



Ref	Date added	Assurance rating	Recommendation	Priority	Management Action Agreed	Responsible Executive Lead/Management Lead	Responsible Management Lead	Original Agreed Implementation Date	Revised Implementation Date	Status	Progress	Updates during this period/Latest Update	Previous Updates
Data Quality 01	Oct-19	Limited	<p>1. Directorate Managers need to:</p> <ul style="list-style-type: none"> Remind consultant, medical and nursing staff of the need to complete outcome forms for all patients seen. Remind outpatient receptionists of the importance of inputting outcome forms on WPAS in a timely manner. Remind Medical Secretaries to check that outcomes that have been input on WPAS align to outcomes as per dictated letters. <p>Where necessary additional training should be requested to ensure that all staff are aware of their responsibilities in completing the above steps correctly.</p> <p>2. Management should engage with the two directorates where the electronic outcome form was trialled to understand why it has been adopted in one area and not in the other. Following the conclusion of this engagement the Health Board should consider trialling the electronic outcome forms within all Directorates.</p> <p>3. Consideration should be given as to how data can be captured to allow the calculation and monitoring of the proportion of patients whose outcome is not recorded on WPAS. Updated Recommendation - 1. Clinical Service Group Managers need to: Remind consultant, medical and nursing staff of the need to complete outcome forms for all patients seen. Remind outpatient receptionists of the importance of inputting outcome forms on WPAS in a timely manner. Remind Medical Secretaries to check that outcomes that have been input on WPAS align to outcomes as per dictated letters. All staff need to be made fully aware of the implications of not recording the outcome for a patient and their responsibilities in ensuring the correct process is adhered to. 2. The reports received by the Clinical Service Groups of patients with no outcome recorded, should be analysed to determine if there are certain departments or clinics who are repeatedly failing to record outcomes. Where necessary additional training should be requested. 3. Given the ongoing problem of outcomes not recorded and the apparent success of the use of electronic outcome forms within ENT, the use of electronic forms should be reviewed again, for piloting in other areas. 4. If the 'Planned Patient Flow Project' remains a live project, its action plan should be updated to fully incorporate the internal audit findings in relation to patient pathways.</p>	High	<p>We fully agree with all the recommendations and will incorporate this into our action plan. We intend to secure additional resource to assist in the monitoring and implementation of this action plan. A forum will be set up to oversee this work stream and detailed action plan.</p> <p>A process of 'cashing up' at the end of every clinic is required to ensure clinic and administration staff have processed the patients using the outcome form and WPAS. This process needs to include the initiation of diagnostic tests and request forms being processed to cut down on 'dead time' waits for diagnostics. This process needs to be mandated and managed by the clinic manager. Temporary administration and nursing staff need to undertake mandatory training in cashing up clinics.</p> <p>The Assistant Director of Scheduled Care together with the Assistant Director of Performance and Information will engage with the two directorates where the electronic outcome form was trialled to understand why it has been adopted in one area and not in the other. Following the conclusion of this engagement the Health Board will consider trialling the electronic outcome forms within all Directorates.</p> <p>An appointment with no outcome registered report needs to be circulated in order that administration managers can act on patients who have no outcome, validating the patient's position on the pathway. All staff need to understand the implications of failure to comply. Weekly reports need to be circulated to services including consultants with non-compliance addressed by relevant professional leads. Updated Management Response - These recommendations are accepted, though the ownership at ILG level will be through the Hospital Service Managers. Regular performance meetings have been set up in two of the three ILGs, where this will be a regular performance/compliance agenda item. These two ILGs also have a senior Performance & Information lead taking up post in January, a key appointment that will help drive forward this agenda. The equivalent post in the third ILG is out to advert.</p> <p>No other specialty has been as enthusiastic as ENT in the deployment of JAYEX, with some openly hostile. Whilst attempts will be made to reinvestigate this deployment, the lack of a dedicated resource, but more so given the alternative digital solutions for non-face to face consultation means that this may not be a desirable longer term objective.</p> <p>The Planned Patient Flow Project stopped in March 2020 and given the turnover of key staff, together with a new operating model, an alternative mechanism is to be found to take this work forward.</p> <p>With bed pressures and mass vaccination the key priorities for January, reinforcing the recording of outcomes, together with providing any refresher training required is targeted for the end of February 2021.</p> <p>With individual ILGs taking on UHB wide responsibility for certain specialities, the ongoing challenge of having to utilise two instances of WPAS becomes even more challenging e.g. for Bridgend ILG, who are continuing to use the Swansea Bay UHB WPAS instance, but will now additionally need to utilise the CTM instance for Ophthalmology and for RTE ILG, who will now need to also utilise the Swansea Bay instance for Urology services.</p> <p>This ongoing risk requires resourcing to ensure that services are transferred over to single instances of core operational systems on an incremental basis during this calendar year and beyond.</p>	Director of Operations	ILG Acute Service Managers/Assistant Director of Performance & Information	Mar-20	01/02/2021 Now November 2021 Now December 2021 Now March 2022		Part Completed in two ILG's	February 2022 Update. ILGs have been asked about progress in these areas specifically and the following responses have been received / discussed: RTE ILG – within the ILG all appropriate actions are being undertaken; M&C ILG – letters have been drafted for all appropriate staff groups reminding them to ensure that the recommendations are implemented; Bridgend ILG – formal response expected imminently.	December 2020 Update - There has been limited progress in taking action to address the previous recommendations. The onset of Covid-19 clearly impacted on the UHB's ability to deliver elective activity, as it concentrated all its efforts in responding to the pandemic. As a consequence, the UHB lost the momentum it had built up through the establishment of a Planned Patient Flow Project to take forward both the recommendations of the Internal Audit report, as well as those of the Delivery Unit report arising from their supportive intervention on waiting list management. As has been rightly pointed out by our Internal Audit colleagues, the PID did not make reference explicitly to two of the actions from their report (Findings 4 & 5) and whilst the PPF Project may not have been the right forum for aspects of Finding 4 (temporary secretaries), it should have made explicit reference to the action, especially given the focus on training. Finding 5 (watch list functionality) is not something that the UHB can amend and whilst we were seeking a response from NWIS regarding what might be feasible and over what timescale (current thinking is that this may well not be technically feasible), it is not documented within the PID as it should. IA colleagues have noted that a number of changes have occurred within the Health Board, as a result of turnover and ownership of the agreed actions within the report has not been clearly transferred to individuals now responsible for this area, which is accepted. My WPAS Team are still sending out regular reports to relevant departments requesting errors to be rectified and whilst the volume of errors reduced, this was linked to reduced activity during Covid-19, as opposed to any improvement, as noted by IA colleagues. We have not been able to focus on this over the last ten months and now have to restart our work through the new operating model, working with our ILG colleagues. On the positive side, much of the groundwork is in place, though the follow-up report from our IA colleagues is a timely reminder of just how much work remains. January 2021. Implication of covid have meant that this has not been able to receive the appropriate management focus - this will be remedied in the next two months. May 2021 Update - Operational pressures have meant that an update has not been possible this month - a full update will be available at the next meeting. Nothing further to report this month. July 2021 Update. Additional information received from Information colleagues to be escalated the ILGs immediately. September 2021 Update. Nothing further to add - target date now December 2021. November 2021 Update - limited discussion with colleagues from ILGs indicates that the main aims of this recommendation are being undertaken, though this assurance has not been possible across the UHB given the other operational issues which continue to be ongoing. A final review will be undertaken by the time of the next meeting.
Data Quality 02	October 2019	Limited	<p>1. Directorate Managers and their teams should review the report of patients recorded as being on a closed pathway to ensure that they are on the correct pathway. Day-case and inpatients should be moved back to an open pathway so that they receive the required treatment on a timely basis.</p> <p>2. Analysis should be undertaken of the cases where the pathway has been incorrectly closed to identify if they are common to one directorate, department or person. Where necessary, further investigation should be undertaken to why these errors are routinely occurring and further training provided.</p> <p>3. Consideration should be given to escalating the incorrectly closed pathway reports to ensure Service Group Managers and more senior staff within the Health Board are made aware of the ongoing issue. UPDATED RECOMMENDATION - We have re-raised our original recommendations: 1. Within each of the Directorates/ Clinical Service Groups, analysis should be undertaken of the cases where the pathway has been incorrectly closed to identify if they are common to one department or person. Further training should be provided within the respective areas. 2. The incorrectly closed pathway reports should be escalated to ensure that Service Group Managers and more senior staff within the Health Board are made aware of the ongoing issue.</p>	High	<p>We are fully in agreement with the recommendations and will incorporate this into the action plan response (see above). Recommend clinic outcome letters are an opportunity to validate patient outcomes, a SOP will detail the actions to be taken to achieve this. Where staff are unable to achieve the required standards, a performance monitoring process will be instigated.</p> <p>Agree there is a need for a regular monitoring report to be tabled at Directorate meetings for improvement purposes. UPDATED MANAGEMENT RESPONSE - We agree with the recommendations, noting that the draft Data Quality Assurance Framework and the additional training material developed offer an opportunity to ensure staff are accountable for their actions and this will need to be reinforced through the new operating model.</p> <p>The Performance & Information Directorate will regularly carry out analyses to target additional training towards specific Directorates and/or individuals and escalate concerns to the ILG Hospital Service Managers. This will commence in the new year, with a regular process in place by the end of January 2021. The same risk regarding two instances of core operational systems having to be used by all ILGs applies.</p>	Director of Operations	ILG Acute Service Managers/Assistant Director of Performance & Information	Mar-20	01/01/2021 Now November 2021 Now December 2021 Now March 2022		Part Completed in two ILG's	February 2022 Update. ILGs have been asked to comment on progress in these areas specifically – M&C and RTE have indicated that the actions are undertaken – formal response expected from Bridgend ILG imminently.	December 2020 Update - See above response. January 2021. Implication of covid have meant that this has not been able to receive the appropriate management focus - this will be remedied in the next two months. May 2021 - nothing further to report this month. July 2021 Update. Additional information received from Information colleagues to be escalated the ILGs immediately. September 2021 Update. Nothing further to add - target date now December 2021. November 2021 Update - limited discussion with colleagues from ILGs indicates that the main aims of this recommendation are being undertaken, though this assurance has not been possible across the UHB given the other operational issues which continue to be ongoing. A final review will be undertaken by the time of the next meeting.
Consultant Job Planning 01	October 2019	Limited	<p>1. The Health Board should develop an approach to ensure that all consultants and SAS doctors have an up to date job plan that is reviewed on an annual basis. In developing their approach, the Health Board should consult with consultants, SAS doctors and their line managers to identify the barriers that are currently preventing the timely completion and sign-off of job plans.</p> <p>2. The Health Board should ensure that there are sufficient resources available so that job plans follow the 'lock down' process where the job plans are not formally signed-off in good time. The Approach should be consistently applied across all sites.</p>	High	<p>1. Job planning does not necessarily require a face to face review if the plan agreed the previous year remains satisfactory. That said personal and organisational objectives need to be agreed for the year and can be signed off if non-contentious.</p> <p>2. Job plan compliance is a standard agenda item at the Clinical Business Meeting (CBM) held with each directorate. The HR business partners are present at the CBMs to understand what if any barriers there are to job planning. The data is also reported through Finance Performance and Workforce Committee via the Board.</p> <p>3. We acknowledge that there are many job plans which are out of date and /or not signed-off and this will be addressed by either through refreshed directorate training or Medical Director intervention.</p> <p>4. Likewise, refreshed training is to be rolled out to Princess of Wales to ensure a consistent approach.</p>	Medical Director	Acting Workforce Operational Lead	Mar-20	March 2021 December 2021 Now December 2022		Part Completed	January 2022 update - Job planning rates have increased across the UHB, however they are still less than satisfactory. Efforts are being made to improve sign off rates, but job planning is poor due to operational pressure. As per previous comments, this is unlikely to improve significantly until the pandemic is over.	<p>January 2020 Update - Currently there is a gap in training and knowledge of the system in the new areas of CTM. This has started being addressed with training in POW for clinical directors (CD), directorate managers (DM) and assistant directorate managers (ADM) on the 19 December 2019. It has been identified by users of the system, that they feel there is no access to guidance on how to use the system after the training. A standard operating procedure (SOP) will be developed in conjunction with Allocate for users to be able to access when there are questions about how to use the system post training. Allocate have provided a user guide that will be adapted into a CTM specific SOP. There is a need for a spread of responsibility for job planning outside the current CD/DMs tasked with its completion. It is particularly relevant in the areas such as medicine where there is a high amount of medics to job plan for. This is to be supported in the training provided and needs to be factored into each directorates plan on deciding the amount of trained staff needed to have sufficient capacity to meet the demand. July 2020 update - Job planning has been placed on hold for the duration of the Pandemic. We are currently in a situation where very limited job planning activity is being undertaken. This means that compliance is deteriorating. Training was and has been completed in all of the ILGs, though there was very limited engagement even though there was a wide set of staff and medics contacted to let them know the training was being run. An SOP has been developed in conjunction with the guides inside eJP and will be shared with users for comment. The wider spread of responsibility is still desirable, however due to the lack of engagement with the training and the changing structures within the UHB due to the development of the ILGs, it is hard to determine currently who the additional persons involved should be. November 2020 Update - a) The produced job planning compliance report is now distributed via the WOD packs to the ILG management teams monthly. In addition to this, the medic leadership with the ILGs has access to eJP to be able to check compliance at any given point. b) Additional resource to stand behind the job planning, to administer, drive and improve the whole process, therefore leading to increase job plan compliance is currently awaiting approval through the medical efficiency business case. c) Job planning compliance rates have dropped since the onset of the unforeseen pandemic caused by Covid 19. The situation is unlikely to get significantly better until 'normal business' returns. The current presumption by UK Government is that there is unlikely to be a reduction in the impact of Covid 19 until spring 2021 at the earliest. The implementation date should be extended due to complication from the pandemic. It is likely to take an additional 6 months post spring 2021 to September 2021. January 2021 Update - There is a contractual requirement that job plans are to be completed and signed off by Consultant and SAS Doctors. All job planning was put on hold at the start of the pandemic. Sign off rates have dropped significantly and now sit in the low double figures for the UHB. There is no change since the last update report for this heading and there is unlikely to be a significant improvement in job planning rates until after the pandemic. The target date for completion has now changed to December 2021. March 2021 Update - There is no change since the last update report for this heading and there is unlikely to be a significant improvement in job planning rates until after the pandemic. May 2021 Update - there is no further change to the March update. July 2021 update - A job planning SOP is now in place and available for staff to use. Job planning rates have doubled since the lowest point in Jan 2021. There is still significant work required in this area as the rates are still very low, which is being hampered by the ongoing problems associated to the pandemic and now the switch to planned recovery work. Job planning is not being prioritised, as the clinical delivery is. September 2021 - No further update November 2021 update - Whilst job planning rates have increased within UHB. The ILGs and Workforce have worked together to improve completion and sign off rates together where they can and will continue to do so. The reality of the situation remains that currently job planning is not seen as a priority over clinical activity. This coupled with extreme pressure on each service to catch up with the largest and longest waiting lists seen in the UHB, means that there are unlikely to be the desired improvements in signed off job plans achieved until the pandemic has finished.</p>



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Consultant Job Planning 02	Oct-19	Limited	1. The notes section in the Allocate system should be used to record reasons for deviations from the standard Welsh Government consultant's contract and guidance. For example, where there are more or less than 10 weekly sessions in total, or there are more than 3 weekly SPA sessions. 2. A plan should be developed to ensure all PoW consultants and SAS doctors' job plans are reviewed and updated as soon as is practically possible to align with the new Health Board's objectives. 3. Staff carrying out job plan reviews should ensure that all SPA activity is sufficiently detailed, that Health Board outcomes are linked to IMTP objectives, and that meaningful Service or Directorate outcomes are recorded in all job plans. This may be achieved by providing tailored training to staff responsible for conducting job plan meetings and reviews. 4. Health Board guidance should be provided detailing how breaks should be factored into timetables.	High	1. Clinical sessions which exceed the contractual norm are relevant as determined by the business area, based on clinical requirements. This will also have implications for continuity and safety of clinical care. The additional sessions are also more cost effective for the Health Board as opposed to agency locums. The reasoning behind additional clinical sessions needs to be clear in the job plan. This will be emphasised as part of the updated training package. 2. As soon as the Health Board's operating model and subsequent objectives agreed, all Health Board objectives will need to be revisited through the annual job planning cycle. In the interim, existing job plans for Doctors in PoW will rollover into the next cycle. 3. The appropriate recording of SPA activity and linking to subsequent Health Board outcomes will be highlighted in the reviewed Health Board training material. 4. The Health Board is very clear about the rest break requirements under EWT. The reason why breaks are not necessarily included is due to the flexibility required for the individual, as all job plans are variable and negotiated in accordance to service need. The requirement to take rest breaks will be further emphasised in the updated job planning training.	Medical Director	Acting Workforce Operational Lead	Nov-19	March 2020 April 2021 May 2021 August 2021 Now October 2021 Now December 2021 Now March 2022		In progress	January 2022 update - The guidance has been shared with the LNC and the Chair of the BMA for CTM. Whilst there is general agreement on the document, there is further work required in partnership to agree on some of the tariffs. The AMD for Workforce is meeting with the BMA chair to finalise in partnership in Feb 22. June 2020 Update - SPA/DCC split guidance - This was developed between medical workforce, Vijay Singh and Sarah Spencer. It is currently awaiting review at the LNC before wider distribution. Due to Covid19 this has stalled due to no LNCs taking place. July 2020 Update - No change to the position. September 2020 Update - The Deputy Medical Director and Assistant medical Director revisited the guidance developed by Dr V.Singh. This was matched and referenced against other organisations policies as well as taking royal college guidance into consideration. This has now been brought to final draft in preparation to be taken to the LNC. This will be shared at the next LNC in November before roll out to the UHB. November 2020 Update - a) There has been a delay in full roll out of incorporating all of the Bridgend ILGs job plans into eJP with updated CTM objectives, this is due to the onset of the pandemic and pausing of job plan reviews with most staff. This will be picked up and moved forwards when business as usual returns to the ILG. b) The operating model for the UHB is now in place and this has been incorporated into the eJP software to match the new structure. c) SPA and DCC guidance has been developed by the AMD for Medical Workforce. This underpins the application of SPA within the job planning process and will be reflected in the notes in eJP. The implementation date should be extended due to complication from the pandemic. It is likely to take an additional 6 months post spring 2021 to September 2021. January 2021 Update - Development of a policy document was required to standardise the approach across the UHB for SPA and DCC split, to ensure fairness and equity for all Medics that take part in the job planning process. There has been a document produced regarding the process for deciding SPA and DCC allocation. This is now awaiting sight by the LNC for comment, which has not met for a number of months due to pandemic. Further meetings have not been scheduled at this stage. The completion date has been revised to April 2021. March 2021 Update - Development of a policy document was required to standardise the approach across the UHB for SPA and DCC split, to ensure fairness and equity for all Medics that take part in the job planning process. There has been a document produced regarding the process for deciding SPA and DCC allocation. This was shared with the LNC in February 2021 and a number of amendments were suggested. These have been taken on board, worked into the document where appropriate and will be shared with the LNC at the next meeting in April. May 2021 Update: This was due to be approved in collaboration with the LNC in May, unfortunately this did not happen due to further work being felt needed to be undertaken on the document during discussion in the meeting. This has now been rolled over to the next LNC for approval with the amendments in August 2021. July 2021 update - No further update. Awaiting ratification and agreement of guidance. September 2021 Update - Development of a policy document was required to standardise the approach across the UHB for SPA and DCC split, to ensure fairness and equity for all Medics that take part in the job planning process. • There has been a document produced regarding the process for deciding SPA and DCC allocation. This was shared with the LNC in February 2021 and a number of amendments were suggested. • These amendments were made and the document was submitted to the LNC in August 2021 for review, there were additional comments on the paper that the staff representatives would like changed for them to agree with its roll out across the UHB. The British Medical Association (BMA) representatives will formally set out their concerns before the next LNC in December 2021, to allow the guidance to be agreed in partnership at that meeting. November 2021 update - The LNC has not met since the last update.	
