yet to be discussed on how to deliver this work within existing funding allocations. Work progresses with sending out a questionnaire developed to send out to the Syrian families to gain an idea of the help they felt they needed awaiting responses. Work is also on-going to develop a bespoke programme to reflect cultural and language needs in order to further support the Syrian Vulnerable Persons Resettlement Programme. 07/12/2020 Questionnaires developed to understand the health and wellbeing needs of this population . Being collated by EYST. Awaiting results.
1496A2019-20	19-Oct	Audit Wales	Implementing the Well-being of Future Generations Act- Hywel Dda Health Board	Open	N/A	Public Health	Claire Hurlin	Director of Public Health	WAO_Futuregenerations_006	Not stated	R6: Look for opportunities to involve younger people in the design and delivery of EPP courses, possibly through schools and colleges.	The EPP are planning to start working with sixth form schools and other settings alongside the Welsh Baccalaureate. Initially the Team will work with Bro Dinefwr School to develop this initiative by April 2020.	Apr-20	Dec-21	Red	Started to look at delivering a healthy eating session, have been unable to link into the Welsh Baccalaureate as the school had already set specifics for this, now on hold due to COVID 19 but will continue as soon as possible. 25/09/2020 Request for update received 14/10/2020 This work will continue as soon as we are able to run post COVID 19. The EPP team is working towards gaining the Bronze Carers Award. We are working with the Strategic Partnership Team in the health board to offer carers courses for all our work force who also have a caring role. 10/12/2020 Strategic Head of Community and Chronic Conditions management confirmed this is currently on hold due to the Pandemic.
No ref	May-18	CHC	What's your NHS like for you? Hearing from people with a learning disability	Open (external rec)	N/A	Unscheduled Care	TBC	Director of Operations	NHSLikeForYou_001	N/A	R5. All Wales Working Group currently developing standards of practice for annual health checks including training programmes for GPs.	<ul style="list-style-type: none"> Once finalised the standards of practice to be implemented across the GP practices GPs to participate on All Wales Training Programme 	Mar-19	Apr-20 Aug-20 N/K	Red	Educational Packs for GPs are ready to go and a launch at Welsh Government level is imminent – but no date has been received as yet. As soon as the pack is received the Community Learning Disabilities Team will participate in the delivery of the training to primary Care Teams. 11/09/2020- Unfortunately this remains on hold as Public Health Wales have not circulated the Packs as yet. 18/11/2020- Reporting officer confirmed there has been no further update on when the Education Packs are likely to be circulated to the GPs by the central LD team in WG.
No ref	Jul-19	CHC	Accident and Emergency Department Withybush Hospital 22 July 2019	Open	N/A	Unscheduled Care (WGH)	Janice Cole-Williams / Sally Farr	Director of Operations	A&EWGH_004	N/A	R3. HB needs to make sure that people do not feel overlooked when they are waiting	To progress the plan to install electronic screen in the Majors area; To establish robust 'rounds' within the Department to check on patients who are waiting; To agree daily schedule with Red Cross volunteer service to support patients within the Department.	Nov-19	Nov-20 N/K	Red	1/6/2020 emailed for a response - Response received Senior Sister ED to speak with Gareth Beynon as a paper has been written for Electronic Screens - delayed due to covid 19. 28/10/2020 Interim Hospital Service Manager confirmed , regarding the electronic screen. 3.1 We have had a quote for the additional cabling required and have gone back to Nathan James saying we have happy to proceed with this. Information governance have been contacted and visited ED to see if they are happy for this. Waiting on the final report from Informatics Business Manager. We are going to meet Comcen in ED to give price for installation and price on electronic screen. 3.2 WGH piloting bullet rounds from next Monday in the department, 3 times a day which will review the patients in the department. Triage time, patients in waiting room, actions for escalation will all be reviewed during these. Also on each door in the department a sign is in place to confirm who the named nurse is and what time interventions are due such as vital sign monitoring and intentional rounding checks. We have also developed a rapid assessment area for patients who self present to the department. Patients are triaged by the triage and the relevant investigations are commenced at point of contact such as vital signs, blood tests, ECG and ordering of radiology procedures. 3.3 No areas are closed in the department, however it is currently split into a red zone (suspected covid) and green (non covid). There are some delays as during the height of the first wave of covid, we split the department into two areas and had two ED functioning March to June. During this time Red cross Volunteers were not working in the department.
CHC Llandovery	Nov-19	CHC	Llandovery Hospital August 2019	Open	N/A	Community & Primary Care (Carmarthenshire)	Lois Rees	Director of Operations	Llandovery_004	N/A	R4. The resource gap (lack of trolley service or visiting shop, etc.) might be something that the local community might be able to address in some way.	To request support from the League of Friends and HB Volunteer Manager with implementing a trolley service/shop services. And also to examine if we are able to operate a personal shopper programme for patients.	Mar-20	Mar-21	Red	Unfortunately, the attempts made to recruit volunteers to the area to provide a personal shopping service has not been successful. We continue to work with the team to pursue this opportunity Ongoing issue not resolved – the current situation is affecting this. No progress made
No Ref	Jan-20	CHC	Eye Care Services in Wales Follow Up	Open	N/A	Scheduled Care	Carly Buckingham	Director of Operations	EyeCareServices001	N/A	R1. The Welsh Government and the NHS in Wales needs to do more to reduce the current backlog of people waiting for appointments	Continue re-design of optimum pathways and further utilisation of Community Optometrist Capacity. Identify sustainable funding.	Mar-21	Mar-21	Amber	By the middle of quarter 2 (August 2020) will have better idea of the waiting lists due to COVID and will review this recommendation at this time to establish if March 2021 deadline is still feasible. 26/11/2020- Update from SDM- No change since last update. We are continuing with the community schemes in relation to glaucoma and cataracts, and a consultant is reviewing these patients to ensure that anyone with an urgent condition is offered a hospital appointment. We are exploring digital opportunities with our community optometrist practices for AMD referrals. We will have a better idea of timescales for implementation by January 2021.
No Ref	Jan-20	CHC	Eye Care Services in Wales Follow Up	Open	N/A	Scheduled Care	Carly Buckingham	Director of Operations	EyeCareServices002	N/A	R2. The Welsh Government and the NHS in Wales needs to make sure longer term plans are capable of providing an equitable service that meets the increasing demand for eye care services across Wales	Development of 3-year plan for Ophthalmology. Further introduce community led services to provide care closer to home.	Mar-21	Mar-21	Amber	See update in recommendation 1- due to current COVID situation only those with greatest risk of sight loss now been given priority on the pathway. Recommendation to be reviewed in August 2020 to establish if March 2021 deadline is still feasible. 26/11/2020- Update from SDM- Continue to work with community optometrist practices to explore the opportunities for multi disc team working in community settings, for example the digital work mentioned above is a current project we are scoping.
No Ref	Jan-20	CHC	Eye Care Services in Wales Follow Up	Open (external rec)	N/A	Scheduled Care	Carly Buckingham	Director of Operations	EyeCareServices005	N/A	R5. The Welsh Government and the NHS in Wales needs to make sure digital communication moves forward at pace in all areas.	EPR to be awarded to allow Health Board to progress	Apr-20	Jul-20 Apr-21	Red	WG have awarded the contract and implementation of EPR will be progressed on an All Wales basis with potential to use Cardiff & Vale UHB platform. This has a 6 to 8 week leading time to being rolled out. 16/07/2020 update- Full Business Case has been agreed by the Health Minister. Awaiting further updates from national EPR group. 25/08/2020 update- still awaiting national roll out as part of national work stream. 26/11/2020- Update from SDM- there is a regional working group with Swansea Bay UHB to ensure both Health Boards are ready for phase 1 go live for Glaucoma by March 2021. Approximate timescale April 2021, subject to progress of national work stream.

No ref	Jul-17	Delivery Unit	All Wales Review of the Quality of Care and Treatment Planning in Adult Mental Health and Learning Disability Services July 2017	Open (External Rec)	N/A	Mental Health & Learning Disabilities	Sara Rees / Mel Evans	Director of Operations	AWR_QCTP_001	N/A	R1. The Health Board and its local authority partners should, as a matter of priority, improve integration across health and social care in learning disability services. This should include the alignment of policies & protocols to support joint working, the sharing of assessments, and the production of multi-agency CTPs.	As this is a high level action it sits within the HB Programme of work under transformation. A transformation fund has been made available across the Region and within this there is an allocation for developing integration. There are also clear links to transforming clinical services and transforming mental health services. A CTP Policy is being developed which will articulate the required joint working arrangements. Through the development of the WCCIS(integrated information database for Health and Social Care) there are minimum core data sets being developed as standardised across Wales and we are working with the All Wales Groups and DU to share these and understand how they can be implemented.	May-19	Mar-23	Red	Discussed 13/08/2020- Sara to review with Mel. No update. 02/10/2020 Requested update - Respon received 22/10/2020 - Any patients under secondary care, where a CTP is required have electronic records, care partner, Health and social care staff within CMHTS have access and utilise care partner. 4/12/2020 update requested, response received: WCCISS is the integrated information database for Health and Social Care and this is being delivered by NWIS outside the gift of the HB.
No ref	Jul-17	Delivery Unit	All Wales Review of the Quality of Care and Treatment Planning in Adult Mental Health and Learning Disability Services July 2017	Open	N/A	Mental Health & Learning Disabilities	Sara Rees / Mel Evans	Director of Operations	AWR_QCTP_002	N/A	R2. A bespoke training programme to support the improvement of CTPs should be introduced to ensure that mental health and learning disability staff are, and remain, skilled in formulating CTPs and in enhancing the involvement and experience of service users in the process.	There is a Regional Workstream for Workforce Development and we are looking to ensure that this is aligned to work ongoing there. The TMH workstream is also taking this forward. Within LD a bid is currently being written for people who use services to help deliver and inform training and create be-spoke packages, this will include how we fund this work.	Mar-23	Mar-23	Amber	Update received 13/08/2020 CTP training package in place needs to be improved to include service users? 02/10/2020 Requested update - delayed due to COVID-19, first task and finish group of four due to take place early November, membership includes HB staff, 3rd sector and carer rep, it is anticipated that draft training package will be ready early in 2021. 10/12/20 Task and finish group has started and agreement over how the training should be delivered has been reached – continued sessions to take place in January 2021 with implementation to begin in an estimated timeframe of April. The training will be delivered by carers to enhance the impact and importance of crisis planning and support to carers re: risk assessment and joint planning of CTP.
No ref	Jul-18	Delivery Unit	National report- The Quality of Care and Treatment Planning - Assurance Review of Adult MH&LD Services	Open	N/A	Mental Health & Learning Disabilities	Sara Rees / Mel Evans	Director of Operations	NR_QCTP_002	N/A	R2: A 'train the trainer' programme focussed on the formulation of CTPs which are person centred, holistic and include recovery focused outcomes should be developed.	Bespoke training to be developed with an External Training Provider.	Apr-20	Dec-21	Red	Discussed 13/08/290202 under development. 02/10/2020 Requested update, response received. This piece of work is on track, Care partner is being reviewed to ensure the Assessment document is coherent with the requirements of the WARRN risk assessment and CTP, this work is required to underpin the development of the training which is currently being co-produced with the 3rd sector. 10/12/20 Task and finish group has started and agreement over how the training should be delivered has been reached – continued sessions to take place in January 2021 with implementation to begin in an estimated timeframe of April. The training will be delivered by carers to enhance the impact and importance of crisis planning and support to carers re: risk assessment and joint planning of CTP.
No ref	Nov-18	Delivery Unit	Review of the Impact of Long Waits for Planned Care on Patients	Open	N/A	Scheduled Care	Stephanie Hire	Director of Operations	DelUnit-PlannedCare_002	N/A	R2. The UHB should implement a mortality review process for patients who die after a wait greater than 36 weeks for planned treatment, to seek assurance that the delayed treatment was not a contributory factor to avoidable harm.	Retrospective review to identify number of patients in 2019/20 Month 1-6 who were removed from the waiting list due to RIP while waiting over 36 weeks in order to identify scope of any issues	Aug-19	Oct-19 May-20 Aug-20 Mar-21	Red	Revised August 2020 date was on track prior to COVID-19, however we now have a waiting list position which is larger than anticipated at this time. The whole waiting list is currently being clinically validated to ensure we are able to categorise the patient's urgency correctly. UHB is currently working with WG on a 5 stage process, which will include mortality waiting list review, to enable the UHB to recover its waiting times as a result of COVID-19. Revised date of March 2021 to review current progress of this recommendation.
No ref	Nov-18	Delivery Unit	Review of the Impact of Long Waits for Planned Care on Patients	Open	N/A	Scheduled Care	Stephanie Hire	Director of Operations	DelUnit-PlannedCare_004	N/A	R4iii. The national work on patient reported outcome measures (PROMs) and patient reported experience measures (PREMs) provides a framework for some planned care pathways.	Overseen by the Planned Care Programme assurance framework. PROMs and PREMs are in implementation (for example orthopaedics). Our follow up backlog bid to WG includes funding to further develop these systems.	Mar-20	Dec-20 N/K	Red	National work on PROM and PREM capture has progressed in some pathways. This work has been augmented by trials of functionality provided by third party suppliers and guided by standardised assessment tools that will integrate with the National Data Repository. The Value Based Health Care team are working to facilitate electronic PROM capture using the DrDoctor product in Trauma & Orthopaedics, Cardiac Services (Heart Failure) and Ophthalmology by Q3 of FY 2020/21. 09/12/2020- Reporting officer confirmed there is no further update- currently in status quo.
No ref	Nov-18	Delivery Unit	Review of the Impact of Long Waits for Planned Care on Patients	Open	N/A	Scheduled Care	Stephanie Hire	Director of Operations	DelUnit-PlannedCare_004	N/A	R4iv. There is scope for the Health Board to expand its use of this framework.	Evaluation of service suitability for PROMs / PREMs to be evaluated for inclusion in 2020/21 transformational change programme.	May-20	Sep-20 N/K	Red	The evaluation of the DrDoctor product against the National PROM solution will be undertaken once the initial DrDoctor implementation has been completed. A business case is being developed to enable the expansion of PROM/PREM collection in other areas over the next 3 years, which will be submitted for consideration in September 2020. 09/12/2020- Reporting officer confirmed there is no further update- currently in status quo.
No ref	Nov-18	Delivery Unit	Review of the Impact of Long Waits for Planned Care on Patients	Open	N/A	Scheduled Care	Stephanie Hire	Director of Operations	DelUnit-PlannedCare_009	N/A	R9. Review of expectations for primary care consultations prior to referral for planned care is recommended to assist with improved management of patient expectations	Referral criteria forms part of the Transformation programme for all Scheduled Care services, with progress reported through establish groups. Electronic referral management continues to be rolled out across the Health Board. These processes are to be reviewed by the Assistant Director of Nursing (QI)	Mar-20	Mar-21	Red	Referral criteria forms part of the Transformation programme for all Scheduled Care services, with progress reported through establish groups. This has been delayed as a result of COVID-19 but will now be picked back up as part of Transformation programme. 09/12/2020- Reporting officer confirmed there is no further update- currently in status quo.
No ref	Mar-19	Delivery Unit	All Wales Assurance Review of Primary Care Child and Adolescent Mental Health Services - The Review of Under 18s March 2019 LPMHSS	Open	N/A	Mental Health & Learning Disabilities	Angela Lodwick / Sarah Burgess	Director of Operations	AWAR_PCCAMHS_005	N/A	R5. The HB should undertake an engagement exercise with GPs to improve liaison and a shared understanding of CAMHS pathways.	GP's and Primary care staff will be provided with a Service Specification for referral to CAMHS LPMHSS	Nov-19	Dec-20 Jun-21	Red	01/05/2020 Assurance and Risk Officer met with Director and Interim Deputy. Date extended due to Covid 19, further email to Angela Lodwick, this will not be achieved quickly due to COVID and also 50% absence in Primary care. No update August 2020. 02/10/2020 Requested update - We are waiting for documents to be translated, once this is done, training can be arranged via MST, work in progress, significant changes in the team, in the process of recruiting new team manager. Covid-19 pandemic has impacted on the completion date due to being unable to visit GP surgeries, as such we are unlikely to meet the December 2020 deadline. 16/12/2020 C19 Pandemic and second wave has resulted in this being delayed. Documents not yet translated, Primary MH Lead has left post and new Lead commences in Feb 2021. Training for GP's will be delivered via MS Teams advise this change to 6 months to enable above.
No ref	May-19	Delivery Unit	All Wales Cardiology to Cardiac Surgery Transfer Point Assurance Review	Open	N/A	Unscheduled Care (GGH)	Paul Smith	Director of Operations	DelUnitCardio02	N/A	R2.Ensure that all administrative record keeping – both electronic and within the medical records – are maintained to the highest of standards.	Monthly audits of outcome form to establish % compliance - feedback any non-compliances with Clinical lead to address non-compliance.	Aug-19	Oct-20 Dec-20 N/K	Red	Unable to progress due to COVID priorities reviewed date for completion is now September 2020. 02/10/2020- reporting officer confirmed it has not been possible to complete the planned monthly audits of outcomes forms at Cardiology Clinics as face to face Clinics have been suspended over the summer months due to COVID. Currently in the process of re-starting clinics now and will look to achieve monthly audits of outcome forms over the next few months. This will then allow us to present a % compliance. New timescale of December 2020. 29/01/2021- Update requested from reporting officer on 22/01/2021, update not yet received.
No ref	May-19	Delivery Unit	All Wales Cardiology to Cardiac Surgery Transfer Point Assurance Review	Open	N/A	Unscheduled Care (GGH)	Paul Smith	Director of Operations	DelUnitCardio03	N/A	R3b: In advance of any national guidance or clinical agreement, establish regionally (between HDUHB and ABMUHB): b. clinical agreement that all referrals sent to tertiary service clearly include the clinically determined PSD and current adjusted PSD, including a standardised referral form which is consistent across HDUHB.	For 100% of referral letters to have a PSD identified by November 2019 - audit undertaken in February 2020 demonstrates a 31% compliance. SDM Cardiology and Cardiology Service Support Manager to reinforce need of PSDs to referring clinicians and re-audit in 3 months.	Dec-19	Dec-20 N/K	Red	Unable to progress due to COVID priorities reviewed date for completion is now December 2020. 29/01/2021- Update requested from reporting officer on 22/01/2021, update not yet received.
No ref	May-19	Delivery Unit	All Wales Cardiology to Cardiac Surgery Transfer Point Assurance Review	Open	N/A	Unscheduled Care (GGH)	Paul Smith	Director of Operations	DelUnitCardio03	N/A	R3f.In advance of any national guidance or clinical agreement, establish regionally (between HDUHB and ABMUHB): f. a move towards the electronic referral of patients between Cardiology and Cardiac Surgery, based on the above work.	HDUHB was in the process of working with IT to setup another SharePoint system to move towards the electronic referral of patients between Cardiology and Cardiac Surgery. However, this hasn't been progressed due to the All Wales Accelerating Cardiac Informatics work being progressed on Hospital to Hospital Referrals. Cardiology Service Delivery Manager currently in discussion with HDUHB Informatics and AWACI.	May-19	Dec-20 N/K	Red	Unable to progress due to COVID review date December 2020. 29/01/2021- Update requested from reporting officer on 22/01/2021, update not yet received.
No ref	Sep-19	Delivery Unit	All Wales Review of progress towards delivery of Eye Care Measures	Open	N/A	Scheduled Care	Carly Buckingham	Director of Operations	DelUnit-EyeCare_002	N/A	R2. The Health Board should collate a single medium/long-term ophthalmic plan incorporating costing of all service developments required to deliver sustainable ophthalmic services covering all sub-specialities, supported by appropriate monitoring structures.	IMTP for Ophthalmology submitted to Director of Acute Services for review.	Nov-19	Jun-20 Aug-20 Oct-20 N/K	Red	IMTP has been submitted but due to COVID there are alternative plans for the service being developed. Royal College of Ophthalmologists and Welsh Government (WG) guidelines on delivery of eye services is being received on an all most weekly basis due to the COVID. WG has provided guidance on an increased community Ophthalmology pathway, however but our Consultants are not in agreement with the guidance. Service Delivery Manager meeting with Director of Operations for Exec Team steer on potential to not accept the WG guidance. New timescale of June 2020 to review position of developing plans during COVID. 16/07/2020- New timescales of August 2020. 24/08/2020 update- still in Q2 Covid-19 recovery, to be looked at in Q3 (September 2020). 26/11/2020- Update from SDM- We are currently reviewing the previous IMTP submission with our Finance Business Partners to review the considerations required following Covid-19. Timescale still currently unknown.
No ref	Sep-19	Delivery Unit	All Wales Review of progress towards delivery of Eye Care Measures	Open	N/A	Scheduled Care	Carly Buckingham	Director of Operations	DelUnit-EyeCare_004	N/A	R4. Identify sustainable monies to support permanent solutions for meeting ophthalmic demand to enable the developments supported by the Sustainability Fund to continue beyond April 2020.	Included as part of IMTP, awaiting Executive approval.	Mar-20	Jul-20 Aug-20 Oct-20 N/K	Red	IMTP submitted but no feedback provided as yet. New timescale July 2020 to review the requirements of this action. 16/07/2020- New timescale of August 2020 24/08/2020 update- No response to IMTP and no confirmation from Finance/Exec Team on funding. 26/11/2020- Update from SDM- We are currently reviewing the previous IMTP submission with our Finance Business Partners to review the considerations required following Covid-19. Timescale still currently unknown.

