![GIG CYMRU NHS WALES logo] Bwrdd Iechyd Prifysgol
Hywel Dda
University Health Board

**Audit & Risk Assurance Committee**
**TABLE OF ACTIONS**
**Arising from Meeting held on 22nd February 2022**

| Minute No. | Meeting Date | Subject | Action | Lead | Timescale | Progress/Date Achieved |
|---|---|---|---|---|---|---|
| AC(21)105 | 10/06/2021 | **Local Deployment of the Welsh Immunisation System (WIS) (Reasonable Assurance)** | To share with ARAC, once published, the DHCW All Wales review into WIS. | AT | ~~August December 2021 February~~ April 2022 | *DHCW have still to finalise their review and lessons learned report; Health Boards are anticipating a draft in September 2021 for comment.* <br> *Update for December 2021 ARAC meeting: DHCW have not yet published the report. The specific Audit Recommendation within the WIS report has been closed, as it external to the Health Board.* <br> *Update for February 2022 ARAC meeting: DHCW have not yet published the report. The Digital Director has written to the CEO of DHCW requesting an update.* <br><br> *Update for April 2022 ARAC meeting:* |

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| | | | | | | No update has been received from DHCW. Recommend closure of action, and raise formally in DHCW and Health Board Digital Exec to Exec meeting. The Digital Director has requested a meeting date. |
| AC(21)118 | 22/06/2021 | **Report on the Adequacy of Arrangements for Declaring, Registering and Handling Interests, Gifts, Hospitality, Honoraria and Sponsorship** | To explore other digital solutions for obtaining and collating this information. | HT/AT | ~~August~~ ~~October~~ ~~December 2021~~ ~~February~~ April 2022 | *Update for August 2021 ARAC meeting: The Digital team is exploring the use of Office 365 as a suitable solution. Specifically using MS forms and power automation. The discovery phase will be completed within 4 weeks, with a proposal following this phase of work. Update for October 2021 ARAC meeting: The discovery work has been completed and a SharePoint Developer with skills in Power Automate has been assigned the work package. A proposed solution will be scoped and a beta version will be available by the end of* |

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| | | | | | | *November 2021, for testing.* <br> *Update for December 2021 ARAC meeting:* *The Digital team is still working on the solution, and anticipates that the beta version will be available by mid December 2021.* <br> *Update for February 2022 ARAC meeting:* *Unfortunately, the assigned developer was re-prioritised onto an urgent Executive Team request. The developer has nearly completed the required work and will be placed back onto this task. The re-prioritisation has introduced a 3 month delay on delivery.* <br><br> Update for April 2022 ARAC meeting: A developer has been re-assigned and a development plan is being progressed – revised date of July 2022.  The SharePoint Team have been re-prioritised on the following developments |

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| | | | | | | which have affected timescales:<br>• Workforce Information Portal  - Real Time reporting for staffing due to COVID<br>• Tuberculosis (TB) Triage Tool  - TB Outbreak SharePoint Development for the upcoming review<br>• COVID Centres – additional update for new COVID lanes etc<br>• Electronic Handover Documentation – remove the significant risk of paper handover documents<br>• Macmillan Cancer Information Support Service<br>• Phlebotomy Appointment Manager |
| **AC(21)155** | **24/08/2021** | **Radiology Directorate Internal Audit Update** | If not possible earlier, to provide an update to the June 2022 ARAC meeting. | AC | ~~June~~ April 2022 | Forward planned for ~~June~~ 19th April 2022 meeting. |
| **AC(21)185** | **19/10/2021** | **RCP Medical Records Keeping Standards Internal Audit Update** | To explore potential learning from other organisations who use written records; | PK | ~~April~~ June 2022 | To be incorporated in full update scheduled for ~~19th April~~ 21st June 2022. |

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| | | | To provide a further update to the April 2022 meeting. | PK | ~~April~~ June 2022 | The Clinical Record Keeping Policy has been reviewed and an updated version is in draft. A set of clinical record keeping principles have been developed with multidisciplinary input, and they have formed the basis of the updated Policy. A review of Health Board and Trust Record Keeping policies from across the UK has been undertaken, and informed the development of the draft Hywel Dda Policy. A Task and Finish Group is being convened to finalise the policy. The previously drafted e-learning module is being updated with new content to reflect the revised record keeping principles and updated policy, and contact has been made with the workforce education and development department for advice on other methods for training and education around the |

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| | | | | | | policy and revised record keeping principles. Additional capacity had been secured to take forward a number of actions in relation to record keeping, however this work was halted due to the deployment of this individual to the operational front line between December 2021 and March 2022. Discussions are currently ongoing regarding the deployment of another individual to progress this work.<br><br>Full update forward planned for 21st June 2022 meeting. |
| AC(21)212 | 14/12/2021 | **Table of Actions: AC(21)189 - Medical Staff Recruitment (Reasonable Assurance)** | To share the report with PODCC and discuss monitoring actions via its Workplan with Mrs Lisa Gostling. | JW | ~~February~~ June 2022 | To be included on the forward Workplan for PODCC and will be an agenda item at the 20th June 2022 meeting. |
| AC(21)215 | 14/12/2021 | **Review of Capital Governance Arrangements – Management Response** | To schedule an update on progress with the action plan for SDODC's February 2022 meeting. | LD | February 2022 | Update received at 24th February 2022 SDODC meeting. |
| AC(21)228 | 14/12/2021 | **Financial Planning,** | To share the report with and monitor actions via the | HT | April 2022 | Forward planned for 25th April 2022 SRC meeting. |