Consultant Job Planning 03	Oct-19	Limited	Staff conducting job planning meetings and annual review meetings should ensure that all job plans include personal outcomes that are sufficiently detailed and measurable, and in line with personal outcomes and targets agreed as part of the annual review process. Progress against personal outcomes should be monitored and recorded in line with the Health Board's guidance.	High		Medical Director	Acting Workforce Operational Lead	Nov-19	March 2021 December 2021 Now March 2022		In progress	January 2022 update - The SPA/DCC guidance has been shared with the LNC and the Chair of the BMA for CTM. Whilst there is general agreement on the document, there is further work required in partnership to agree on some of the tariffs. The AMD for Workforce is meeting with the BMA chair to finalise in partnership in Feb 22. January 2020 Update - The report links the need for personal outcomes to be in the Job plans. This is contrary to what the organisation had seen what Job plans are for. There should be a record of clinical outcomes recorded and referenced, but personal outcomes are for the appraisal and validation process rather than job planning. July 2020 update - No change, work has stalled around this due to Covid19. November 2020 Update - Guidance is currently being developed by the AMD for Medical Workforce. No extension needed. January 2021 Update - Personal outcomes are part of appraisal and validation process rather than job planning currently. As part of the job planning training, clear personal outcomes will be factored into the process and now recorded in new job plans. The training that has been rolled out across the UHB covered this. The updated SPA/DCC guidance on this is awaiting comment from the LNC. As previously mentioned, the LNC has not met recently due to the pandemic and dates for the next meetings have not been arranged as of yet. The completion date has been revised to December 2021. March 2021 Update - Personal outcomes are part of appraisal and validation process rather than job planning currently. As part of the job planning training, clear personal outcomes will be factored into the process and now recorded in new job plans. The training that has been rolled out across the UHB covered this. The updated guidance on this was shared with the LNC in February 2021 and a number of amendments were suggested. These have been taken on board, worked into the document where appropriate and will be shared with the LNC at the next meeting in April. May 2021 Update - No further update to provide. July 2021 update - Job planning SOP now in place. Awaiting agreement of DCC/SPA guidance. September 2021 Update - Personal outcomes are part of appraisal and validation process rather than job planning currently. • As part of the job planning training, clear personal outcomes will be factored into the process and now recorded in new job plans. The training that has been rolled out across the UHB covered this. • The updated guidance on this was shared with the LNC in August 2021 and a number of amendments were suggested by staff representatives. These will be formally recorded and shared by the BMA, then worked into the document where appropriate and will be shared with the LNC at the next meeting in December 2021 to allow for agreement on this guidance in partnership. • An SOP has been developed and shared for job planning, which clearly sets out the responsibilities and process that allows for effective job planning. November 2021 update - The LNC has not met since the last update.	
Medical and Dental Rostering 01	Aug-20	Limited	The Health Board should continue to move to using a single medical and dental rostering system that would allow efficiencies in usage, especially where links can be made to other Health Board systems such as consultant job planning. This will also enable the Workforce Development team to provide consistent support across the Health Board.	High	Allocate Health Roster has now been rolled out for the whole of the UHB with the exception of ACT and PoW ED. In particular, the rollout was extended to Princess of Wales (PoW) medics during April and May. ACT currently use a separate rostering product called CLW and have for many years. This is also the case in a number of Health Boards and Trusts as the rostering features have been specifically designed for Anaesthetic rosters. Historically, and prior to the transfer on 1 April 2020 POW Emergency Department have used a separate rostering product. For ED POW and ACT to move over to Health Roster, the additional functionality needed would require the purchase of 2 additional modules from Allocate. The 2 modules are Medic on Duty (MOD) and Activity Manager (AM). In addition, this would require further discussions with Consultants and directorate colleagues as their current processes are considered to be perfectly suitable and adequate for their rostering arrangements and would not be a priority. The link of eJob Planning to health roster is the ultimate gold standard and is fully supported. For this to be possible it requires the purchase of the additional e-rostering products, to allow for the interface and indeed for all business areas to be using the Activity manager. In order to roll out Activity Manager effectively, the rostering team would be required to revisit all ILGs to ensure Health Roster is being used effectively for annual leave, study leave and sickness. This will be subject to dedicated resource being identified.	Director for People	Head of Workforce Productivity & E-Systems	June 2020/December 2020	Apr-22		Part Completed	January 2022 update - The showcase of Health Roster in ED has been unsuccessful, with all 3 EDs deciding they do not want to use Health Roster, as it doesn't meet their needs. Alternative solutions will be investigated, as there is a system called Health Rota being used in CTM, that the EDs have all said they prefer and is better suited to their environment. This will be fed back to Allocate, to see how we can adapt Health Roster to be able to work in ED. January 2021 Update - Allocate Health Roster has now been rolled out for the whole of the UHB with the exception of ACT and the POW Emergency Department (ED). This work has stalled due to the impact of the Pandemic. July 2021 Update - After meeting with ED representation and showing them a demo for the system with full functionality, the ED leads have taken the decision that Health Roster does not work for them and they do not want to use it. This puts us in a situation that is difficult to bypass. The areas do not want to use the system and say it doesn't work for them, but the audit report says that they absolutely should be using the system. A decision needs to be made as to whether we make the area use a system that they feel doesn't deliver what they want, purely because the audit report recommends it. September 2021 Update - Allocate Health Roster has now been rolled out for the whole of the UHB with the exception of ACT and the POW Emergency Department (ED). This is due to these areas using separate products to Health Roster that they are unwilling to give up, until the functionality in their own systems is recreated in Health Roster. • Although Health Roster is rolled out in all ILGs now, the data suggests that full uptake and utilisation of the systems capabilities is still relatively low. • For ED POW and ACT to transition to Health Roster, the additional functionality they require is contained within the 2 extra modules to be from Allocate. The 2 modules are Medic On Duty (MOD) and Activity Manager (AM). AM is yet to be purchased. • The additional functionality of the products were recently showcased to ED in POW, to an audience containing the clinical and administration staff. Feedback was not supportive of adopting the allocate packages as a rostering system, wishing to remain with their current product. • Conversion of ACT & ED will not be revisited until the pandemic is over, due to the current main focus within both the Departments and eRostering being maintenance of current service. November 2021 Update - RGH ED initial Build in progress. Talks ongoing with PCH ED to find a resolution. PoW ED still doesn't want to change system. Meeting arranged ACT colleagues to discuss movement process to HRoster."	



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Medical and Dental Rostering 04	Aug-20	Limited	1) The Health Board should develop a rostering policy specific to medical and dental staff. To ensure consistency and no conflict or duplication, consideration should be given to any other related policies and future financial control procedures such as medical variable pay. The policy should also give clear guidance on the alignment between the roster development process, consultant job plans and service demands. 2) The current set of HealthRoster 'how to' guides should be reviewed to ensure they are comprehensive and can be used in all areas of the Health Board as HealthRoster is rolled out. It should be ensured that any procedures or guides created align to the roster policy and cover both the use of the system to create rosters and the use of the system by medical and dental staff to manage their time. For example, booking annual leave and making amendment requests. 3) For areas where the roll out of HealthRoster is not imminent, separate 'how to' guides on that system should be developed. The guides should include the step by step process for creating the rosters and also guides for users of the system, allowing consistency during unexpected periods of absence.	High	A rostering policy will be developed in a collaboration with the ILGs to ensure they are bought into the guidance. Sitting alongside this a separate 'medical establishment' project which will identify the funded posts in each of the ILGs. This is critical to inform the true and accurate development and recording of rosters. There are user guides on how use Health Roster within the Allocate Health Roster system so further guidance would not be relevant. If there is a requirement to refine this guidance, following feedback from Super Users, only then will the Allocate guidance be further developed.	Director for People	Head of Workforce Productivity & E-Systems	Sep-20	01/12/2021 Now April 2022		Part Completed	January 2022 Update - A/W sitting of MWSG in Feb.	January 2021 Update - Initial scoping and collection of documentation has been completed. This work will commence again after the pandemic. July 2021 update - the policy is in active development and a policy group has been set up with stakeholders involved. September 2021 Update - A rostering policy is in draft form that was developed in collaboration between the Assistant Medical Director and Medical Workforce. This will be developed further in partnership through the LNC. • There are and user accessible guides on how to use Health Roster already held within the system and now on an intranet eRostering site, alongside video guides for the most common queries. • Separate guides for non eRostering areas are no longer required as most areas (apart from ACT and ED) are now on Health Roster. November 2021 update - Draft written. Now out for comment. Will be taken to the next Medical Workforce Sustainability Group for discussion."
Medical and Dental Rostering 05	Aug-20	Limited	Annual leave and sick leave should be recorded on Health Roster which interfaces with ESR for Consultants and Middle Grade staff, thus allowing sickness to be managed appropriately.	High	The addition of PoW (excluding ED and ACT) to Health Roster has already moved a significant way towards achieving consistent recording of absences. The next phase however is to meet with each business area to ensure absences are being recorded on the system, which in turn feeds into ESR. There is a reliance on directorate colleagues in the ILGS to administer the system however regular checks and reporting may also expose where the data is not being inputted. This would be an ongoing exercise and could not be a one-off meeting with the directorate rota administrators and would be reliant on additional rostering resource.	Director for People	Head of Workforce Productivity & E-Systems	Sep-20	01/12/2021 Now April 2022		In progress	January 2022 Update - As previously mentioned. ED departments have decided collectively that Health Roster isn't fit for purpose.	January 2021 Update - PoW being added to Health Roster has greatly improved the capability to record leave and sickness pan UHB. It has become apparent however, that during the pandemic limited recording of leave & sickness has happened on Health Roster in medic areas. This needs to be visited and understood why this has gone on, as the same has not happened for Nursing areas. This is an area that will now require additional support to the roster managers and training to the Medics using the systems to enable the system to be used to a fuller extent. APRIL 2021: Work delayed during the pandemic, revised implementation dates provided. July 2021 update - a training initiative was undertaken with all Medic areas using health roster in the Health Board and everyone was given update training on the system and sickness was included in this. All the training was recorded and certificates of completion issued to all areas. September 2021 Update • All areas within the UHB, except ED POW & ACT, are now active on Health Roster due to the refreshed implementation plan undertaken by the medical eSystems team. • The final phase will be completed when ED POW and ACT are fully using Health Roster. • Sick leave recorded on Health Roster automatically feeds into ESR. November 2021 update - Build started in RGH ED. PCH ED in discussion. POW ED still unwilling to move to HRoster. Meeting arranged ACT colleagues to discuss movement process to HRoster
Medical and Dental Rostering 06	Aug-20	Limited	Management should ensure that there are processes in place for monitoring the rosters including reviewing aspects such as ensuring medical and dental staff are undertaking the correct hours and working in line with the job plans.	High	The monitoring of hours worked against the planned rota is the responsibility of the Directorate and Roster managers. Workforce will provide KPI data to the Directorates through the ILG Medical Workforce Efficiency meetings setting out time frames for requesting leave, sickness data and study leave. The comparison of agreed job plans against rota is again a matter for the ILG Directorates as noted above.	Director for People	Head of Workforce Productivity & E-Systems	Nov-20	01/12/2021 Now April 2022		In progress	January 2022 Update - As originally discussed. This is a responsibility of local management of the associated staff. There is no further update to give on this.	January 2021 Update - This project work will have stalled due to Covid 19 and will commence after the pandemic. KPIs will be built into the Rostering policy for medics additionally. APRIL 2021: Work delayed during the pandemic, revised implementation dates provided. July 2021 update - a training initiative was undertaken with all Medic areas using health roster in the Health Board and everyone was given update training on the system and rota management was included in this. All the training was recorded and certificates of completion issued to all areas. September 2021 Update - • For effective Rotas and Rosters to be built, establishments need to be developed. Once this work is done they can actually be monitored for effectiveness, as a set agreed standard is present to be monitored against. • Systems such as Health Roster can monitor EWTD and set limits on amount of hours worked. This is then additionally monitored locally by the Roster managers for each area, as they have oversight and intimate knowledge of the day to day running of their rosters. If there is a requirement to turn this setting off, it can only be removed centrally by the eRostering lead. • KPIs will be introduced for Medical rostering, which will be reported on at the ILG efficiency meetings. These KPIs will be developed alongside the rostering policy and held within the policy. • As the development and recording of establishment work is still in its infancy, this work cannot be completed until this data is held. November 2021 update - No further update.