No ref	Sep-19	Delivery Unit	All Wales Review of progress towards delivery of Eye Care Measures	Open	N/A	Scheduled Care	Carly Buckingham	Director of Operations	DelUnit-EyeCare_006	N/A	R6. Implement its solutions to ophthalmology recruitment challenges, including treatment capacity urgently.	Recent recruitment campaign (ended December 2019) was unsuccessful in attracting permanent medical staff. Locum solutions are being explored to support with delivering required capacity. Recruitment Campaign to be re-launched February 2020.	Mar-20	Jun-20 Aug-20 Oct-20 Mar-21	Red	Same recruitment challenges exist. 2 recruitment campaigns has been unsuccessful and third recruitment round pulled due to COVID. Currently exploring options with Swansea Bay UHB to design a regional ophthalmology model for South West Wales. Clinicians have been requested to provide their option appraisals by the end of May 2020. 16/07/2020- update from service. ARCH workshop to explore Regional options for Ophthalmology taking place 27th July 2020. 24/08/2020- ARCH workshop took place in July 2020 and agreed to explore regional glaucoma consultant role. Rec to be reviewed October 2020 to establish if recruitment has been successful. 26/11/2020- Update from SDM- It is expected that a vision paper for the South West Wales Regional Eye Service will be presented at the next ARCH meeting on the 03/12/2020. Once agreement reached on this vision, it will be presented to both Health Board Executive Teams. Revised timescale of March 2021 provided.
No ref	Sep-19	Delivery Unit	All Wales Review of progress towards delivery of Eye Care Measures	Open	N/A	Scheduled Care	Carly Buckingham	Director of Operations	DelUnit-EyeCare_007	N/A	R7. As part of the medium-long term plan development, the cataract service options require appraisal prior to the commencement of the next planning cycle, supported by a clear, time-bound delivery plan.	Options included as part of the IMTP.	Mar-20	Jul-20 Sept-20 N/K	Red	Due to COVID situation the cataract service has currently ceased. 16/07/2020- Service is starting to review Urgent Cataract patients. New timescale of September 2020. Routine Cataracts will not commence during Q.2. 25/08/2020 update- urgent Cataract operations taking place in Werndale. Plans commencing to outsource from mid sept 2020. 26/11/2020- Update from SDM- Our outsourcing has recommenced at Werndale on a much smaller scale previously delivered due to both Covid-19 restrictions and the private provider supporting NHS activity. The upscaling of this will be reviewed in January 2021.
No ref	Sep-19	Delivery Unit	All Wales Review of progress towards delivery of Eye Care Measures	Open	N/A	Scheduled Care	Carly Buckingham	Director of Operations	DelUnit-EyeCare_008	N/A	R8. A revised plan/ funding mechanism for extension of W-AMD services should be developed to ensure there is sufficient capacity to meet this urgent demand.	Options included as part of the IMTP.	Nov-19	Jul-20 Sept-20 Oct-20 Jan-21	Red	During COVID the W-AMD service has continued and increased number of sessions have taken place (due to more routine services currently ceasing), therefore allowing us to improve our waiting list and eliminate the backlog. Plans to continue this post-COVID (once services are relatively back to 'normal') are currently developed. 16/07/2020- Due to COVID AMD service are meeting their demand due to changes to service delivery. This will continue through Q.2 - review September 2020. 25/08/2020 update- currently meeting demand at the moment but Finance are considering the growth in service in terms of funding requirements for next IMTP (approx. October 2020). 26/11/2020- Update from SDM- Whilst we continue to meet demand there has been an opportunity to utilise digital technology to reduce the first outpatient requirement for those patients who would not benefit from treatment of W-AMD. This will support the service to be able to increase capacity without significant investment. Revised date of January 2021 for review.
18262	Feb-19	HIW	Hospital Inspection (Unannounced) WGH, Ward 1, 10 & 12 20-21 November 2018	Closed (Strategic log)	N/A	Unscheduled Care (WGH)	Janice Cole-Williams / Sally Farr	Director of Operations	WGHUnannounced002	N/A	R23. Consideration is made to maintaining infection prevention and control of elective patients when admitted (for implanted prosthesis), or when trauma patients are admitted to the ward	Ward Sister to review potential to allocate elective admissions for joint replacements into a designated area within Ward 1. A ward operational policy will be developed to reflect this review.	May-19	N/K	Red	16/09/2020 Request to be added to the Strategic log. Already on strategic log.
18264	Jun-19	HIW	HIW Cadog Ward & Ceri Ward, Glangwili Hospital, 5-6/3/19	Open	N/A	Unscheduled Care (GGH)	Olwen Morgan	Director of Operations	Cadog_014	N/A	R14: The health board must ensure that oxygen is accurately prescribed and a record of administration maintained on the All Wales Drugs Chart.	Clinical Directors to discuss the need for improved prescribing of oxygen with medical staffing. To provide training for ward staff on the use of oxygen therapy and prescribing.	Oct-19	Dec-20 N/K	Red	Senior Nurse currently working alongside Senior Nurse for Medicines Management to devise training package. Will form part of wider HB approach to addressing training needs for all practitioners in relation to oxygen administration. Suspended due to Covid-19 pandemic. To rearrange for October 2020. 22/01/2021- Hospital HON confirmed she will check with clinical Directors that this was discussed with medical staff and will check training status.
18264	Jun-19	HIW	HIW Cadog Ward & Ceri Ward, Glangwili Hospital, 5-6/3/19	Open	N/A	Unscheduled Care (GGH)	Olwen Morgan	Director of Operations	Cadog_016	N/A	R16: The health board must ensure that pain is assessed and managed by an appropriately trained member of staff, and that records are accurately completed.	To provide training on pain assessment, management and evaluation on Ceri ward.	Oct-19	Dec-20 N/K	Red	Senior Nurse Manager is liaising with nurse specialist for pain and palliative team to review training needs on Ceri ward in relation to pain management and evaluation. Once scoping complete training dates will be available for on-ward training. 22/01/2021- Hospital HON will confirm training status with SNM and Charge Nurse.
19127	Jan-20	HIW	Glangwili Hospital (Maternity), 7-9 October 2019	Open	N/A	Women and Children's Services	Julie Jenkins	Director of Operations	19127_003	N/A	The health board must ensure that: Signage at the hospital is reviewed to ensure that it is easy for patients to locate all of the maternity wards Notice boards containing information about staff on duty are updated at every shift change Notice boards are reviewed to provide health promotion information Information throughout the unit is made available bilingually.	Clinical lead to meet with Head of Welsh Language services to discuss appropriate information being available in Welsh	Mar-20	Dec-20 Apr-21 Aug -21	Red	Letters available bilingually. Notice boards have been updated however further update will be following COVID 19 pandemic. To be reviewed Dec 2020. 27/07/2020 requested update, chased and meeting to update organised 6/08/2020. Update received-Signage completed, letters completed. On hold due to Covid 19 as staff relocated, full implementation to be reviewed possible Dec 2020. 18/09/2020 Request for update issued: Response received HoM Actions partially completed clinic letters completed. Further review of bilingual requirements to be completed. 20/11/2020 issued for update: Delayed due to Covid until new unit is completed and re-alignment of service signage for all maternity Services. 26/01/2021 Delays on Phase 2 due to impact of Covid until August 2021.
19258	Jul-20	HIW	PACU and Cilgerran Wards, Glangwili General Hospital	Open	N/A	Women and Children's Services	Paula Evans	Director of Operations	19258_004		R4: The health board must consider the layout of the wards and access to the outdoor garden area and toilets and showers in order to maintain patients' privacy.	Prior to COVID 19 There had been ongoing discussions on the environment of Cilgerran Ward with the estates team. Once the COVID pandemic has been resolved the layout of the ward and access to the outdoor gardens will be considered in the ongoing discussions with the estates and capital programme as this will need to be considering on the overarching refurbishment of Cilgerran Ward	N/K	N/K Mar-21	Amber	This will be reviewed post COVID on a quarterly basis and reported back to the Women and Children's Quality and Safety meeting 18/09/2020 Request for update issued: 25/09/2020 Response received: Remedial estates work underway to ensure the ward layout is conducive to the Covid response and to maintain patient privacy and 2 metre social distancing guidance is adhered to, with the additional screens in between bed spaces. Full refurbishment date is not known as yet. 20/11/2020 issued for update: Service response received: Remedial work has been completed for the shower areas and patient privacy and 2 meter social distancing screens erected. Reduced bed capacity in the adolescent 4 bed area the access issue has now been resolved due to decommissioning of the tent. The next stage is to look at the Capital for further refurbishment.
19258	Jul-20	HIW	PACU and Cilgerran Wards, Glangwili General Hospital	Open	N/A	Women and Children's Services	Paula Evans	Director of Operations	19258_006		R6: The health board must ensure that patients and their families/carers receive consistent and clear information about their treatment and care	This element was specifically around medical management of care information to parents. This will be led by the clinical lead to ensure that information is provided in a clear way for families to understand and rational why management plan have to change due to patient condition	Aug-20	Nov-20 Jan-21	Red	18/09/2020 Request for update issued: Discussed with Lead update received: 02/10/2020 request for update send to Clinical Lead. Feedback expected 5/10/2020. Further update provided from Dr Prem. This issue has now been resolved. It is around communication with visiting consultants and will be taken to the Governance Meeting 05/11/2020. The document has been updated. Revised completion date
19258	Jul-20	HIW	PACU and Cilgerran Wards, Glangwili General Hospital	Open	N/A	Women and Children's Services	Paula Evans	Director of Operations	19258_007		R7: The health board must consider how the environment within PACU can be updated and tailored towards children.	This will continue to be part of the ongoing discussion with estates and capital on Cilgerran Ward refurbishment programme.	N/K	N/K March-21	Amber	20/11/2020 issued for update: Service response: Some remedial work has been completed in PACU, including new floors and repainting. Due to Covid restrictions the further environment refurbishment is delayed and continues to be discussed.
19258	Jul-20	HIW	PACU and Cilgerran Wards, Glangwili General Hospital	Open	N/A	Women and Children's Services	Paula Evans	Director of Operations	19258_007		R7: The health board must consider how the environment within PACU can be updated and tailored towards children.	The Play manager will ensure once COVID period is over that the environmental will be reviewed to incorporate some painting and stickers that are tailored for children of all ages and play corner will be in place, this has been delivered and in storage	N/K	N/K March-21	Amber	This will be reviewed post COVID on a quarterly basis and reported back to the Women and Children's Quality and Safety meeting 18/09/2020 Request for update issued: 25/09/2020 Response received: As covid response phase 2 the PACU environment has had some remedial estates work. In addition there is a delay on purchasing the child friendly play area and equipment due to Covid. 20/11/2020 issued for update: Service response: Some remedial work has been completed in PACU including new floors and painting. Due to Covid restrictions unable to action the play equipment or communal play areas.
19258	Jul-20	HIW	PACU and Cilgerran Wards, Glangwili General Hospital	Open	N/A	Women and Children's Services	Paula Evans	Director of Operations	19258_008		R8: The health board must consider the location of the rainbow suite on the ward.	Discussions will be considered with the Child and Mental Health service on the location and access to this unit based on the footprint of cilgerran Ward, to include the need of the children and young people	Jan-21	Jan-21 N/K	Red	18/09/2020 Request for update issued: Update received 25/09/2020. This will be included as part of the discussions on the refurbishment by the Task and Finish Group. 20/11/2020 issued for update: Service response. Further discussions to take place with MH services.
19258	Jul-20	HIW	PACU and Cilgerran Wards, Glangwili General Hospital	Open	N/A	Women and Children's Services	Paula Evans	Director of Operations	19258_009		R9: The health board must ensure the following: Consider the provision of additional storage space	This is programmed in line with phase 2 work with estates to re build the storage facilities for the unit	Mar-21	Mar-21	Amber	18/09/2020 Request for update issued: 25/09/2020 Response received: Draft design completed and will be discussed in the Task and Finish Group. 20/11/2020 issued for update: Service response: Met with Capital Estates Manager waiting for costs to consider how to finance this work.
19258	Jul-20	HIW	PACU and Cilgerran Wards, Glangwili General Hospital	Open	N/A	Women and Children's Services	Paula Evans	Director of Operations	19258_011		R11: The health board must ensure the following: Consider the provision of an additional sluice	Ongoing discussions with estates on the refurbishment of the unit and this will be included in those discussions	N/K	N/K March-21	Amber	This will be reviewed post COVID on a quarterly basis and reported back to the Women and Children's Quality and Safety meeting 18/09/2020 Request for update issued: 25/09/2020 Task and finish Group set up to take forward the discussions on refurbishment. 20/11/2020 issued for update: Service response. No update until discussions are completed.

19258	Jul-20	HIW	PACU and Cilgerran Wards, Glangwili General Hospital	Open	N/A	Women and Children's Services	Paula Evans	Director of Operations	19258_012		R12: The health board must ensure the following: Continue to identify, monitor and act on the risks caused by the poor environment	Ongoing discussion with estates and capital programme, monitored monthly on ward audits	N/K	N/K March-21	Amber	This will be reviewed post COVID on a quarterly basis and reported back to the Women and Children's Quality and Safety meeting. 18/09/2020 Request for update issued:25/09/2020 Task and finish Group set up to take forward the discussions on refurbishment. 20/11/2020 issued for update: Service response: Monthly reviews continue and further discussions are ongoing.
19258	Jul-20	HIW	PACU and Cilgerran Wards, Glangwili General Hospital	Open	N/A	Women and Children's Services	Paula Evans	Director of Operations	19258_014		R14: The health board must ensure that consideration is made to the provision of a dedicated drug storage and preparation room on PACU.	Ongoing discussions with estates on the refurbishment of the unit and this is included in the longer term plans for the refurbishment of Cilgerran Ward	N/K	N/K March-21	Amber	This has been temporarily completed however will need to be reconsidered post COVID and will be reported back bi-monthly to the Women and Children's quality and safety meeting 18/09/2020 Request for update issued: As part of the Covid response utilised the parents room in PACU as the medication storage area
19258	Jul-20	HIW	PACU and Cilgerran Wards, Glangwili General Hospital	Open	N/A	Women and Children's Services	Paula Evans	Director of Operations	19258_015		R15: The health board must ensure that required staff are provided with up-to-date level two fire safety training.	Currently on hold for face to face training due to COVID, consideration for E learning or electronic platforms to deliver training	Aug-21	Aug-21	Amber	18/09/2020 Request for update issued: Response: All fire training is completed via ELearning on ESR. 20/11/2020 issued for update: Service response: Due to Covid restrictions and social distancing the fire officer has agreed that fire safety training level 2 is to be completed via ELearning on ESR.
19259	Jul-20	HIW	Puffin Unit / PACU, Withybush General Hospital	Open	N/A	Women and Children's Services	Paula Evans	Director of Operations	19259_001		R1: The health board must ensure that relevant health promotion information is readily available throughout the unit	Information Leaflets are readily available on Puffin and easily accessed. This material will be displayed in the play room / waiting room for easy access to children, parents and families	N/K	N/K	Amber	Due to COVID 19 Puffin unit has been relocated to GGH, all actions will be implemented when paediatrics returns to WGH. However this will be reviewed on a quarterly basis and reported into the Women and Children's Quality and Safety meeting. 18/09/2020 Request for update issued: Ward closed. 20/11/2020 issued for update: Service response Puffin ward closed.
19259	Jul-20	HIW	Puffin Unit / PACU, Withybush General Hospital	Open	N/A	Women and Children's Services	Paula Evans	Director of Operations	19259_002		R2: The health board must ensure that the paediatric sepsis pathway/guideline is developed and implemented as a priority and all staff are provided with relevant training.	Paediatric Sepsis Pathway is ongoing and awaiting input from the medical team. Once implemented a comprehensive plan on training and information sharing will be rolled out	Nov-20	Nov-20 Jan-21 N/K	Red	18/09/2020 Request for update issued: 25/09/2020Response received Work is ongoing and will be ratified in Oct 2020. 20/11/2020 issued for update: Service response: In the October documentation group the sepsis pathway was agreed in principle with minor changes – this will go through global consultation in Dec for final approval.
19259	Jul-20	HIW	Puffin Unit / PACU, Withybush General Hospital	Open	N/A	Women and Children's Services	Paula Evans	Director of Operations	19259_003		R3: The health board must ensure that consider how all patients can be transferred in a timely way without being reliant on the goodwill of staff to work late when required	We were in discussions with the DAV crew with reference to transfer times, their handover times and working hours, this would help support transfers' in a timelier manner and reduce the need for working late.	N/K	N/K	Amber	Due to COVID 19 Puffin unit has been relocated to GGH, all actions will be implemented when paediatrics returns to WGH. However this will be reviewed on a quarterly basis and reported into the Women and Children's Quality and Safety meeting. 18/09/2020 Request for update issued: Ward closed. 20/11/2020 issued for update: Service response Unit closed moved to GGH
19097	Jul-20	HIW	Wards 7 & 11, WGH 04-05 Feb 20	Open	N/A	Unscheduled Care (WGH)	Janice Cole-Williams / Carol Thomas	Director of Operations	19097_009		R9: Staff respond to call bells in a timely manner to ensure that patients' needs are fully met	Observational spot check audits to be completed over a 2 month period. Continued review and monitoring of patient feedback	Sep-20	Sep-20 Dec-20 N/K	Red	16/09/2020 no update provided. 23/10/2020 Update requested 5/11/20 Response received Action not yet complete impacted by COVID planning , action to be completed by end of December
19097	Jul-20	HIW	Wards 7 & 11, WGH 04-05 Feb 20	Open	N/A	Unscheduled Care (WGH)	Janice Cole-Williams / Carol Thomas	Director of Operations	19097_017		R17: Consideration is given to providing appropriate storage facilities on both wards to ensure a trip free environment	Environmental spot audit to be undertaken by Senior Nurse Manager. Findings are discussed in monthly sisters scrutiny meetings with Senior Nurse Managers and Head of Nursing	Nov-20	Nov-20 N/K	Red	16/09/2020 no update 5/11/20 Response received: Due for completion by end November 2020
19097	Jul-20	HIW	Wards 7 & 11, WGH 04-05 Feb 20	Open	N/A	Unscheduled Care (WGH)	Janice Cole-Williams / Carol Thomas	Director of Operations	19097_023		R23: Patients in side rooms presenting with infection are risk assessed to confirm if it is appropriate to allow the doors to the rooms to remain open	Weekly spot check to be undertaken by Senior Nurse Managers for 6 weeks to ensure guidance is being adhered to	Sep-20	Sep-20 Dec-20 N/K	Red	16/09/2020 no update 23/10/2020 Update requested 5/11/20 Response received: Expected completion by end December 2020
19097	Jul-20	HIW	Wards 7 & 11, WGH 04-05 Feb 20	Open	N/A	Unscheduled Care (WGH)	Janice Cole-Williams / Carol Thomas	Director of Operations	19097_024		R24: Meals are delivered to patients in a timely fashion to prevent the food from going cold and wet with condensation	Weekly spot check to review timeliness of meal delivery	Oct-20	Oct-20 Nov-20 N/K	Red	16/09/2020 no update 23/10/2020 Update requested 5/11/20 Response received: Expected completion by end November 2020
19097	Jul-20	HIW	Wards 7 & 11, WGH 04-05 Feb 20	Open (external rec)	N/A	Unscheduled Care (WGH)	Janice Cole-Williams / Carol Thomas	Director of Operations	19097_026		R26: The Deprivation of Liberty Safeguards (DoLS) policy is updated to reflect the Liberty Protection Safeguards in line with the Mental Capacity (Amendment) Act 2019	Protocol drafted for managing the MHA/MCA Interface. Currently out for consultation. Final version to be approved by the MCA and Consent Group	Aug-20	Aug-20 April-22	Red	16/09/2020 Update received: SH advised A report on this is to be submit to the mental capacity and consent group next week for approval. It's been delayed as some of the key consultees in mental health haven't been available and the consent group hasn't met since February due to Covid response issues. If approved by the group next week it will still need to go for approval by the equivalent Mental Health scrutiny group, I'm not sure when they next meet. Further progress to be issued next week. 6/11/2020 update received from DoLS Co-ordinator. We have a DoLS policy that is within its review date. LPS will be completely new legislation and the DoLS policy will become obsolete on its introduction as it completely replaces DoLS. The work on the interface could be added to the current DoLS policy as an appendix detailing procedures to be followed, it can then be added to a future LPS policy as very similar issues will remain under the new legislation. Unable to provide a new date new LPS not expected before April 22. Recommendation currently outside the gift of the Health Board until new legislation is in place.
19097	Jul-20	HIW	Wards 7 & 11, WGH 04-05 Feb 20	Open	N/A	Unscheduled Care (WGH)	Janice Cole-Williams / Carol Thomas	Director of Operations	19097_028		R28: An assessment of a patients mental capacity is completed and documented in full and timely action taken to ensure the best interests of the patient are protected	Senior Nurse Managers spot checking and promoting appropriate referral evidence of spot checks over two months to be collated. Findings to be discussed in monthly scrutiny meeting	Nov-20	Nov-20 Dec -20 N/K	Red	16/09/2020 no update 23/10/2020 Update requested 5/11/20 Response received: Delayed due to Covid planning expected completion by end December 2020
190417	Aug-17	HIW MHL	Cwm Seren / Low Secure Unit (LSU) and Psychiatric Intensive Care Unit (PICU), 14-16 January 2019	Open	N/A	Mental Health & Learning Disabilities	Sara Rees / Kay Isaacs	Director of Operations	190417_003	N/A	The health board must ensure that the new observation panels on each room can be used by staff	Latent defect following new installation – estates department to contact contractor/manufacturer to resolve defect.	Jun-19	Jan-21 Mar-21	Red	Latent defect has been disputed with the manufacturers, issue escalated to Senior Manager Rob Elliot. 6/07/2020 Covid has delayed this and the issue is with an external contractor, this has been escalated to the company as Covid restrictions ease. 13/08/2020 update received, from Service Manager and Martin at Edmunds Webster Ltd. who states he has spoken to the supplier Vistamatic and they are working on it this now. They apologies for the delay but times are difficult at the moment. 02/10/2020 Requested update - 14/10/2020 Update received from Rob, Nevin. Julian Wheeler Jones has been dealing with this work with the contractor, one unit modified which has resolved the previous issues we had with these units. The main contractor is now in discussion with the manufacturer on a plan of action for us to return 6 units at a time, as it involves 17 units in total. Discussed with the senior nursing team on the ward, to plan the least amount of disruption to the service and without compromising safety. We are in the planning stage with the contractor and manufacturer at the moment. Date to be provided once known. Continue to chase this outstanding issue.
190417	Aug-17	HIW MHL	Cwm Seren / Low Secure Unit (LSU) and Psychiatric Intensive Care Unit (PICU), 14-16 January 2019	Open	N/A	Mental Health & Learning Disabilities	Sara Rees / Kay Isaacs	Director of Operations	190417_010	N/A	The health board must repair or replace the damaged flooring within the whole unit as this causes a risk to patient safety	Submit Capital Bid of £10,000 to replace flooring (Subject to approval and availability of Capital)	Dec-20	Dec-20 Feb -21	Red	No update August 2020. 2/10/2020 Requested update from Heather Williams who states This stage of the work has been completed. HW believes that other areas have been identified since. Clarification provided by Maggie Annison- PICU flooring already completed. LSU flooring funding approved. Site operational teams to implement flooring works to Step Down corridor, Section 136 room and 3 bedrooms by end of year. 04/12/2020 update requested, 14/12/2020 Maggie Annison confirmed LSU flooring funding approved. Site operational teams to implement flooring works to Step Down corridor, Section 136 room and 3 bedrooms by end of year. 29/12/2020 Site Estates Manager confirmed a new multi quote exercise is required as the previous quote is no longer valid. Mid Feb 2021.
No ref	Feb-19	HIW MHL	Joint Thematic Review of Community Mental Health Teams 2017-2018	Open	N/A	Mental Health & Learning Disabilities	Sara Rees / Kay Isaacs	Director of Operations	JTR_002	N/A	CMHTs need to ensure that service users are clear on how to access or contact services out of hours, or in the event of crisis or serious concern	Develop bespoke training to be delivered in conjunction with service users/carers/third sector. This will include effective crisis and contingency planning and will be audited through the established CTP Audit. Monitored via Mental Health Legislation Scrutiny Group (MHLSG).	Sep-20	Sep-20 Jan-21 April- 21	Red	01/05/2020 Working with external provider CTP training to deliver training date extended due to Covid 19. No update August 2020. 02/10/2020 - delayed due to COVID-19, first task and finish group of four due to take place early November, membership includes HB staff, 3rd sector and carer rep, it is anticipated that draft training package will be ready early in 2021. 10/12/2020 Response received: Task and finish group has started and agreement over how the training should be delivered has been reached – continued sessions to take place in January 2021 with implementation to begin in an estimated timeframe of April. The training will be delivered by carers to enhance the impact and importance of crisis planning and support to carers re: risk assessment and joint planning of CTP.

