

Audit & Risk Assurance Committee
TABLE OF ACTIONS
Arising from Meeting held on 23rd June 2020

Minute No.	Meeting Date	Subject	Action	Lead	Timescale	Progress/Date Achieved
AC(19)222	22/10/2019	Radiology Directorate (Reasonable Assurance) Update	To provide to the next meeting, via the Table of Actions, a clear plan (agreed by the Executive Team) of timescales for implementation of Recommendations 3 and 8.	AC	December 2019 April May August 2020	<i>A transformation project team has been established between the Head of Radiology, Workforce and OD and the Project Management Office (PMO) which met in February 2020 and devised a transformation project plan (please see attached) in relation to Radiology staffing levels including on-call arrangements. A second meeting was due to take place in March 2020 but was suspended due to preparing for the COVID-19. The project plan was discussed with members of the executive team who are part of the Holding to Account process in the March 2020, where it was agreed Radiology would present new costings for improved staffing levels to the Executive Team. A model was developed and costed although due to</i>

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						<p><i>COVID-19 this has not been presented to the Executive Team. Currently, during the pandemic, staff have been working differently to accommodate the patient flow and it is anticipated that some of the adjustments will continue when returning to what will be a new normal. The transformation project plan is currently a minimum of 3 months behind schedule. It is anticipated for a further meeting to be arranged in June 2020 to establish revised timescales against the remaining actions, including the implementation of the recommendations from the Internal Audit report.</i></p> <p><u>Update for August 2020 ARAC meeting:</u> Further meetings have been held with leads from the programme management office in an effort to maintain momentum. A further meeting is scheduled for August 2020.</p>

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						<p>In addition, discussions have been held during July 2020 with Workforce and Organisational Development regarding bespoke leadership training for the radiology site leads. Any changes to current staging rotas have taken into consideration new ways of working.</p> <p>However, there has not been an opportunity to present developments to date or the revised staffing models to the Executive Team, due to the response to COVID-19.</p>
AC(19)223	22/10/2019	WAO Review of Estates 2016 Update	To provide a further update to a future meeting.	RE	April October 2020	Forward planned for 20 th October 2020 meeting.
AC(19)256	19/12/2019	Counter Fraud Update	To discuss with the Director of Workforce & OD whether Counter Fraud Awareness E-Learning should be made mandatory.	HT	February April August 2020	<i>The Local Counter Fraud Specialist is attending the Mandatory Training Group meeting on 15/06/20 to present the application for the Counter Fraud Awareness E-Learning module to be made mandatory. A decision will be made shortly after this meeting.</i>

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						The Approval Panel has been disbanded and the authorisation process handed back to the Executive Team. Efforts will be made to progress with the Executive Team in the coming month.
AC(20)15	25/02/2020	Wales Audit Office Integrated Care Fund (ICF) Review Update	To provide details of ICF expenditure across the year, with any issues caused by timing of WG funding allocations to be explained in an accompanying narrative.	SJ	April May 2020	<p><i>Analysis is being undertaken for 2019-20, although gaps in financial reporting by project leads means this will not be comprehensive.</i></p> <p><i>Strengthened reporting requirements for 2020-21 has been introduced to provide details of spend per quarter across the programme, although reduced capacity due to the COVID-19 outbreak may impact on reporting in early quarters.</i></p> <p><u>Update for June 2020 ARAC meeting:</u> <i>Detailed financial profiles for all ICF programmes are being produced and will be compiled into a single Revenue Investment Plan</i></p>

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						<p>by 31st May 2020. Partners have been advised of requirements for detailed financial reporting on a quarterly basis and adjustments of financial profiles as necessary and this will commence from the end of Quarter 1 in June 2020.</p> <p><u>Update for August 2020 ARAC meeting:</u> Due to delays because of COVID-19, finalisation of the 2020-21 Revenue Investment Plan (RIP) was not completed until July 2020. The plan was approved by the West Wales Regional Partnership Board on 22nd July 2020. Further papers are provided for information.</p>
AC(20)17	25/02/2020	Research & Development Department Governance Review (Limited Assurance)	To present a report outlining the broader R&D position, including recent, current and planned changes, to the June ARAC meeting.	PK/LP	June August 2020	Forward planned for 25 th August 2020 meeting.
AC(20)42	21/04/2020	Internal Audit RCP Medical Records	To provide a further update in six months.	PK	October 2020	Forward planned for 20 th October 2020 meeting.