Head & Neck Management Arrangements 06	Aug-20	Limited	1. All episodes of sickness should be recorded on ESR. Comprehensive and accurate documentation in relation to each episode of sickness should be maintained to allow the proper management of sickness within the directorate and accurate reporting. 2. It should be ensured that self-certification and return to work forms are fully completed. 3. All information contained on self-certification forms, RTW forms and ESR should correspond. 4. Absence management prompts should be monitored and where periods of absence result in a prompt being breached, the appropriate action should be taken.	High	Working with colleagues in WOD the Directorate will start an education programme for all staff management issues – with joint workshops as has happened in other areas (for example, Mental Health). This will start a journey for the Directorate towards compliance. Since receipt of the report the detail has been shared with the Heads of Service and improvements have been made which will be qualified if a re-review takes place. Further, this issue will be highlighted to the Bridgend ILG when it takes over management responsibility for this service.	Director of Operations	Service Group Manager	Oct-20	March 2021 April 2021 September 2021 Now December 2021 Now March 2022		Part Completed in two ILG's	February 2022 Update - Staff are still completing ESR training in Surgery, ESR structures have now been correctly aligned to reflect the structure. Progress will be reported at the next meeting.	January 2021. Implication of covid have meant that this has not been able to receive the appropriate management focus - this will be remedied in the next two months. An update will be provided in March 2021. March 2021 Update - Covid 19 has hampered progress in this area. Limited action can be proved to have taken place. An update on progress will be available by the end of April 2021 –this recommendation open and progress will be monitored. May 2021. The Head & Neck Directorate no longer exists and a proposal around how this is handled will be made to Auditors. In the meantime, a check has been made on the arrangements where these services are now held. Colleagues from WOD work closely within all CSGs and provide important support where it is needed. These issues are monitored via internal ILG processes and then via the Performance Review with the COO. At present issues with ESR and Health Roster are the focus of work and as a result the date will be September 2021. July 2021 Update - In RTE and MC ILGs, this action is complete. In BILG, training is underway for action 1, for action 2 it is in place for clerical and medical staff and for the other two work is complete. September 2021. Work remains ongoing - date is still December 2021. November 2021 Update – for BILG, PDRs will be scheduled by the operational team to take place from January 22 and all staff aim to be completed in month, undertaking ESR training will be a common objective for all.
Head & Neck Management Arrangements 07	Aug-20	Limited	1. In line with Health Board targets, all staff should be subject to a PDR on an annual basis. 2. PDR documentation should be fully completed, with meaningful objectives agreed by the manager and employee. The document should be signed by both parties and ESR with the date the PDR took place. 3. Copies of PDRs can be accessed to be undertaken in Manager's absence.	High	The report has been shared with all Heads of Services and improvements have been made in the speciality area of Dental Services. The new management arrangements for the RTE ILG are in the process of being resolved and in line with the new workforce performance management ILG structure, the detailed improvements will be made. Further, this issue will be highlighted to the Bridgend and RTE ILG when it takes over management responsibility for this service.	Director of Operations	Service Group Manager	Oct-20	March 2021 April 2021 August 2021 Now December 2021 Now March 2022		Part Completed	February 2022 Update - the Bridgend ILG will aim to complete all PDRs by March 2022. The issue has been held back due to operational pressures across all services.	January 2021. Implication of covid have meant that this has not been able to receive the appropriate management focus - this will be remedied in the next two months. An update will be provided in March 2021. March 2021 Update - Covid 19 has hampered progress in this area. Limited action can be proved to have taken place. An update on progress will be available by the end of April 2021 –this recommendation open and progress will be monitored. May 2021. A check has been made across the old Cwm Taf Directorates and a review has been taken on this issue. This does remain a risk given the size of the challenge and is monitored through internal ILG Meetings and the ILG Performance Review with the COO. July 2021 Update - For RTE ILG and BILG, this is an aim but not achieved across both areas given the implications of covid. There is a plan with WOD colleagues and intent for this to be improved. This is monitored in ILG Performance Review meetings monthly. In both areas the information is readily available if needed. No response from MC. For MC ILG (OMFS) this is complete. September 2021. Work remains ongoing - date is still December 2021. November 2021 Update – for BILG, PDRs will be scheduled by the operational team to take place from January 22 and all staff aim to be completed in month, undertaking ESR training will be a common objective for all. Nothing further from other ILGs this month.



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CAMHS Management Arrangements 05	Feb-21	Limited	1. We agree with the planned approach to identify CAMHS related policies in existence and to review them to ensure consistency across the localities. This work should also ensure relevance and alignment to current legislation and expected working practices. 2. Once updated, the policies should be made accessible to relevant staff and have dates for future review and individuals / post holders named who are responsible for such reviews.	High	CAMHS Policy Group newly established, with ToR being developed. All CAMHS policies to be identified, reviewed and standardised to ensure consistency across localities, and to ensure relevance and alignment to current legislation and expected working practices. Action plan will be devised. Policies will be made accessible to relevant staff and have dates for future review and individuals / post holders named who are responsible for such reviews.	Director of Operations	Head of Nursing	Mar-21	01/05/2021 August 2021 Now December 2021		In progress	February 2022 Update - no permanent CSG Manager in post. Update will be available for the next meeting.	March 2021 Update - Update will be available in May 2021. May 2021 Update - CAMHS Policy Group newly established, with ToR developed. All CAMHS policies to be identified, reviewed and standardised to ensure consistency across localities, and to ensure relevance and alignment to current legislation and expected working practices. Action plan will be devised. Policies will be made accessible to relevant staff and have dates for future review and individuals / post holders named who are responsible for such reviews. Work delayed due to Covid & HB restructure. Confirmation on the action taken will be confirmed in August 2021. July 2021 Update. CAMHS Policy Group newly established, with ToR developed. All CAMHS policies identified, to be reviewed and standardised to new format to ensure consistency across localities, and to ensure relevance and alignment to current legislation and expected working practices. Action plan devised to ensure rolling programme. Policies will be made accessible to relevant staff and have dates for future review and individuals / post holders named who are responsible for such reviews. Work delayed due to key staff redeployment due to Covid & HB restructure. Confirmation on the action taken will be confirmed in August 2021. September 2021. Work on the policy reviews continues, the target date remains December 2021. November 2021 Update - nothing further this month. There has been a change in management arrangements and an update on the work that remains ongoing will be ready for the next meeting.
IT Service Management 02	Apr-21	Limited	Procedures and guidance should be finalised and issued with training provided as appropriate. Staff should be instructed to ensure that calls and incidents are classified and prioritised correctly	High	Addressed by the response to finding 1. Guidance has been created that will mitigate the risk moving forward in ensuring ICT staff understand the difference between the both call types when raising service point calls. Documentation has been forwarded to the auditor to address the recommendations and findings made for this objective. This will be incorporated into the starter pack for distribution (COMPLETED). 1) Helpdesk Call Types - Training will be provided in house by one of the Desktop Team leaders on a MS TEAMS conference session to run through the management of calls Dates will need to be defined around the training before end of March 2021.	Director of Digital	Head of Service Management	Mar-21	01/09/2021 Now June 2022		Part Completed	January 2022 Update - Training has been completed and the review has been completed. Problems are being logged and a dashboard on issues has been produced. Outstanding action is to document some elements of the process we should be following, in particular those relating to handover problems and triage.	May 2021 Update - Documents under review by the Senior management team in ICT before sign off and approval. July 2021 Update - The staff training element of this recommendation has not yet been completed. Training has not yet taken place. September 2021 - No further update. November 2021 - No further update provided
Single Cancer Pathway Data Quality Integrity 01	Oct-21	Limited	1. It should be confirmed that the criteria within the scripts used for reporting purposes has been updated, so that all appropriate patients have been captured. 2. Consideration should be given to supplementary reporting of SCP data to ensure that all treated cases have been reported and that cases not included when data is initially extracted are recorded and reported.	High	1. The scripts have been updated to include patients who died. Information team are reviewing the scripts of the 7 other cancer reports to check for consistency, noting many are legacy. Internal review undertaken which indicated no concerns with Swansea Bay data and Bridgend. 2. There is an all-Wales proposal for automating the approach to supplementary reporting. If agreed, DHCW have confirmed that it will take immediate effect. Until automated approach to refresh of data / supplementary reporting has been agreed and implemented throughout the Health Board, all treated patients that are still suspected at reporting month end are being recorded & validated manually. Monthly performance reports for CTM UHB are updated to ensure that the timing issue is resolved in subsequent month's reports.	Director of Operations	Chief/Information Officer/ Senior Cancer Manager	1. Quarter 2 2021 2. Completed	Now March 2022		Completed	February 2022 Update - Issue 1, criteria within the scripts used for reporting purposes has been updated, so that all appropriate patients have been captured. This is complete. Issue 2, a three month data pull to ensure appropriate patients are captured has been established throughout all acute HBS - this is complete.	November 2021 Update - there is an All Wales approach to quarterly pull established, to pick up patients treated outside of data submission. All data now pulled on last day of month for sign off on 1st of the month in accordance with all other acute health boards. All reports for internal and external stakeholders use data pulled on 1st month to ensure consistency and clarity.
Single Cancer Pathway Data Quality Integrity 02	Oct-21	Limited	1. Management should ensure robust processes are put in place that safeguards the integrity of the SCP data prior to it being published and reported on, including accurate input of dates and outcome data onto the clinical portal. 2. Referral letters and other key documents that support the 'start the clock' and 'stop the clock' dates should be added to the clinical portal. Note: Management added to this part of the recommendation: Once we deploy WPRS for Cancer specialities, this data is captured and present in WCP.	High	Acknowledging the later recommendation around the need for a planned approach to improve data quality across CTM, the operating model is being amended to improve ownership of the data integrity issue. Previously, the Cancer Business Unit has held responsibility for the data aspects of Cancer service delivery. In Q3 2021/22, each ILG will take accountability for their Cancer MDTs, trackers and information analysts which will allow each CSG to own the data for their smaller group of patients. The CBU will oversee the roll out of robust data capture through the use of Cancer MDT e-forms in line with the Cancer Informatics plan and CANISC replacement (commencing Q3 2021/22) Wider issues around discrepancies between the paper and digital record have been identified and added to the corporate risk register. The Cancer Business Unit will develop and implement interim safeguards to mitigate risk whilst we transition from paper to digital ways of working through the HB digital strategy. This will include frequent improvement cycles and audit undertaken by clinical coding and the care teams. There are also wider issues around the PAS and WCP not conforming to information and technical standards and applications being design which do not readily enable the clinical data to be stored digitally at a data item level in a manner which it is clinically interpretable and re-usable. Business cases have been submitted collaboratively with NWIS to improve compliance with standards at the application and data storage layers to address these fundamental requirements. Operationally the UHB are committed to prioritising resources to strategically aligned initiatives, such as electronic referral through the WPRS and electronic test requesting for pathology and radiology and through digitising the patient record which including scanning documents, such as the referral letter, using CITO. We see the full implementation of standards and digital applications and the safe, clinically and cost effective methods required to enable our strategy and meet the need for accurate reporting data. In the short term, existent processes whereby referral information is transcribed on to the PAS will be re-affirmed, thereby ensuring key tracking data is available for a myriad of uses including, but not limited to, cancer information. These interim actions will be superseded by the development of the overarching health board strategy (CTM 2030: Our Health Our Future). This will set out the design principles for clinical services and other activities and will include specific ambitions for the digital agenda. This will be supported with the appointment of a new Digital Director taking up post this autumn. This will help support the acceleration of the digital plans to support the overall HB strategy. There is an urgent requirement to reaffirm referral management processes and accuracy of recording of PoS when referrals are received, and uploading on to WPAS. Clinical service group managers are required to take ownership over the validation, cancer waiting times and their cancer waiting lists (See newly devised cancer operating framework). Cancer business unit to undertake quarterly audits on data accuracy of patients that are active on cancer tracker. A WPAS cancer tracker 7 training manual has been developed for all staff using this system. This has been made available online. A training record has been developed and is being updated following individuals completion of training and competency of the WPAS cancer tracker. Clinical Service Group & Operational Managers to ensure upgrade / downgrade SOP is followed along with alignment management of referrals within the Health Board.	Director of Operations	Various	Various	Now March 2022		In progress	February 2022 Update - no further update received. Response will be sought from ICT colleagues - as redirected.	November 2021 Update - Devolvement of MDT Coordinators and information assistants still outstanding whilst managerial issues are worked through. CANISC replacement and Wrapper roll out deferred until May 2022 nationally. CTM have established an implementation group to tackle each tumour site in turn. Lung is the first tumour site and work has started. Funding via WCN has been had to develop BI tools. Two pronged approach; integration of endoscopy and radiology feeds into cancer tracker and development / enhancement of Qlik app.
Single Cancer Pathway Data Quality Integrity 03	Oct-21	Limited	1. While error rates remain high, senior management quality assurance checks should be undertaken to ensure reliability of the SCP data. Consideration should be given to including these check as part of the data validation SOP that is being drafted. 2. Validation checks of both breached and achieved cases should commence in line with the draft SOP. 3. An issues log should be maintained to record discrepancies in the data identified during the validation and quality checking process to help identify any trends in errors.	High	1. Monthly validation reports are sent to the cancer service supervisors via information services to support with validation. Any errors are raised with the information reporting team and any SQL script errors are reported as bugs and corrected. 2. A newly developed SOP has been developed for both weekly and monthly validation of all treated patients within that given month. This is awaiting approval. Validation of all treated patients both in and out of target is undertaken at month end in accordance with the validation SOP. This document is currently awaiting approval. 3. An issues log has been devised which logs all month end validation discrepancies in data identified, with the actions undertaken to resolve them. The discrepancies are sent to the appropriate service group managers. Discrepancies identified during validation of the treated confirmed cancer patients, with the appropriate action taken to resolve the discrepancy, is sent to the appropriate service group managers to discuss with the team concerned and use as a learning opportunity.	Director of Operations	Various	May 2021/Quarter 2 2021	Now March 2022		Part Completed	February 2022 Update - Issue 1. This will be confirmed at the next meeting of the committee. Issue 2. Monthly validation completed checking PoS and FDT. Re audit of internal audit criteria undertaken identifying 79% accuracy (29%) improvement - Complete. Issue 3. Established and maintained monthly following validation. Discrepancies identified sent to the respective individuals for learning - Complete.	November 2021 Update - Both weekly and monthly validation undertaken. SOP approved. Reaudit mirroring that undertaken by the internal audit department has revealed an improvement of 29% in data accuracy.



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CAMHS Follow Up Workforce 1.1	Dec-21	Limited	The outstanding issue in relation to accessing the job plans of CAMHS staff within the Allocate system should be resolved with immediate effect so that the updated Consultant Job plans can be uploaded on to the system.	High	Access to Allocate requested for all relevant staff. Appointments made with all Doctors with outstanding job plans to update. The CAMHS folder on Allocate has been reviewed and organised to align with recent organisational changes. Consultant/SAS lists were updated with new appointments added and legacy names removed (Krishna Menon, July 2021). A clear system of delegation has been established whereby Clinical Leads in each service are responsible for creating/ updating job plans for doctors in their areas jointly with the CSG Manager who will be the 1st sign off, with the Clinical Director reviewing the finished job plans for assurance before completing 2nd sign off. Training on Allocate is being organised to support Clinical leads in this regard. Clinical Leads will continue to be job planned jointly by the CSG Manager and CSG Director. Clinical Leads have been approached on several occasions (July 2021) in order to undertake job plans in their areas but progress has been slower than anticipated due to clinical pressures and lack of operational support. It is anticipated that this will be resolved at pace with the new CAMHS CSG Manager taking up her post in February 2022 but the Deputy CSG Manager will be requested to progress this in the interim with support from the Director of Operations.	Director of Operations	Clinical Director	Dec-21		In progress	February 2022 Update - no permanent CSG Manager in post. Update will be available for the next meeting.		
CAMHS Follow Up Workforce 1.2	Dec-21	Limited	Consultant job plans should be reviewed and agreed on an annual basis, with planning discussions commencing in enough time to get the plan signed off and any disputes resolved ahead of the job plan start period.	High	Clinical Director will ensure that all Consultant job plans are reviewed and agreed on an annual basis. A clear dispute process to be followed: Where issues are raised in relation to the job plans created, prompt discussions should take place between the individual, the Clinical Service Group Manager and Clinical Director in order to resolve any problems in a timely manner and ensure plans get signed off. System to provide assurance that the sessions agreed on the job plan are what are being delivered by the Consultants. The Clinical Director will review and complete 2nd sign off of all job plans to provide assurance that they accurately reflect the consultant/SAS doctor's commitments are aligned to the service needs. A process has been agreed to escalate any disputes to the ILG Group Director.	Director of Operations	Clinical Director	Dec-21		In progress	February 2022 Update - no permanent CSG Manager in post. Update will be available for the next meeting.		