No ref	Feb-19	HIW MHL	Joint Thematic Review of Community Mental Health Teams 2017-2018	Open	N/A	Mental Health & Learning Disabilities	Sara Rees / Kay Isaacs	Director of Operations	JTR_007	N/A	CMHTs need to improve the recording of risk assessments within CTPs to ensure risks and management plans are more comprehensively recorded, more detailed and relevant to individual circumstances and particular situations	Develop bespoke training to be delivered in conjunction with service users/carers/third sector. Compliance will be audited through the established CTP Audit to be monitored via the MHLG.	Mar-20	Dec-21	Red	01/05/2020 Working with external provider CTP training to deliver training date extended due to Covid 19. No update August 2020. 02/10/2020 update requested, response received 22/10/2020 Head of AMH To pursue with the QAPD IE. Whether this can be incorporated in the implementation/training required in respect of our new Quality Assurance Document. 10/12/2020 To change the culture MH/LD are overhauling the approach and will be monitoring the impact the MHLG and via further external meetings to discuss and develop our QA footprint. The focus is to improve relationships and engagement with carers and most importantly our service users.
No ref	Feb-19	HIW MHL	Joint Thematic Review of Community Mental Health Teams 2017-2018	Open	N/A	Mental Health & Learning Disabilities	Sara Rees / Kay Isaacs	Director of Operations	JTR_018	N/A	CMHTs need to develop processes to evaluate the effectiveness of information, advice and assistance that is provided for service users	Discussions to take place at the transformation board for partnership consideration to develop a joint plan.	Nov-19	Feb-21	Red	No update received in May 2020. No update August 2020. 02/10/2020 Requested update - 22/10/2020 Sara to discuss this with Aileen, to be discussed at local partnership board, timescale currently unknown. 10/12/2020 update received: IAA service information (Third Sectors) is updated weekly (reflecting any changed or new service provision) by WWAMH and split into individual counties for relevant CMHT's. This information is shared directly with team members and is also available within the centres in hard copies and PDF which can be shared with individuals accessing the centres. We are currently having discussions with our local authority social care colleagues to understand how they are evaluating their IAA services as part of the Act. It is hoped that we can take some shared learning from this and develop and implement a proportionate evaluation method across our CMHTs. This will be on the agenda at the next LMHPB in mid-January
No ref	Feb-19	HIW MHL	Joint Thematic Review of Community Mental Health Teams 2017-2018	Open	N/A	Mental Health & Learning Disabilities	Sara Rees / Kay Isaacs	Director of Operations	JTR_021	N/A	Health boards and local authorities need to work together to improve joint processes for driving the improvement of services. This includes the need for greater alignment of processes within CMHTs including integrated records and data collection	The MH/LD Directorate continues its commitment to co-producing the implementation of its Transforming Mental Health Programme. A data and evaluation work stream has recently been established to review data gathering processes and develop means of continuous quality improvement. The UHB are being assisted by Swansea University. Ensure information systems are updated with a move to Welsh Patient Administration System (WPAS) anticipated this year, followed by migration to Welsh Community Care Information System (WCCIS) across health and social care services.	Dec-22	Dec-22	Amber	01/05/2020 Long term action linked to the Transforming Mental Health program. No update August 2020. 02/10/2020 Requested update - Complete, care partner is the MH documentation which is used by relevant local authority staff for statutory CTP patients, the migration to WPAS is in progress, it is in the transition phase. 4/12/2020 update requested, response received: WPAS migration has been completed however some issues between the interfaces of the systems are being ironed out.
No ref	Feb-19	HIW MHL	Joint Thematic Review of Community Mental Health Teams 2017-2018	Open	N/A	Mental Health & Learning Disabilities	Sara Rees / Kay Isaacs	Director of Operations	JTR_023	N/A	All CMHT staff should receive training in the following; RED • Mental Health Act • Social Services and Well Being Act • First Aid and the use of defibrillators	Identify CMHT staff trained in First Aid and produce a training plan to ensure all CMHT staff are trained.	Nov-19	N/K	Red	No update received in May 2020. No update August 2020. 2/10/2020 Update requested. 22/10/2020 Update received from Head of AMH, to pursue with the training dept for the First Aid component. Service has not provided revised timescale. 4/12/2020 update requested, response received: Discussions are ongoing at the Admin Managers Forum to identify appropriate staff and source First Aid training. Unknown when this will be completed due to Covid.
No ref	Mar-19	HIW MHL	How are healthcare services meeting the needs of young people? Thematic Review 2019	Open	N/A	Mental Health & Learning Disabilities	Sara Rees / Angela Lodwick	Director of Operations	Theme_YMH_21	N/A	Welsh Government and health boards must ensure there are clear transition pathways and policies in place for each service area. Where possible, there should be consistency in approaches to transition in line with national guidelines.	HOUHB will ensure there is an up to date Transition Policy in place for transition from S-CAMHS to AMHS	Dec-19	Dec-20 Mar-21 Sept -21	Red	HOUHB will ensure there is an up to date Transition Policy in place for transition from S-CAMHS to AMHS. 02/10/2020 Transition post, recruitment successful, commenced in post October 2020, currently undertaking 3 month induction, will attend WCDG as part of the induction. New completion date March 2021. 16/12/2020 HOS confirmed COVID 19 impacting on availability of Transition Lead to complete actions due to having to work clinically. Realistically this will not be achieved by March 2021 due to C19 impact and advise a revised target of September 2021 as we don't know how long c19 restrictions will impact or when staff will be vaccinated. The Primary MH Lead has left her post and we have advertised and recruited a new b7 who starts Feb 2021 but will need an induction as coming from England and the Transition Lead has to work clinically now due to c19 as staff levels are low and we've had to prioritise essential services.
No ref	Mar-19	HIW MHL	How are healthcare services meeting the needs of young people? Thematic Review 2019	Open	N/A	Mental Health & Learning Disabilities	Sara Rees / Angela Lodwick	Director of Operations	Theme_YMH_21	N/A	Welsh Government and health boards must ensure there are clear transition pathways and policies in place for each service area. Where possible, there should be consistency in approaches to transition in line with national guidelines.	This Policy will be formally ratified by the Written Policy Control Group and reviewed by the multi disciplinary group every 3 years or when national policy indicates.	Dec-19	Dec 20 March 21 Sept -21	Red	Delayed due to Covid 19 recruitment priority. Relies on a new Transitional Lead post. No update August 2020. 02/10/2020 Requested update - Transition post, recruitment successful, commenced in post October 2020, currently undertaking 3 month induction, will attend WCDG as part of the induction. New completion date March 2021. 16/12/2020 HOS confirmed COVID 19 impacting on availability of Transition Lead to complete actions due to having to work clinically Realistically this will not be achieved by March 2021 due to C19 impact and advise a revised target of September 2021 as we don't know how long c19 restrictions will impact or when staff will be vaccinated. The Primary MH Lead has left her post and we have advertised and recruited a new b7 who starts Feb 2021 but will need an induction as coming from England. The Transition Lead has to work clinically now due to c19 as staff levels are low and we've had to prioritise essential services
No ref	Mar-19	HIW MHL	How are healthcare services meeting the needs of young people? Thematic Review 2019	Open	N/A	Mental Health & Learning Disabilities	Sara Rees / Angela Lodwick	Director of Operations	Theme_YMH_21	N/A	Welsh Government and health boards must ensure there are clear transition pathways and policies in place for each service area. Where possible, there should be consistency in approaches to transition in line with national guidelines.	Transition workshop/s will be held across both services to provide training & awareness on transition and disseminate good practice including the Welsh Governments documents : - HDUHB Transition Policy /Pathway - T4CYP Good Transition Guidance for CAMHS - Young Persons Passport - NICE Guidelines Transition - Emotional needs of young people and families –systemic approach	Dec-19	Dec 20 March 21 Sept -21	Red	Delayed due to Covid 19 recruitment priority. Relies on a new Transitional Lead post. No update August 2020. 02/10/2020 Requested update - Transition post, recruitment successful, commenced in post October 2020, currently undertaking 3 month induction, will attend WCDG as part of the induction. New completion date March 2021. 16/12/2020 HOS confirmed COVID 19 impacting on availability of Transition Lead to complete actions due to having to work clinically Realistically this will not be achieved by March 2021 due to C19 impact and advise a revised target of September 2021 as we don't know how long c19 restrictions will impact or when staff will be vaccinated. The Primary MH Lead has left her post and we have advertised and recruited a new b7 who starts Feb 2021 but will need an induction as coming from England. The Transition Lead has to work clinically now due to c19 as staff levels are low and we've had to prioritise essential services .
No ref	Mar-19	HIW MHL	How are healthcare services meeting the needs of young people? Thematic Review 2019	Open	N/A	Mental Health & Learning Disabilities	Sara Rees / Angela Lodwick	Director of Operations	Theme_YMH_22	N/A	Health boards must ensure there are robust systems to monitor transition policies and pathways across healthcare services to ensure approaches are effective.	HOUHB will develop a multiagency Transition Steering Group which will provide oversight and effective governance on transition	Aug-19	Dec 20 March 21 Sept -21	Red	Delayed due to Covid 19 recruitment priority. Relies on a new Transitional Lead post. No update August 2020. 02/10/2020 Requested update - Transition post, recruitment successful, commenced in post October 2020, currently undertaking 3 month induction, will attend WCDG as part of the induction. 16/12/2020 HOS confirmed COVID 19 impacting on availability of Transition Lead to complete actions due to having to work clinically Realistically this will not be achieved by March 2021 due to C19 impact and advise a revised target of September 2021 as we don't know how long c19 restrictions will impact or when staff will be vaccinated. The Primary MH Lead has left her post and we have advertised and recruited a new b7 who starts Feb 2021 but will need an induction as coming from England. The Transition Lead has to work clinically now due to c19 as staff levels are low and we've had to prioritise essential services

No ref	Mar-19	HIW MHL	How are healthcare services meeting the needs of young people? Thematic Review 2019	Open	N/A	Mental Health & Learning Disabilities	Sara Rees / Angela Lodwick	Director of Operations	Theme_YMH_22	N/A	Health boards must ensure there are robust systems to monitor transition policies and pathways across healthcare services to ensure approaches are effective.	The Steering Group will have clear Terms of Reference which include the following: - Monitor implementation of the Transition Policy - Review of the data on all transitions 6 monthly - Coordinate training on Transition & pathways - Quality assurance on adherence to policy/ processes HOUHB will undertake an audit of transition on an annual basis to review its compliance with Transition Policy via the Quality Assurance Team (Appendix 5)	Aug-19	Dec 20 March 21 Sept -21	Red	Delayed due to Covid 19 recruitment priority. Relies on a new Transitional Lead post. No update August 2020. 02/10/2020 Requested update - Transition post, recruitment successful, commenced in post October 2020, currently undertaking 3 month induction, will attend WCDG as part of the induction. 16/12/2020 HOS confirmed COVID 19 impacting on availability of Transition Lead to complete actions due to having to work clinically Realistically this will not be achieved by March 2021 due to C19 impact and advise a revised target of September 2021 as we don't know how long C19 restrictions will impact or when staff will be vaccinated. The Primary MH Lead has left her post and we have advertised and recruited a new b7 who starts Feb 2021 but will need an induction as coming from England. The Transition Lead has to work clinically now due to C19 as staff levels are low and we've had to prioritise essential services.
No ref	Mar-19	HIW MHL	How are healthcare services meeting the needs of young people? Thematic Review 2019	Open	N/A	Mental Health & Learning Disabilities	Sara Rees / Angela Lodwick	Director of Operations	Theme_YMH_26	N/A	Health boards must ensure young people are involved in the planning and transition process and are provided with adequate support to enable them to adjust.	HOUHB will implement the Young Persons Passport to increase awareness of transition, increase their participation in the transition process and provide support.	Sep-19	Dec 20 June 21 Sept -21	Red	Delayed due to Covid 19 recruitment priority. Relies on a new Transitional Lead post. No update August 2020. 02/10/2020 Requested update - New transition worker now in post, actions need to be prioritised new completion date June 2021 16/12/2020 HOS confirmed COVID 19 impacting on availability of Transition Lead to complete actions due to having to work clinically Realistically this will not be achieved by March 2021 due to C19 impact and advise a revised target of September 2021 as we don't know how long C19 restrictions will impact or when staff will be vaccinated. The Primary MH Lead has left her post and we have advertised and recruited a new b7 who starts Feb 2021 but will need an induction as coming from England. The Transition Lead has to work clinically now due to C19 as staff levels are low and we've had to prioritise essential services.
No ref	Mar-19	HIW MHL	How are healthcare services meeting the needs of young people? Thematic Review 2019	Open	N/A	Mental Health & Learning Disabilities	Sara Rees / Angela Lodwick	Director of Operations	Theme_YMH_27	N/A	Health boards must ensure there is sufficient time to allow for effective transition and planning starts as early as possible.	A transition referral will be completed to formalise the handover of care as per Transition Policy.	Sep-19	Dec 20 June 21	Red	Delayed due to Covid 19 recruitment priority. Relies on a new Transitional Lead post. No update August 2020. 02/10/2020 Requested update - New transition worker now in post, actions need to be prioritised new completion date June 2021 16/12/2020 Time frame realistic and dependant on all above actions being implemented.
No ref	Mar-19	HIW MHL	How are healthcare services meeting the needs of young people? Thematic Review 2019	Open	N/A	Mental Health & Learning Disabilities	Sara Rees / Angela Lodwick	Director of Operations	Theme_YMH_32	N/A	Welsh Government and health boards need to review the differences between service models and thresholds between child and adult healthcare services and consider how young people can continue to receive holistic care and support into adulthood.	Colleagues in adult mental health services will be provided with training to understand the developmental needs of young people and their families in accessing mental health services and the need for a individual systemic approach for some young people in accessing services.	Sep-19	Mar 21 Sept 21	Red	Delayed due to Covid 19 recruitment priority. Relies on a new Transitional Lead post. No update August 2020. 02/10/2020 Requested update - Change completion date to Sept 2021 due to training pack needing to be developed by the transition worker and training set up on MST. 16/12/2020 Time frame realistic and dependant on all above actions being implemented.
No ref	Mar-19	HIW MHL	How are healthcare services meeting the needs of young people? Thematic Review 2019	Open	N/A	Women and Children's Services	Margaret Devonald-Morris	Director of Operations	Theme_YMH_29	N/A	Welsh Government and health boards need to ensure there are appropriate transition pathways and support for young people with complex health needs and life limiting conditions.	Transition pathway in place for those CYP who have a continuing care package. Well-child Transitional Care nurse in post, application to a charity of a Transitional Epilepsy Specialist Nurse.	Sep-19	Feb-22	Red	4/12/2020 Senior Nurse Community Children's Services a request has been submitted to ROALD DAHL charity to fund a Transitional Epilepsy Specialist Nurse. Email received from the charity on the 25/11/2020 stating that they are inundated and that they will provide an outcome asap. 27/01/2021 Charity has notified the Service that they were unsuccessful in their bid for funding, feedback has been requested. Directorate to develop and submit a Business Case to support a new post.
No ref	Mar-19	HIW MHL	How are healthcare services meeting the needs of young people? Thematic Review 2019	Open	N/A	Women and Children's Services	Margaret Devonald-Morris	Director of Operations	Theme_YMH_30	N/A	Health boards must ensure there are consistent and robust systems identify young people who will need to transition and support for attending appointments in adult services.	Transition pathway in place for those CYP who have a continuing care package. Well-child Transitional Care nurse in post, application to a charity of a Transitional Epilepsy Specialist Nurse.	Sep-19	Feb-22	Red	4/12/2020 Senior Nurse Community Children's Services a request has been submitted to ROALD DAHL charity to fund a Transitional Epilepsy Specialist Nurse. Email received from the charity on the 25/11/2020 stating that they are inundated and that they will provide an outcome asap. 27/01/2021 Charity has notified the Service that they were unsuccessful in their bid for funding, feedback has been requested. Directorate to develop and submit a Business Case to support a new post.
No ref	Mar-19	HIW MHL	How are healthcare services meeting the needs of young people? Thematic Review 2019	Open	N/A	Operations Directorate	Andrew Carruthers	Director of Operations	Theme_YMH_31	N/A	Health boards must ensure that adult services make every effort to engage with young people and communicate with other involved agencies, to ensure they can successfully transition.	There are transition pathways in place for a number of specific conditions. There are learning disability liaison nurses and there is information on supporting reasonable adjustments. By December 2020, the Health Board will be undertaking a comprehensive assessment of all Health Board CYP services to identify areas of improvement which will include reviewing transition arrangements and communication with adult services.	Sep-19	Dec-20 N/K	Red	14/09/2020 - chaser e-mail sent to Mandy Rayani for updates in time for HIW update deadline of 9th October. Awaiting clarification if Director of Operations will lead on this recommendation.
19009	Sep-19	HIW MHL	St Caradog Ward & St Non Ward, Canolfan Bro Cerwyn WGH 10-12 June 2019	Open (external rec)	N/A	Mental Health & Learning Disabilities	Melanie Evans / Kay Isaacs	Director of Operations	19009_007	N/A	The Health Board must ensure that their policy/s on the interface between DoLS and MHA is compliant in law to ensure it does not diverge from the principle in law	Following reviews of current legislation, interface guidance between DOL's and MHA will be developed and draft will be sent to HB legal department for review prior to ratification.	Jul-20	Apr-22	Red	1/05/2020 Awaiting National advice, outside the control of the HB. 31/07/2020 Assurance and Risk Officer emailed service for update. Response received, 10/08/2020 The implementation of the Liberty Protection Safeguards (LPS) has been delayed until April 2022. This was due to replace the Deprivation of Liberty Safeguards (DoLS). 02/10/2020 Requested update- 22/10/2020 response received Head of AMH to request information from Sarah Roberts Administration Manager, as whilst new legislation not due we can use what is current. Internal DoLS policy currently being used until new legislation in April 2022. 4/12/2020 Recommendation outside gift of Health Board until new legislation is in place.
19106	Apr-20	HIW MHL	HIW & CIW: Joint Community Mental Health Team Inspection (Announced) Llanelli Community Mental Health Team - 03 and 04 December 2019	Open	N/A	Mental Health & Learning Disabilities	Kay Isaacs	Director of Operations	19106_013		The health board and local authority must consider installing an emergency call system within the consulting rooms and other clinical areas.	To act on the results and recommendations.	Jun-20	Sep-20 Dec-20 N/K	Red	Delayed due to Covid19, Senior MH Nurse allocating work to Manager. 18/08/2020 Head of Adult MH Service confirmed the need for alarms in clinical areas has been identified and this work will go ahead. 02/10/2020 Requested update - 22/10/2020 Head of Adult MH states this is a duplicate - acting on the recommendation means making sure that the emergency call system is implemented - probably a project and funding required. Not completed further work required. 09/12/2020 Brynmair CPN advised that Estates were going to try and source some suitable alarms for the rooms
HOUHB1718-35	Apr-18	Internal Audit - HOUHB	Theatres Directorate	Open	Reasonable	Scheduled Care	Stephanie Hire / Diane Knight	Director of Operations	HOUHB1718-35_002	Medium	R10. The practice of providing unnecessary 'rest days' to staff at BGH should be promptly reviewed. Any future agreement on rest time, following a period of on-call, should be in line with the A4C NHS terms and conditions of service.	Work already underway to remove compensatory rest day from roster and align on-call practice with A4C and the NHS Wales Harmonising On Call Arrangements (May 2012). This finding is directly linked with Grievance in progress. Working group established to address issues and concerns. As of 13 Feb 2018, HoN Scheduled Care assumes responsibility with SNMs for all elements of workforce management.	Nov-17	N/K	Red	The recommendations cannot be addressed until grievance process is complete. Recommendation currently with Director of Operations.
HOUHB1819-33	Feb-19	Internal Audit - HOUHB	Records Management	Open	Limited	Health Records/ Planning, Performance & Commissioning (Informatics)	Steven Bennett	Director of Operations	HOUHB1819-33_001	Medium	R1. Management should ensure the Corporate Records Management Strategy and Policy are submitted to the Business Planning & Performance Assurance Committee for approval.	Following internal discussions, the Corporate Office is leading the review and updating of the Corporate Records Management Strategy and Policy. This will require contributions and input from a number of teams across the UHB. Once reviewed, these will be submitted to the Business Planning & Performance Assurance Committee at the earliest opportunity.	Sep-19	Sept-20 Jan-21 Mar-21	Red	Apr 20 ARAC update: Due to COVID outbreak, the work associated with many of the recommendations has been delayed by at least 3-4 months. A revised policy was due to be considered at the March 2020 IGSC, however this was postponed due to current outbreak. A meeting had been scheduled with the Information Governance Team to progress this work, but due to the pandemic, two meetings have been cancelled. An extension until September 2020 would be appreciated to allow time agree an approach and action the work required. 01/10/2020- Informatics Business Manager to check with Head of Information Governance that she is now the responsible officer for implementing this recommendation. Revised date to be sought. 22/10/2020 - Update provided to October ARAC: A revised policy will be considered at IGSC in January 2021 following clarification of roles and responsibilities. 29/10/2020- recommendation owner changed from Head of Corporate Office to Head of Information Governance. 08/12/2020- Health Records Manager- Corporate Records Management Strategy and Policy will be reviewed for consideration by IGSC in March 2021, prior to submission to PPPAC.
HOUHB1819-33	Feb-19	Internal Audit - HOUHB	Records Management	Open	Limited	Health Records/ Planning, Performance & Commissioning (Informatics)	Steven Bennett	Director of Operations	HOUHB1819-33_004	Medium	R4. Management should ensure that the services and functions holding patient records locally are reminded of their requirement to comply with the Retention & Destruction Policy.	As identified in the recommendation above following a report reviewed by the non pay panel it identified that services across the Health Board were utilising private storage companies to store a wide range of records and Health Board information. There were significant costs associated with the storage facilities and there was a feeling that a number of records currently in storage could be destroyed because they have passed the necessary retention period. This information was contained within the records brief presented to the Executive Team in November and will also form part of the work undertaken by the project group and sub groups. As part of the scoping working the groups will be required to identify any records outside of retention guidance and the relevant costs of destruction. As clarified above this work will be progressed early in the new year.	Mar-19	Jul-21	Red	22/10/2020 - update as per follow up report issued to ARAC in October 2020: The previous report identified a disparity between department and services on the compliance of record retention and destruction. We can confirm that the Health Records Manager issued a reminder to all staff of their responsibilities to adhere to the Retention and Destruction of Records Policy in February 2019 via the global email system. In addition, the retention and destruction of records was identified as a key theme within the workstreams established by the Health Record Modernisation Programme. However, as noted above, due to the impact of Covid-19 the progress of the Health Record Modernisation Programme was temporarily paused in February 2020. Timescale unknown. 08/12/2020- Health Records Manager update- There is a possibility that we may be able to provide some joint IG/Health Records training in 2021. The training possibility is currently under review and will be assessed in line with current covid protocols, guidance and hospital rates. Further meetings are planned for the February 2021 with a view to implementing the training sessions towards the middle of next year. Revised timescale of July 2021.

