

Bundle Audit & Risk Assurance Committee 21 April 2020

2.2

Table of Actions

Presenter: Chair

Table Of Actions Audit Risk Assurance Committee 25 February 2020

Appendix 1 - HDUHB Mgmt Response - ICF West Wales RPB

Audit & Risk Assurance Committee
TABLE OF ACTIONS
Arising from Meeting held on 25th February 2020

Minute No.	Meeting Date	Subject	Action	Lead	Timescale	Progress/Date Achieved
AC(19)173	27/08/2019	NHS Consultant Contract Follow-up Review update	To provide a further update in April 2020.	PK	April 2020	Forward planned for 21 st April 2020 meeting.
AC(19)206	22/10/2019	RCP Medical Records Keeping Standards (Reasonable Assurance) Update	<ul style="list-style-type: none"> To analyse further the WGH results from the snapshot audit; 	PK	December 2019 April 2020	A further audit of the Withybush results has been agreed and this is currently in progress. The outcome of which will be shared through ECPSC and at the 21 st April 2020 ARAC meeting.
			<ul style="list-style-type: none"> To provide further updates on clinical coding and medical records in six months. Mrs Miles and Dr Kloer to determine whether a single or combined report would be most appropriate. 	KM/PK	April 2020	Forward planned for 21 st April 2020 meeting.
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 June 2020	<i>There are no clear timeframes due to vacancies; however, the Head of Radiology is working with a group from Workforce and OD and the PMO to take this work</i>

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						<p><i>forward. A further meeting is planned for December 2019.</i></p> <p><i>In light of the current fragility of the service due to the number of vacancies, particularly in senior positions, this has not progressed following the original plan. Following a review of the current establishments and workflows and systems within the radiology department, additional support has been obtained from the project management office with the aim of developing a project implementation plan around radiology staffing in general.</i></p> <p><i>A first meeting was held with members of the workforce and HR teams on 2nd December 2019 and</i></p>

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						<p><i>the following areas identified:</i></p> <ul style="list-style-type: none"> • <i>Historical Management Practices</i> • <i>Employee Attitude to Change</i> • <i>Best Practice – Rota Management</i> • <i>Rest Breaks</i> • <i>Band 5/6 Progression Role</i> • <i>Role Modernisation</i> • <i>Skills Mix/Rota</i> • <i>Recruitment Challenges/ Campaigns</i> • <i>Reasonable Adjustments – Part Time Staff, Health adjustments and Protected Characteristics</i> • <i>Job Descriptions/Job Adverts/Contracts – On-call Commitment</i> • <i>Leadership Development</i> <p><i>A second meeting is due to be held on 5th February 2020, where</i></p>

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						<p><i>workforce leads will be identified. The aim is to provide a credible plan in time for the Holding to Account meeting with the Chief Executive on 28th February 2020.</i></p> <p><i>Due to responding to the COVID-19 Pandemic, no further update has been provided. Action rolled forward to the next ARAC meeting.</i></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)234	19/12/2019	AC(19)138 – Operating Theatres Update (response to WAO & IA reviews)	To escalate this matter to Board, to determine/ establish what further actions are required.	JW/AC	January April June 2020	<p><i>Implementation of the new system has been deferred pending HR issues in September 2019. Alongside this, recruitment efforts are continuing, to facilitate implementation of the system as soon as possible thereafter.</i></p> <p><i>Current aim is to implement by the end of October 2019.</i></p>

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						<p><i>The HR process of September 2019 has yet to be concluded. Recruitment processes continue with some success in numbers, however the staff will need significant skill investment and development in order to be suitable independent scrub practitioners. Scrub skilled agency staff have been brought in to support shifts. Roster profile with 24/7 staffing and removal of the compensatory rest day has been designed and staff are working with e-roster team. Permanent change to staffing roster is subject to outcome of current HR process. All teams committed to supporting appropriate resolution.</i></p>