CAMHS Follow Up Workforce 2.1	Dec-21	Limited	Staff personal records should be stored electronically and in such a way that allows other relevant managers to have access to them should an employee's direct line manager be absent from work for a period. This will also enable line managers to access files wherever they are based and will reduce the risk of files being mislaid.	High	The Health Board agrees with the recommendation that staff electronic records are ideal. This will be explored and progressed with IT with regards to the governance & security of IT records for all CAMHS staff.	Director of Operations	Deputy Directorate Manager	Nov-21		In progress	February 2022 Update - no permanent CSG Manager in post. Update will be available for the next meeting.		
CAMHS Follow Up Workforce 2.2	Dec-21	Limited	Advice should be sought from the Health Board's information governance officer with regard to the series of missing files to establish the action that needs to be taken.	High	The missing personnel files have subsequently been located. If there are further instances of missing files this will be raised immediately with the Health Board's Information Governance team.	Director of Operations		Completed		Completed			
CAMHS Follow Up Workforce 2.4	Dec-21	Limited	It should be ensured that: <ul style="list-style-type: none"> Comprehensive and accurate documentation in relation to each episode of sickness should be maintained. All information contained on self-certification forms, RTW forms and ESR should correspond, and the period of absence should be fully covered by self-certification forms or medical certificates. Where periods of absence result in a prompt being breached, appropriate action in line with the Managing Attendance Policy should be taken. The roll out of the Line Management Training package should assist in making staff aware of the absence management processes they need to follow.	High	The Line Management training will continue to be delivered across CAMHS to all staff with line management responsibilities as a rolling programme. A line management check list will be rolled out & used by all staff during line management supervision to ensure consistency with issues discussed. This checklist (currently in use in a different directorate) will be updated and reviewed to ensure it is comprehensive and meets the requirements for CAMHS. A monthly audit will be undertaken to provide assurance regarding the quality of line management supervision delivered.	Director of Operations	Senior Nurse/Improvement Manager/Lead Nurse	Nov-21		In progress	February 2022 Update - no permanent CSG Manager in post. Update will be available for the next meeting.		



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Bridgend Transfer of IT 01	Dec-21	Limited	1.1 The real impact on services should be established and monitored with reporting at an appropriate committee. (planning and performance; Q&S) 1.2 The risk on the organisational risk register should be reviewed to ensure it captures all the relevant information and actions.	High	The Swansea Bay and CTM joint management group risk register and border change plan will be reviewed and updated to include the softer and organisational impacts in addition to the clinical and financial risks It is the expectation of Swansea Bay that the CTM UHB will vacate Neath Hospital by April 2023. The team to support the planning of this, including the digital element will be strengthened with the recruitment process for a designated planning lead to be placed by the end of November 2021. The programme leads for Digital will be an integral part of this process. All risks will be managed in accordance with the UHBs' individual processes and significant risks will be escalated on to the organisational risk register.	Director of Digital	Assistant Director of Planning/Director of Strategy	6/1/22	Now March 2023 Recruitment to begin by 30/11/21		In progress	January 2022 Update - Detailed programme for disaggregating clinical services is being developed alongside a digital programme. These are identifying organisational and programme level risks	
Bridgend Transfer of IT 04	Dec-21	Limited	The actions required to mitigate the identified risks and impacts should be identified and plans and timescales developed with the appropriate funding level identified. These should be submitted to WG.	High	High level road map has been developed. A granular roadmap at the building block level for each service and app is now being finalised, which works around the SLA and how services can be separated without significant detriment to either party. As identified, this is being done at severe detriment to the rest of the CTM programme and on a beg, steal and borrow basis. Once the roadmap has been completed, and resources attributed, it will be set against the SLA to identify what could be done from resources already available to the NHS and then have the ongoing consequences added prior to being given to WG. Part of this will be to identify where the diseconomies of scale observed in SB will arise, and identify these to WG.	Director of Digital	Chief Information Officer & Assistant Director for ICT	Feb-22	Now March 2023		In progress	January 2022 Update - Programme for full digital disaggregation by March 2023 has been outlined and will go to Joint Executive Group in early February for consideration. Welsh Government have agreed to fund the DHCW and CTM resource required for the PAS element although DHCW are indicating that there may be wider programme risks issues which delay their ability to support the Bridgend work. Further dialogue and cases will be submitted to WG as the wider disaggregation scheme including sequencing of the clinical service disaggregation, is known	
Mandatory Training 02	Feb-19	Reasonable	Assurances should be sought that individuals working on behalf of the Health Board, but that are not direct employees, are participating in mandatory training relevant to the role that they are providing. A means of monitoring the training compliance of such staff groups should be put in place. An action plan should be developed in relation to bank staff that includes cleansing the data in ESR and establishing a process to ensure this group of staff participate in training. Monitoring of compliance rates should be undertaken.	High	For agency workers, the UHB's providers manage compliance as part of their contractual obligations. To ensure the UHB is sighted on compliance, at the point of candidate submission the agency is required to submit a number of personnel documents, including a mandatory training certificate. Candidates' documents are reviewed upon presentation. Any gaps in compliance are identified, discussed with the booking department and a risk assessment and a waiver form completed if the level of risk is deemed to be acceptable. For Bank Staff, an action plan is being developed to resolve identified issues, which includes:- • Arrange ESR accounts for all bank workers to access e-learning modules. • Validate and cleansing the staff bank register (commenced). • Validate ESR training records for existing bank staff. Issue of remuneration to be considered as part of this work. • Consider an agreed penalty for non-compliance (e.g. restriction on duties, possible de-registration in line with All Wales Terms of Engagement). • L&D CSTF Strategy to include Bank workers March 2019 progress to date-the ability to receive paper payslips ceased in January 2019. All new starters are immediately set up with NADEX accounts. Validation of the e-system has been completed 360 accounts closed. A Validation of the paper files to be undertaken - due to start mid-March. Bank staff have been contacted to provide evidence of training undertaken outside of CTUHB - this is being received and will be uploaded onto a data load for ESR SBAR is being developed in readiness for Exec catch up for consideration/discussion and approval around the remuneration to Bank staff for undertaking training- increase in training budget to be considered	Director for People	Learning & Development Manager	Jan-20	January 2020 March 2021 July 2021 Now December 2021 Now January 2022 Now August 2022		In progress	January 2022 - All bank only RN's have now been contacted in relation to M&S compliance and are now being targeted to completed outstanding modules. Work has also commenced on HCWSW M&S compliance. This will include cleanse of the bank register and de-registration bank workers not actively working, ensuring any active workers have nadex and ESR accounts. Work has also commenced with L&D partners to investigate how compliance can be improve. There remains some remaining monies to continue to pay RN for training but this is non recurrent funding, surplus will be used to support HCWSW training. This piece of work has only been able to be progressed due to the deployment of clinical staff in the bank office to support this piece of work and at some point these staff will be deployed back to substantive roles. There continues to be issues regarding payment of bank workers to undertake M&S training as there is no recurring funding. Bank workers have received notification today of the need to undertake M&S training, information of where to obtain support and informed they may not be offered bank shifts if they remain non compliant. comments on Staff Bank FB page have recurring themes of difficulty in accessing ESR and lack of payment to complete training.	October 2019 update - see above June 2020 Update - See above July 2020 Update - see above. December 2020 UPDATE: This work has not progressed due to change of senior leadership in the L&D team and other pressures within the team. JANUARY 2021 UPDATE: no update available. APRIL 2021: New senior leadership now in place within the L&D team - this specific action to be reviewed to ensure a practical solution, taking into account training already received by bank staff as part of induction and standard training. Actions to be completed by July 2021. May 2021 - A paper was submitted to the People & Culture Committee citing a series of recommendations of how compliance might be improved. Recommendations were approved this month and I am in the process of setting up a Compliance Steering group and examining how recommendations can be implemented. July 2021 - A steering group has now formed and meeting monthly to address the strategic issues and challenges of compliance. Hierarchies were cited as a key issue and a meeting with Dir for People and Heads of Workforce ILG is due to take place to begin to address this issue and improve the controls. Allied to this is training requirements for roles, L&D are drafting an action plan to carry out a grass roots review of roles working with HR and LM's to determine staff correct training requirements. L&D are currently going through a significant change activity where roles and staff are displaced and we are actively recruiting to meet our compliance outputs. A Festival of Compliance has been trialled in WFOD to look are how we can engage more staff in compliance across CTM more broadly. The aim is to roll out the festival to each ILG. L&D are working with all Wales ESR Training forums to examine more effective ways to engage staff in compliance training, the forum is due to report later in the year. There is work ongoing to reduce Inter Authority Training and already this has reduced by 50% with the aim to reduce this further to 30% by the end of July. L&D are shortly to begin work with the ESR team to broaden the HR dashboard and use BI to provide more insightful and usable L&D training data. L&D are also drafting a process to backdate training annotations for new starters that were missed due to redeployments during Covid, we aim to start this in October once the resources are in place to do this. Staff Bank are actively engaged in compliance but have their own issues in ensuring staff have the time to complete training notwithstanding they are currently not paid for the time they have to take to complete their training which means completion rate remain low until a resourcing solution is found. September 2021 - No significant update other to note that work is on track to meet the commitment of providing new starters with ESR E learning training commencing October 2021. Compliance rates are increasing albeit marginally and further work is required to ensure those lower scoring areas such as Fire, health & safety and moving road handling are appropriately resourced and facilitated/virtually where possible to allow as many staff as possible access to the learning opportunity. Resource constraints (as cited by Hd of H&S) are impacting the availability of training and thus the ability for staff to complete these core areas of training. Bank Manager will be required to update on her areas of interest separately. Update from Staff Bank Manager September 2021- Staff Bank are actively engaged in compliance, there is currently ongoing work to validate the bank registrar and bank workers with zero compliance are being targeted. Those who have not actively worked inline with their Terms of Engagement are being de-registered, those who are are being contacted with ensure they have an active nadex account (IT are deactivating accounts that have not been accessed in over a year) and a live @wales email address. This work follows the bank RN pilot where funding was secured to pay for training. Discussions on an all Wales Basis to target Bank worker training have resumed. There are however limited staffing resources within the bank team to manage and monitor M&S bank worker compliance. No decision has been made as to any penalties for bank workers who remain non compliance or
Nurse Agency Usage 01	Apr-20	Reasonable	1. Clarity should be provided as to whether the Staff Bank Policy Induction Checklist (Appendix C) should be completed or the more recently revised 'Ward induction checklist for bank and agency workers'. 2. Ward Managers / the Nurse in Charge should be reminded of the importance to complete the induction checklist to ensure that new agency nurses are appropriately orientated and provided with relevant health and safety overview of the ward they are due to work on.	High	Induction check list to be reviewed and agreed by Heads of Nursing. Ward Managers & Senior Nurses to receive updated check list that must be completed for all new Bank and agency nurses. Updated Bank/Agency Nurse Induction Checklist to be included into the revised Staff Bank policy.	Director for People	Head of Corporate Nursing	March 2020/April 2020/August 2020	February 2021 June 2021 Now September 2021 Now December 2021 Now April 2022		In progress	January 2022 Update - Policy sent to policy group for ratification.	November 2020 Update - The Bank Policy is being updated during December 2020/January 2021. The updated policy will consist of a review and update of all the bank and agency forms. January 2021 update - Policy has been completed and is awaiting review by policy sub groups. APRIL 2021: Amendments came back via policy infrastructure, which will be incorporated into the policy draft for approval. This will be taken through the Health Board's policy group by Jun-21. Revised implementation date provided. July 2021 Update - Policy development group has been difficult to complete due to the pandemic and poor attendance at meetings to make them quorate. The policy is still under review in conjunction with the union representation, but has been completed. It needs a final review with the group before being sent to the policy group for ratification. The revised date for policy being live will slip to September. Sept 21 update: Due to inability to get interested parties to agree on the final policy, alongside the cancellation of the last 2 meetings for not being quorate, the policy has not progressed further. The policy is awaiting agreement in partnership to progress to policy group. November 2021 Update - Draft Staff Bank Policy scheduled for Policy Review Group on 18th November 2021
Nurse Agency Usage 02	Apr-20	Reasonable	1. The Bank / Agency Nurse Quality Monitoring Form should be reviewed to ensure it is fit for purpose and provides a suitable means for the routine monitoring of the quality of work provided by agency staff. 2. Ward Managers should be reminded of the need to complete the quality monitoring form and returning it to the Bank office as a means of formally evaluating the performance of agency nurses and aiding and informing any future acceptance or rejection of potential agency nurses in the event of query or concern. 3. The Clinical Incident Reporting for Agency Staff flowchart and the Staff Bank Policy should be reviewed to ensure consistent guidance for managing and monitoring issues relating to the quality of service provided by agency staff. If the flowchart is the Health Boards preferred approach, all Ward Managers should be made aware that in line with the agreed flowchart, incidents are appropriately and consistently recorded on DATIX to allow effective monitoring. 4. Attempts to cross-reference patient experience data and agency usage data should take place with a view to identifying trends. Outcomes should be reported to	High	Revised Clinical Incident Reporting flowchart to be placed into the Staff Bank Policy. Bank / Agency Nurse Quality Monitoring Form will be reviewed to ensure it is fit for purpose and amendments made for updated policy in August 2020. The cross-referencing of patient experience and agency use data is something that we will look into. In the first instance we will need to see if data in relation to patient experience can be obtained from colleagues in the Health Board and we will look to see if meaningful reports can be produced. In the mean-time we will continue to review specific concerns that have been raised via our routine processes.	Director for People	Head of Corporate Nursing	Aug-20	October 2020 February 2021 June 2021 Now September 2021 Now December 2021 Now April 2022		In progress	January 2022 Update - Policy sent to policy group for ratification.	July 2020 Update - The policy will be written in September 2020, which will coincide with the change in recruitment processes for staff bank workers. Roll out and publication of the policy will be completed by end of October 2020. November 2020 Update - The Bank Policy is being updated during December 2020/January 2021. The updated policy will consist of a review and update of all the bank and agency forms. July 2020 Update - Due to outbreak of covid-19 and consequent pressure on staff bank to recruit additional bank workers to support existing and new HB services has meant a delay in starting this policy. January 2021 Update - No further change/update. APRIL 2021: See above for policy amendments. Remaining recommendations delayed due to the pandemic but will be taken forward in the same timeframe as the policy approval. Revised implementation date provided. July 2021 Update - Policy development group has been difficult to complete due to the pandemic and poor attendance at meetings to make them quorate. The policy is still under review in conjunction with the union representation, but has been completed. It needs a final review with the group before being sent to the policy group for ratification. The revised date for policy being live will slip to September. Sept 2021 update: Due to inability to get interested parties to agree on the final policy, alongside the cancellation of the last 2 meetings for not being quorate, the policy has not progressed further. The policy is awaiting agreement in partnership to progress to policy group. November 2021 Update - No further update provided



Ref	Date added	Assurance rating	Recommendation	Priority	Management Action Agreed	Responsible Executive Lead/Management Lead	Responsible Management Lead	Original Agreed Implementation Date	Revised Implementation Date	Status	Progress	Updates during this period/Latest Update	Previous Updates
Head and Neck Compliance 02	Aug-20	Reasonable	Heads of Department within the Head & Neck Directorate should be reminded of the requirement to complete and maintain an inventory of non-capital assets in line with Financial Control Procedure 11, where applicable.	High	Action will be: • The Heads of Service who did not complete the inventories will be contacted individually and required by the Service Group Manager to ensure that they understand the importance of this issue and asked to produce a compliant inventory by the end of September 2020. • Issue will be raised in the CSG Governance meeting and an email sent to all senior staff in the Directorate (from band 7 up) outlining the paramount importance of this issue.	Director of Operations	Service Group Manager	Oct-20	March 2021 May 2021 Now December 2021 Now March 2022	Yellow	Part Completed	February 2022 Update - nothing further to report. All ILGs have reported minimal progress in this area as a consequence of staffing and operational pressures. In M&C, the Unit Manager has been asked for progress and to link with Procurement colleagues to assess if this will make the establishment of a register possible.	January 2021. Implication of covid have meant that this has not been able to receive the appropriate management focus - this will be remedied in the next two months. Following the changes to the structure connected with the RTE ILG, discussion is ongoing with the new Associate Service Group Director to decide an agreed way to take this matter forward. March 2021 - Management actions have been stalled by the demands of covid 19 but remain valid. The Ophthalmology aspect of Head & Neck Service has moved to the Bridgend ILG and will join the ILG's arrangements. May 2021. The Head and Neck Directorate no longer exists, and so consideration will be given by the next meeting to how to explain this to auditors and propose a change in the management actions. For reassurance in the meantime, CSGs now managing these specialities have been contacted and though actions are sometimes slow as a result of covid 19 implications, the services are being subsumed into new arrangements in each ILG. The actions recommended are usually monitored locally by the CSG meeting with the ILG and then at ILG Performance Review Meetings with the COO. Within RTE, staff have been communicated with recently with a requirement to address this recommendation and in Bridgend the matter is being subsumed into existing management arrangements. July 2021 Update - For RTE ILG (ENT) more work needed here - though likely to be small numbers. Remains red. For Bridgend ILG (Ophthalmology), all staff aware that this should be completed. No response from MC ILG. For MC (OMFS), colleagues are aware that this should happen and are in the process of undertaking an inventory of each surgery that they work in. September 2021 Update - work remains ongoing here. Target date remains December 2021. Work remains ongoing here. November 2021 Update - work remains ongoing and the implementation date remains March 2022.