HDUHB1819-33	Feb-19	Internal Audit - HDUHB	Records Management	Open	Limited	Health Records/ Planning, Performance & Commissioning (Informatics)	Steven Bennett	Director of Operations	HDUHB1819-33_007	Medium	R7: Management should establish refresher sessions to ensure existing staff receive records management training.	Ad hoc Health Records training sessions have been completed for all ward clerks and secretaries across the Health Board apart from at Bronglais and these training sessions will be completed by February 2019. Recently the Health Records Manager and Head of Governance have discussed the possibility of introducing joint IG/Health Records training sessions. Further discussions are planned for next year with the potential to implement across the Health Board in 2019. It is correct that after receiving robust departmental induction and on the job training, staff within the Health Records service currently do not receive any update or refresher training. The responsibilities within the service and the staff roles have not altered when compared to the duties undertake 10 years ago and the majority of the tasks are exactly the same, as they always have been. The Health Records Manager will discuss this recommendation with the Deputy Director of Operations and the Deputy Managers and identify if this is an essential requirement and the most effective format to deliver refresher training if required.	Feb-19	Jun-21	Red	22/10/2020 - update as per follow up report issued to ARAC in October 2020: The Health Records Manager confirmed that following a departmental review it was decided that Health Records employees did not require additional refresher training due to department induction and on job training. The Welsh Health Records Management Group have had initial conversations on the production of an 'All Wales' training programme but it is still very much in its infancy with little progress made to date. In addition, there is no resource at present in the Health Board to deliver refresher/update training locally. Timescale unknown. 08/12/2020 - Health Records Manager update- we are going to change track slightly following a meeting with the IG team. It has been agreed refresher training in records is not required but the IG team may now have capacity to support joint training with us and we are going to undertake and assessment in February with a view to implementation middle of next year. I will be adding this as an action on my risk register.
HDUHB-1920-05	Oct-19	Internal Audit - HDUHB	Welsh Language Standards Implementation	Open (external rec)	Reasonable	CEOs Office (Welsh Language)	Yvonne Burson	CEO	HDUHB-1920-05_001	Low	R1. Management should consider introducing a Welsh Language Standards e-learning module as part of the ESR training programme to ensure staff and managers understand their roles and responsibilities in line with the Standards.	The Welsh Language Services Team has contributed to a national piece of work being co-ordinated by Betsi Cadwaladr UHB and Shared Services, in the Once for Wales spirit of partnership, and the outcome is an e-learning resource. Timescale for this is currently unknown, but we plan to roll out once launched. In the meantime, we are targeting focused training and awareness and cascading through key teams.	Oct-19	Oct-20 Apr-21	Red	21/10/2020 update-Work is on-going at an All-Wales level to produce an e-learning module for all Health Boards. This has been delayed due to Covid-19, but the group plans to launch the new e-learning model in April 2021.It is anticipated that face-to-face corporate induction sessions will recommence within the next month (November 2020). Revised date of April 2021 provided. 28/01/2021 update-Work is progressing at an All-Wales level, with Hwyl Dda UHB input, to produce an e-learning module for all Health Boards in Wales. This has been delayed due to Covid-19, but the group is on track to launch the new e-learning model in April 2021 by the amended deadline. Recommendation is currently outside the gift of the UHB to implement.
HDUHB 1920-20	Feb-20	Internal Audit - HDUHB	Cyber Security (Stratia Report)	Open	Reasonable	Digital and Performance	Paul Solloway/ Anthony Tracey	Director of Finance	HDUHB 1920-20_001	Medium	R1. A cyber security role for the Health Board should be properly defined and operating appropriately so to enable the Health Board ICT department to fully use the security products available to them.	Management response to be agreed at ARAC June 2020: Agreed. Following the announcement of the Digital Priorities Invest Fund (DPIF) from Welsh Government, the Health Board secured resources to appoint a Band 6 Cyber Security post. However, due to the funding letter only arriving in December 2019, and the requirement to spend the investment by March 2020, the funding for 2019/20 was utilised to strengthen the cyber tools within the Health Board. The recurring funding will be directed towards funding a full time post for cyber security, to provide the monitoring of the tool sets purchased, both at a national and local level. The post has been through the appropriate governance mechanisms within the Health Board and is ready to be advertised	Sep-20	Sep-20 Dec-20 Mar-21	Red	Revised management response reported to ARAC June 2020. Aug 2020 update- No suitable candidates from first job advert, further advert will be undertaken. In the interim looking to use short term contractors to progress this work in the interim. 03/09/2020- Job has been readvertised and currently reviewing applicants. This recommendation cannot be progressed until this resource is in place. Assurance & Risk Officer will receive further update next month once interviews have taken place. 01/10/2020- job advertisement was unsuccessful. Job description being revised to a higher band in the hope it will attract suitable applicants. In the interim the service is looking to use current resources and possible contractors to start with work before person is in post, which is looking like January 2020 at the earliest. Revised timescale of March 2021 provided. 05/11/2020- awaiting of outcome of rebanding job description, issue across Wales with finding suitable candidates. 04/12/2020- Rebanding has been agreed and on Trac system, waiting for sign off then will be readvertised. 07/01/2020- Digital Business Manager confirmed job out for advert with deadline of next week, hopeful to get Band 7 in place.
HDUHB_1920_40	Mar-20	Internal Audit - HDUHB	IM&T Assurance – Follow Up	Open	Reasonable	Digital and Performance	Anthony Tracey / Sarah Brain	Director of Finance	HDUHB_1920_40_003	Medium	WOD advice should be sought on the matter of compulsory breaks to ensure the European Working Time Directive is appropriately adhered to.	The business manager was able to supply a paper which was produced for the Executive Team in June 2019, this paper evidences that work is underway to address the noncompliance of the original recommendation. The paper lists under option 4, temporary measures the health board is implementing while the permanent measures are implemented. The paper being explored, and further work to progress an OCP and Executive Paper in March 2020 evidence that this	May-19	Jul-21	Red	Update June 2020- this is currently going through full OCP for Switchboards. Estimated delivery now July 2021. 01/10/2020- On track for July 2021. 05/11/2020- on track, working through getting software solution to enable crossover between sites. 04/12/2020- Delays in software solution therefore looking at shift patterns and other ways of working. 07/01/2021- Digital Business Manager confirmed newly developed shift patterns are going through checks and then will go through consultation with staff across the 3 sites. Should be on track for July 2021 date.
HDUHB-1920-38	May-20	Internal Audit - HDUHB	Review of PADR Process (Follow Up)	Open	Reasonable	Workforce & OD	Robert Blake	Director of Workforce & OD	HDUHB-1020-38_002	Medium	R2. Management should ensure managers and leads across the organisation receive PADR training in order to aid them in undertake appraisals in line with Health Board expectations, thus increasing the quality of the reviews. PADR Training Follow Up Comments In the original report, a review of the bespoke and NHS bespoke passport training register maintained by Workforce & OD identified seven (of 11) sampled wards and departments where at least one employee had not received PADR training. A review of the Workforce & OD register, as at April 2020, continued to identify three of the seven wards where no employee had received PADR training – Catering BGH, Endoscopy BGH and Ceredig Ward BGH.	Management response from original report: PADR training is included in the managers' passport; however, since the publication of the audit report drop-in sessions have been arranged across the organisation to support the PADR process. The first session in Carmarthen was well attended with 20 individuals receiving refresher training. Alternative methods of providing PADR training will be explored to include Webinar type training to provide increased coverage this will be monitored by Workforce & OD Sub Committee. Further sessions will be scheduled throughout 2019/20.	Mar-20	Mar-21 July -21	Red	19/11/2020 Update 1.All services identified in the initial report requiring training have been contacted and invited to a bespoke training session. This was completed by November 20 2.The PADR video is taking a little longer to complete due to reviewing training software but will be ready by end of Nov 2020. 3.We are on track to implement by March 2021. 26/1/21 Update 1. Three of the Five leaders identified in the report has undertaken the training, the other two are on the waiting list and will be invited to the next session for the 25th Feb. The Performance Management training session is now being held monthly on virtual platform. 2. OD are still reviewing suitable software that enables Welsh translation sub titles to be added. The software will enable animated videos and possible avatars to work through how to prepare and undertake a PADR from both a leader and colleague perspective. 3. First recommendation is now implemented, second recommendation will be completed by July 21.
HDUHB-1920-38	May-20	Internal Audit - HDUHB	Review of PADR Process (Follow Up)	Open	Reasonable	Workforce & OD	Robert Blake	Director of Workforce & OD	HDUHB-1020-38_003	Medium	R3. Management should undertake a periodic sample verification of PADR compliance figures to ensure accuracy of reported information. PADR Compliance Figures Follow Up Comments The original report noted instances where the PADR compliance figures recorded within the ESR system were inaccurate for a sample of wards and departments. Concluding a review of PADR compliance levels, as at 31st March 2020, we can confirm that ward and department compliance figures are only recorded and maintained on ESR. Due to the outbreak of coronavirus (COVID-19), we were unable to verify PADR numbers against the figures recorded in ESR.	Management response from original report: As noted above this will be built into the PADR policy and revised process moving forward. A random sample will also be selected by the OD team on a quarterly basis and findings reported to managers as necessary. Areas of concern will be discussed as part of the Chief Executive performance review process. As noted above this will also be included in future updates provided to Workforce & OD Sub Committee. The ESR team will also be in contact with the areas noted above who stated they did not use ESR to record PADRs to rectify this and ensure ESR is updated moving forward.	Jul-19	Mar-21 July -21	Red	12/11/2020 Update required 18/11/2020 Update 1.A revised policy has been written in a values based style and outlines the need of a performance led culture. The process will outline the need for a quality conversation that is updated on ESR to ensure compliance figures are valid. The policy is currently with policy group and is awaiting submission to PPPAC. 2.This action is suspended due to the ongoing Global pandemic, when it is suitable for the OD team to visit sites for random sampling then it will reconvene. 3.Many issues are discussed as part of Chief Executive holding to account meetings 4.Many areas of concern will be highlighted through W&OD Senior Team Leaders at the Workforce & OD Senior Leadership Team. 5.Many areas that are non-compliant in ensuring ESR data is valid will be contacted and advised to do so, continued non-compliance will be escalated to relevant Senior Leads. All of these actions are either complete or will be completed by March 2021. 26/1/2021 Update 1. Revised policy still with policy group and will assess what date this should be submitted to PPPAC. 2. Lockdown is still impeding the OD teams ability to complete quarterly review meetings with sites. This will again reconvene when it is safe to do so. 3. Any issues are discussed as part of Chief Executive holding to account meetings 4. Any areas of concern will be highlighted through W&OD Senior Team Leaders at the Workforce & OD Senior Leadership Team. 5. Any areas that are non-compliant in ensuring ESR data is valid will be contacted and advised to do so, continued non-compliance will be escalated to relevant Senior Leads.
HDUHB-1920-10	Jun-20	Internal Audit - HDUHB	Business Continuity	Open	Reasonable	Public Health	Sam Hussell	Director of Public Health	HDUHB-1920-10_001	Medium	R1. The Director of Public Health should review training processes currently in operation within the Health Board and ensure this is accurately reflected in the Business Continuity Planning Policy.	The Policy will be amended to reflect that training for BCM and associated TNA and record keeping has been replaced with hands-on-support, guidance and instruction by the Emergency Planning Team to individual(s) responsible for creating the BC Plan for each department.	Nov-20	Nov -20 NK	Red	Final version received at August 2020 ARAC. 27/11/2020 emailed requesting update 10/12/2020 Business Continuity Officer updated: The delay is due to Covid19, unable to give a predicted date as to when this will be completed.
HDUHB-1920-10	Jun-20	Internal Audit - HDUHB	Business Continuity	Open	Reasonable	Public Health	Sam Hussell	Director of Public Health	HDUHB-1920-10_002	Medium	R2: Management should ensure the Business Continuity Planning Policy is reviewed and updated to reflect current processes and procedures before being submitted for approval at the People, Planning & Performance Assurance Committee	A review of the Health Board's Business Continuity Planning Policy was postponed earlier this year due to the Coronavirus outbreak. As we are still in response mode to this crisis, we agree to review the policy as it stands as an interim measure. The reviewing of this Policy was intentionally paused in the New Year following learning taken from the extreme pressures and sustained periods of escalation of the urgent care system, particularly during December 2019. It was proposed that we would develop a Business Continuity Framework to aid escalation and de-escalation during periods of high demand or pressure in the system. This work was taken over by events at the end of January / beginning of February 2020.	Nov-20	Nov -20 NK	Red	Final version received at August 2020 ARAC. 27/11/2020 emailed requesting update 10/12/2020 Business Continuity Officer updated: The delay is due to Covid19, unable to give a predicted date as to when this will be completed.
HDUHB-1920-10	Jun-20	Internal Audit - HDUHB	Business Continuity	Open	Reasonable	Public Health	Sam Hussell	Director of Public Health	HDUHB-1920-10_006	Medium	R6: The Emergency Planning Team should review the feasibility of uploading and maintaining all business continuity plans on the intranet. Where changes are identified, this should be reflected in the Business Continuity Planning Policy, otherwise all directorate, service and department plans should be shared online.	All Departmental Business Continuity plans to be shared, managed and reviewed through departmental shared drives. This new process will be reflected in the Policy. In addition, model BCM plans will be placed on the intranet as examples of good practice for guidance purposes.	Nov-20	Nov -20 NK	Red	Draft Internal Audit reported to ARAC April 2020 with no management response included. Final version received at August ARAC. 27/11/2020emailed requesting update Response received 10/12/2020 Business Continuity Officer confirmed : The delay is due to Covid19, unable to give a predicted date as to when this will be completed as this recommendation is reliant on IT assistance .
HDUHB-1920-04	Jun-20	Internal Audit - HDUHB	Health & Safety	Open	Reasonable	Nursing (Health & Safety)	Tim Harrison	Director of Nursing, Quality & Patient Experience	HDUHB-1920-04_002	Medium	R2: Management should ensure that mechanisms are in place to capture the findings following risk assessments undertaken by directorates, services or departments to ensure actions are implemented to mitigate the identified risks	Datix Risk is now being reviewed and scrutinised by the Health & Safety Team. Control measures are being evaluated and where necessary departments visited to establish if they provide the adequate level of protection for staff or others. Any concerns regarding controls to reduce the risks will be documented and monitored. Key performance indicators are under development and will be shared with HSAC once finalised. Risk report to be provided and monitored at each directorate quality meeting and corporate Health & Safety risk register to be presented at agreed intervals to HSAC.	Sep-20	Sep-20 N/K	Red	23/10/2020- requested update from reporting officer that recs 2, 3 and 4 have now been implemented. Awaiting response. 26/01/2021- Internal Audit are planning scope of next Health & Safety IA report with H&S team, to be reported to ARAC in April 2021 (if it does not make February 2021 agenda).