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						<p><i>This matter was escalated to the Board at its meeting on 30th January 2020 and was discussed during both the public and private sections of the meeting. The Board agreed there was no further action which could be undertaken by ARAC. The Board requested that a detailed report be prepared for the March 26th 2020 In-Committee Board meeting, which outlines how this matter is going to be resolved, provides an update on any outstanding audit recommendations and provides a look-back as to why this has taken so long to resolve and implement both WAO and Internal Audit recommendations.</i></p>

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						Due to responding to the COVID-19 Pandemic, no further update has been provided. Action rolled forward to the next ARAC meeting.
AC(19)254	19/12/2019	Audit Tracker	For WAO and Internal Audit to discuss priorities in terms of planned work.	JW/ AB/JJ	February April 2020	<p><i>Meeting to be scheduled for February 2020. WAO to work with IA & UHB to review outstanding recommendations, to establish whether these can be combined.</i></p> <p>Initial meeting held between Audit Wales and Internal Audit on 9 April 2020. Audit Wales and Internal Audit to review respective previous recommendations in the first instance, and then to review areas of duplication at a further meeting in late April/early May 2020.</p>
AC(19)256	19/12/2019	Counter Fraud Update	To discuss with the Director of Workforce & OD whether Counter Fraud Awareness	HT	February April 2020	<i>This action has been raised with the Mandatory Training Group. Learning &</i>

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			E-Learning should be made mandatory.			<p><i>Development have advised that a form needs to be completed and this will then need to go to the Mandatory Training Group Panel for final sign off, they anticipate that this will be completed March/April 2020.</i></p> <p>Given the recent developments on COVID-19, this item has been deferred for the foreseeable future.</p>
AC(20)04	25/02/2020	Table of Actions	<ul style="list-style-type: none"> To feed back to Dr Philip Kloer the request that the Job Planning update presented to the next meeting include data around variation across sites and steps being taken to introduce consistency; for example, the sharing of good practice; 	JW	April 2020	Completed.
			<ul style="list-style-type: none"> To discuss with Ms Paterson whether the response to recommendation 5b should focus on aligning 	JW	April 2020	Service are currently focussing on plans and preparations for Covid-19. Defer until September 2020.

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			local primary care workforce plans with the UHB Health & Care Strategy, rather than the national workforce tool.			
AC(20)07	25/02/2020	Audit & Risk Assurance Committee Self-Assessment of Performance 2019/20	To circulate the ARAC Self-Assessment questionnaire.	CM	March 2020	Completed.
AC(20)09	25/02/2020	Financial Assurance Report	<ul style="list-style-type: none"> To include in future reports further detail around why an STA was used and how value for money has been achieved; 	HT	April 2020	Will be incorporated into future reports.
			<ul style="list-style-type: none"> To include in future reports more details regarding justification for STAs from the full STA form. 	HT	April 2020	Will be incorporated into future reports.
AC(20)15	25/02/2020	Wales Audit Office Integrated Care Fund (ICF) Review Update	<ul style="list-style-type: none"> To provide information on the current position in relation to the target of 25% of ICF funds being made available to the Third Sector; 	MP/SJ	April 2020	Note: the WG target is 20% rather than 25%. This information has not been provided in 2019-20 for all projects. However forecast information supplied at project inception suggests an investment of 8% of the total programme value in the third

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						sector. Strengthened financial planning and reporting arrangements for 2020-21 are designed to provide enhanced information. However, reduced capacity due to the COVID-19 outbreak may impact on reporting in early quarters.
			<ul style="list-style-type: none"> To add this review to the HDdUHB Audit Tracker, together with timescales/ dates for completion of recommendations; 	CB	April 2020	Action plan with timescales, reporting officers, has been provided. Audit Tracker has been updated.
			<ul style="list-style-type: none"> To ensure that future updates be provided in the standard format, with responses in the form of a management response and SMART; 	MP/SJ	April 2020	SMART management response template in place for WAO ICF regional review (attached as Appendix 1). This approach will also be applied to future reviews.
			<ul style="list-style-type: none"> 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. 	MP/SJ	April 2020	Analysis is being undertaken for 2019-20, although gaps in financial reporting by project leads means this will not be comprehensive.

