

**AUDIT & RISK COMMITTEE ACTION LOG
FOLLOWING MEETINGS HELD ON 14 DECEMBER 2020**

NO.	MEETING DATE	SUBJECT	ACTION	TIMESCALE	RESPONSIBLE OFFICER	STATUS AS AT December 2020
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.
18/028	15/07/2019	Audit Tracker Process	Counter Fraud involvement to be included in the tracker	Completed	Director of Governance / Board Secretary	Completed The Audit Tracker and its process has been shared with the Local Counter Fraud Service Officer, any audits in relation to Counter Fraud Activity and associated recommendations will be added to the tracker as appropriate
19/103	15/07/2019	Financial Control Procedure Medical Variable Pay	Matter to be escalated to the Executive Team due to the concerns raised in relation to the high levels of Agency Locum Costs. Update to be provided to the October Audit Committee meeting	October 2019 January 2020 March 2020 July 2020 Revised to: October 2020	Director of Finance / Medical Director	
20/137	19/10/2020		Chairs Action to be taken outside of the meeting to approve the procedure following a number of questions raised regarding the content and accuracy	Revised to: December 2020		On agenda Report presented to the October 2020 meeting where a number of questions were raised in relation to the content. Agreed that the procedure needed to be amended further prior to the Committee's approval. Amended procedure approved at Management Board. Final procedure

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						on agenda for the December Audit & Risk Committee for final approval.
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	In progress Further discussion is required with Audit Wales and the Director of Corporate Governance on this action. Once this has been completed a revised date will be provided.
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: February 2021	Director of Therapies & Health Sciences	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 is being held between Internal Audit and the Director of Corporate Governance in January 2021 to agree the commencement of fieldwork.
20/088	29/06/ 2020	CTMUHB Draft Accounts 2019/2020	Discussion to be held at a future meeting in relation to the issues highlighted within the report regarding accruals, to help Members better understand the position	October 2020	Director of Finance	Completed Report presented to the October meeting of the Committee
20/090	29/06/ 2020	Accountability Report 2019/2020	Discussion to be held regarding the issues identified within the report regarding the capacity available to support change and the expectations surrounding this.	August 2020 Revised to: December 2020	Director of Corporate Governance/ Board Secretary	Completed This has been included as a risk in the Risk Register and can be closed.
20/119	19/10/2020	Internal Audit Progress Report	Further update on the impact of Covid-19 on the Internal Audit Forward Work Programme to be presented to future meetings	December 2020	Head of Internal Audit	Completed Update to be provided to the December 2020 meeting.
20/121	19/10/2020	Internal Audit Report – Pathology Directorate Review	Further follow up review to be incorporated into next year’s Internal Audit Work Programme following concerns raised by Members regarding progress made.	April 2021	Head of Internal Audit	Completed Will be included in next year’s audit programme of work
20/131	19/10/2020	Audit Recommendations Tracker	Following concerns raised by an Independent Member regarding the proposed closure of Clinical Coding recommendations, agreed that S Utley would discuss the proposed closure with the Director of Corporate Governance outside of	December 2020	Audit Wales/Director of Corporate Governance	Completed Audit Tracker shared with Audit Wales who confirmed they were content with the proposed closure of recommendations

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			the meeting to determine whether they should remain open			
20/131	19/10/2020	Audit Recommendations Tracker	Focus to be placed on the high priority recommendations to determine whether they can be closed. Director of Corporate Governance to discuss further with the Executive Team	December 2020	Director of Corporate Governance	Completed Discussion held with Executive Team asking them to particularly focus on high priority recommendations which remained open.
20/133	19/10/2020	Local Counter Fraud Update	Discussion to be held outside of the meeting in relation to IT issues being experienced within the Local Counter Fraud Team	December 2020	Deputy Director of Finance/Head of Local Counter Fraud Services	Completed The IT hardware allocation issues have now been resolved. An ongoing consideration will be building a working relationship with IT Dept. A regular monthly meeting between Counter Fraud Team and Cyber Security Team will now take place.
20/133	19/10/2020	Local Counter Fraud Update	Discussion to be held with the Director of Corporate Governance in relation to the content of future investigation reports to ensure they are appropriate for discussion in the public domain	December 2020	Head of Local Counter Fraud Services	Completed A report with revised formatting has been submitted to December Committee Meeting. The report includes further information for Committee consumption around progress of investigations whilst remaining appropriate for discussion in public domain.