Health & Safety Management 01	Aug-20	Reasonable	1) It should be ensured that training data in relation to PoW and another Bridgend based staff is input into ESR and included in any performance data reported. 2) Where compliance rates are low in particular areas, management should work to understand what the barriers are that stop staff completing the training. In addition, advice should be sought from those areas that are performing well in order for best practice and ideas to be shared. 3) All Executive Directors should undertake training to the level required as part of their role and ESR records should be updated accordingly. 4) Consideration should be given to the Violence and Aggression training report submitted to the Security and Violence Operational Group and the need for additional resources to meet the current training gap.	High	Actions to address each item are listed below. 1. It should be ensured that training data in relation to PoW and another Bridgend based staff is input into ESR and included in any performance data reported. At the time of audit Cwm Taf Morgannwg University Health Board (CTMUHB) was in the process of aligning ESR Competency data between the old Cwm Taf University Health Board and the Bridgend region of Aberdare Bro Morgannwg University Health Board. The work is now completed and all Competencies at Level 1 have now migrated on to the ESR system for staff in the Bridgend region and performance data is reported. 2. Where compliance rates are low in particular areas, management should work to understand what the barriers are that stop staff completing the training. In addition, advice should be sought from those areas that are performing well in order for best practice and ideas to be shared. Statutory and Mandatory Training has previously been monitored via Directorate Clinical/Corporate Business Meetings within the Health Board. This monitoring will continue and form part of the improvement work of the newly established Integrated Locality Groups (ILGs). A group has recently been established under the Director of Nursing to review the current training requirements for all Statutory and Mandatory Training for all Nurses employed within the UHB. This will help identify the main issues that are preventing staff from attending training. 3. All Executive Directors should undertake training to the level required as part of their role and ESR records should be updated accordingly. Level 4 Health and Safety Training is specifically for Board Members and covers Health and Safety responsibilities. Once Board members have attended the initial training, refresher training can be allocated for safety/risk related development sessions. For example, the Board are scheduled a development session on Risk Appetite in July 2020 and this will be included as an update of this competency. 4. Consideration should be given to the Violence and Aggression training report submitted to the Security and Violence Operational Group and the need for additional resources to meet the current training gap. As described in point 2 above, a group has recently been established under the Director of Nursing to review the current training requirements for all Statutory and Mandatory Training for all Nurses employed within the CTMUHB. Findings from this review will be considered and a new Training Needs Analysis will be undertaken on Violence and Aggression Training. Any requirements for additional resources to address this will be escalated to the Board for consideration based upon the findings from the TNA.	Director for People	Head of Health, Safety & Fire	Mar-21		Red	Part Completed	This work is currently on hold due to the current Covid-19 epidemic and a completion time is not currently predictable. July 2021 - This work is currently on hold due to the current Covid-19 epidemic and a completion time is not currently predictable. September 2021 - No further update. November 2021 Update - No further update provided	
Directorate Review Acute Medicine & A&E 13	Aug-20	Reasonable	An inventory of non-capital assets should be developed for each department within the directorate, detailing their assets, which fit under the definition of inventory as detailed within the Financial Control Procedure.	High	It is accepted that this area needs attention and this will need to be prioritised by the CSG general managers during 2020-21 once supporting staffing structures are in place.	Director of Operations	General Manager	Apr-21	01/05/2021 August 2021/April 2022	Yellow	In progress	February 2022 Update - the Directorate at MC has established a link with Procurement colleagues to work on this. In RTE, the pressure of work means that there is no update yet and no further action taken.	RTE ILG January 2021 Update - action has been delayed due to the COVID pandemic and this area will need to be addressed in March 2021 Update - This will be an area for focus in the future - further action will be completed asap. May 2021. A check has been made across the old Cwm Taf Directorates and a review has been taken on this issue. This does remain a key risk - and both MC and RTE recognise that it will take time to be complete. The CSG Manager in MC has recently sent out information to staff and anticipates an earlier resolution than RTE but it is recognised in both areas. September 2021 Update - no change for RTE and MC ILGs at present however this remains on the agenda. September 2021 Update - No change to report, the target date remains April 2022. November 2021 Update - Target date is April 2022 - nothing further to report.
CAMHS Compliance 02	Feb-21	Reasonable	A review of all income budgets should take place to ensure: □ Up to date SLAs are in place with all organisations that services are provided to. The SLAs should be approved in line with annual value limits outlined in the Health Boards Scheme of Delegation. Obsolete income targets are removed.	High	A review of all income budgets will take place to ensure: Up to date SLAs are in place with all organisations that services are provided to. The SLAs should be approved in line with annual value limits outlined in the Health Boards Scheme of Delegation. Obsolete income targets will be removed. This work will be addressed in the monthly finance meetings.	Director of Operations	Clinical Service Group Manager	Apr-21	01/05/2021 August 2021 Now September 2021 Now December 2021	Yellow	In progress	February 2022 Update - no permanent CSG Manager in post. Update will be available for the next meeting.	March 2021 Update - Update will be available in May 2021. May 2021 Update - A review of all income budgets will take place to ensure: Up to date SLAs are in place with all organisations that services are provided to. The SLAs should be approved in line with annual value limits outlined in the Health Boards Scheme of Delegation. Obsolete income targets will be removed. This work will be addressed in the monthly finance meetings. July 2021 Update - This should be complete - a final check will be undertaken. A review of all income budgets will take place to ensure: Up to date SLAs are in place with all organisations that services are provided to. The SLAs should be approved in line with annual value limits outlined in the Health Boards Scheme of Delegation. Obsolete income targets will be removed. This work will be addressed in the monthly finance meetings. September 2021 Update - Line Management training currently being delivered across CAMHS to ensure all staff who line manage others are fully aware of their responsibilities. CAMHS due to receive feedback from the recent re-audit undertaken by NSWWP in month. November 2021 Update - nothing further this month. There has been a change in management arrangements and an update on the work that remains ongoing will be ready for the next meeting.
PCH Redevelopment Governance Audit 03	Apr-21	Reasonable	Appropriate arrangements will be made to ensure that vacancies identified within the resource schedule are filled as a matter of priority (O).	High	Agreed. All of the appointments for additional resources are progressing and the Senior Responsible Officer has confirmed that all are permanent positions (Noting that the appointments are for a 5.5 year construction programme and employment rights become permanent due to this duration). Responsibility for the appointments rests with departmental heads to progress these positions with assistance from the Major Projects Unit.	Director of Finance	Deputy Senior Responsible Officer	Mar-21	01/08/2021 Now November 2021 Now May 2022	Yellow	In progress	February 2022 update - The remaining Estates Officer will be in post by the end of February 2022. The IPC post is currently being re-advertised one more time at Band 7. If there are no suitable applicants, advertising at a Band 6 will be considered to attract a different profile of candidate.	May 2021 Update - One Commissioning Officer in post. 2 Estates posts addressed; Offer made and being processed for Informatics Officer and additional hours granted to part time Officer. 2 Estates post being addressed; applications received with no suitable candidates, being re-advertised. Discussion held with IT about committing resource to project of Contracted member of staff. Discussion held with IPC regarding need to advertise for post. Agreement obtained from NWSSP Audit (E.Jones) that Implementation Date becomes end of July due to new RO in post. October 2021 - Arrangements in place to resource the project requirements. Follow up report received which identified that this recommendation was Partially Implemented. Requirements as specified at the Full Business Case for Phase 2 are currently being reviewed for adequacy. A number of posts have been filled with only two posts remaining - having not been filled following advertisement. November 2021 - Of the two posts that remained to be filled, the Estates Officer post has been awarded and is awaiting confirmation of a start date from the appointee. The IPC post has been advertised twice with no applicants showing interest. The grading of the post is being reviewed.
Clinical Audit 01	Aug-21	Reasonable	1. Management should discuss with the Health Board's Governance Team the process to follow to ensure that risks logged in Datix, relating to clinical audits, can be allocated to clinicians to manage. 2. Management need to ensure that all clinical audit related risks are recorded consistently on the risk register, including audits that are delayed or where there has been issues with collecting the data. A wider review of risks should be undertaken to ensure that other risks, such as the reliance on the AMAT system and the current level of training uptake on the system, have been considered for inclusion on the register. 3. The Clinical Audit and Effectiveness risk register should be a standing agenda item on the Clinical Audit & Effectiveness Group and reviewed at each meeting.	High	1. Meetings schedule to review the risk log arrangements and agree ILG governance arrangements for logging risks linked to clinical audit outcomes. 2. Management review of Clinical Audit Risk Log management and development of standard operating procedure for this process. 3. The revised Clinical Audit and Effectiveness risk register has been added as a standard agenda item for the inaugural Clinical Audit & Effectiveness Group meeting in June 2021 and then as a standing agenda item.	Medical Director	Head of Clinical Audit & Quality Informatics	31 August 2021 for Actions 1 and 2 30 June 2021 for Action 3	Now November 2021 Now December 2021	Green	Completed	January 2022 Update - The SOP was agreed at the December 2021 Clinical Audit and Effectiveness Group. The Clinical Audit Risk Register has also been made a regular agenda item and was discussed in the December 2021 meeting and is reviewed by the Head and Deputy Heads of Clinical Audit on a weekly basis.	September 2021 Update - 1. The Head and Deputy heads of Clinical Audit and Quality Informatics meet weekly to review the Clinical Audit and Effectiveness risk log (Complete) 2. Draft SOP developed. Meeting scheduled with the Assistant Director of Governance & Risk on the 22/09/2021 to finalise the risk log SOP. 3. Risk Register has been added as a standard agenda item for the quarterly Clinical Audit & Effectiveness Group meeting. First meeting November 2021 Following finalisation of the SOP and approval at the Clinical Audit & Effectiveness Group in November 2021 this risk will be categorised as GREEN and complete. November 2021 Update - The Clinical Audit and Effectiveness Group meeting has been delayed until December. The SOP and Risk Register have been agendaed for the December meeting.



Ref	Date added	Assurance rating	Recommendation	Priority	Management Action Agreed	Responsible Executive Lead/Management Lead	Responsible Management Lead	Original Agreed Implementation Date	Revised Implementation Date	Status	Progress	Updates during this period/Latest Update	Previous Updates
Welsh Language Standards Compliance 04	Oct-21	Reasonable	4.1) Management should review and enhance the reporting and monitoring structures which are currently in place and implement a robust system which provides assurance both to senior management but also provides feedback to the departments and ILGS responsible for implementing Standards. In order to implement this management should consider: • Setting up local Welsh Language Standards working groups within the departments and ILGs which are attended by the key leads from those areas and the Welsh Language Manager, thus allowing localised progress to be given on the status of the action plans and relevant support. • These groups could feed into an overall Welsh Language Group, whose membership should consist of relevant staff from Workforce & Organisational Development along with other areas across the Health Board along with representatives from the local working groups and the Welsh Language Manager. Findings and best practice from ward audits should be shared at this group. • Regular updates against the Standards should be provided to Board, via the People and Culture Committee who are responsible for this	High	4.1) The Welsh Language Manager will engage with the ILG SMTs, to determine the feasibility and benefits of establishing local ILG Welsh Language Working Groups and how these would be managed and supported by the Welsh Language Manager. Reporting and monitoring of progress will be strengthened by the requirement for regular compliance reporting, from the nominated Senior ILG leads to the Welsh Language Working Group. The reporting will be further enhanced by having a standard agenda item of "sharing examples of good practice" to assist achievement of compliance in other areas. This information will be provided to the nominated senior ILG lead by the network of ward Welsh Language Champions. The People and Culture Committee when developing its cycle of business for 2022 will incorporate Welsh Language Standards Compliance updates, to be presented and report twice yearly, to provide assurance to the Board.	Director for People	Welsh Language Group Manager/Assistant Director of Workforce/ILG Leads	Oct-21	Now December 2021 Now March 2022		In progress	Update Jan 2022 - (4.1) The first meeting of Health Board's Welsh Language Committee was unable to meet in December 2021, due to COVID-19 Service and staff pressures. The meeting has been rescheduled for 17 March 2022.	November 2021 Update - A new Welsh Language Committee will meet for the first time in December 2021. Senior leadership will be made aware of their responsibilities in this meeting. Action plans will be distributed and returned to the Welsh Language Manager. Highlight reports and good practice will be shared with the Committee. Formal monitoring and reporting will be via the new Welsh Language Committee to the People and Culture Committee. The first report will be submitted by March 2022 which will co-incide with the writing of the Welsh Language Standards Annual Report.
Welsh Language Standards Compliance 02	Oct-21	Reasonable	2.1) Following the recent revision to the Welsh Language Team structure, a revised business case should be developed setting out the anticipated resources required by the team that would support the Health Board to implement the actions set out in the Welsh Language Commissioners compliance notice. The business case should be considered at the relevant level within the Health Board. 2.2) Should the Health Board consider the current level of resource to be appropriate, the Health Board's risk register should reflect that the resources available to its Welsh Language Team could impact on its ability to meet the Standards, and the potential implications of this including the financial penalties that can be imposed.	High	2.1) A business case will be developed by the Welsh Language Manager, setting out the additional resources required within the Welsh Language Team to enable the Health Board to implement the actions set out in the Welsh Language Commissioners compliance notice, in a timely manner. The business case will be incorporated into the IMTP for 2022/2023, which is the process used by the Health Board to consider the justification of funding of new posts. This process will commence in October 2021. 2.2) A new risk will be added to the risk register, to reflect the impact that the current level of staff resources within the team has on the Health Board's ability to meet the Welsh Language Standards, and the potential implications of this, including the financial penalties that can be imposed.	Director for People	Welsh Language Manager/Head of Policy, Compliance and Agenda for Change	Oct-21	Now January 2022		Completed	January 2022 Update - (2.1) A business case to maintain and increase the translation function has been completed and sent to Asst Director for Policy, Governance and Compliance to review and progress as appropriate. (2.2) The WOD Risk Register has been reviewed and an appropriate risk relating to staff resources has been added.	November 2021 Update - Business case written and sent to Asst Director for Policy, Governance and Compliance. The risk of an under resourced team has been included on the Corporate Risk Register.
CAMHS Follow Up Governance & Risk 5.1	Dec-21	Reasonable	A definitive list of all CAMHS policies should be generated and an action plan developed for reviewing and updating them, to ensure consistency across the localities and relevance and alignment to current legislation and expected working practices.	High	A comprehensive single list of policies will be finalised with the Governance team, ensuring there is clarity between existing policies & SOPs by December 2021. The Corporate Governance team will work with CAMHS to assist with the update of policies.	Director of Operations	Lead Nurse	Dec-21			In progress	February 2022 Update - no permanent CSG Manager in post. Update will be available for the next meeting.	