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						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.
AC(20)16	25/02/2020	Internal Audit Plan Progress Report	To include within Appendix A, as a permanent addition, an indication of the time spent on each audit.	JJ	April 2020	The reporting of this information will be reviewed when the Internal Audit work resumes later in the 2020/21 year.
AC(20)17	25/02/2020	Research & Development Department Governance Review (Limited Assurance)	<ul style="list-style-type: none"> To restrict the role of responsible officer to Executive Directors or Deputy/Assistant Directors; 	JJ	April 2020	On the Teammate system, it is not possible for Executive Directors to be both the responsible officer for the management action and the Executive Officer responsible for approving that the appropriate action has been taken and closing the recommendation. However, the

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						appropriateness of the responsible officer will be considered for each individual audit going forward.
			<ul style="list-style-type: none"> To present a report outlining the broader R&D position, including recent, current and planned changes, to the June ARAC meeting. 	PK/LP	June 2020	Forward planned for 23 rd June 2020 meeting.
AC(20)18	25/02/2020	Preparedness & Compliance with the Nurse Staffing Act – Additional Testing	To remit the original and additional sampling reports to QSEAC.	JW/CM/ MR	April 2020	Completed.
AC(20)19	25/02/2020	Medical Devices (Reasonable Assurance)	<ul style="list-style-type: none"> To clarify whether the lack of administrative support for the Medical Devices Trainer is being addressed; To request that the management response be revisited/updated to provide further detail on whether plans are in place to address the audit findings. 	JW	April 2020	Clarification awaited.
			<ul style="list-style-type: none"> To request that the management response be revisited/updated to provide further detail on whether 	CB	April 2020	Updated management response requested; however, service are currently focusing on plans and preparations for Covid-19. Defer until September 2020.
AC(20)20	25/02/2020	Cyber Security (Stratia Report) (Reasonable Assurance)	To request that the management response be revisited/updated to provide further detail on whether	CB	April 2020	Updated management response requested; however, service are currently focusing on plans and

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			plans are in place to address the audit findings.			preparations for Covid-19. Defer until September 2020.
AC(20)22	25/02/2020	Bronglais General Hospital Directorate Governance Review (Limited Assurance)	<ul style="list-style-type: none"> To undertake a further discussion regarding the risk targets and tolerance and the need for this to be managed within the Board-agreed framework; 	JJ/JW	April 2020	Meeting still to be arranged. Update to be provided at the next ARAC meeting.
			<ul style="list-style-type: none"> To conduct a Follow-up Internal Audit in the early part of 2020/21. 	JJ	April 2020	This has been included in the draft plan for 2020/21. However it is now anticipated that this work will not take place until at least later in 2020/21.
AC(20)24	25/02/2020	Mental Health Legislation Assurance Committee Assurance Report around the Discharge of their Terms of Reference	To raise with the report author the two inaccuracies for correction.	CM	April 2020	Completed.
AC(20)25	25/02/2020	Audit Tracker	To feed back to the Executive Team ARAC's concerns regarding outstanding recommendations.	JW	April 2020	Completed.
AC(20)26	25/02/2020	Counter Fraud Update	To check whether the topic of financial risk is	ME	April 2020	These staff do not receive training

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			specifically covered in training for staff working with people with Learning Disabilities.			specifically on financial risk as part of wider safeguarding learning. LCFS has spoken to Head of Service, who showed an interest in staff receiving such training, and LCFS will be exploring training availability around this topic. LCFS is keen to establish a 'train the trainer' model where LCFSs receive specialist financial safeguarding training and can then provide within the Health Board, as there will be other areas this could be rolled out to. LCFS can then build in counter fraud training around that also.