HDUHB-1920-04	Jun-20	Internal Audit - HDUHB	Health & Safety	Open	Reasonable	Nursing (Health & Safety)	Tim Harrison	Director of Nursing, Quality & Patient Experience	HDUHB-1920-04_003	Medium	R3: Management should liaise with directorates and services to ensure that arrangement currently in place meet the requirements set out in the Health & Safety Policy.	The Health & Safety Team will develop a model of introducing 'H&S Champions / Co-ordinators' into several departments during 2020/21. H&S Co-ordinator model currently being developed with the aim to submit the proposal to the H&SA Committee August 2020. The champions will co-ordinate and implement local H&S arrangements and advise the Heads of Department if performance / compliance does not reach the standards required. The role will involve proactively working with the Health & Safety Team to establish and maintain a culture of safe, environmentally friendly practices across the organisation. Working with the Directorate senior management team, they will be responsible for implement the Health & Safety Policy and systems, and keeping up-to-date with the relevant legislation. In the meantime, the H&S Team are undertaking H&S departmental audits that	Aug-20	Oct-20 N/K	Red	The dept. H&S Co-ordinator/Champion role has not been implemented to date due to the work undertaken for the H&S team with the HB response and management of COVID-19 pandemic. The H&S Training programme that has been established will be utilised to provide training to these staff. The Pilot course is being held on the 16th & 23rd October 2020. 23/10/2020- requested update from reporting officer that recs 2, 3 and 4 have now been implemented. Awaiting response. 26/01/2021- Internal Audit are planning scope of next Health & Safety IA report with H&S team, to be reported to ARAC in April 2021 (if it does not make February 2021 agenda).
HDUHB-1920-04	Jun-20	Internal Audit - HDUHB	Health & Safety	Open	Reasonable	Nursing (Health & Safety)	Tim Harrison	Director of Nursing, Quality & Patient Experience	HDUHB-1920-04_004	Medium	r4: Management should introduce key performance indicators to enable the organisation to measure and monitor health and safety performance	During 2020/21 the Health & Safety Team will gather data on the following and if necessary introduce additional KPIs: * Percentage of workforce trained in manual handling and fire safety awareness; * Number of risk assessments reviewed as well as percentage of actions generated by risk assessment completed; * Number of safety tours completed by Senior Manager In addition, the Health & Safety Team is currently designing a H&S Quality Dashboard which will be able to display both H&S incident data and data from the new Datix RIDDOR module to allow senior managers to easily access	Sep-20	Sep-20 N/K	Red	23/10/2020- requested update from reporting officer that recs 2, 3 and 4 have now been implemented. Awaiting response. 26/01/2021- Internal Audit are planning scope of next Health & Safety IA report with H&S team, to be reported to ARAC in April 2021 (if it does not make February 2021 agenda).
HDUHB-1920-04	Jun-20	Internal Audit - HDUHB	Health & Safety	Open	Reasonable	Nursing (Health & Safety)	Tim Harrison	Director of Nursing, Quality & Patient Experience	HDUHB-1920-04_005	Medium	R5: Management should ensure the Health Board receives an annual health and safety report detailing the issues and actions undertaken over the previous 12 months to ensure compliance with legislation.	Historical information to inform their monitoring and main assurance. This will be in line with the establishment of the Health & Safety Assurance Committee The Health, Safety and Security Department will produce an annual report on the anniversary of the committee's inauguration. This will be written in to the Terms of Reference of the new committee. An initial Annual Report is currently being prepared for consideration by July 2020.	May-21	May-21	Amber	26/01/2021- Internal Audit are planning scope of next Health & Safety IA report with H&S team, to be reported to ARAC in April 2021 (if it does not make February 2021 agenda).
HDUHB-2021-36	Aug-20	Internal Audit - HDUHB	Environmental Sustainability Reporting	Open	Substantial	Estates	Paul Williams (Estates) / Rob Elliott	Director of Operations	HDUHB-2021-36_001	Low	Management should ensure narrative of targets and future direction for waste management and use of resources is included in future reports in line with the NHS Wales Manual for Accounts.	The narrative on targets will be included in the next report prepared by the Health Board (as part of 20/21 report).	May-20	Feb-21	Red	Report HDUHB-2021-36 supersedes the previous HDUHB-1920-34 Environmental Sustainability Report. New report shows this recommendation outstanding with revised timescale of February 2021. 04/12/2020- on track for February 2021.
HDUHB 2021-08	Oct-20	Internal Audit - HDUHB	Partnership Governance (Integrated Care Fund)	Open	Limited	Primary Care, Pharmacy (community), LTC & LVWS	Anna Bird	Director of Primary Care, Community and Long Term Care	HDUHB 2021-08_007	Medium	R7: Management should ensure that the Written Agreement between partners is formally agreed on an annual basis.	Principles Agreement for 2020-21 formally approved by RPB on 22/7/20.	Oct-20	Feb-21	Red	ARAC October 2020- agreed that report will be highlighted to Integrated Executive Group (which reports to the RPB) for discussion to agree how the recommendations within the report will be addressed. 13/01/2021-Head of Regional Collaboration confirmed current Agreement approved on 22/7/20. Revised agreement for 2021-22 will be approved by the RPB on 11 February 2021. Revised timescale February 2021.
HDUHB 2021-08	Oct-20	Internal Audit - HDUHB	Partnership Governance (Integrated Care Fund)	Open	Limited	Primary Care, Pharmacy (community), LTC & LVWS	Anna Bird	Director of Primary Care, Community and Long Term Care	HDUHB 2021-08_008	Medium	R8: Management should ensure a consistent approach across the Hywel Dda region with the attendance of a finance representative at ICF Panel meetings.	Membership of local panels is not prescribed within the Principles Agreement. Chairs of panels to review membership to ensure appropriate levels of finance representation	Nov-20	Feb-21	Red	ARAC October 2020- agreed that report will be highlighted to Integrated Executive Group (which reports to the RPB) for discussion to agree how the recommendations within the report will be addressed. 13/01/2021-Head of Regional Collaboration confirmed this is to be actioned. Revised timescale February 2021.
HDUHB-2021-20	Nov-20	Internal Audit - HDUHB	IM&T Control and Risk Assessment	Open	N/A	Digital and Performance	Anthony Tracey	Director of Finance	HDUHB-2021-20_001	Medium	R1. The digital maturity measurement methodology should be further developed to give a more rounded view of the organisations capabilities.	The Health Board has committed to use the industry standard HIMSS (Healthcare Information and Management Systems Society, along with a number of other tools to assess the wider organisations digital maturity. We will commission an independent review to assess our maturity against the HIMSS standard within the next year. This is further explored in the new "Our Digital Response – 2020-2025", which outlines an ambitious path where we will choose how we navigate through these levels according to our need, priority and investment, which may mean that our progress will not be linear, however, with the right direction and strategic funding we will reach level 6 by the end of the five years. By the end of 2022, we anticipate to be at level 2, and in 2024 level 4, with Level 6 being attend the following year.	Dec-21	Dec-21	Amber	15/12/2020-Commission independent review by December 2021.
HDUHB-2021-20	Nov-20	Internal Audit - HDUHB	IM&T Control and Risk Assessment	Open	N/A	Digital and Performance	Anthony Tracey	Director of Finance	HDUHB-2021-20_002	Low	R2. The organisation should develop a communication plan covering the required messages, target audiences, communication mechanisms/channels and schedules. Departmental leads or champions should be identified and included in the communication of the strategy, acting as a point of contact they will aid ownership of the strategy.	Communicating the Digital ambition will be key. The lessons learned from the Office 365 rollout, have been adopted, in that we are recruiting "Digital Champions" to assist in driving the Digital agenda forward. The recent work with the Scheduled Care Team, with the General Manager and the Assistant Director of Digital Services, being joint SROs for the adoption of digital platforms for video consultations has worked extremely well, and is a model for future	Mar-21	Mar-21	Amber	
HDUHB-2021-20	Nov-20	Internal Audit - HDUHB	IM&T Control and Risk Assessment	Open	N/A	Digital and Performance	Anthony Tracey	Director of Finance	HDUHB-2021-20_003	Medium	R3. Terms of reference should be updated in order to assign the responsibility of monitoring the Digital related internal and external audit reports and findings.	As the Information Governance Sub-Committee (IGSC) is a formal sub-committee of the Health Board, all internal and or external audit findings will be monitored through this Sub-Committee. As such the Terms of Reference for IGSC will be modified when next reviewed. Senior Members of the Digital Team	May-21	May-21	Amber	15/12/2020- May 2021 deadline is reflective of the current review period. At their September 2020 meeting IGSC approved their new Terms of Reference and agreed that a further review would be undertaken in 6 months.
HDUHB-2021-20	Nov-20	Internal Audit - HDUHB	IM&T Control and Risk Assessment	Open	N/A	Digital and Performance	Anthony Tracey	Director of Finance	HDUHB-2021-20_005	Low	R5. Consideration should be given to providing reports to the Digital sub-committee identifying risks that are not scored to escalation level due to low likelihood, however contain a severe worst case scenario. In doing so, the Digital sub-committee shall contribute to the integration of good governance across the organisation, ensuring that all sources of assurance are incorporated into the Board's overall risk and assurance framework.	Agreed – The combined risk register for digital will be considered at required groups, with the necessary reporting.	Dec-20	Dec-20 Feb-21	Red	07/01/2021- Digital Business Manager update- Digital Agile Working Group due to meet bi-monthly, any projects in the interim will be reported to that group. Assistant Director of Digital Services looking at structure for reporting going forward, this has been delayed due to prioritising other work as a result of Covid-19. Revised date of February 2021.
HDUHB-2021-20	Nov-20	Internal Audit - HDUHB	IM&T Control and Risk Assessment	Open	N/A	Digital and Performance	Anthony Tracey	Director of Finance	HDUHB-2021-20_008	Medium	R8. The Health Board should consider leveraging the national cyber security training, either for all staff or targeted groups.	Agreed. The national cyber security training is currently optional, and is not part of mandatory training. Hywel Dda University Health Board has requested that this be reconsidered due to the importance of cyber security training. However, as part of the Health Board response to Cyber Security, the Information Governance Sub-Committee (IGSC) will be presented with a number of options on how this will be communicated across the Health Board in order to leverage the adoption.	Feb-21	Feb-21	Amber	15/12/2020- report states 'Communication / Implementation Options to be considered at the November 2020 IGSC Meeting with a rollout plan and phased improvement targets to be agreed'. Assurance and risk officer to clarify timescale with reporting officer. 07/01/2021- Digital Business Manager update- IGSC Jan 2021 meeting cancelled due to large number of apologies, now meeting taking place in early February 2021.
HDUHB-2021-20	Nov-20	Internal Audit - HDUHB	IM&T Control and Risk Assessment	Open	N/A	Digital and Performance	Anthony Tracey	Director of Finance	HDUHB-2021-20_009	Medium	R9. The Health Board CAB Terms of Reference should be reviewed to ensure they reflect current practices.	Agreed – The terms of reference will be reviewed, and modified to reflect current practices.	Nov-20	Nov-20	Red	07/01/2021- Digital Business Manager to check if this is completed.
HDUHB-2021-20	Nov-20	Internal Audit - HDUHB	IM&T Control and Risk Assessment	Open	N/A	Digital and Performance	Anthony Tracey	Director of Finance	HDUHB-2021-20_011	Medium	R11. The incident management process should be strengthened by updating the Health Board IT Incident Management Procedure document to reflect current practices.	Agreed – The incident process will be reviewed, and modified to reflect current practices.	Dec-20 Feb-21	Dec-20 Feb-21	Red	07/01/2021- Digital Business Manager confirmed procedure will be looked at but this has been delayed due to Covid. New date of Feb-21 provided, training and awareness should be undertaken by then.
HDUHB-2021-20	Nov-20	Internal Audit - HDUHB	IM&T Control and Risk Assessment	Open	N/A	Digital and Performance	Anthony Tracey	Director of Finance	HDUHB-2021-20_012	Medium	R12. Consideration should be given to allocating budget on need to ensure that the trajectory for strategy delivery is maintained.	The compliance with this recommendations is linked to the organisations prioritisation of its allocations. However, future discussions between digital and the resources team in relation to the digital budget planning will give consideration to allocating budget on need to ensure that the trajectory for strategy delivery is maintained. This will feed into the next round of budget setting for 2021/2022.	Mar-21	Mar-21	Amber	15/12/2020- report states deadline 'As part of budget setting round for 2021/2022'. Assurance and risk officer to clarify timescale with reporting officer. 07/01/2021- Digital Business Manager confirmed timescale of March-21.
HDUHB-2021-20	Nov-20	Internal Audit - HDUHB	IM&T Control and Risk Assessment	Open	N/A	Digital and Performance	Anthony Tracey	Director of Finance	HDUHB-2021-20_013	Medium	R13. The department should regularly seek out opportunities for knowledge sharing, succession planning, staff backup, cross-training and job rotation initiatives to minimise reliance on individuals performing critical job functions.	Agree – The Digital Team will utilise the PADR process to undertake a skills review. Any opportunities identified through this process will be prioritised. The Digital Team have been developing relationships with local Colleges, Universities and third party companies in order to provide a hybrid approach to the training of digital staff. Currently we have the following staff undertaken specific qualifications, and also a significant number of technical courses undertaken during 2020:	Sep-21	Sep-21	Amber	
HDUHB-2021-25	Nov-20	Internal Audit - HDUHB	Agility to Flex Workforce to Covid Planning	Open	Substantial	Workforce & OD	Amanda Glanville	Director of Workforce & OD	HDUHB-2021-25_001	Medium	Management should ensure arrangements are in place to capture and monitor all new and returning employees' hired during the Covid-19 pandemic and their compliance in completing the required mandatory and statutory training.	Revisit Covid-19 Phase 1 recruitment cohort and feedback compliance to Workforce Bronze. All clinical induction call-backs to be planned and progress update to be reported to Workforce Bronze for Covid-19 phase 1 recruitment. Revisit Covid-19 Phase 2 recruitment cohort and feedback compliance to Workforce Bronze All clinical induction call-backs to be planned and progress update to be reported to Workforce Bronze for Covid-19 phase 2 recruitment. L&D to continue to allocate mentors to new starters to support completion of mandatory training. Following Phase 1 of the COVID-19 recruitment, the L&D function carried out a full review of the compliance of all Covid Starters, including both mandatory training and where the bespoke shortened clinical induction program had been	Jan-21	Jan-21 Aug-21	Red	27/01/2021 response received. Due to the need to onboard further mass recruitment of HCSW, the callbacks have been postponed to accommodate further inductions/onboarding. All records of callbacks will ensure that all HCSW will receive the additional required training. In order to speed up the way in which the additional training will be delivered, a virtual/blended programme will be designed to ensure a greater volume of attendance and therefore reducing the time to achieve this. A new role within Learning & Development (Education & Compliance Advisor) has been created, with the primary function to monitor and support the compliance of mandatory training. This role is currently in the recruitment stage, and therefore it anticipated that this will commence Feb/March. The ESR Hub are inundated with elearning queries, which are then return for the L&D team to manage and the L&D function will continue to provide support to ensure compliance. Due to capacity within the L&D function, it has been impossible to continue with the level of 1-1 support given to new starters, however, this should be resumed with the new role.

HDUHB-2021-17	Nov-20	Internal Audit - HDUHB	Finance Team Transformation	Open	Substantial	Finance	Andrew Spratt	Director of Finance	HDUHB-2021-17_001	Medium	R1. Management should implement a formal continuous quality improvement model to ensure tasks and projects capture and document the continuous proactive improvements made during this transformational phase.	Having recognised and acknowledged the risk that has been highlighted through the audit, the finance roadmap will be reviewed and then revised to incorporate a more formal approach to managing key objectives across the team, providing a supportive and constructive management response to ensure that deadlines are transparently managed, and appropriate actions taken to mitigate, where possible, slippage to milestones. Actions will commence immediately to start the implementation of the project management approach, and will be targeted to be fully embedded by 31st March 2021 in line with our renewed objective setting process for FY2022.	Mar-21	Mar-21	Amber	
SSU-HDU-1920-13	May-20	Internal Audit - SSU	Water Safety Follow-Up - Withybush General Hospital	Open	Reasonable	Estates	Rob Elliott	Director of Operations	SSU-HDU-1920-13_006WGH	Low	R6. The Water Safety Plan should be updated to accurately reflect requirements and the UHB's approach to pipework labelling. Additional observation Finding 6 of the October 2019 audit noted that labelling of pipework: "should be maintained on an ongoing basis in refurbished / new build areas and in accessible areas such as plant rooms (as separately required by WHTM04)". The revised Water Safety Plan (as of November 2019) states that there should be: "Clear labelling of pipework in new installations and major refurbishment." i.e. does not make explicit reference to existing accessible pipework. For completeness we have therefore raised an additional recommendation: Additional recommendation For clarity, the Water Safety Plan should additionally specify policy relating to	Agreed. The Withybush General Hospital Water Safety Plan (WSP) has been changed to incorporate the need to label accessible pipework.	Mar-21	Mar-21	Amber	This is the follow up report to the SSU HDU 1920 07 Water Safety – Additional Sampling report. This recommendation is a new additional recommendation included in the new report. 06/10/2020- Desktop exercise being undertaken to establish accessible pipework. All accessible pipework will then be labelled by March 2021.
SSU-HDU-1920-13	May-20	Internal Audit - SSU	Water Safety Follow-Up - Withybush General Hospital	Open	Reasonable	Estates	Rob Elliott	Director of Operations	SSU-HDU-1920-13_011WGH	Low	R11. Management should confirm that agreed recommendations of external reviews have been actioned, including those of c) site survey risk assessment. Partially addressed We were advised that the majority of recommendations from 2016 have been actioned, subject to confirmation at the 2020 risk assessment (see item 9 above). We recognise that the above action status will have been superseded (e.g. in the case of NWSSP-SES recommendations being the position as of April 2019). Accordingly the changed position as advised by management is noted. It is also noted that that such are the extent of recommendations at such technical reviews that a number of issues will typically be outstanding at any point in time. Additionally noting active reporting, there is evidence that management are actively addressing the same, and the risk rating has been amended accordingly.	c) Management have now programmed a commencement date for the 2020 legionella risk assessment at the site with consultants. This will be programmed for August 2020. On receipt of the report, the findings will be reviewed carefully to prioritise any actions that require addressing. Actions will also be tracked and presented at the WSG for reporting.	Mar-20	Oct-20 Dec-20 Mar-21	Red	This is the follow up report to the SSU HDU 1920 07 Water Safety – Additional Sampling report. This recommendation is noted as red (behind schedule) as the original completion date from the original report has now passed. 06/10/2020- Assistant Head of Operational Facilities Management to check when consultants will be able to move on site to undertake 2020 risk assessment. Once response from 2020 risk assessment complete a new action plan will be developed. 03/11/2020- Assistant Head of Operational Facilities Management confirmed all outstanding actions will be implemented by December 2020. Delayed due to Covid work pressures. 07/01/2021-Assistant Head of Operational Facilities Management. Couple of items outstanding which is bring clarified with new engineer shared services. Revised date of March 2021.
SSU_HDA_1920_01.2	Jun-20	Internal Audit - SSU	Capital Assurance- Follow Up	Open	Reasonable	Strategic Development and Operational Planning	Anthony Tracey	Director of Finance	SSU_HDA_1920_01.2_003	Low	R3. Data Centre Project (original R8): The remaining two outstanding actions identified at the action log will be prioritised for completion (O). (Relates to the Data Centre Project)	Partially implemented Work is underway to complete these tasks. There is an issue with completing one of the actions by the end of March due to Asbestos issues which are waiting to be resolved. All other tasks will be completed. Noting the above, the priority rating has been reassessed as low.	May-19	Jul-20 Sep-20 Oct-20 N/K	Red	May-19 derived from original completion date in the original report. 01/10/2020- This recommendation is near completion but has been delayed. Revised timescale of October 2020 provided to fully implement this. 05/11/2020-Informatics Business Manager confirmed she will check when this will be completed by, currently 2 outstanding actions remain. 24/11/2020-Informatics Business Manager confirmed this is delayed due to women's and children developments. Timescale currently unknown. 07/01/2021- Digital Business Manager to check for update.
SSU_HDA_1920_01.2	Jun-20	Internal Audit - SSU	Capital Assurance- Follow Up	Open	Reasonable	Strategic Development and Operational Planning	Paul Williams (Planning)	Director of Finance	SSU_HDA_1920_01.2_004	Medium	R4: Bronglais Front of House: The planned post project evaluation (PPE) exercise for the Bronglais Front of House development will consider the issues raised in the prior Bronglais audit reports as follows: A An evaluation of the adequacy of design solution for the development; B Confirmation (or otherwise) that the original business case assumptions remain valid, or implications will.	Outstanding At the time of issuing this report, the completion of the Front of House scheme was scheduled for June 2020. This is the end of the defects period for the final phase [Theatre Evacuation lift]. The Project Director will lead the completion of the PPE by March 2021.	Sep-19	Mar-21	Red	Completion date of September 2019 refers to the timescales provided in the original report -SSU_HDA_1819_01 Capital Follow Up (W&C Phase 2, and Bronglais Front of House). 07/01/2021- Planning Project Manager update- Subject to impact of covid pressure on staff to participate, the management team are currently reviewing the completion date.
SSU_HDU_1920_01.01	Jun-20	Internal Audit - SSU	Estates Assurance Follow Up	Open	Reasonable	Secondary Care	Keith Jones	Director of Operations	SSU_HDU_1920_01.01_001	Medium	R10: Management will consider the viability of accommodation both with and without SIFT monies.	Partially implemented Management advised that there has been no progress reported from Finance to identify where the SIFT funding for accommodation is placed on a recurring basis on the Bronglais, Prince Philip and Glangwili sites. Subsequently, no progress has been made on moving the SIFT monies centrally to Medical Education.	Jun-19	Sep-20 N/K	Red	24/07/2020 Clarification on SIFT allocation is being sought. Concerns raised are in terms of Management will consider the viability of accommodation both with and without SIFT monies and this audit point moving across to the Medical Directorate. Reservations about this, are - SIFT monies are there to follow the student and pay for accommodation. It is to 'purchase' accommodation (& all other training requirements) not to provide it. The provision and viability of accommodation is a question for the Organisation rather than externally funded SIFT monies (which could be withdrawn at any point). 05/10/2020- Director of Operations agreed this recommendation now moves from Estates to Director of Secondary Care for implementation
SSU-HDU-1920-02	Jun-20	Internal Audit - SSU	Glangwili Hospital Women & Children's Development Phase 2	Open	Reasonable	Strategic Development and Operational Planning	Paul Williams (Estates)	Director of Finance	SSU-HDU-1920-02_009	Medium	R9: Future - Clarity should be obtained from NWSSP/SES on framework expectations in respect of activity schedules	The Project Manager, supported by the Cost Adviser, will produce a report explaining the arrangements that have been put in place to facilitate the effective assessment of project delays in lieu of a fully costed activity schedule. The Health Board will obtain clarification from NWSSP-SES on framework expectations in respect of activity schedules prior to future projects.	Aug-20	Mar-21	Red	16/09/2020- Assistant Major Capital Development Manager update- We currently have two projects in the pipeline: Cross Hands Health and Wellbeing Centre which is at OBC Stage, and fire improvement works at Withybush General Hospital which is currently at SOC Stage. Consultants and SCP Teams have historically supplied Activity Schedules at OBC and FBC Stages, so this action relates to Stage 4 (Construction) activities. We will obtain clarification of NWSSP-SES expectations in respect of Stage 4 Activity Schedules for the project that advances quickest (this should be fire improvement works in Withybush which is due to finish March 2021).
SSU-HDU-1920-02	Jun-20	Internal Audit - SSU	Glangwili Hospital Women & Children's Development Phase 2	Open	Reasonable	Strategic Development and Operational Planning	Paul Williams (Planning)	Director of Finance	SSU-HDU-1920-02_010	Medium	R10: Noting that limited action can be taken at this project, management should include commercially assessed delay damages within future contracts in accordance with national framework guidance	Agreed. The Health Board will seek clarification from NWSSP-SES in the expectations in respect of delay damages for future projects	At future projects	Mar-21	Amber	16/09/2020- Assistant Major Capital Development Manager update- We currently have two projects in the pipeline: Cross Hands Health and Wellbeing Centre which is at OBC Stage, and fire improvement works at Withybush General Hospital which is currently at SOC Stage. Consultants and SCP Teams have historically supplied Activity Schedules at OBC and FBC Stages, so this action relates to Stage 4 (Construction) activities. We will obtain clarification of NWSSP-SES expectations in respect of Stage 4 Activity Schedules for the project that advances quickest (this should be fire improvement works in Withybush which is due to finish March 2021).
HDUHB-2021-15	Aug-20	Internal Audit - SSU	Standards of Behaviour	Open	Reasonable	Governance	Alison Gittins	Board Secretary	HDUHB-2021-15_002	Medium	Management should ensure that the staff declaration of interest register is updated to include all individuals with 'Nil Returns' for completeness and ease of reference.	The Report on the Adequacy of Arrangements for Declaring, Registering and Handling Interests, Gifts, Hospitality, Honoraria and Sponsorship presented to Audit and Risk Assurance Committee in June 2020 confirmed that any positive staff declarations of interest (56 for 2019/20) had been included in the HDUHB Staff Register of Interests, with any nil declarations received (268) logged and signed off by the relevant staff member.	May-21	May-21	Amber	09/10/2020 - Confirmation that a new process for the submission of Declaration of Interest forms is in progress via ESR, with communication to be sent over October / November to staff to raise awareness of this process. A register of Declaration of Interests will be presented to ARAC based on this information in May 2021.
HDUHB-2021-07	Sep-20	Internal Audit - SSU	Research & Development Department Governance Review – Follow Up	Open	Reasonable	Medical	Leighton Phillips / Subhamay Ghosh / Caroline Williams	Medical Director	HDUHB-2021-07_002	Medium	R2. A follow up sample of four periods of sickness was selected and tested to ensure appropriate actions have been taken and documented in line with the NHS Wales Managing Attendance at Work Policy. Concluding testing, we continued to note errors with the sickness documentation reviewed including variances in dates provided on self-certificates and return to work forms, in addition to a selection of	1 All team leads informed of the outcome of the re-audit and reminded of the policy. 2 Team Leads asked to attend Managing attendance at Work - Oct 2020.	Mar-21	Mar-21	Amber	30/09/2020 work has commenced 3 parts to this recommendation. 30/11/2020 response received Management Actions 1 & 2 are completed Senior R&D Operations Manager confirmed action 3 is managed appropriately and is on track for completion by the end of March 21.
HDUHB-2021-07	Sep-20	Internal Audit - SSU	Research & Development Department Governance Review – Follow Up	Open	Reasonable	Medical	Leighton Phillips / Subhamay Ghosh / Caroline Williams	Medical Director	HDUHB-2021-07_003	Medium	R3. We can confirm a timetable was in place to ensure a review and update of the 16 extant SOP's with a target date for completion by January 2021. A review of the latest version of the timetable, as of July 2020, confirmed progress was underway in the updating of SOPs, with a number still outstanding.	1.Updated SOP timetable 2.Standing agenda item on SMT & RDSC going forward (request from RDSC) Completed.	Jan-21	Jan-21 N/K	Red	30/09/2020 Commenced work 2 part to recommendation. 30/11/2020 response received, Recommendation is progressing management action 1 is on track for completion by end of Jan 21 and action 2 is completed.
HDUHB 2021-16	Oct-20	Internal Audit - SSU	Additional Learning Needs and Education Tribunal (Wales) Act 2018	Open	Reasonable	Therapies	William Oliver	Director of Therapies and Health Sciences	HDUHB 2021-16_001	Medium	R1. Management to ensure that outstanding service areas complete their required templates and promptly submit them to the DECLO, as well as fulfil their lead role for their expert topic area.	Agreed – the escalation of those services/departments to relevant senior leadership/managers will be undertaken and reflect the less-than-optimal responses in the monthly review of the corporate risk assessment of the implementation of the ALNET Act.	Dec-20	Dec-20 N/K	Red	12/11/2020 ADoTHS confirmed action is on track. 21/01/2021 ADoTHS has left the HB and role is currently being managed by Will Oliver whilst a new DECLO is identified. Managers are fulfilling their roles in the meantime. Date not known.
SSU-HDU-2021-08	Dec-20	Internal Audit - SSU	Backlog Maintenance	Open	Reasonable	Estates	Rob Elliott	Director of Operations	SSU-HDU-2021-08_002	Medium	R2. The PBCs and as they progress to Outline and Full business case stages will need to determine the in-house Estates staff requirements, and how these will be satisfied given current pressures.	Agreed. The Health Board will need to determine how the necessary Estate in-house staff resources is established in order to successfully deliver the AHMWW and Business Continuity/Major Infrastructure PBCs.	Feb-21	Feb-21	Amber	13/01/2021- Director of Estates, Facilities and Capital Management confirmed timescale of February 2021.
SSU-HDU-2021-08	Dec-20	Internal Audit - SSU	Backlog Maintenance	Open	Reasonable	Estates	Rob Elliott	Director of Operations	SSU-HDU-2021-08_003	Medium	R3. Call-off business cases (from the "Business Continuity/Major Infrastructure - Programme Business Case") will be co-ordinated with and discretely provide for Urgent but un-related works arising subsequently in the same time frame.	Agreed. It is recognised that such works will arise and will additionally need funding in the same time horizon as the discretely funded works of each business case. This will be taken into account at detailed design stages of BJCs (Business Justification Cases) / OBCs (Outline Business Cases) which will follow the PBC.	Sep-21	Sep-21	Amber	13/01/2021- Director of Estates, Facilities and Capital Management confirmed timescale of September 2021.
SSU-HDU-2021-08	Dec-20	Internal Audit - SSU	Backlog Maintenance	Open	Reasonable	Estates	Rob Elliott	Director of Operations	SSU-HDU-2021-08_004	Low	R4. Call-off business cases (from the "Business Continuity/Major Infrastructure - Programme Business Case") will be co-ordinated with and discretely provide for Co-located issues (known, or discovered following invasive works).	Agreed. It is recognised that such works will arise and will additionally need funding in the same time horizon as the discretely funded works of each business case. This will be taken into account at detailed design stages of BJCs (Business Justification Cases) / OBCs (Outline Business Cases) which will follow the PBC.	Sep-21	Sep-21	Amber	13/01/2021- Director of Estates, Facilities and Capital Management confirmed timescale of September 2021.
SSU-HDU-2021-08	Dec-20	Internal Audit - SSU	Backlog Maintenance	Open	Reasonable	Estates	Rob Elliott	Director of Operations	SSU-HDU-2021-08_005	Medium	R5. Management should provide assessment of the likely non-acute backlog requirements (financial and labour resource).	Agreed. Noting of the value of the £7.4m of non-acute backlog, only £1.3m is significant risk, which will be picked up as normal via annual Discretionary Capital Plans, via the risk based approach.	May-21	May-21	Amber	13/01/2021-Head of Property Performance is writing a paper for the next CEIM&T Committee on how this will be managed going forward
SSU-HDU-2021-08	Dec-20	Internal Audit - SSU	Backlog Maintenance	Open	Reasonable	Estates	Rob Elliott	Director of Operations	SSU-HDU-2021-08_006	Medium	R6. Management will conclude the current exercise of reviewing the true clinical risk, and optimum funding allocation.	Agreed. This will be concluded to inform DCP allocations for 2021/22.	Mar-21	Mar-21	Amber	