CAMHS Follow Up Governance & Risk 5.2	Dec-21	Reasonable	Once updated, the policies should be made accessible to relevant staff and have dates for future review and individuals / post holders named who are responsible for such reviews.	High	Updated CAMHS policies will be shared with Corporate Policy Group for ratification & then uploaded to CTM intranet with a review date included, as per standard Health Board process.	Director of Operations	Lead Nurse	Apr-22			In progress	February 2022 Update - no permanent CSG Manager in post. Update will be available for the next meeting.	
Data Quality 05	October 2019	Limited	The process for monitoring patients who are awaiting diagnostic investigation results should be reviewed to ensure all Medical Secretaries are utilising a standard approach that is user friendly and does not restrict access, thus allowing visibility to other staff members. UPDATED RECOMMENDATION - A review of the watch list process should be undertaken and following that guidance produced that ensures all Medical Secretaries are using a standard approach that is user friendly and does not restrict access, allowing visibility to other staff members.	Medium	A review of this process and guidance will be carried out, potentially with external support to assist and add pace to the review. Consistent guidance and emphasis on use will then be provided. Management teams will ensure that locally held spreadsheets are not replacing the mandatory addition to the formally report QL. Request internal audit re-assessment of this in next year's audit plan. UPDATED MANAGEMENT RESPONSE - A technical assessment on the potential upgrading of watch list functionality to facilitate performance management of Medical Secretaries will be commissioned.	Director of Operations	Assistant Director of Performance & Information/ Assistant Director ICT	March/April/May 2020	February 2021 March 2021 August 2021 Now October 2021 Now December 2021 Now March 2022		In progress	February 2022 Update - limited discussion with colleagues from ILGs indicates that the main aims of this recommendation are being undertaken, though this assurance has not been possible across the UHB given the other operational issues which continue to be ongoing. A final review will be undertaken by the time of the next meeting.	December 2020 Update - See above response January 2021. Implication of covid have meant that this has not been able to receive the appropriate management focus - this will be remedied in the next two months. May 2021 Update - Nothing further to report this month. July 2021 Update. No change reported. September 2021 Update. Nothing further to add - target date now December 2021. Informal discussion with SGMs suggests strongly that Medical Secretaries are provided with support with training. November 2021 Update - limited discussion with colleagues from ILGs indicates that the main aims of this recommendation are being undertaken, though this assurance has not been possible across the UHB given the other operational issues which continue to be ongoing. A final review will be undertaken by the time of the next meeting.
Medical and Dental Rostering 08	Aug-20	Limited	1) Management should ensure that on granting annual and study leave to staff, that consideration is taken to ensure there is enough Consultants in place to cover all shifts and they are not all granted leave at the same time. 2) The process for requesting and approving annual and study leave should be clearly set out in departmental procedure notes so that all are clear on the expectation of the department.	Medium	A policy has recently been finalised covering study leave entitlements across CTM. This clarifies how much is available and how to record it via the Health Roster system. This policy is awaiting ratification by the LNC. Once all areas are using Health Roster fully, rules can be set on the roster to ensure the correct amount of staff are permitted to be off per day/Week.	Director for People	Head of Workforce Productivity & E-Systems	Nov-20	01/12/2021 Now April 2022		In progress	January 2022 Update - The study leave policy has been agreed with the BMA chair/LNC and now will go through the formal route to ratification.	January 2021 Update - Policy is awaiting sight and approval at the LNC. Dates for the LNC have not been released for this year yet had the last meeting was cancelled due to the pandemic pressures. APRIL 2021: Work delayed during the pandemic, revised implementation dates provided. July 2021 update - The policy has been to LNC. Additional queries where raised that are being worked on by Nerys Conway. This will be taken to the next LNC for view by the committee with a view for sign off. September 2021 Update • A policy has recently been finalised covering study leave entitlements across CTM. This clarifies how much is available and how to apply for it. • This was taken to the LNC for agreement in partnership in August. The LNC staff representatives raised some areas of the policy they would like changed and a separate meeting has now been setup to work the comments into the policy, to allow for the policy to be agreed. November 2021 update - The policy was not ratified at the last LNC. It will now roll over to the next meeting.



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Medical and Dental Rostering 09	Aug-20	Limited	Management should ensure when they are producing the rosters that the SPAs and DCC session align to the agreed job plans.	Medium	If the Medic on Duty and Activity Manager modules are purchased and integrated into the process, this can automate the upload of the Job Plan into HealthRoster. This will demonstrate whether or not there is a reflection of the agreed job plan. However, this does need to be enforced and managed by each of ILG management teams, not by Workforce. ILG management will need to ensure that actual job plans reflect what is shown on the Roster.	Director for People	Head of Workforce Productivity & E-Systems	Dec-20	01/12/2021 Now April 2022		In progress	January 2022 Update - The packages have not been purchased. The work cannot be undertaken until they are. Job planning rates are tied to this objective, which are below par at current. Job planning rates need to improve for this action to be viable.	January 2021 Update - This work will not take place until the pandemic is over, due to the current main focus within both the Departments and eRostering being maintenance of current service. APRIL 2021: Work delayed during the pandemic, revised implementation dates provided. July 2021 update - Medic on Duty and Activity manager have not been purchased as yet. Talks are still underway with IT who finance the products to allow for the purchase. September 2021 Update - This required the roll out and implementation of MOD and AM. This work will not be complete until at least April 2022, so the alignment work will be tied to that. • These applications automate the upload of the job plan. This will ensure exact reflection of the agreed job plan. • Local management will play a vital role in this, ensuring that job plans reflect what is shown on the Health Roster as the activity. Additionally for best results, the job plan should meet the identified need AM will provide to the clinical areas to build job plans around. November 2021 update - No further update.	
Head & Neck Management Arrangements 09	Aug-20	Limited	The Directorate should ensure that all staff record their mandatory training in ESR and all staff are provided with the opportunity to undertake their mandatory training. Monitoring at a departmental level should take place to identify any problem areas and to establish reasons for non-compliance with a view to providing support where necessary.	Medium	This has been raised with the Heads of Service. The new management arrangements for RTE ILG are in the process of being resolved and in line with the new workforce performance management ILG structure, the detailed improvements will be made. Further, this issue will be highlighted to the Bridgend ILG when it takes over management responsibility for this service.	Director of Operations	Service Group Manager	Oct-20	March 2021 April 2021 August 2021 Now December 2021 Now March 2022		Part Completed	February 2022 Update - the ESR training has started and structures have now been correctly aligned to reflect the structure.	January 2021. Implication of covid have meant that this has not been able to receive the appropriate management focus - this will be remedied in the next two months. An update will be provided in March 2021. March 2021 Update - Covid 19 has hampered progress in this area. Limited action can be proved to have taken place. An update on progress will be available by the end of April 2021 -this recommendation open and progress will be monitored. May 2021. The Head & Neck Directorate no longer exists and a proposal around how this is handled will be made to Auditors. In the meantime, a check has been made on the arrangements where these services are now held. These issues are monitored via internal ILG processes and then via the Performance Review with the COO. July 2021 Update - In RTE ILG (for ENT), all staff are aware that this is mandatory and so the action is complete. In BILG (for Ophthalmology), ESR is not used and so training is underway, so not yet complete. For MC ILG, this is complete and happening across all areas of the Clinical Service Group. September 2021. Work remains ongoing - date is still December 2021. November 2021 Update - for BILG, ESR training hasn't been rolled out across the whole service yet. With the new management team in place it is anticipated that there will be progress in this area into quarter 4 of 2021 - 2022.	
Head & Neck Management Arrangements 10	Aug-20	Limited	1 Consultant job plans should be reviewed and agreed on an annual basis, with planning discussions commencing in enough time to get the plan signed off ahead of the job plan start period. 2 Where issues are raised in relation to the job plans created, prompt discussions should take place between the individual, the Directorate Manager and Clinical Director to resolve any problems in a timely manner and ensure plans get signed off.	Medium	The management team agree with this recommendation, and the lack of compliance has been as a result of COVID restrictions. The Clinical Director and the Service General Manager will work to complete this work by the end of September 2020.	Director of Operations	Clinical Director/ Service General Manager	Sep-20	01/03/2021 August 2021 Now October 2021 Now March 2022		Part Completed	February 2022 Update - Bridgend ILG. Job plans in Ophthalmology have been held up by a disputed job plan in December that was escalated to the Medical Director, this has now been completed and the remaining consultants and SAS medics will be completed in February 2022. In MC, job planning is still on target to be complete by March 2022 with three undertaken this month and a further four planned for the coming month.	January 2021 Update The CSG Manager and Director are undertaking job planning across their areas. Issues are discussed and agreed as part of CSG normal business - the status has been changed to yellow to reflect this. January 2021. Implication of covid have meant that this has not been able to receive the appropriate management focus - this will be remedied in the next two months. An update will be provided in March 2021. March 2021 Update - As a result of the lack of a Deputy SGM (since at least October 2019) this work has not progressed as fast as would have been liked. The SGM has instigated a process to speed up the process of carrying out job planning, any urgent matters are managed by the SGM and the Clinical Director. May 2021. The Head & Neck Directorate no longer exists and a proposal around how this is handled will be made to Auditors. In the meantime, a check has been made on the arrangements where these services are now held. These issues are monitored via internal ILG processes and then via the Performance Review with the COO. July 2021 Update - In RTE ILG, the aim is to complete plans annually and there has been an improvement with a plan in place. For action 2 this does take place. In BILG, job planning is underway and should be completed by September 2021, so this is almost complete. In MC ILG, this is complete pre-COVID-19. Unfortunately as a consequence of the response, Job plans are still fluid and in a state of flux. However, Job plans for all specialties of the Clinical Service Group are being planned for September 2021. September 2021. Work remains ongoing - date is still October 2021. November 2021 Update - within OMFS in MC ILG, a new CSG manager and CD have started in post and continue to work through and updating all Job Plan. This is currently slow to progress due to operational demands and reduced CSG support. November 2021 Update continued - within Ophthalmology, the CSGM, CD and Assistant CD took post in Mid-September. Job planning starts on 19th November with CD and all consultants have a date booked for job planning, aim is to complete the consultant body on 10th December 2021.	
IT Service Management 05	Apr-21	Limited	The formal closure process should be defined that sets out that: <input type="checkbox"/> All calls should be closed when finished; and <input type="checkbox"/> the extent to which user approval should be sought to close different types of calls.	Medium	Please refer to Finding 3 together with the document created for 'Managing Service Point calls' which guides and supports staff on the basis on managing calls and stipulates the actions for closing calls which will provide consistency within the department moving forward (COMPLETED). ICT staff training will be provided in house by one of the Desktop Team leaders on a MS TEAMS conference session to run through the management of calls. Dates will need to be defined around the training before end of March 2021. This finding will be reinforced in ICT staff training. The auditor has been sent documentation which has been recently created to meet the recommendations and findings made for this objective. This will be incorporated into the starter pack for distribution.	Director of Digital	Head of Service Management	Mar-21	01/10/2021 Now June 2022		Part Completed	January 2022 Update - ICT staff training has been and continues to be undertaken. The initial documentation produced will be further strengthened by the new Head of Service Management who starts post in April 2022.	May 2021 - No further update provided. Documentation has been distributed to the service desk. Desktop team leaders have taken responsibility of training new members of ICT on the use of the ITSM system. September 2021 - No further update. November 2021 - No further update provided	
IT Service Management 07	Apr-21	Limited	Service management should consider defining a standard mechanism and process for operational knowledge management.	Medium	An initial piece of work is required to collate the various pertinent documents and standardise the format. CTM have already identified the requirement to begin the migration from isolated on-premises data repositories into a centralised, governed environment that will allow the HB to move away from traditionally costly on-premises storage solutions organisation. This programme covers three principles requirements for CTM: • Creation of a new Corporate File Plan for SharePoint Storage • Design and deployment of CTM branded Intranet site templates • Migration of shared folder data into SharePoint The creation of the ICT knowledge repository will be based upon the principles above and the creation of the cloud based SharePoint	Director of Digital	Head of Service Management	Jul-21	01/09/2021 Now March 2023		In progress	January 2022 Update - The migration of POW users is close to completion. This step has been required to support the disaggregation work.	May 2021 Update - The move to O365 file share is underway with ICT and the Exec teams as the pilot areas. July 2021 Update - EUC have been designing training content and material and the idea was to bolt knowledge management to the new ICT site. September 2021 - No further update. November 2021 - No further update provided	
IT Service Management 08	Apr-21	Limited	The basis for the compliance figures should be established, and if necessary, amended to fully reflect the situation within the Health Board. As part of the reporting process, areas for improvement should be identified and improvement plans developed.	Medium	The current ITSM solution is managed and developed by NWIS. The HB will need to work with NWIS to be able to understand the discrepancies identified in the audit. Improvements will need to be identified and escalated to the National Service Management board for discussion.	Director of Digital	Head of Service Management	Sep-21			Completed	January 2022 Update - Compliance figures are taken directly from the helpdesk management system and displayed on a service management dashboard	May 2021 - No further update provided. No further update. September 2021 - No further update. November 2021 - No further update provided	
IT Service Management 09	Apr-21	Limited	The Health Board should define their own impact and service levels for use within their Service Management framework.	Medium	The Health Board follow the NWIS Support Standards and all local Systems and services are governed by these service arrangements. The auditor has received the service catalogue for the ICT department which provides all Systems that are covered and documented. The service catalogue will be reviewed with regards to amending to any local system service delivery.	Director of Digital	Head of Service Management	Apr-21	01/07/2021 Now November 2021. Now April 2022		In progress	January 2022 Update - Legacy KPI's for service support exist but these need reviewing - work is planned for Quarter 1 2022/23 but has not yet commenced.	May 2021 Update - Needs reviewing in line with ITSM10. Service Catalogue is being looked at by Paul Thomas who has only recently starting this process, an import from the existing excel spreadsheet has been conducted. This is work in progress. September 2021 - No further update. November 2021 - No further update provided	
IT Service Management 10	Apr-21	Limited	The service levels provided should be issued and agreed with each user department. As part of this process an agreement setting out the responsibilities and expectations should be defined.	Medium	As part of the IMTP ICT will need to undertake discussions with the ILG and department leads to ensure the service level definitions in the ICT service catalogue are acceptable with regards to supporting the departments.	Director of Digital	Head of Service Management	May-21	01/07/2021 Now October 2021 Now April 2022		In progress	January 2022 Update - Service levels will be reviewed when we review the overall KPI's - but will be done in the context of user need and financial environment.	May 2021 Update - This will be undertaken as part of the IMTP engagement. This remains ongoing. September 2021 - No further update. November 2021 - No further update provided	
Single Cancer Pathway Data Quality Integrity 04	Oct-21	Limited	1. A corporate policy in relation to data quality should be developed that sets out the Health Board's strategic direction and its commitment to have robust data quality processes in place. 2. All draft Standard Operating Procedures in relation to the recording and validation of SCP data should be appropriately approved and implemented as soon as practically possible.	Medium	1. The UHB's Medical records and Information Governance policies both incorporate Data Quality requirements and describe where accountabilities rest. A plan for improving data quality which is born digitally is required. The Cancer Business Unit will bring forward a proposal for the development of digitising the clinical data (a range of options are available) in Q3 2021/22. This will enable clinicians to see direct benefit from the data and to thus place more value on its integrity and value. 2. Some procedures have been introduced - upgrade / downgrade 1st June, breach reporting procedure. An upgrade / downgrade standard operating procedure has been developed and approved which ensures that all patients with a suspected cancer, irrespective of route are captured at point of suspicion. Implementation of the upgrade / downgrade SOP to be established taking into consideration local processes and variation. A standard operating procedure has been devised in relation to the breach reporting process. This is currently awaiting approval but has been implemented throughout staff within the Cancer Business Unit. Development of a cancer operating framework which includes both local and corporate escalation processes has been developed. This is awaiting approval. Once the Cancer Operating Framework is approved, implementation throughout the Health Board is overseen by COO.	Director of Operations	Various	Various	Mar-22			Completed	February 2022 Update - Weekly and Monthly validation, SOP developed, approved and implemented. This action is complete.	November 2021 Update - an Upgrade / Downgrade SOP is functional. Ongoing challenges with implementation. ILG cancer leads working with clinical colleagues and ILG Directors of Operations with Service Groups re compliance with the SOP. A breach and harm review form has been developed, approved and is now operational. Escalation process approved and is embedded into the cancer operating framework SOP. Electronic patient record group is presently examining how workflow processes can be managed digitally and safely with DHCW.