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| | | Monitoring and Reporting (Reasonable Assurance) | Sustainable Resources Committee. | | | |
| AC(22)09 | 22/02/2022 | Financial Assurance Report | To provide an update on work in relation to overpayment of salary and steps to automate workforce processes; | HT | April 2022 | Included in the Financial Assurance Report April 2022. |
| | | | To present the local technical response to the above to ARAC in the first instance; | HT | April 2022 | Included in the Financial Assurance Report April 2022. |
| | | | To note that the cost associated with STA HDD582 being grant funded should have been clarified in the accompanying narrative; | HT | April 2022 | Noted. Will provide detail in the narrative if such items arise again. |
| | | | To provide further detail with regard to the scale of the issue associated with IFRS 16. | HT | April 2022 | Included in the Financial Assurance Report April 2022. |
| AC(22)14 | 22/02/2022 | Structured Assessment 2021: Phase 2 - Corporate Governance and Financial Management Arrangements | To revisit R3, around staff engagement in PODCC, to review and re-examine the UHB's staff engagement strategy post COVID-19. | LG | ~~April~~ June 2022 | Forward planned for 20th June 2022 PODCC meeting. |
| AC(22)16 | 22/02/2022 | Care Home Commissioning for Older People | To highlight discussions around this topic within the ARAC Update Report to Board. | PN/JW | March 2022 | Completed. Included in ARAC Update Report to 31st March 2022 Public Board meeting. |

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| AC(22)20 | 22/02/2022 | **Internal Audit Plan Progress Report** | To explore how the backlog of IA reports, follow-ups to any Limited Assurance reports and potential impact on the HOIA Opinion might be addressed. | JW/JJ | April 2022 | Completed. Due to the number of Substantial/ Reasonable Assurance reports received during the year, there is unlikely to be an adverse impact on the Head of Internal Audit Opinion. |
| AC(22)21 | 22/02/2022 | **Nurse Bank Overpayments Briefing Paper** | To discuss concerns around ability to track/ monitor actions from briefing papers; | JW/JJ | April 2022 | Completed. Recommendations (if received) will be included within all IA reports, together with a management response. |
| | | | To make enquiries regarding other potential instances of 'near misses' in financial matters. | HT | April 2022 | Will be reported via Financial Assurance Report if and when identified. |
| AC(22)22 | | **Deployment of Welsh Patient Administration System (WPAS) into Mental Health & Learning Disabilities (MHLD) Follow-up (Reasonable Assurance)** | To evaluate further the format of follow-up reports in light of the Committee's feedback; | JJ | April 2022 | The comments have been fed back to the group within Audit & Assurance that developed the format for consideration. |
| | | | To expand the management response to Recommendation 1.1, to comprise a list of all intended actions, as opposed to examples; | HT/AT | April 2022 | The proposed list of documents to be prepared are as follows:<br>• Project Initial Document - Complete<br>• Highlight Report - Available |

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| | | | | | | • Communication Management Plan – In progress<br>• Risk and Issue Log - Available<br>• Exception Report – When Required<br>• Work package(s) – When Required<br>• End Project Report – When Required<br>• Lessons Learned Report – When Required<br>• Programme Clouse Report – When Required<br><br>Templates of the above documents are available for scrutiny. |
| | | | To conduct a further follow-up review during 2022/23. | JJ | April 2022 | This has been included in the 2022/23 Internal Audit Plan. |
| AC(22)24 | 22/02/2022 | **Waste Management (Reasonable Assurance)** | To discuss with the Director of Workforce & OD training needs in relation to waste management and other topics identified in IA reports; | JG | April 2022 | Discussed with the Director of Workforce & OD. The training needs from this IA report and others were also discussed at the IMs meeting with the Chair on 29th March 2022. |
| | | | To pass on congratulations to the waste management | RE | April 2022 | Congratulations passed on to the Environment Team and noted at Team |

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| | | | team on the positive findings of this report. | | | Meeting on 28th March 2022. Personal thanks from RE and AC paid directly. |
| AC(22)25 | 22/02/2022 | **Records Management Briefing Paper** | To provide for the next meeting:<br>• A clear (SMART) management response regarding progress;<br>• An explanation of plans, including key milestones/timescales. | AC | April 2022 | Presented as stand-alone agenda item (Item 7.2). |
| AC(22)38 | 22/02/2022 | **External Validation Update** | To provide an update on the outcome of the validation exercise when this is complete. | AC | June 2022 | Forward planned for 21st June 2022 meeting. |