

AUDIT & RISK COMMITTEE ACTION LOG
FOLLOWING MEETINGS HELD ON 8 FEBRUARY 2021

NO.	MEETING DATE	SUBJECT	ACTION	TIMESCALE	RESPONSIBLE OFFICER	STATUS AS AT April 2021
18/099	8/10/2018	Endoscopy JAG Accreditation	Closure report to be presented to a future meeting.	January 2019 Revised to: October 2020 Ongoing - Action being led by Director of Operations. This matter is linked to JAG accreditation and updates will be provided to the Committee through the action log at each meeting	Director of Operations	In progress One of the key reasons for not obtaining JAG Accreditation related to capacity issues. A proposal looking to address the capacity issues has been submitted to Welsh Government. JAG were due to undertake a revisit again this year but have not been able to as a result of COVID. The other issue where JAG accreditation cannot be provided is associated with the ingress and egress and as such we do not have a definitive position from JAG. We are actively pursuing acquiring more capacity and are awaiting JAG dialogue in regard to the built environment, with a date yet to be received from JAG.
20/029	25/02/ 2020	Audit Wales Report – Implementing the Wellbeing of Future Generations Act	Discussion held on the management response which had been difficult to complete and could have been strengthened further. Agreed that work would be undertaken with colleagues to ensure responses provided were more robust	April 2020 Revised to: February 2021	Director of Public Health	Completed Discussion held with the Director of Corporate Governance and Audit Wales where it was agreed that the recommendations made in relation to this review could be closed as the improvement actions were better aligned to the specific workstream. It was also recognised that the WBFG implementation is embedded into the IMTP and Annual Reporting process and the improvement actions identified from the audit review are being progressed as work continues in embedding the principles of the Act into the HB's business.
20/070	16/06/2020	Internal Audit Review – Princess of Wales Hospital Fire Safety – Follow Up Review	Executive Lead to be invited to attend a future meeting to discuss the content of the report. Committee Chair to consider the most appropriate time for a discussion to take place.	October 2020 Revised to: April 2021	Director of People	In progress The scope of the review has now been agreed. Management have requested that the review is undertaken in Quarter 4 as a result of Covid-19 and staffing pressures. A meeting will be held on 23 March 2021 between Internal Audit, Director of People and the Director of

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						Corporate Governance to agree the commencement of fieldwork.
20/149	14/12/202	Losses and Special Payments Report	Discussion to be held at the February meeting regarding progress made against Welsh Risk Pool Claims. Director of Nursing/Deputy Director of Nursing to be invited to attend to provide an update on progress.	February 2021	Director of Finance	Completed Report presented to the February meeting.
20/159	14/12/2020	Audit Wales Report – Follow Up of Operating Theatres	Review to be undertaken of the older recommendations in relation to Operating Theatres which were still contained on the tracker	April 2021	Audit Wales	Completed Reviews undertaken during February and March 2021. Executive Directors are now in the process of reviewing their recommendations to determine possible closure.
20/161	14/12/2020	Audit Recommendations Tracker	Discussion to be held with the Executive Team regarding the lack of progress made against some areas contained within the tracker. Support to be provided from Internal & External Audit colleagues in relation to the content of the tracker.	February 2021	Director of Corporate Governance	Completed Reviews undertaken during February and March 2021. Executive Directors are now in the process of reviewing their recommendations to determine possible closure.
20/161	14/12/2020	Audit Recommendations Tracker	Review to be undertaken of the Audit Tracker process in other Health Board areas to determine whether they were managing to keep the number of open recommendations to a minimum.	February 2021	Internal Audit/Audit Wales	Completed The Head of Internal Audit has undertaken a review of the process followed within other Health Boards where it was identified that performance had been variable in terms of keeping the number of open recommendations to a minimum. A more detailed response has been provided by the Head of Internal Audit which can be shared with Members if required.
4.3.0	08/02/2021	Internal Audit Review – IT Service Management	Report to be shared with the Digital & Data Committee for monitoring and review of the management response.	April 2021	Director of Corporate Governance	Completed Report shared with the Committee Secretariat asking for this to be added to the agenda for the next meeting
4.4.0	08/02/2021	Internal Audit Review – IT Assessment	Report to be shared with the Digital & Data Committee to obtain assurance from the Executive Lead in relation to the Management Response and the ongoing monitoring of actions	April 2021	Director of Corporate Governance	Completed Report shared with the Committee Secretariat asking for this to be added to the agenda for the next meeting
5.2.0	08/02/2021	Audit Wales Annual Audit Plan 2021	Error to be corrected in exhibit one on page 6 of the report	Immediate	Audit Wales	Completed Report amended by Audit Wales and re shared with Committee Members.

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6.2.0	08/02/2021	Organisational Risk Register	Review to be undertaken of the format of the report to determine a more clear way of presenting the information	April 2021	Assistant Director of Governance & Risk	Completed The Risk Register now includes better referencing
6.5.0	08/02/2021	Consultant Job Planning	Review to be undertaken of whether any key risks needed to be highlighted to the Committee for escalation to the Board	March 2021	Deputy Medical Director	In progress
6.7.0	08/02/2021	Medical and Dental Rostering	Report to be shared with the People & Culture Committee for information and awareness of the audit work being undertaken	April 2021	Director of Corporate Governance	Completed Report shared with the Committee Secretariat asking for this to be added to the agenda for the next meeting
6.6.0	08/02/2021	Clinical Audit Update	Report to be updated for the Quality & Safety Committee so that it identifies the key risks and mitigations in relation to clinical resource and clinical impact	March 2021	Head of Clinical Audit & Quality Informatics	Completed Report updated for the Quality & Safety Committee
6.6.0	08/02/2021	Clinical Audit Update	Consideration to be given outside of the meeting to determine which Committee needed to consider the clinical coding issues that had been identified within the report	April 2021	Director of Corporate Governance	In progress The Director of Corporate Governance has suggested that this issue needs to be considered further by the Audit & Risk Committee
B/2.1.0	08/02/2021	Audit Wales Report – Cyber Resilience in the Public Sector	Report to be shared with the Digital & Data Committee to help inform future planning	April 2021	Director of Corporate Governance	Completed Report shared with the Committee Secretariat asking for this to be added to the agenda for the next meeting