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CAMHS Follow Up Workforce 1.3	Dec-21	Limited	Once all job plans have been brought up to date, the Clinical Service Group should be able to assure itself that the sessions agreed on the job plan are what are actually worked by the consultants.	Medium	The annual job plan review will provide assurance, ensuring sessions agreed reflect the work undertaken.	Director of Operations	Clinical Director	Dec-21		In progress	February 2022 Update - no permanent CSG Manager in post. Update will be available for the next meeting.		
CAMHS Follow Up Workforce 2.3	Dec-21	Limited	We acknowledge that the Line Management Training package is a way of addressing many of the recommendations from our original audit, however we feel that it needs to be reviewed further by the Senior Management team before it is implemented to ensure it is comprehensive and contains all relevant information such as performance targets and links to Health Board and localised policies.	Medium	The Line Management training package will be reviewed to ensure that it: <ul style="list-style-type: none"> Reflects the Health Board's Managing Sickness Toolkit Reflects TOIL policy & documentation Links to Health Board wide and CAMHS specific policies Refers to performance management & targets Reference the Welsh Government target of 85% and the expectation that staff are also responsible in managing their own compliance rates. Reflects annual leave expectations & carry over arrangements 	Director of Operations	Lead Nurse	Nov-21		In progress	February 2022 Update - no permanent CSG Manager in post. Update will be available for the next meeting.		
CAMHS Follow Up Workforce 4.1	Dec-21	Limited	The Clinical Service Group should ensure that staff are reminded that undertaking level one training in the core skills modules is in line with Welsh Government expectations, and that all staff are provided with the opportunity to undertake their mandatory training.	Medium	The responsibility for monitoring and addressing mandatory training rates will continue to be addressed through the LMT meetings, with any issues with compliance between staff or professional groups addressed via the lead manager (Administrative, Therapies, Nursing or Medical). In the interim period while the CSGM post is vacant the Director of Operations will oversee improvement.	Director of Operations	Directorate Manager	Dec-21		In progress	February 2022 Update - no permanent CSG Manager in post. Update will be available for the next meeting.		
CAMHS Follow Up Workforce 4.2	Dec-21	Limited	Monitoring at a locality level should take place to identify any problem areas and to establish reasons for non-compliance with a view to providing support where necessary.	Medium	LMT meeting agendas will reflect mandatory training & PDR requirements. The minutes from each meeting will be shared with SMT to provide assurance and check consistency between areas. The examples of good practice within CTM CAMHS are noted and will be shared between teams. In the interim period while the CSGM post is vacant the Director of Operations will oversee improvement.	Director of Operations	Directorate Manager	Dec-21		In progress	February 2022 Update - no permanent CSG Manager in post. Update will be available for the next meeting.		
Bridgend Transfer of IT 02	Dec-21	Limited	The Organisational risk register should be updated to fully identify the risks and issues associated with not moving digital services.	Medium	Agree - will be incorporate in the process described above	Director of Digital	No Target Date identified			Completed	January 2022 Update - The risks of Bridgend disaggregation have been discussed at Board and are being actively managed.		
Bridgend Transfer of IT 03	Dec-21	Limited	An assessment of the IG resource level in place and the increased workload should be undertaken and the IG team resourced appropriately.	Medium	Decisions taken at the time of the transfer on utilisation of associated funding did not result in increased resources in the IG Team. A benchmarking exercise has been undertaken to assess the level of resources in CTM compared to other similar sized Health Boards and a business case written to seek additional resource. This will be revisited in light of this audit report to address the risk identified." The risk is on the risk register and other opportunities to improve our capacity and capabilities are being taken	Director of Digital	Director of Governance/DPO/SIRO	January 2022/November 2021			January 2022 Update - ICO audit in January 2022 further identified insufficient resource was increasing the likelihood of non compliance with data protection legislation. This follows IA audit of Bridgend IT transfer that made recommendations the IG team needed to be strengthened, with funding coming from the resource that was made available when CTM took on the IG function. A business case to secure the funding has been endorsed by IG group and will be considered as part of the IMTP process. In addition the risk associated with the present levels of IG resource have been included on the organisational risk register.		
IT Systems 01	Feb-19	Reasonable	The organisation should develop an overarching BCP / DR process. This should consider all the systems and use a business impact analysis to prioritise the systems for recovery. The business (Directorates / Departments) should be involved in the process and should be consulted in order to define appropriate RTO / RPOs.	Medium	The organisation will look to develop an overall BCP/DR plan for ICT services. This would require senior management within ICT and the Civil Contingencies Manager to drive this with the co-operation of the various stakeholders within the Health Board. This should be overseen by the Digital Strategy Group. July 2019 Update: Quotes for two suppliers were solicited and the lower cost supplier has recently been retained to assist with this activity. A detailed plan will be forthcoming once the supplier is on site. We currently estimate to complete this action in October.	Director of Digital	Assistant Director of ICT	Apr-19	March 2020 December 2020 July 2021 Now December 2021	In progress	January 2022 Update - More documents have been completed and we are now over 50% complete for systems and infrastructure	October 2019 Update - Senior management are in discussions around BCP/DR plans relating to infrastructure and ICT service affecting systems. Incident process flow diagrams are being drafted to provide visibility on the work flow when an incident occurs. This will be reviewed and completed in readiness for DHSSG. June 2020 Update - No Further Progress - Revised completion date of December 2020. August 2020 Update: Disaster Recovery plans have been created for infrastructure services such as DHCP services, on site mail exchange services and file storage. Initial work has commenced between ICT governance and the Head of Systems to address clinical systems planning. A template has been produced and is to be agreed for all DR plans. The new Cito system has produced a comprehensive DR and BC plans. November 2020 Update - No further progress made since the August update. Progress made in terms of getting individual system recovery plans produced, DHCP, Hyper-V, CITO, all underway or complete. No Overarching plan as yet, and BIA to be defined in readiness for NISD giving us which order the applications would need to be recovered in March 2021 - Ongoing. Documents for File services, Kaspersky and Solarwinds now also complete with overarching document started. Regular meetings booked for various technology applications. May 2021 - the member of the Cyber Security team responsible for this work has not been available for over a month which has lead to no progress being made. The member of staff is set to return in the second week of May 2021. July 2021 Update - Work has recommenced since return. Solarwinds document ready for review, Pathology at PCH has also been started. In addition a service catalogue template has been developed using SharePoint online which will provide the Health Board one place where ICT systems and software details can be found. This will also assist in providing information required by NHS Wales Cyber Security Unit (CRU) as part of the NIS Regulations. September 2021 - A number of documents are complete, overarching to pull them together will be done once a full list is complete. November 2021 - No further update provided	



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IT Systems 02	Feb-19	Reasonable	As part of the review process for DR plans, the identified weaknesses should be addressed, with up to date configurations included, along with all relevant contact names and numbers. The plans should also consider the RTO / RPO needed by the user departments and instructions should be complete. Hard copies of the plans should be stored so they are accessible in the event of network loss.	Medium	Management Response: ICT will address the identified weaknesses including contact details and the availability of hardcopy. In addition, ICT will consult with the department regarding their RTO / RPO requirements which will be factored into the updated DR plans.	Director of Digital	Assistant Director of ICT	Apr-19	January 2020 December 2020 December 2021 Now March 2023	In progress	January 2022 Update - As per the above, documentation and rectification is continuing as resources allow	July 2019 Update: This will be part of the review process in Finding 1. update - Senior management are reviewing contact names and numbers so they are located on hard copy and digital copy in the event of a major incident. Departments are being communicated with Civil Contingency in terms of user based advice and training in the event of their own DR plans in accordance to ICT service delivery. June 2020 Update - No further progress - revised completion date of December 2020. August 2020 Update - work is progressing as per response for IT01. November 2020 Update - No further progress made since the August update. January 2021 - Weaknesses are being noted and also addressed as we find them during this process. As an example, we've recently found DHCP service didn't have certain IP Ranges available in High Availability, so changes have been raised to rectify. Instead of Hard Copies, our plan is to host on Secure Data Vault which we would use in event of DR. March 2021 - Further issues found during production of solarwinds DR document. A number of devices missing from Solarwinds, now added and monitoring enabled for them. SPOF also identified. May 2021 - Although the member of the Cyber Security team has not been available (as stated in IT01), progress has been made on infrastructure systems. A meeting has taken place with Systems Managers responsible for the Pathology system and progress is being made in this area. July 2021 Update - Work has recommenced since return. Solarwinds document ready for review, Pathology at PCH has also been started. In addition a service catalogue template has been developed using SharePoint online which will provide the Health Board one place where ICT systems and software details can be found. This will also assist in providing information required by NHS Wales Cyber Security Unit (CRU) as part of the NIS Regulations. September 2021 - As per previous updates, any issues identified during the creation of the documents are rectified or a plan put in place to do so. November 2021 - No further update provided	
IT Systems 03	Feb-19	Reasonable	As part of the process for reviewing IT DR plans, contact should be made with departments to ask them to establish their required RTO (the time for which they could acceptably work without the IT service being considered). This process should then push departments into developing their own plans for service provision without IT. The plans should consider varying scenarios covering lengths of outage. e.g. 1hr, 4hr, 1day etc. and also the different aspects of IT e.g. network loss, system loss etc.	Medium	Management Response: The Civil Contingencies Manager to review the BC plans within each Department and put mitigations in place as required, addressing the varying scenarios as recommended.	Director of Digital	Assistant Director of ICT	Apr-19	April 2020 December 2021	In progress	February 2022 Update - The Director of Digital will review all outstanding audit actions to validate the progress made and that the management response is still fit for purpose given the length of elapsed time that has taken place. Any proposed changes to the management response will be discussed in a meeting with the Internal Audit Lead on the 15th March and be brought back to the Audit & Risk Committee thereafter for approval.	July 2019 Update: ICT, NWIS and the Civil Contingencies Manager ran a half day major incident scenario on 24 June. NWIS are going to provide feedback on the our response which we will use to update the DR plans. Engagement with departments will start in September. Note that the recent loss of a national datacentre has also tested our resilience and the learning from this event will be included in the revised DR plans. October 2019 update - Civil Contingencies Manager has advised that he has asked all Directorates to produce their ICT recovery plans with some Directorates asking for further advice. No completed plans have been received to date. ICT are working with Civil Contingency on meeting with departments to undertake an exercise around their DR plans and to raise awareness on what services ICT deliver in the event of a disaster. June 2020 Update - Due to the current COVID-19 outbreak focus has been placed elsewhere. Within the Datacentres ICT have now had implemented a resilient third room based at PCH to provide resilience for major systems. This is at the PCH Switchroom which although is on the ground floor at PCH it is in a different fire zone to the main datacentre at PCH. Revised completion date of December 2020. August 2020 Update - Work is progressing as described in IT01. November 2020 Update - No further progress made since the August 2020 update. January 2021 - This is being included in each systems DR plan, and will be collated once we have a list list. March 2021 - no further update. May 2021 - no progress has been carried out on this recommendation. July 2021 Update - no update. RTO will be established with the departments and can then be tested against once documents are complete. September 2021 - No further update. November 2021 - No further update provided	
Patient Experience 03	Apr-19	Reasonable	A more detailed action plan should be developed to support the achievement of the actions outlined under each of the six ambitions. This should include responsible officers and timescales for completion. This will allow easier monitoring of the actions over the life of the Patient Experience Plan.	Medium	The patient experience plan is being revised and will include a detailed implementation plan displaying timescales and leads.	Director of Nursing	Assistant Director of Nursing & Peoples Experience	Jun-19	September 2020 March 2021 September 2021 Now December 2021	In progress	Jan 2022 update Patient Experience Plan - Jan 2022. Review of Patient Experience Plan underway in light of changes/addition to the Patient Experience portfolio to ensure this aligns with the HB's four strategic goals to ensure that the voice of the communities we support are heard and able to help us as an organisation build upon the services we provide. Patient feedback system (Civica) update Jan 2022 - Problems seen in automating Civica to CTM patients via SMS due to IT resource issues. Currently can only provide links and QR codes to surveys, until more resources are allocated from IT. Business Case is being completed to request additional resource for this. 2x kick start admin support officers to start Feb 2022 to help support the team and gather additional data collection from patients that are not digitally enabled and support in reporting and setting up/ maintenance of surveys within the system. Have successfully implemented 7x surveys for maternity, Have your say & patient experience survey across CTM/UB, 1x Heart Failure survey and 2x paediatrics surveys. Currently in the process of implementing surveys for therapies, pathology and frailty nurse services within Feb. Actively scoping out surveys within: Cancer services, community resource team, critical care HDU/ITU, audiology, mental health, primary care, facilities, gynaecology, community dental services, endoscopy, wellness hub and haematology. Delays have also been seen due to COVID-19	July 2020 Update - see above. Update - Due to the changes in structure and the governance teams now being embedded here, a new Patient Experience Plan will need to be pulled together in the new year. January 2021 Update - The Patient Experience Plan will be reviewed in March 21 and if required, updated March 2021 Update - The HB is scoping a joint People's Experience and communication Strategy. This will be joint piece of work with the Head of People's Experience, Director of Corporate Governance, and Assistant Director of Communications and Engagement. May 2021 Update Due to the changes in ILG structures and the governance teams together with the transition of PTR over to Corporate Governance during the summer of 2021. The Patient Experience Plan will be reviewed once this transition has occurred and in conjunction with Engagement and communication leads to create a People's Engagement Strategy. July 2021 Update - The Patient Experience Plan will be updated in accordance with the Health Board Strategy/Ambition once produced. This will include a joint People's Experience and engagement Strategy. This will be joint piece of work with the Head of People's Experience, Director of Corporate Governance, and Assistant Director of Communications and Engagement. A project manager has been appointed for the implementation of CIVICA and they commence in post end July 2021. September 2021 Update - CIVICA PM appointed and produced timeline for roll out within CTM. 'Have your Say' generic people's feedback being placed as a link on the CTM/UB intranet page. Plan for Draft People's Engagement document by December 2021. November 2021 - No further update provided	
Mobile Phones 01	May-19	Reasonable	The Health Board should introduce a formal policy and procedure that outlines the organisational approach to, and management of, Health Board provided mobile phones.	Medium	Management Response: The Health Board accepts that a policy is needed. ICT will produce the policy, with reference to, and superceding, existing controls and procedures that are in place. July 2019 Update: The draft policy has been produced and will be reviewed and approved at the July DSSG meeting. From there it will be sent to executive catch up for approval.	Director of Digital	Assistant Director of ICT	Jun-19	July 2019 April 2021 August 2021 Now November 2021	Completed	January 2022 Update - Contract for centralised provision of mobile phones has been signed off in January 2022, formalising arrangements.	August 2019: Policy was approved at DSSG. From there it will be sent to executive catch up for approval. - still pending - Sept 2019 June 2020 Update - No updates received, however, will be reviewed again in line with the new mobile phone contract that is being prepared for tender. July 2020 Mobile signal survey undertaken in collaboration with looking at the suppliers and how we improve the mobile contract to provide a better service. August 2020 Update - Coverage review underway, and first draft of mobile phone contract released. November 2020 - ICT ITT Specification completed and passed to procurement. Review of survey completed with Vodafone who have agreed to implement changes to try and improve levels of service. Aiming for completion and migration to tender winner before April 2021. January 2021 - Tender document final changes being made from comments received on last draft. Due to be released within the next two weeks. March 2021 - Tender document completed and with Procurement. May 2021 - The tender document has been released and is aiming for a go live date of 1st Aug 2021. July 2021 Update - Tender document still out to potential bidders. September 2021 - Survey completed awaiting submissions to the tender, hoping to award in Oct 2021. November 2021 - No further update provided	
Directorate Review Radiology Management Arrangements 02	Jul-19	Reasonable	All Radiology specific policies and procedures should be documented in a central record and assigned an 'owner' responsible for ensuring their assigned policies and procedures are maintained up to date. All directorate specific policies and procedures should be made available to all directorate staff via SharePoint.	Medium	Currently moving forward with a new SharePoint site for Radiology - linking with Karl Carpenter (Digital Services Manager) and maintenance of this will be part of the remit of a Superintendent Radiographer post currently being advertised within the Health Board.	Director of Operations	Directorate Manager	Dec-19	October 2020 March 2021 June 2021 August 2021 Now December 2021	In progress	February 2022 Update - as a consequence of staff sickness there will be no update this quarter - it will be available for the next meeting.	March 2020 Update - Test site created by E-Business team. Awaiting further direction from Directorate. July 2020 Update - Work continues led by Dr Ally Yates, Consultant Radiologist to review all policies and procedures. Radiology has its own 'policy for making policies' based on the Health Board version. As policies are being renewed they are being put in to the new format and agreed although formal governance meetings in Radiology have drifted during Covid. With regard to the Sharepoint site a quick dummy site with some new features was developed but no further progress has been made. January 2021. Implication of covid have meant that this has not been able to receive the appropriate management focus - this will be remedied in the next two months. An update will be provided in March 2021. March 2021 Update - A test site was set up in March 2020 and the process of reviewing all policies started in June 2020 led by Dr Ally Yates. The appointment of the Head of Radiography post will take place imminently and this will aid implementation. A plan outlining expected completion dates will be worked on by the meeting in June 2021. Covid-19 has meant that this process has lost momentum. May 2021 Update - A test site was set up in March 2020 and the process of reviewing all policies started in June 2020 led by Dr Ally Yates. The appointment of the Head of Radiography post will take place imminently and this will aid implementation - this post is going out for advertisement in July 21. A plan outlining expected completion dates will be worked on by the meeting in June 2021. Covid-19 has meant that this process has lost momentum. July 2021 Update - Process underway to update and amalgamate all policies from two distinctive ones to a whole HB approach, with the potential for some local discretion. Regarding updated policies, yes all updated policies will be available on Sharepoint. In addition POW have developed an app for use by SpRs with all policies and help available on their mobile phones. Pilot in POW due to start with August new intake and expect to roll out for next rotation. September 2021 Update. Nothing further to add - target date remains December 2021. November 2021 Update - as a consequence of staff sickness there will be no update this quarter - it will be available for the next meeting.	