Management response

Report title: Integrated Care Fund – West Wales Regional Partnership Board

Completion date:

Document reference: 1442A2019-20

Ref	Recommendation	Management response	Completion date	Responsible officer
R1	Take a more regional approach to using the Integrated Care Fund and ensuring that projects support strategic objectives.	<ul style="list-style-type: none">In 2019-20 the proportion of ICF funding that is retained at regional level was significantly increased, particularly in relation to the Learning Disability, carers and dementia elementsWhere money has been allocated to local authority areas on a population basis (predominantly for older people), there is commonality of approach and local arrangements reflect regional models of delivery, for example in relation to front of hospital and home from hospital servicesFor 2020-21 the RPB is looking to further align local programmes, improve consistency and ensure that as far as possible, regional models of care are being implementedThe process and format for providing Project Initiation Documents (PIDs) for all funded projects has been improved to provide clarity on alignment between projects and strategic objectives set at national and regional level. There is still room for improvement in relation to this and reporting on delivery. Hence arrangements are being strengthened	March 2020	Martyn Palfreman, Head of Regional Collaboration, West Wales Care Partnership

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		<p>further for 2020-21 to ensure that comprehensive information is available for all projects and that robust quarterly reporting on all projects is in place. These strengthened arrangements will be set out in a revised Partner Agreement, signed by statutory and third sector partners and endorsed by the RPB at their meeting in March 2020.</p>		
R2	Align the use of the Integrated Care Fund with other funding (eg the transformation fund, dementia monies, and core funding, etc.) to maximise their combined impact.	<ul style="list-style-type: none"> The RPB has sought as far as practicable this year to identify links across programmes in 2019-20. Such alignment will be facilitated in the future through our enhanced regional governance, with thematic programme groups having oversight of all funding streams and working to ensure coherence and that projects complement each other. 	Completed	
R3	Look for ways to ensure fair access to the Integrated Care Fund for the third sector.	<ul style="list-style-type: none"> The RPB is confident that the third sector has appropriate access to ICF funding at local level and regionally (for example, development of the Learning Disabilities Charter through People First organisations). Third sector representation in local and regional governance structures will help ensure this continues and is built upon. 	Completed	
R4	Building on the work to date, make more effective links with all three Public Service Boards.	Work is ongoing to align the work and programmes of the RPB and PSBs. A number of shared priorities have been approved by all boards and will drive collective areas of work over the coming period.	Completed	
R5	Strengthen project management arrangements across all Integrated Care Fund projects	<ul style="list-style-type: none"> Project management of projects is improving, with PIDs submitted to all projects as part of the process of finalising the revenue investment plan – see above for further improvements being introduced for 2020-21. Programme management of capital projects will be enhanced further through the appointment of a Capital Programme Manager. 	<p>Completed</p> <p>Programme manager not appointed – significant elements of Capital funding redirected to Covid-</p>	Martyn Palfreman, Head of Regional Collaboration, West Wales Care Partnership

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			19 response	
R6	Develop mechanisms for reporting back to individual organisations in a more consistent way	The Health Board receives updates on the work of the RPB via the Audit & Risk Assurance Committee, Business Planning & Performance Assurance Committee and through a standing item at Board – Strategic Partnerships Update.	Completed	Martyn Palfreman, Head of Regional Collaboration, West Wales Care Partnership
R7	Rollout the use of the regional outcomes framework to all projects if the pilot is successful	A new outcomes and benefits framework is being developed at regional level, for application initially against transformation fund projects and extension thereafter to cover the ICF programme.	December 2020	Martyn Palfreman, Head of Regional Collaboration, West Wales Care Partnership
R8	Develop exit strategies for all Integrated Care Fund projects	This will be a key focus for the 2020-21 programme of work which the RPB are finalising. This will be undertaken within the context of national discussions on future funding.	December 2020	Martyn Palfreman, Head of Regional Collaboration, West Wales Care Partnership
R9	Learn from good practice in other regions beyond Swansea Bay	Additional emphasis will be placed on learning from other regions and within the region, supported by the new Research, Innovation and Improvement Coordination Hub which will be funded through the Transformation Fund.	Actions now in place to achieve this.	Martyn Palfreman, Head of Regional Collaboration, West Wales Care Partnership