SSU-HDU-2021-08	Dec-20	Internal Audit - SSU	Backlog Maintenance	Open	Reasonable	Estates	Rob Elliott	Director of Operations	SSU-HDU-2021-08_007	Medium	R7. Variance reporting summaries should be provided to relevant committees, to include at minimum, an annual summary of schemes planned (funded) v schemes delivered.	Agreed. Noting these complexities, and monthly adjustments, it is agreed, that simple summaries of delivery against funding would facilitate presentation and scrutiny to committees.	May-21	May-21	Amber	
SSU-HDU-2021-08	Dec-20	Internal Audit - SSU	Backlog Maintenance	Open	Reasonable	Estates	Rob Elliott	Director of Operations	SSU-HDU-2021-08_008	Medium	R8. Management should report the relation between urgent statutory works, and risk profiled backlog.	Agreed.	May-21	May-21	Amber	
SSU-HDU-2021-08	Dec-20	Internal Audit - SSU	Backlog Maintenance	Open	Reasonable	Estates	Rob Elliott	Director of Operations	SSU-HDU-2021-08_009	Medium	R9. Management should confirm an appropriate range of reporting, notably in relation to causality and drivers of backlog.	Agreed. We will review an appropriate range of reporting, including appropriate analysis of causality and drivers of backlog.	Oct-21	Oct-21	Amber	
SSU-HDU-2021-08	Dec-20	Internal Audit - SSU	Backlog Maintenance	Open	Reasonable	Estates	Rob Elliott	Director of Operations	SSU-HDU-2021-08_010	Medium	R10. Management should consider the type and coding of data loaded to the CAFM system to ensure the ability to produce required reports e.g. labour resource, and backlog origin.	Agreed. This will be re-reviewed in light of the review of reporting requirements (as recommended above).	Dec-20	Dec-20 N/K	Red	13/01/2021- Assistant Head of Operational Facilities Management believes the timescale of December 2020 noted in the report is incorrect and will be clarifying this with the Internal Audit team.
SSU Capital Governance	Dec-20	Internal Audit - SSU	Capital Governance Arrangements	Open	N/A - Advisory Review	Strategic Development and Operational Planning	Paul Williams (Planning)	Director of Operations	SSU Capital Governance_001	N/A - Advisory Review	R1. All future major project/programme business cases will include an Integrated Assurance and Approval Plan in accordance with the NHS Wales Infrastructure Investment guidance.	Agreed, Integrated Assurance and Approval Plans will be provided within all future business cases in accordance with the NHS Wales infrastructure Investment guidance.	Not stated in report	Not stated in report	Amber	Responsible Officer / Deadline stated in the report as future Business Cases are developed and finalised. Recommendations listed as Amber under status - please advise.
SSU Capital Governance	Dec-20	Internal Audit - SSU	Capital Governance Arrangements	Open	N/A - Advisory Review	Strategic Development and Operational Planning	Paul Williams (Planning)	Director of Operations	SSU Capital Governance_002	N/A - Advisory Review	R2. Whilst Executive Lead/Chief Executive agreement of business cases was evident. The existing arrangements could be strengthened to provide key executive sign-off, ensuring acceptance and ownership of respective elements of the business case e.g. service, finance, IM&T, facilities etc.	Agreed. We will look to enhance existing arrangements to obtain wider Executive/key stakeholder sign off of relevant elements of future business cases.	Not stated in report	Not stated in report	Amber	Responsible Officer / Deadline stated in the report as future Business Cases are developed and finalised. Recommendations listed as Amber under status - please advise.
SSU Capital Governance	Dec-20	Internal Audit - SSU	Capital Governance Arrangements	Open	N/A - Advisory Review	Strategic Development and Operational Planning	Paul Williams (Planning)	Director of Operations	SSU Capital Governance_003	N/A - Advisory Review	R3. Improved transparency, reporting and formal signoff of responses to the Welsh Government business case scrutiny process (and associated UHB/third party actions etc.), should be demonstrated.	Agreed. We will seek to enhance existing arrangements ensuring actions are reported through respective project boards and committees as appropriate.	Not stated in report	Not stated in report	Amber	Responsible Officer / Deadline stated in the report as To be actioned for final drafts of scrutiny grids for Adult Mental Health, Aseptics, and Cross Hands H&WB. PW to action - please advise
SSU Capital Governance	Dec-20	Internal Audit - SSU	Capital Governance Arrangements	Open	N/A - Advisory Review	Strategic Development and Operational Planning	Paul Williams (Planning)	Director of Operations	SSU Capital Governance_004	N/A - Advisory Review	R4. It would be prudent for governance arrangements (particularly for major investment programmes/projects), to be signed off at Committee/Board level at the project initiation stage (including e.g. delegated limits etc.).	Agreed. To be considered at appropriate future major programmes/projects.	Not stated in report	Not stated in report	Amber	Responsible Officer / Deadline stated in the report as To be actioned for the Health & Care Strategy Programme Business Case. Please advise
SSU Capital Governance	Dec-20	Internal Audit - SSU	Capital Governance Arrangements	Open	N/A - Advisory Review	Strategic Development and Operational Planning	Paul Williams (Planning)	Director of Operations	SSU Capital Governance_005	N/A - Advisory Review	R5. There is an opportunity to standardise and define expected UHB governance arrangements within procedures, including for example, standardised terms of reference for Project Boards/ Groups etc.	Agreed. Existing procedural arrangements will be reviewed and defined as appropriate.	May-21	May-21	Amber	
SSU Capital Governance	Dec-20	Internal Audit - SSU	Capital Governance Arrangements	Open	N/A - Advisory Review	Strategic Development and Operational Planning	Paul Williams (Planning)	Director of Operations	SSU Capital Governance_006	N/A - Advisory Review	R6. Contracts submitted for signature will be endorsed by the Project Director and lead Executive, outlining how the contract reconciles with the overall funding approval.	Agreed. Existing contract sign off arrangements will be reviewed.	Not stated in report	Not stated in report	Amber	Responsible Officer / Deadline stated in the report as For future schemes
SSU Capital Governance	Dec-20	Internal Audit - SSU	Capital Governance Arrangements	Open	N/A - Advisory Review	Strategic Development and Operational Planning	Paul Williams (Planning)	Director of Operations	SSU Capital Governance_007	N/A - Advisory Review	R7. The UHB will continue to ensure that appropriate in house specialist expertise is maintained ensuring external consultant teams are appropriately monitored and where necessary challenged on projects of significant value within NHS Wales.	Agreed. The UHB will seek to identify and apply best practice arrangements being applied elsewhere (with input from internal audit).	Mar-21	Mar-21	Amber	
SSU Capital Governance	Dec-20	Internal Audit - SSU	Capital Governance Arrangements	Open	N/A - Advisory Review	Strategic Development and Operational Planning	Paul Williams (Planning)	Director of Operations	SSU Capital Governance_008	N/A - Advisory Review	R8. The UHB's established capital governance and control arrangements will be reviewed and enhanced, together with its existing procedural documentation, to comprehensively document the control framework.	Agreed. A procedural review will be undertaken in light of the Audit Wales report. We will also seek to identify and apply best practice arrangements being applied elsewhere.	May-21	May-21	Amber	
No ref	Nov-16	Peer Review	Children & Young People Diabetes MDT & Hospital measures for CYP services Peer review August 2016	Open (external rec)	N/A	Women and Children's Services	Margaret Devonald-Morris	Director of Operations	PeerReview-CYPDiabetes001	N/A	R1. Absence of a 24 hour on-call advice system	Discuss development of a regional / All Wales 24/7 helpline with other UHBs as a more cost effective alternative to UHB specific arrangements.	Mar-16	N/K	Red	14/05/2020 MDM confirmed this has been completed. 1/6/2020 Remains open until confirmation of outcome requested from SDM. 12/08/2020 Discussed with MDM 12/08/2020 confirmed the HB has done all it can at this time. The new 24/7 system is to be developed and implemented at an All Wales Level. 5/10/2020 Response received. There is currently no progress on this recommendation as it is being taken forward at an All Wales level by the All Wales Network. 04/12/2020 No progress awaiting All Wales response. 27/01/2021 No progress requires All Wales solution.
No ref	Aug-19	Peer Review	Glangwili Neonatal Unit Peer Review Report	Open	N/A	Women and Children's Services	Paula Evans	Director of Operations	PeerReview-GGH003	N/A	R6. Training and education Only 55% of nurses are Qualified in Specialty (QIS). 6 out of the 7 consultants and 87% of nursing staff are NLS compliant.	Completed training programme in place to support staff to achieve QIS. Due to the nature and length of available neonatal training programmes, the training of a further 6 WTE staff will not be completed until December 2023. Continue efforts to recruit QIS neonatal nurses	Dec-23	Dec-23	Amber	Long term action 27/07/2020 requested update, chased and meeting to update organised 6/08/2020. 18/09/2020 Request for update issued: 25/09/2020 Update provided recruitment of new staff ongoing, one existing staff member completed QIS. 20/11/2020 issued for update: Service response 02/12/2020 Service Response: Recruitment remains a challenge. On-going campaigns are being added to social media. Senior Nurses will be attending RCN virtual job fair in January 2021.
No ref	Aug-19	Peer Review	Glangwili Neonatal Unit Peer Review Report	Open	N/A	Women and Children's Services	Lisa Humphrey	Director of Operations	PeerReview-GGH004	N/A	R7. Guidelines There is a potential for confusion over which guideline to use due to the number available	Schedule of available guidelines to be revised	Dec-19	Mar-21	Red	22/05/2020 Schedule of available guidelines to be revised. A new consultant is working on this and guidelines should be in place by the end of July/Aug for new tranche of staff. Date given as 30/07/2020. 18/09/2020 HOM advised that this action is completed for Maternity and is a continuing process. SDM for Paediatrics and Neonates to provide an update. Update provided 02/10/2020. The Clinical Lead has added reviewed guidelines, to the 'SharePoint', this has clarified the situation but is not the final solution. Dr Pal, Neonatologist, is reviewing all guidelines from a neonatal perspective. The service will adopt the network guidance, where appropriate they will be amended for local variations. Revised deadline March 2021. 02/12/2020 Service Response: This work is on-going. Capacity has been identified within the team to support this work in early 2021. The target deadline of March 2021 will be achieved.
No ref	Aug-19	Peer Review	Glangwili Neonatal Unit Peer Review Report	Open	N/A	Women and Children's Services	Paula Evans	Director of Operations	PeerReview-GGH006	N/A	R10. Infection Prevention and Control The panel felt that some neonatal elements were not reflected in the Health Board IPC Policy	Liaise with infection prevention and control department to develop a neonatal appendix to the Standard Infection Prevention and Control Precautions Policy at next policy review	Aug-20	Aug-20 Mar-21	Red	27/07/2020 requested update, chased and meeting to update organised 6/08/2020. 18/09/2020 Request for update issued: 25/09/2020 Delayed due to Covid, work to be recommended with IPC Policy. 02/12/2020 Service Response: This work has been started, however, COVID continues to have a negative impact on progress. The target deadline of March 2021 will be achieved.
No ref	Nov-19	Peer Review	Out of Hours Peer Review 21-22nd October 2019	Open	N/A	Out of Hours	Nick Davies	Director of Operations	PeerReview-OOH001	N/A	R1. Enhanced Clinical Leadership and Support Address border free working 24/7 and produce SOPs for this purpose, which all clinicians and operational staff need to adhere to.	Outstanding issue since the last peer review leading to inconsistencies and variance in practice and service Yet to be completed. 1 to 1 meetings between clinical leads and UHB managers taking place to address the issues and the risks involved. Director of Operations is involved in discussions, which will require direction from the Medical Director.	Dec-19	Dec-21	Red	This was being addressed by the TCS work group- now postponed by COVID – restart details have been requested. Some improvements in shift fill have been observed and the move to increased telephone advice consultations are supporting cross-border issues, but this is seen as a temporary measure and sustainable solution is still required. OOH SDM to check with Director of Operations if we are in a position to close this recommendation. 20/11/2020- Awaiting confirmation from Deputy Director of Operations if he is in agreement for this recommendation to be closed.
No ref	Nov-19	Peer Review	Out of Hours Peer Review 21-22nd October 2019	Open	N/A	Out of Hours	Nick Davies	Director of Operations	PeerReview-OOH003	N/A	R3. Multi-Disciplinary Workforce Physician Associates to also be considered as part of the longer term strategy.	This is being considered as part of the Executive Team project group. Timescale currently difficult to establish but is being fed into and will be considered as part of the redesign.	Mar-20	Dec-21	Red	Service Delivery Manager OOH and 111 confirmed he has discussed this with UHB and 111 pharmacy leads and agreed to take a national approach to the role, negating the need for localised employment, but confirmed support will be provided by providing access within the UHB for the staff to operate from. Requesting recommendation be closed as funding held by 111 and therefore no longer sits with UHB. 20/11/2020- Awaiting confirmation from Deputy Director of Operations if he is in agreement for this recommendation to be closed.
No ref	Nov-19	Peer Review	Out of Hours Peer Review 21-22nd October 2019	Open	N/A	Out of Hours	Nick Davies	Director of Operations	PeerReview-OOH006	N/A	R6. Wider Workforce Planning The clinical competencies framework need to be considered for supporting ACP's, UCP, HCSW etc. and should now drive the future workforce planning	Initial meetings with Assistant Directors of Nursing have taken place. Senior Workforce Development Manager is assisting in mapping out workforce requirements.	Dec-19	Dec-21	Red	Initial meetings with Assistant Directors of Nursing have taken place and frameworks will be assessed within the nursing directorate. Senior Workforce Development Manager is assisting in mapping out workforce requirements as a part of TCS agenda, delayed significantly by COVID. Approximate revised date of December 2021 but could be delayed further depending on COVID.
No ref	Nov-19	Peer Review	Out of Hours Peer Review 21-22nd October 2019	Open	N/A	Out of Hours	Nick Davies	Director of Operations	PeerReview-OOH014	N/A	R14. Specific Operational Issues Executive members to meet staff and clinical leads in OOHs on a quarterly basis and be clear about expectations and behaviours aligned to Health Board values	Outstanding issues since the previous review and has not been addressed to the satisfaction of clinical /operational staff In hand- Meeting has been arranged with Assistant Director of Organisation Development on 26/02/20 to discuss staff behaviour. This was reviewed at Exec Team at the last OOH performance review in December 2019.	Jan-20	Mar-20 Oct-20 Dec-21	Red	Partially complete- Meeting took place with Assistant Director of Organisation Development on 26/02/20 to discuss staff behaviour. Actions resulting from this meeting, including an additional UHB Values session with staff has been delayed due to COVID-19. Approximate revised date of December 2021 but could be delayed further depending on COVID.