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		Keeping Standards (Reasonable Assurance) Update				
AC(20)43	21/04/2020	WAO Clinical Coding Follow-up Update	To provide a further update in six months.	KM	October 2020	Forward planned for 20 th October 2020 meeting.
AC(20)84	05/05/2020	Draft Head of Internal Audit Annual Report & Opinion 2019/20	To discuss further the distribution and consideration of IA reports on other NHS organisations;	JJ/JW/HT	June 2020	<p><i>Discussions are ongoing with individual organisations regarding the appropriate process for this, with a view to including an update within regular progress reports to ARAC in addition to the information contained within the annual report.</i></p> <p>Update for August 2020 ARAC meeting: As part of their work to review and update their audit methodology and approach, Internal Audit are looking at the role national audits have in providing assurance to individual health bodies (national audits here refers to work undertaken at HEIW, NWIS, NWSSP, EASC and WHSSC that covers services provided on behalf</p>

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						<p>of other health bodies). A sub-group of Board Secretaries has been created to support Internal Audit with this wider work. One approach being worked through is to: provide Audit Committees with a list of all national audits at the start of the year (once plans have been approved); provide updates on progress, outcomes and key messages as a part of each progress report to Audit Committees; and having the auditors who undertook the national audits attend other Audit Committees if requested to. The Chairs of Audit meetings could also be a potential focus of discussion on the outcome of national audits and the shaping of future work programmes.</p> <p>Audit Committee members at each health body would also be able to access reports once they have been received by the relevant Audit Committee. Please note that if matters were to</p>

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						arise during the course of an audit that had immediate and/or significant impact on health bodies more widely then this would be reported at the time (and this approach has always been the case).
AC(20)112	23/06/2020	Table of Actions: AC(19)222 – Radiology Directorate (Reasonable Assurance) Update	To obtain an update from the Director of Operations regarding the lack of posts for radiology students.	JW	August 2020	There are posts available when vacancies occur within the establishment for student radiographers to apply. Work has been undertaken to align any potential vacancies with student graduation.
		Table of Actions: AC(20)20 – Cyber Security (Stratia Report) (Reasonable Assurance)	To provide an update to the next meeting.	HT	August 2020	Following additional funding being made available to the Digital Team, a Cyber Security Post has been advertised, and shortlisting is underway. The aim is to appoint in August 2020, with a start date of September 2020. In lieu of a substantive appointment, contractors will be used to progress the recommendations. Once appointed this post will look to address the outside recommendations within the Stratia Report. A key

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						recommendation was the need to appoint to a suitable position within the ICT whose sole responsibility will be Cyber Security.
AC(20)114	23/06/2020	Report on the Adequacy of Arrangements for Declaring, Registering and Handing interests, Gifts, Hospitality, Honoraria and Sponsorship	To add a column in Appendix 4, to record instances where individuals have declined gifts rather than their manger.	JW	August 2020	Completed. Column to be added to the Gifts Register going forward.
AC(20)117	23/06/2020	Structured Assessment 2019 – Progress to Date	<ul style="list-style-type: none"> To circulate a revised version, reflecting updates received since the report was issued; 	JW/ CB	July 2020	Completed. Circulated via email 14 th July 2020.
			<ul style="list-style-type: none"> To discuss with Executive Team colleagues and Audit Wales reviewing the response to Recommendation 3a for SA2018, and to provide an update under the Structured Assessment item at the next meeting. 	HT	August 2020	Update provided as part of Structured Assessment report for 25 th August 2020 meeting.
AC(20)119	23/06/2020	Internal Audit Plan 2020/21	To include in future IA Plan Progress Reports a clear indication of any instances of slippage in timescales, and also include an indication of the quarter when the report will	JJ	August 2020	Any slippage in time scales with the internal audit programme will be included in progress reports going forward. A proposal for how this information will be