No ref	Nov-19	Peer Review	Out of Hours Peer Review 21-22nd October 2019	Open	N/A	Out of Hours	Nick Davies	Director of Operations	PeerReview-OOH010	N/A	R10. 111 Service It was noted a large number of compliments were received in HD. It was agreed this information would be shared on an All Wales basis and lessons learnt would be shared. It was agreed patient surveys would be looked at in the future	In hand including CHC and APP OOH surveys.	Dec-20	Dec-20	Red	Patient survey is outstanding and will be picked up again (delayed by several months due to Covid-19).
201905316	05/03/2020	Public Service Ombudsman (Wales)	10076	Open	N/A	Scheduled Care	Lydia Davies	Director of Operations	201905316_006	N/A	R6. Within 1 month of the receipt of the expert report, the Health Board will implement any improvements in practice recommended by the expert.	Action plans held with Ombudsman Liaison Manager.	Oct-20	Oct-20 N/K	Red	18/11/2020- Ombudsman Liaison Manager confirmed the complainant and patient are seeking another clinical review, (following receipt of the expert's report). The case has transferred to redress and the payment of expenses comes under this process. We have requested receipts for the private consultations as part of our Reg 26 letter (action 6). These receipts have not been received but will be accounted for as part of the final settlement. Timescale currently unknown. 26/01/2021-Ombudsman Liaison Manager update- Awaiting evidence of organisational improvements from service leads. Though they have been made aware of the necessity to submit I cannot give you a timescale. Ombudsman is aware.
201905316	05/03/2020	Public Service Ombudsman (Wales)	10076	Open	N/A	Scheduled Care	Lydia Davies	Director of Operations	201905316_008	N/A	R8. The Health Board will submit evidence of completion of all these measures to the Ombudsman.	Action plans held with Ombudsman Liaison Manager.	Oct-20	Oct-20 N/K	Red	18/11/2020- Timescale currently unknown. 26/01/2021-Ombudsman Liaison Manager update- Awaiting evidence of organisational improvements from service leads. Though they have been made aware of the necessity to submit I cannot give you a timescale. Ombudsman is aware.
201902393	08/04/2020	Public Service Ombudsman (Wales)	9905	Open	N/A	Scheduled Care	Caroline Lewis	Director of Operations	201902393_006	N/A	R6. Undertake enquiries to determine how the original complaint responses provided conflicting information and implement measures to ensure improved accuracy in the future.	Action plans held with Ombudsman Liaison Manager.	Oct-20	Oct-20 N/K	Red	18/11/2020- update from Ombudsman Liaison Manager- expert's report received and distributed for review but the experts believes that there is no qualifying liability and we will consequently not be offering the complainant any redress. (This won't be formally determined until all the involved clinicians have reviewed the report). This review will also determine any further actions. We were waiting of the experts review to help us to consider the HB's complaint response. This has now been made clearer (action f) and will now be reviewed in the light of the report. 27/01/2021- Ombudsman Liaison Manager confirmed this recommendation is outstanding. Service have been chased and promised to comply urgently. Ombudsman Liaison Manager to chase again.
201902057	Oct-20	Public Service Ombudsman (Wales)	12035	Open	N/A	Unscheduled Care (BGH)	Lydia Davies / Dawn Jones	Director of Operations	201902057_005	N/A	Within six months of the date of this report the Health Board should share this report with all the senior Orthopaedic Doctors involved in Ms A's case for them to reflect on the findings as part of their supervision, and provide evidence that they have undertaken a reasonable level of reflection with particular reference to the relevant themes set out in the analysis section of the report		Apr-21	Apr-21	Amber	26/01/2021- Ombudsman Liaison Manager confirmed recommendation is on track for April 2021 timescale.
201902057	Oct-20	Public Service Ombudsman (Wales)	12035	Open	N/A	Unscheduled Care (BGH)	Lydia Davies / Dawn Jones	Director of Operations	201902057_006	N/A	Within six months of the date of this report the Health Board should share this report with the Radiology staff members involved in Ms A's case for them to reflect on the relevant findings, set out in the analysis section of the report, as part of their supervision, and provide evidence that they have undertaken a reasonable level of reflection along with, where appropriate, further learning and development activities		Apr-21	Apr-21	Amber	26/01/2021- Ombudsman Liaison Manager confirmed recommendation is on track for April 2021 timescale.
201902057	Oct-20	Public Service Ombudsman (Wales)	12035	Open	N/A	Unscheduled Care (BGH)	Lydia Davies / Dawn Jones	Director of Operations	201902057_007	N/A	Within six months of the date of this report the Health Board should issue guidance on the importance of ensuring that patients are fully informed of, and involved in, decisions about their care and outline what steps should be taken in the event that a patient's ability to engage is compromised, or fluctuating, and ensure that it is shared with all staff who were involved in Ms A's care.		Apr-21	Apr-21	Amber	26/01/2021- Ombudsman Liaison Manager confirmed recommendation is on track for April 2021 timescale.
201902057	Oct-20	Public Service Ombudsman (Wales)	12035	Open	N/A	Unscheduled Care (BGH)	Lydia Davies / Dawn Jones	Director of Operations	201902057_008	N/A	Within six months of the date of this report the Health Board should amend its discharge planning documentation to include a section for recording what ongoing management and post-discharge information has been discussed with and provided to the patient and remind relevant staff of the importance of completing this documentation fully		Apr-21	Apr-21	Amber	26/01/2021- Ombudsman Liaison Manager confirmed recommendation is on track for April 2021 timescale.
201902057	Oct-20	Public Service Ombudsman (Wales)	12035	Open	N/A	Unscheduled Care (BGH)	Lydia Davies / Dawn Jones	Director of Operations	201902057_009	N/A	Within six months of the date of this report the Health Board should review its discharge planning process and take action to improve provision of a joined-up service, including clarifying who should be responsible for ensuring that care recommended by the Reablement Service is confirmed and will be in place when the patient is actually discharged.		Apr-21	Apr-21	Amber	26/01/2021- Ombudsman Liaison Manager confirmed recommendation is on track for April 2021 timescale.
201905620	Nov-20	Public Service Ombudsman (Wales)	8391	Open	N/A	Scheduled Care	Caroline Lewis	Director of Operations	201905620_002	N/A	R2. Within one month of this report the Health Board should remind all relevant staff of the NICE Guidance on risk assessments and extended medication prescriptions for cancer surgery patients at risk of developing blood clots		Dec-20	Dec-20 N/K	Red	27/01/2021-Ombudsman Liaison Manager confirmed this action is still outstanding which is currently being chased with the service.
201905620	Nov-20	Public Service Ombudsman (Wales)	8391	Open	N/A	Scheduled Care	Caroline Lewis	Director of Operations	201905620_006	N/A	R6. Within six months of this report the Health Board should review and update the Policy to ensure that it is fully compliant with the statutory duties outlined in the Act and the Regulation.		May-21	May-21	Amber	
201905620	Nov-20	Public Service Ombudsman (Wales)	8391	Open	N/A	Scheduled Care	Caroline Lewis	Director of Operations	201905620_007	N/A	R7. Within six months of this report the Health Board should provide training to all relevant staff, including all complaints handlers, on how to identify a Subject Access Request and what to do when one is received.		May-21	May-21	Amber	
201905578	Nov-20	Public Service Ombudsman (Wales)	201905578 (13932)	Open	N/A	Mental Health & Learning Disabilities	Neil Mason	Director of Operations	201905578_002	N/A	The Health Board prepares guidance for families on the different, but overlapping, purposes of the MCA and the MHA and when it would be appropriate for an IMCA to be present during an assessment.		Feb-21	Feb-21	Amber	09/12/2020 Ombudsman Liaison Manager confirmed that Neil Mason is guiding the progress on this recommendation. 26/01/2021- Ombudsman Liaison Manager confirmed recommendation on track for February 2021.
201905578	Nov-20	Public Service Ombudsman (Wales)	201905578 (13932)	Open	N/A	Mental Health & Learning Disabilities	Neil Mason	Director of Operations	201905578_003	N/A	The Health Board introduces a mechanism whereby if a family member is unhappy about a decision for admission under the MHA (even if agreed by the nearest relative) there is an option for a broader family group meeting to be held where there is time to do so.		Feb-21	Feb-21	Amber	09/12/2020 Ombudsman Liaison Manager has confirmed that Neil Mason is guiding the progress on this recommendation. 26/01/2021- Ombudsman Liaison Manager confirmed recommendation on track for February 2021.
201903819 / 201903824	Dec-20	Public Service Ombudsman (Wales)	13459	Open	N/A	Mental Health & Learning Disabilities	Sara Rees/Kay Isaacs	Director of Operations	13459_001	N/A	Within 1 month of the issue of the final version of this report that the practice apologises in writing to Mrs A for its failings identified in this report		Jan-21	Jan-21 N/K	Red	25/01/21- Ombudsman Liaison Manager confirmed recommendation sits with the Primary Care Surgery.
201903819 / 201903824	Dec-20	Public Service Ombudsman (Wales)	13459	Open	N/A	Mental Health & Learning Disabilities	Sara Rees	Director of Operations	13459_003	N/A	Within 3 months of the issue of the final version of this report that The Practice reviews, in discussion with the Health Board, its policy and procedures for prescribing controlled drugs and provides evidence to the Ombudsman of the outcomes of this review		Mar-21	Mar-21	Amber	25/01/21- Ombudsman Liaison Manager confirmed recommendation sits with the Primary Care Surgery.
201903819 / 201903824	Dec-20	Public Service Ombudsman (Wales)	13459	Open	N/A	Mental Health & Learning Disabilities	Sara Rees	Director of Operations	13459_004	N/A	Within 3 months of the issue of the final version of this report that The Practice provides evidence to the Ombudsman that it has reviewed its procedure for making mental health referrals, to ensure risk and urgency levels are clearly identifiable.		Mar-21	Mar-21	Amber	25/01/21- Ombudsman Liaison Manager confirmed recommendation sits with the Primary Care Surgery.
201903819 / 201903824	Dec-20	Public Service Ombudsman (Wales)	13459	Open	N/A	Mental Health & Learning Disabilities	Sara Rees	Director of Operations	13459_005	N/A	Within 3 months of the issue of the final version of this report that The Health Board provides evidence to the Ombudsman that it has reviewed the way in which GP mental health referrals are processed, to ensure risk and urgency levels are appropriately assessed and recorded.		Mar-21	Mar-21	Amber	25/01/21- Ombudsman Liaison Manager confirmed this recommendation is on track to be completed by March 2021.
201903819 / 201903824	Dec-20	Public Service Ombudsman (Wales)	13459	Open	N/A	Mental Health & Learning Disabilities	Sara Rees	Director of Operations	13459_006	N/A	Within 3 months of the issue of the final version of this report that Both the Practice and the Health Board reflects on the failings identified in this report and documents any changes to policy that will be implemented as part of their learning from this case.		Mar-21	Mar-21	Amber	25/01/21- Ombudsman Liaison Manager confirmed this recommendation is on track to be completed by March 2021.
RCP 2019	21-22nd Oct	Royal College of Physicians	RCP Cymru Wales visit to Ysbyty Bronglais: Follow up report	Open	N/A	Unscheduled Care (BGH)	Hazel Davies	Medical Director	RCP2019_001	N/A	1.1 Improve networking and collaboration with other sites and health boards	1.1 Operational and financial progress is being made around clinical pathway and service commissioning with Powys and BCU (S Gwynedd). Particularly diagnostics, cardiology and acute stroke.	Mar-21	Mar-21 Mar-23	Red	This is part of a wider site plan and progress was being made across key areas but now, is necessarily on hold, due to Covid. Acute stroke is the only one where day rate tariff is now in place. 25/01/2021- Responsible officer confirmed this is a part of the BGH Clinical Strategy work which will be completed by March 2023.

RCP 2019	Sep-19	Royal College of Physicians	RCP Cymru Wales visit to Ysbyty Bronglais: Follow up report	Open	N/A	Unscheduled Care (BGH)	Hazel Davies	Medical Director	RCP2019_001	N/A	1.2 Improve networking and collaboration with other sites and health boards	Additionally internal cross divisional planning is emergency – particularly critical for BGH is working with Scheduled Care to develop a bespoke elective plan that ensures travel reduction for patients and enables the site to fully utilise theatres (subject to workforce plan) and support patients to access care from their local hospital wherever possible. Though progress on this has been affected by Covid.	Mar-21	Mar-21 Mar-23	Red	As above, as part of wider site plan. Working collaboratively with SC in regard to reinstatement of scheduled activity (Covid plan) which is working well. Also exploring options for local site management representation for SC. 25/01/2021- Responsible officer confirmed this is a part of the BGH Clinical Strategy work which will be completed by March 2023.
RCP 2019	Sep-19	Royal College of Physicians	RCP Cymru Wales visit to Ysbyty Bronglais: Follow up report	Open	N/A	Unscheduled Care (BGH)	Hazel Davies	Medical Director	RCP2019_001	N/A	1.3 Improve networking and collaboration with other sites and health boards	Diagnostics – in particular cardiology, MRI etc. are improving at pace with respiratory the next area for focus	Mar-21	Mar-21 Mar-23	Red	On hold due to Covid. MRI is the only complete area. Others in hand but limited due to Covid 25/01/2021- Responsible officer confirmed MRI project plan fully implemented, however service by service enhancement is part of BGH Clinical Strategy work which will be completed by March 2023.
RCP 2019	Sep-19	Royal College of Physicians	RCP Cymru Wales visit to Ysbyty Bronglais: Follow up report	Open	N/A	Unscheduled Care (BGH)	Hazel Davies	Medical Director	RCP2019_001	N/A	1.6 Improve networking and collaboration with other sites and health boards	Virtual systems such as "attend anywhere" – a visual platform for OP consultation are being trialled with intention to roll out for a number of specialties The above links to the Mid Wales telemed plan which aims to increase capacity and capability for virtual consultation to reduce travel burden. This is a piece of work on going with Powys and to an extent BCU – though improvements, which we hope to sustain, have been made due to Covid which required a significant degree of rapid change The aim is to improve primary care access	Apr-21	Apr-21	Amber	12/10/2020- this is not a single Action against which to report – it is a large piece of work in progress. A significant amount has been achieved but it isn't effectively represented in this action plan. Telemedicine has been enhanced and progress escalated due to Covid. Many clinical services are using technology extensively to reduce risk and enable patients to access care, where appropriate via virtual means. Attend Anywhere and other software are being trialled by the Scheduled Care Directorate, who manage OPD. They have produced an SBAR which gives dates etc. for implementation. BGH team (HD is Mid Wales lead for telemedicine) are providing an update to the November 2020 Mid Wales Board re telemedicine. Due to Covid we have established a fruitful primary care operations group for Ceredigion (meets bi weekly) BGH are progressing a dedicated telemedicine suite for the site (Spring 2021 approx.) which will enable tertiary interface and patient consultations, including for in patients. 25/01/2021- Responsible officer confirmed good progress being made with telemed but this will be a work in progress linked to the strategy for some time. Though some elements can be considered completed. Recommendation to remain amber for the time being, to be further reviewed in March 2021.
RCP 2019	Sep-19	Royal College of Physicians	RCP Cymru Wales visit to Ysbyty Bronglais: Follow up report	Open	N/A	Unscheduled Care (BGH)	Hazel Davies	Medical Director	RCP2019_004	N/A	4.2 Develop new teaching and qualification opportunities for trainees and specialty doctors	BGH wishes to progress a new round of discussions with the Deanery which aims to attract Core Trainees to come here. A minimum of 4 posts could be supported on rotation. BGH remains accredited for such and now that consultant numbers have increased, this is a real possibility.	Dec-20	Dec-20 N/K	Red	On hold due to Covid. 25/01/2021- Responsible officer confirmed this remains on hold due to Covid.
RCP 2019	Sep-19	Royal College of Physicians	RCP Cymru Wales visit to Ysbyty Bronglais: Follow up report	Open	N/A	Unscheduled Care (BGH)	Hazel Davies	Medical Director	RCP2019_004	N/A	4.5 Develop new teaching and qualification opportunities for trainees and specialty doctors	Increase the number of Physician Associates working in BGH from 3 (2 in post) to 6.	Mar-21	Mar-21	Amber	In progress – some delay due to Covid and the need to identify funding. 25/01/2021- Responsible officer confirmed Physician Associates has increased to 4, with a plan to increase to 6 which is currently subject to funding.
RCP 2019	Sep-19	Royal College of Physicians	RCP Cymru Wales visit to Ysbyty Bronglais: Follow up report	Open	N/A	Unscheduled Care (BGH)	Hazel Davies	Medical Director	RCP2019_005	N/A	5.1 Develop the postgraduate education centre, including clinical skills and simulation equipment	Funds have been made available to develop the Postgraduate centre and a planning group is having meetings to agree design. There is also a plan to develop a medical education hub within Aberystwyth University. Both developments will include clinical skills facilities.	Sep-22	Sep-22	Amber	12/10/2020- PGC Development on the BGH site in progress. Completion to be confirmed but 2021/22. Programme of improvement to under and post graduate site accommodation is in hand – completion by June 2020. School of Health Sciences with incorporated School of Nursing is in the accreditation process at present with a plan for completion and first intake September 2022. 25/01/2021- Responsible officer confirmed in progress for September 2022 timescale.
RCP 2019	Sep-19	Royal College of Physicians	RCP Cymru Wales visit to Ysbyty Bronglais: Follow up report	Open	N/A	Unscheduled Care (BGH)	Hazel Davies	Medical Director	RCP2019_005	N/A	5.2 Develop the postgraduate education centre, including clinical skills and simulation equipment	Improve facilities for RESUS simulation Increase education opportunities across the staffing groups to include nursing, therapists etc.	Sep-22	Sep-22	Amber	12/10/2020 – PGC development. Works completion due 2021/22. 25/01/2021- Responsible officer confirmed in progress for September 2022 timescale.
RCP 2019	Sep-19	Royal College of Physicians	RCP Cymru Wales visit to Ysbyty Bronglais: Follow up report	Open	N/A	Unscheduled Care (BGH)	Hazel Davies	Medical Director	RCP2019_005	N/A	5.3 Develop the postgraduate education centre, including clinical skills and simulation equipment	The aim is to utilise global teaching opportunities including via virtual means, also to improve the seminar room as part of the wider PGC works and established a research skills and a simulation room.	Dec-21	Dec-21	Amber	Part of above 25/01/2021- Responsible officer confirmed in progress for December 2021 timescale.
RCP 2019	Sep-19	Royal College of Physicians	RCP Cymru Wales visit to Ysbyty Bronglais: Follow up report	Open	N/A	Unscheduled Care (BGH)	Hazel Davies	Medical Director	RCP2019_005	N/A	5.4 Develop the postgraduate education centre, including clinical skills and simulation equipment	Working with Aberystwyth University to establish a Faculty of Health Sciences with School of Nursing locally (awaiting accreditation from RCN_	Mar-23	Mar-23	Amber	On track. 25/01/2021- Responsible officer confirmed in progress for March 2023 timescale.
RCP 2019	Sep-19	Royal College of Physicians	RCP Cymru Wales visit to Ysbyty Bronglais: Follow up report	Open	N/A	Unscheduled Care (BGH)	Hazel Davies	Medical Director	RCP2019_005	N/A	5.5 Develop the postgraduate education centre, including clinical skills and simulation equipment	Establish how the SIFT funds are accounted for within the HB	Jul-20	May-21	Red	In hand. Monies allocated to improve accommodation on site. 29/10/2020- requested revised timescale and progress update from Director of Secondary Care. 25/01/2021- Responsible officer confirmed accommodation improvement on track, additional 20k now allocated and work should be completed by May 2021. Original completion date of July 2020 was stated in error. SIFT monies now identified – recent meeting with Assistant Director (Medical Directorate) who has a plan for sites in hand subject to agreement with the DoF.
RCP 2019	Sep-19	Royal College of Physicians	RCP Cymru Wales visit to Ysbyty Bronglais: Follow up report	Open	N/A	Unscheduled Care (BGH)	Hazel Davies	Medical Director	RCP2019_006	N/A	6.3 Ensure training posts are attractive with time for research, teaching and quality improvement	Potential for a Rural Medicine module (rotation) in the future to be based at Aberystwyth University in line with evolving Royal College thinking.	Mar-23	Mar-23	Amber	Long term plan. 25/01/2021- Responsible officer confirmed this could potentially take longer than March 2023 as it sits with the Deanery and is out of her hands. Recommendation will remain amber for now and to be reviewed closer to the original timescale date of March 2023.
RCP 2019	Sep-19	Royal College of Physicians	RCP Cymru Wales visit to Ysbyty Bronglais: Follow up report	Open	N/A	Unscheduled Care (BGH)	Hazel Davies	Medical Director	RCP2019_008	N/A	8.1 Improve on-site accommodation and support for trainees, clinical fellows and specialty doctors	We are aware that this is a critical problem for BGH and has been raised with the HB. The Estates team have improvements to the BGH site accommodation in their programme of works for 2020/21	Apr-21	Apr-21	Amber	Work programme agreed and about to commence. 25/01/2021- Responsible officer confirmed progress on track for April 2021.
RCP 2019	Sep-19	Royal College of Physicians	RCP Cymru Wales visit to Ysbyty Bronglais: Follow up report	Open	N/A	Unscheduled Care (BGH)	Hazel Davies	Medical Director	RCP2019_009	N/A	9.1 Learn from the experience of other remote and rural hospitals e.g. Ysbyty Gwynedd	This will be undertaken with colleagues from Betsi Cadwaladr UHB and other Health Boards with similar characteristics of remoteness and rurality. Contact to be made with BCU to discuss their experience with remote and rural hospitals, e.g. Ysbyty Gwynedd.	N/K	N/K	Red	12/10/2020- On indefinite hold due to Covid however BCU pathways and relationships continue to develop (as above). 25/01/2021- Responsible officer confirmed this is still on hold due to Covid.
RCP 2019	Sep-19	Royal College of Physicians	RCP Cymru Wales visit to Ysbyty Bronglais: Follow up report	Open	N/A	Unscheduled Care (BGH)	Hazel Davies	Medical Director	RCP2019_009	N/A	9.2 Learn from the experience of other remote and rural hospitals e.g. Ysbyty Gwynedd	Identify other remote and rural areas with similar characteristics such as NHS Ayrshire and Arran and make contact.	N/K	N/K	Red	12/10/2020- As above – no progress planned until safe to do so. 25/01/2021- Responsible officer confirmed this is still on hold due to Covid.
Delivered under contract P474	Oct-17	Stratia Consulting	NHS Wales External Security Assessment - Assessment Report and Security Improvement Plan for Hywel Dda University Health Board (HOUHB)	Open (external rec)	N/A	Digital and Performance	Anthony Tracey / Sarah Brain	Director of Finance	Stratia_005	Medium	CE+ 5: Six monthly network scans will allow progress on the points mentioned above to be measured over time, and give a clearer, ongoing picture of the Health Boards exposures. It will also allow efficient and effective deployment of IT resources.	Reliant on NWIS National procurement of vulnerability scanning solution. No progress to date as revenue funding from Welsh Government has not been released to the Health Board. ADI has written to the Director of Informatics Planning for NHS Wales for an update on checklists. In the meantime NWIS will be providing on-boarding activities to ensure any readiness work is understood.	N/K (outside the gift of the UHB)	N/K (outside the gift of the UHB)	Red	Reliant on NWIS National procurement of vulnerability scanning solution. In the interim local scans are taking place in the interim. 03/09/2020- No further update on national work, doing all we can at local level. 01/10/2020, 05/11/2020 & 07/01/2021- No further update on the national work.
Delivered under contract P474	Oct-17	Stratia Consulting	NHS Wales External Security Assessment - Assessment Report and Security Improvement Plan for Hywel Dda University Health Board (HOUHB)	Open	N/A	Digital and Performance	Anthony Tracey / Sarah Brain	Director of Finance	Stratia_008	Medium	A.7.3 & A.9.2: A robust movers and leavers process to be introduced and continually monitored.	Hywel Dda Policy (301) is in place for user account management. A 'task and finish' group has been setup to improve the current operational processes. A review of user accounts has resulted in removal of more than 4000 unused accounts. Updated policy to be presented to IGSC for approval. New user forms are live on the ICT Portal and Trustmarque has been commissioned to automate and improve the current process based on technologies now available in O365.	Dec-20	Dec-21 Jan-21	Red	03/09/2020- Work being undertaken, reports received from HR of people leaving. Currently trying to get an automated process behind this. 01/10/2020- On track for December 2020 timescale. 05/11/2020- Informatics Business Manager confirmed process currently in place is very manual. Progressing towards automated process. 03/12/2020- Informatics Business Manager confirmed delayed to January 2021, still progressing with external assistance. 07/01/2020- Digital Business Manager to let Assurance and Risk Officer know if any issues with meeting end of January 2021 target.
Delivered under contract P474	Oct-17	Stratia Consulting	NHS Wales External Security Assessment - Assessment Report and Security Improvement Plan for Hywel Dda University Health Board (HOUHB)	Open	N/A	Digital and Performance	Anthony Tracey / Sarah Brain	Director of Finance	Stratia_009	Medium	A.8.1: The asset register for technical items to be fully completed. Work to complete the IAR to be maintained so that it is complete by the time that GDPR comes into force.	Work is progressing well through the Information Asset Owners group. Technical asset register has been completed for servers and network switches. These are currently being mapped to Information Asset Owners.	Dec-20	Dec-20 Jan-21 Feb-21	Red	3/9/2020- almost completed, was delayed due to changeover of staff. New staff member now taking this forward and update on Asset Owner Group will be provided to IGSC in October 2020. 01/10/2020- On track for December 2020 timescale. 05/11/2020- Informatics Business Manager confirmed couple remain outstanding, hoping to be implemented by December 2020. Has been delayed due to problems with engagement but this is now 100%. 03/12/2020- Informatics Business Manager confirmed will be reported to IGSC in January 2021. 07/01/2020- Digital Business Manager update- IGSC January meeting postponed due to number of apologies, meeting now taking place in early February.
Delivered under contract P474	Oct-17	Stratia Consulting	NHS Wales External Security Assessment - Assessment Report and Security Improvement Plan for Hywel Dda University Health Board (HOUHB)	Open	N/A	Digital and Performance	Anthony Tracey / Sarah Brain	Director of Finance	Stratia_011	Medium	A.11.1: Staff resources to be provided to allow the communications room security audits to be completed across the Health Board in a timely fashion.	Communication room security audits are complete. A formal risk assessment will be submitted to IGSC outlining resources required to address.	Dec-20	Dec-20 Jan-21 Feb-21	Red	03/09/2020- will be discussed at IGSC meeting in October 2020, Assurance and Risk Officer will be provided update following the meeting. 01/10/2020- On track for December 2020 timescale. To be discussed at IGSC meeting on 02/10/2020. 05/11/2020- Informatics Business Manager confirmed she will check for progress. Was not reported to IGSC in October as previously advised, may be delayed until IGSC January 2021 meeting. To be confirmed. 16/11/2020- Informatics Business Manager confirmed this is on the agenda for the next IGSC meeting (6th January 2021). 07/01/2020- Digital Business Manager update- IGSC January meeting postponed due to number of apologies, meeting now taking place in early February.

Delivered under contract P474	Oct-17	Stratia Consulting	NHS Wales External Security Assessment - Assessment Report and Security Improvement Plan for Hywel Dda University Health Board (HOUHB)	Open (external rec)	N/A	Digital and Performance	Anthony Tracey / Sarah Brain	Director of Finance	Stratia_015	Medium	A.12.4: NWIS are purchasing the LogRhythm SIEM solution. Once the purchase and staff training has been completed its deployment to the various Health Boards should be expedited.	Reliant on NWIS national procurement of LogRhythm solution. No progress to date as revenue funding from Welsh Government has not been released to the Health Board. ADI has written to the Director of Informatics Planning for NHS Wales for an update on checklists. In the meantime NWIS will be providing on-boarding activities to ensure any readiness work is understood (2 HDD staff members attending LogRhythm training 25-26th March, 2020).	N/K (outside the gift of the UHB)	N/K (outside the gift of the UHB)	Red	Reliant on NWIS national procurement of LogRhythm solution. Awaiting a response from NWIS. 03/09/2020- No further update on national work. 01/10/2020, 05/11/2020 & 07/01/2021- No further update on national work.
Delivered under contract P474	Oct-17	Stratia Consulting	NHS Wales External Security Assessment - Assessment Report and Security Improvement Plan for Hywel Dda University Health Board (HOUHB)	Open (external rec)	N/A	Digital and Performance	Anthony Tracey / Sarah Brain	Director of Finance	Stratia_016	Medium	A.12.6: A CE+, or similar scan, to be carried out periodically (suggest 6 monthly) to provide an independent view of the patching status of the infrastructure.	Reliant on NWIS national procurement of vulnerability scanning solution. No progress to date as revenue funding from Welsh Government has not been released to the Health Board. ADI has written to the Director of Informatics Planning for NHS Wales for an update on checklists. In the meantime NWIS will be providing on-boarding activities to ensure any readiness work is understood.	N/K (outside gift of UHB)	N/K (outside gift of UHB)	Red	Reliant on NWIS national procurement of LogRhythm solution. Awaiting a response from NWIS. 03/09/2020- No further update on national work. 01/10/2020, 05/11/2020 & 07/01/2021- No further update on national work.
Delivered under contract P474	Oct-17	Stratia Consulting	NHS Wales External Security Assessment - Assessment Report and Security Improvement Plan for Hywel Dda University Health Board (HOUHB)	Open	N/A	Digital and Performance	Anthony Tracey / Sarah Brain	Director of Finance	Stratia_012	Medium	A.12.1: The remaining XP machines should be segmented off the main network and access to them strictly controlled, all unnecessary services removed from user access.	Windows XP devices has reduced from 33 to 23. Awaiting update to Audiology and Chubb security system to enable upgrade to Windows 10. Review of remaining systems is underway and report will be made available for IGSC.	Aug-20	Aug-20 Dec-20	Red	03/09/2020-Windows XP devices has further reduced from 23 to 17, however there have been issues involved and process has not been as straight forward as planned (included changing whole Audiology system which caused delays). Devices to be reviewed individually, revised implementation date of December 2020. 01/10/2020- this is being progressed and number of devices outstanding continue to reduce, however those remaining are more problematic as they are connected to current systems and require further assessment. This recommendation will be reviewed in December 2020 and rationale will be provided if any machines are unable to be segmented off the main network. 05/11/2020- Informatics Business Manager confirmed the low numbers remaining are being worked through. 07/01/2020- Digital Business Manager update- still a couple outstanding due to their complications. Working with services to work out why they are needed. Sarah to check and update.
Delivered under contract P474	Oct-17	Stratia Consulting	NHS Wales External Security Assessment - Assessment Report and Security Improvement Plan for Hywel Dda University Health Board (HOUHB)	Open	N/A	Digital and Performance	Anthony Tracey / Sarah Brain	Director of Finance	Stratia_013	Medium	A.12.2: Further staff resources to be allocated to enable a more robust server patching regime to be achieved.	Paper has been provided to the executive team to identify the resources required to improve the rates of server patching. This equated to 3 x Band 5's. No funding has been identified so patching still at best endeavours using existing resources.	Not known	Mar-21	Red	funding from Welsh Government to fund Band 6 post to take this work forward has been received and role currently going out to advert. It is envisaged that this will be fully implemented by March 2021, providing the post holder will be in place by September 2020. Status is red as no progress made to date. 03/09/2020- Job has been readvertised and currently reviewing applicants. This recommendation cannot be progressed until this resource is in place. Assurance & Risk Officer will receive further update next month once interviews have taken place. 01/10/2020- job advertisement was unsuccessful. Job description being revised to a higher band in the hope it will attract suitable applicants. Timescale for this recommendation will be reviewed once suitable applicant is in post (approx. January 2021). 04/12/2020- Rebanding has been agreed and on Trac system, waiting for sign off then will be readvertised. 07/01/2020- Digital Business Manager confirmed Job out for advert with deadline of next week, hopeful to get Band 7 in place. Recruitment has been an issue for all Health Boards.
Delivered under contract P474	Oct-17	Stratia Consulting	NHS Wales External Security Assessment - Assessment Report and Security Improvement Plan for Hywel Dda University Health Board (HOUHB)	Open	N/A	Digital and Performance	Anthony Tracey / Sarah Brain	Director of Finance	Stratia_002	Not stated	CE+ 2: Removing old/unnecessary/unsupported software from the estate will reduce the potential attack surface as well as removing inherent vulnerabilities. Vendor software i.e. Adobe Reader and Adobe Flash Player on a large number of hosts requires patching to a supported level. Adobe Reader and Adobe Flash are standalone software applications that can normally be updated or patched with low impact on other applications or services.	No progress. Detailed audit of installed software to be undertaken. Initial snapshot showed 32,000 software applications and updates installed. No further progress as no Cyber security resources have been allocated to the department.	N/K	Mar-21	Red	No further progress as no Cyber security resources have been allocated to the department. Awaiting funding from Welsh Government to fund Band 6 post to take this work forward. It is envisaged that this will be fully implemented by March 2021, providing the post holder will be in place by September 2020. 03/09/2020- Job has been readvertised and currently reviewing applicants. This recommendation cannot be progressed until this resource is in place. Assurance & Risk Officer will receive further update next month once interviews have taken place. 01/10/2020- job advertisement was unsuccessful. Job description being revised to a higher band in the hope it will attract suitable applicants. Timescale for this recommendation will be reviewed once suitable applicant is in post (approx. January 2021). 04/12/2020- Rebanding has been agreed and on Trac system, waiting for sign off then will be readvertised. 07/01/2020- Digital Business Manager confirmed Job out for advert with deadline of next week, hopeful to get Band 7 in place. Recruitment has been an issue for all Health Boards.
Delivered under contract P474	Oct-17	Stratia Consulting	NHS Wales External Security Assessment - Assessment Report and Security Improvement Plan for Hywel Dda University Health Board (HOUHB)	Open	N/A	Digital and Performance	Anthony Tracey / Sarah Brain	Director of Finance	Stratia_003	Not stated	CE+ 3: On the HOUHB supported infrastructure, up to date Microsoft Windows security updates, patches for vendor software 7-Zip and VPN client Cisco AnyConnect should be implemented, and a more comprehensive patch management plan agreed for future updates.	Microsoft security patches are now deployed as per CE+1. Other vendor patches cannot be addressed until Cyber security resources are available to ICT.	Mar-21	Mar-21	Amber	No further progress as no Cyber security resources have been allocated to the department. Awaiting funding from Welsh Government to fund Band 6 post to take this work forward. It is envisaged that this will be fully implemented by March 2021, providing the post holder will be in place by September 2020. 03/09/2020- Job has been readvertised and currently reviewing applicants. This recommendation cannot be progressed until this resource is in place. Assurance & Risk Officer will receive further update next month once interviews have taken place. 01/10/2020- job advertisement was unsuccessful. Job description being revised to a higher band in the hope it will attract suitable applicants. Timescale for this recommendation will be reviewed once suitable applicant is in post (approx. January 2021). 04/12/2020- Rebanding has been agreed and on Trac system, waiting for sign off then will be readvertised. 07/01/2020- Digital Business Manager confirmed Job out for advert with deadline of next week, hopeful to get Band 7 in place. Recruitment has been an issue for all Health Boards.
No ref	01/03/2019	Welsh Language Commissioner	Primary care training and the Welsh language	Open (External rec)	N/A	Workforce & OD	Anmarie Thomas	Director of Workforce & OD	PCTWL_002	WG taking forward.	R2. Health boards and primary care clusters need to audit the linguistic skills of the primary care workforce and work to improve the quality of data that exists.	Primary Care Officer to identify what language skills data is being collected at all 4 services. See comments outside the gift of HB, being delivered at a All Wales Level.	Mar-20	Mar-20 N/K (Outside gift of HB)	Red	Language skills data from Primary Care contractors is not collected. Staff in the four Managed Practices however have to log their language skills on ESR. Over summer 2019, the Primary Care team administered a questionnaire, on behalf of Welsh Government, with all four Primary Care contractor areas to assess compliance with the six Welsh Language Duties for Primary Care contractors. In response to the Duty to encourage the wearing of a badge, provided by the Local Health Board, by Welsh speakers, to convey that they are able to speak Welsh, 63% of Primary Care contractors who responded to the questionnaire reported that they were meeting this (although this isn't an audit of language skills). Update 18/9/20: This recommendation is being taken forward at a national level, led by Welsh Government, to enable the collection of Welsh language skills of GPs and Practice staff through the National Workforce Reporting System, as part of the data collection. The intention is that the system will be able to log Welsh language skills next year. Recommendation outside the gift of the Health Board to implement.
CSG584	13/08/2019	Welsh Language Commissioner	Investigation under section 71 of the Welsh Language (Wales) Measure 2011 of a possible failure to comply with Welsh language standards	Open	N/A	CEOs Office (Welsh Language)	Yvonne Burson	CEO	CSG584_001	N/A	R1. The Health Board must conduct a review to check that appointment letters sent from other departments comply with standard 5 and act upon the results of the review.		Apr-20 Mar-21	Oct-20 Mar-21	Amber	16/11/2020- WL Commissioner's Officer has agreed to an extension to 19/03/2021, and has requested to receive a progress update by mid December 2020. Assistant Director of Communications is currently coordinating the progress update with service managers. 04/12/2020- recommendation changed back from red to amber due to extension from WL Commissioner's Officer. 27/01/2021 - Directorates have completed an assessment. Work has been done to ensure compliance. Due to current Covid
CSG584	13/08/2019	Welsh Language Commissioner	Investigation under section 71 of the Welsh Language (Wales) Measure 2011 of a possible failure to comply with Welsh language standards	Open	N/A	CEOs Office (Welsh Language)	Yvonne Burson	CEO	CSG584_002	N/A	R2. The Health Board must conduct a review to check that forms provided to the public by other departments comply with standard 36 and act upon the results of the review.		Apr-20 Mar-21	Oct-20 Mar-21	Amber	16/11/2020- WL Commissioner's Officer has agreed to an extension to 19/03/2021, and has requested to receive a progress update by mid December 2020. Assistant Director of Communications is currently coordinating the progress update with service managers. 04/12/2020- recommendation changed back from red to amber due to extension from WL Commissioner's Officer. 27/01/21 - Directorates have completed an assessment. Work has been done to ensure compliance. Due to current Covid pressure the information from the Operations directorate is incomplete. As a result of Covid and a cyber-attack on the WL Commissioner's office an extension has been granted on collating the remaining information.
CSG584	13/08/2019	Welsh Language Commissioner	Investigation under section 71 of the Welsh Language (Wales) Measure 2011 of a possible failure to comply with Welsh language standards	Open	N/A	CEOs Office (Welsh Language)	Yvonne Burson	CEO	CSG584_003	N/A	R3. Hywel Dda University Health Board must provide sufficient written evidence to satisfy the Welsh Language Commissioner that it has carried out enforcement actions 1-2.		Apr-20 Mar-21	Oct-20 Mar-21	Amber	16/11/2020- WL Commissioner's Officer has agreed to an extension to 19/03/2021, and has requested to receive a progress update by mid December 2020. Assistant Director of Communications is currently coordinating the progress update with service managers. 04/12/2020- recommendation changed back from red to amber due to extension from WL Commissioner's Officer. 27/01/21 - An annual review meeting was held between the Health Board and the WL Commissioner's office on 26/01/21. It was agreed that we would provide the evidence already collated by the 19/03/2021 date and a new date will be set for the remaining Directorates directorate information.

Reports Closed on the Audit Tracker since ARAC December 2020

Report name	Lead Executive/Director
Audit Wales: Structured Assessment 2018	Board Secretary
Audit Wales: Structured Assessment 2019	Board Secretary
Audit Wales: Integrated Care Fund (ICF) Review Update (West Wales RPB)	Director of Public Health
Community Health Care: Women and children's services visit report March 2018	Director of Operations
Health Inspectorate Wales: Llandovery, 26-27 November 2019	Director of Operations
Health Inspectorate Wales: Sunderland Ward, South Pembrokeshire Hospital 13-14/05/19	Director of Operations
Health Inspectorate Wales: Tregaron Community Hospital	Director of Operations
Health Inspectorate Wales: Withybush Hospital (Maternity), 3-4 December 2019	Director of Operations
Health Inspectorate Wales: Ystwyth Ward, BGH 03-04 Sep19	Director of Operations
Health Inspectorate Wales: Withybush General Hospital (Ward 10 Follow Up)	Director of Operations
HIW MHL: North Ceredigion Community Mental Health Team (Gorwellion) 20-21 Nov 2018	Director of Operations
HIW MHL: Bryngofal Ward, Prince Philip Hospital	Director of Operations
Internal Audit: Core Financial Systems - Accounts Receivable	Director of Finance
Internal Audit: Annual Quality Statement 2019/20	Director of Nursing, Quality & Patient Experience
Internal Audit: Contracting	Director of Finance
Internal Audit: Control of Contractors	Director of Operations
Internal Audit: Bronglais General Hospital Directorate Governance Review	Director of Operations
Internal Audit: Health and Care Standards	Director of Nursing, Quality & Patient Experience
Internal Audit: Water Safety - Bronglais General Hospital	Director of Operations
Mid & West Wales Fire and Rescue Service: Letter of Fire Safety Matters - The Regulatory Reform (Fire Safety) Order 2005. South Pems Hospital (BFS/KBJ/SJM/00115068	Director of Operations
Public Service Ombudsman (Wales): 201806599	Director of Operations
Public Service Ombudsman (Wales): 201901190 / 201901209 / 201904157	Director of Operations
Public Service Ombudsman (Wales): 201902060	Director of Operations
Public Service Ombudsman (Wales): 201807859	Director of Operations
Public Service Ombudsman (Wales): 202002115	Director of Operations

Reports Opened on the Audit Tracker since ARAC December 2020

Report name	Lead Executive/Director	Final report received at
Health and Safety Executive: Material Breach – Notification of Contravention – Shielding Letter dated 17/11/2020	Director of Nursing, Quality & Patient Experience	To be received at Health & Safety Assurance Committee February 2021
Health and Safety Executive: Material Breach – Notification of Contravention – Covid-19 arrangements dated 28/01/2021	Director of Nursing, Quality & Patient Experience	To be received at Health & Safety Assurance Committee February 2021
HIW: Quality Check Summary: Glangwili Hospital (Towy Ward) 25/11/2020	Director of Operations	To be received at Quality, Safety and Experience Assurance Committee, April 2021
Internal Audit: Agility to Flex Workforce to Covid Planning	Director of Workforce & OD	Audit and Risk Assurance Committee December 2020
Internal Audit: Backlog Maintenance	Director of Operations	Audit and Risk Assurance Committee December 2020
Internal Audit: Capital Governance Arrangements	Director of Operations	Audit and Risk Assurance Committee December 2020
Internal Audit: Finance Team Transformation	Director of Finance	Audit and Risk Assurance Committee December 2020
Internal Audit: IM&T Control and Risk Assessment	Director of Finance	Audit and Risk Assurance Committee December 2020
Internal Audit: WCCIS Project (Ceredigion Locality)	Director of Finance	Audit and Risk Assurance Committee December 2020
Internal Audit: Welsh Risk Pool Claims	Director of Nursing, Quality & Patient Experience	Audit and Risk Assurance Committee December 2020
Public Service Ombudsman (Wales): 201903819 / 201903824	Director of Operations	Directorate Quality, Safety and Experience meetings
Public Service Ombudsman (Wales): 201806837	Director of Operations	Directorate Quality, Safety and Experience meetings