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			conclude in order that this can be matched to the ARAC work programme.			presented has been shared with the ARAC Chair for consideration. Details of ARAC meetings at which audits are planned to be presented for the 2020/21 plan has been added to the progress report for the August meeting.
AC(20)120	23/06/2020	Glangwili Hospital, Women & Children's Development Phase 2 (Reasonable Assurance)	<ul style="list-style-type: none"> To flag concerns around the findings of this IA in ARAC's Update Report to Board, and to append a copy of the IA report; 	PN/ JW	July 2020	Completed. Included in update report to Public Board meeting on 30 th July 2020. Briefing note circulated to ARAC IMs 29 th July 2020.
			<ul style="list-style-type: none"> To refer this matter to the People, Planning & Performance Assurance Committee (PPPAC) for detailed discussion; 	JW	July 2020	Completed. Forward planned for 29 th October 2020 PPPAC meeting.
			<ul style="list-style-type: none"> To consult the Director of Nursing, Quality & Patient Experience regarding Quality and Safety impacts. 	JW	July 2020	Completed.
AC(20)121	23/06/2020	Mortality Rates (Reasonable Assurance)	To seek further clarification from the Medical Director regarding the management response to Recommendation 2.	JW	August 2020	Completed. Revised Management Response attached at Appendix 2.
AC(20)123	23/06/2020	Health & Safety (Reasonable Assurance)	To amend the statement on page 10 of the report to reflect the fact	JJ	July 2020	Completed. The report has been updated and re-issued to the Lead Executive.

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			that the full HSE report had not been presented to BPPAC.			
AC(20)124	23/06/2020	Variable Pay (Reasonable Assurance)	<ul style="list-style-type: none"> To request that the management response be reviewed and presented to the next ARAC meeting; 	JW	August 2020	Completed. Revised Management Response attached at Appendix 3.
			<ul style="list-style-type: none"> To request that Executive Leads be available at future ARAC meetings to answer queries in relation to IA reports and management responses with a reasonable assurance rating, as well as those with a limited assurance rating. 	JW	July 2020	Completed. Email sent 26 th June 2020.
AC(20)126	23/06/2020	Capital Assurance Follow-up (Reasonable Assurance)	<ul style="list-style-type: none"> To ensure that there is consistency in titles for Mr Rob Elliott's role, which is incorrect on page 2; 	EJ	July 2020	Existing reporting Quality Assurance arrangements have been revisited and reviewed to ensure the issue identified is checked at all future outputs.
			<ul style="list-style-type: none"> To follow-up on the decision not to investigate the procurement of land for the Cardigan Integrated Care Centre. 	JW	August 2020	Update provided by Jason Wood, Estates Dept: With regard to pursuing a claim against the solicitors who acted on the HB's behalf during the purchase of the HB site in relation to this issue, this would require an independent solicitor to review previous legal advice at the time of purchase of the of CICC site. The findings would need to

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						<p>demonstrate that the existing solicitor had been negligent, not just made a genuine error or oversight in their advice to the HB. The costs of pursuing this recommendation could be significant and likely to outweigh the benefit. The drainage issue has had no impact on the ability to open the facility. Pursuing this recommendation could also damage relationships with the HB framework solicitors we are acting on behalf of the HB in relation to many other issues.</p> <p>As outlined in the final audit report, a full briefing will be taken to CE&IMT to ratify the audit response.</p>
AC(20)134	23/06/2020	Overview and Performance Report (Section of HDdUHB Annual Report)	To communicate the Committee's thanks to those involved in preparing the report.	JW	July 2020	Completed.