Ref	Date added	Assurance rating	Recommendation	Priority	Management Action Agreed	Responsible Executive Lead/Management Lead	Responsible Management Lead	Original Agreed Implementation Date	Revised Implementation Date	Status	Progress	Updates during this period/Latest Update	Previous Updates
Medical Equipment and Devices Follow Up 03	Feb-20	Reasonable	While we understand that currently, the department does not have the resources to undertake a reconciliation of equipment that has been loaned to wards, consideration should be given to undertaking periodic checks between the equipment available in the library and the equipment recorded as being on loan on the system.	Medium	1. Band 2 Equipment library Job Description is now matched – to be uploaded and advertised on TRAC to appoint staff. This will then enable periodic checks between the equipment available in the library and the equipment recorded as being on loan on the system to be undertaken. 2. Continued use of partial RF-ID system to be utilised with confirmation that data connection to RAM 5000 can be completed. 3. SON to be submitted to Capital for increased RF-ID system coverage for RGH (£244.8K), early indication from Capital is that a more detailed business case will be required as roll out to other sites is also required.	Director of Operations	Assistant Director of Facilities	Apr-20	September 2020 April 2021 July 2021 Now March 2022		Part Completed	3. January 2022 Update - JD for vacancy in draft and currently on-going. RF-ID Cylinder tracking pilot at both RGH and POW set to commence 24/01/2022 following tag design approval and system/software set-up and user training on 20 and 21/01/2022 (WG 21/01/2022).	1. April 2020 Update - B2 equipment library post - advertised - undergoing shortlisting. Target Date amended to reflect current circumstances regarding Covid-19 (DW 02/04/2020). 2. April 2020 Update - RF-ID - limited area in use - no further work done - however attempting to obtain further funding through technology funds from Welsh government in meanwhile. Target Date amended to reflect current circumstances regarding Covid-19 (DW 02/04/2020). 3. April 2020 Update - RF-ID - limited area in use - no further work done - however attempting to obtain further funding through technology funds from Welsh government in meanwhile. Target Date amended to reflect current circumstances regarding Covid-19 (DW 02/04/2020). 1. July 2020 Update - Interviews held. Recruitment checks in progress for successful candidate (WG 02/06/2020). Start date confirmed as 20/07/2020 (WG 16/07/2020). 3. July 2020 Update - Business case to be developed for submitting to Capital/Finance to support phased approach to implementation on each site, with request from Finance to be revenue neutral. (WG 09/06/2020). 3rd draft of business case paper to be finalised with various options and costs for funding (WG 16/07/2020). 3. September 2020 Update - SON submitted to Capital and DOF on 30/07/2020, awaiting prioritisation and decision on funding. WG advised that target date has been amended to reflect this update, date amended to 31/03/2021 (DW 28/08/2020). 2. July 2020 Update - Identified costs in MTP, some work performed by supplier for COVID equipment tracking for mapping sites. Equipment that is tagged will now update 'Last known location' field on RAM each night in background process if within areas with antennae or by using hand held device. Complete (WG 09/06/2020). 1. Role now in place. Complete (WG 28/08/2020) January 2021 Update - Additional hand-held devices have now been ordered and delivered. Further work is in progress by the supplier to implement the site mapping for the devices to be functional on PCH and POW sites. Further purchase orders are to be submitted for additional works and installation, presentation to be provided at next CMAG and ECMG in February 2021 for planning of future phase rollout. Total cost is £654K (WG 25/01/2021). March 2021 Update - 1 & 2. July 2020 Update - B4 Medical Device training co-ordinator in post, now advised of all new medical equipment installations, and overseeing user training prior to issue. Complete (PJ 17/07/2020). 3. January 2021 Update - New B6 medical device trainer now in post, with all new equipment purchases being referred to Rob Matthews prior to installation. Complete (PJ 06/11/2020). 1. April 2020 Update - Capital bid SON process finalised now following CTM transition and being used with all POWH Capital bid SONs now being added to the correct database for the 2020/21 capital year bids and will be used moving forward. Complete (DW 02/04/2020). 2. April 2020 Update - Capital bid SON process finalised now following CTM transition and being used with all POWH Capital bid SONs now being added to the correct database for the 2020/21 capital year bids and will be used moving forward. Complete (DW 02/04/2020). 3. May 2021 Update - For phase 1 equipment has arrived but further work is needed for implementation such as addressing wi-fi connectivity issues at POW, addressing new ICT issues with scanning large amounts of equipment in one area via handhelds, mapping locations into the system at PCH, and final installation of oxygen cylinder tracking and bed store equipment at RGH. This work is scheduled to begin in May / June 2021. Due to this the target date has been moved to 31/07/2021. It should be noted that now in place is that any new equipment is now being tagged as part of the RF-ID system and this will continue moving forward. (PJ WG 12/05/2021). 3. July 2021 Update - Wi-fi connectivity issues at POW are now resolved. ICT issues with scanning via handhelds has been resolved. Mapping locations is no longer viable under current circumstances with ward moves etc. Department lists will be used instead on Version 2 of software. Fixed reader points have been installed at RGH for extended coverage for oxygen cylinder tracking and bed store equipment. Supplier awaiting approval for remote access (to update and set system up to Version 2 of software and database) from ICT. Access issues for the tracking system on Citrix at POW need to be resolved with ICT. Quote received to apply fixed reader points to fully cover RGH site as next phase and will now be submitted to Capital for funding. Lead member from Clinical Engineering has now left the organisation, which has made planning and implementing the above works difficult. Based on the above updates, the target date has been moved to 31/03/2022. (WG DW 20/07/2021). 3. September 2021 Update - Supplier still awaiting approval for remote access (to update and set system up to Version 2 of software and database) from ICT. Access issues for the tracking system on Citrix at POW still being resolved with ICT. Quote received to apply fixed reader points to fully cover RGH site as next phase and submitted to Capital for funding, awaiting decision. (DW WG 20/09/2021). 3. November 2021 Update - CITRIX issue resolved at POW. Remote access issue resolved for supplier to install V2 software for BOC cylinder project. Other ICT anti-virus problem now affecting the system and is under investigation by ICT and Clinical Engineering to replicate and resolve to ensure reliable functionality. The additional quote did not get submitted as key member of staff supporting project left organisation, so it would not be viable to submit without the project / technical support to ensure a successful expansion project. There are other capital replacement schemes which have Clinical Engineering involvement and are higher in risk that are being progressed instead pending submission of an updated bid with project technical details. July 2020 Update - The policy will be written in September 2020, which will coincide with the change in recruitment processes for staff bank workers. Roll out and publication of the policy will be completed by end of October 2020. November 2020 Update - The Bank Policy is being updated during December 2020/January 2021. The updated policy will consist of a review and update of all the bank and agency forms. July 2021 Update - Due to outbreak of covid-19 and consequent pressure on staff bank to recruit additional bank workers to support existing and new HB services has meant a delay in starting this policy. Jan 21 update - Policy has been completed and is awaiting review by policy sub groups. APRIL 2021: See above for policy amendments. Remaining recommendations delayed due to the pandemic but will be taken forward in the same timeframe as the policy approval. Revised implementation date provided. July 2021 Update - Policy development group has been difficult to complete due to the pandemic and poor attendance at meetings to make them quorate. The policy is still under review in conjunction with the union representation, but has been completed. It needs a final review with the group before being sent to the policy group for ratification. The revised date for policy being live will slip to September. Sept 2021 update: Due to inability to get interested parties to agree on the final policy, alongside the cancellation of the last 2 meetings for not being quorate, the policy has not progressed further. The policy is awaiting agreement in partnership to progress to policy group. November 2021 Update - No further update provided
Nurse Agency Usage 03	Apr-20	Reasonable	1. The Staff Bank Policy should be reviewed and updated as necessary to reflect current practice, process and systems in place within the Health Board. The policy should more explicitly reference the engagement and management of agency nurses as opposed to just focussing on Bank staff. 2. Where other relevant policies exist, such as the Rostering Policy, these should be cross-referenced within the Staff Bank Policy. 3. Where procedures are developed to supplement existing policies, reference should be made to the overarching policy and if necessary, the policy should be updated to reflect the existence of the procedure. 4. Senior Nurse Management across the Health Board should ensure the dissemination and awareness of the recently developed procedure for booking bank and agency nurses for use by Ward Managers and the Thornbury authorisation and approval pro forma.	Medium	The Staff Bank Policy will require updating to include the Collaborative Bank project which is due to commence in April 2020. The updated version will include appropriate references to the UH Rostering Policy. The updated policy will include: <input type="checkbox"/> The updated 'Booking Bank & Agency Nurses -Procedures for Ward Managers' <input type="checkbox"/> The new Request for Thornbury Nurses proforma. <input type="checkbox"/> The updated e-datix reporting algorithm The following documents will be recirculated to Heads of Nursing. <input type="checkbox"/> The updated 'Booking Bank & Agency Nurses -Procedures for Ward Managers' <input type="checkbox"/> The new Request for Thornbury Nurses proforma. <input type="checkbox"/> The updated e-datix reporting algorithm Heads of Nursing to ensure all the documents listed above are circulated to Ward Managers and Senior Nurses.	Director for People		March 2020/April 2020/August 2020	October 2020 February 2021 June 2021 Now September 2021 Now April 2022		In progress	January 2022 Update - Policy sent to policy group for ratification.	July 2020 Update - The policy will be written in September 2020, which will coincide with the change in recruitment processes for staff bank workers. Roll out and publication of the policy will be completed by end of October 2020. November 2020 Update - The Bank Policy is being updated during December 2020/January 2021. The updated policy will consist of a review and update of all the bank and agency forms. July 2021 Update - Due to outbreak of covid-19 and consequent pressure on staff bank to recruit additional bank workers to support existing and new HB services has meant a delay in starting this policy. Jan 21 update - Policy has been completed and is awaiting review by policy sub groups. APRIL 2021: See above for policy amendments. Remaining recommendations delayed due to the pandemic but will be taken forward in the same timeframe as the policy approval. Revised implementation date provided. July 2021 Update - Policy development group has been difficult to complete due to the pandemic and poor attendance at meetings to make them quorate. The policy is still under review in conjunction with the union representation, but has been completed. It needs a final review with the group before being sent to the policy group for ratification. The revised date for policy being live will slip to September. Sept 2021 update: Due to inability to get interested parties to agree on the final policy, alongside the cancellation of the last 2 meetings for not being quorate, the policy has not progressed further. The policy is awaiting agreement in partnership to progress to policy group. November 2021 Update - No further update provided
Nurse Agency Usage 04	Apr-20	Reasonable	1. A review of the Temporary Nursing & Midwifery Staffing Decision Checklist (Appendix 5) contained within the Roster Policy should take place to ensure all aspects remain relevant. Consideration should be given if the checklist needs to be completed for every shift filled by an agency employee or if one checklist could be completed covering all agency shifts needed on a week's rota. 2. The importance of completing the checklist should be reiterated to the Nurse in Charge as means of supporting and substantiating the decision to use agency nursing.	Medium	Appendix 5 in the Roster Policy will be replaced with the updated 'Booking Bank & Agency Nurses -Procedures for Ward Managers' to ensure the checklist is re-circulated to Ward Managers and Senior Nurses emphasising the importance of the completion of the check list for all new bank and agency nurses to the ward areas/department.	Director for People	Head of Corporate Nursing	April 2020/May 2020	August 2020 February 2021 June 2021 Now September 2021 Now December 2021 Now April 2022		In progress	Feb 2022 Update - Policy sent to policy group for ratification.	Appendix 5 has been sent through to the workforce polict review group for the change to be made to the roster polocu it is in the agenda for the aug meeting. November 2020 Update - The Bank Policy is being updated during December 2020/January 2021. The updated policy will consist of a review and update of all the bank and agency forms. Jan 21 update - Policy has been completed and is awaiting review by policy sub groups. APRIL 2021: The Rostering Policy has been updated and is currently in the system for approval. A new Rostering Group has been established with Senior Nurses to ensure appropriate and consistent rostering practice across the Health Board. The Rostering Policy will be approved within the same timeframe as the Bank Policy. A revised implementation date has been provided. July 2021 Update - Policy development group has been difficult to complete due to the pandemic and poor attendance at meetings to make them quorate. The policy is still under review in conjunction with the union representation, but has been completed. It needs a final review with the group before being sent to the policy group for ratification. The revised date for policy being live will slip to September. Sept 2021 update: Due to inability to get interested parties to agree on the final policy, alongside the cancellation of the last 2 meetings for not being quorate, the policy has not progressed further. The policy is awaiting agreement in partnership to progress to policy group. November 2021 Update - No further update provided
Cyber Security Follow Up 03	Jun-20	Reasonable	Original Recommendation - A formal patch management procedure should be developed that sets out the mechanisms for patching / updating all items within the Health Board. Updated Recommendation - A formal patching strategy and SOP should be developed for the patching process that sets out the mechanism and processes for this.	Medium	Original Management Response - Formal patching strategy is being put in place and will be submitted to Digital Strategy Steering Group (DSSG) in June. Updated Management Response - A formal patching strategy and SOP are currently being worked on and should be ready to publish by July 2020.	Director of Digital	Assistant Director of ICT	Jun-19	July 2020 December 2020 May 2021 July 2021 Now September 2021 Now November 2021		In progress	January 2022 Update - No update since last time, owing to focus on NIS_D prioritised actions and staff reductions	Current Position - We note that the process for patching has been amended, with a rota in place for patching of servers. We also note that the Health Board has purchased the Ivanti patch management solution to help improve the patching process. However, at present there is no strategy as stated in the initial management response, and no standard operating procedure (SOP) in place for the patching process. Based on the progress made and the evidence that we reviewed we consider the original recommendation to be partially implemented and have reclassified the remaining elements as Medium priority. July 2020 update - DT & AE drafting patching policy, summary of patching completed but yet to be finalised and produced as SOP. Expected to be finalised by end of August 2020. August 2020 Update - Due to the pressures of Covid 19 and the resources required for the roll out and ongoing maintenance of Microsoft 365, the timescale has been reset to December 2020. January 2021 - work is continuing on the patch management procedure. March 2021 - a draft procedure is in progress and will be presented to the RAGCSB to review at the April 2021 meeting. May 2021 - there has been a delay in completing the procedure due to work pressures, date has been extended to July 2021. July 2021 Update - A policy and procedure will be presented to the RAGCSB August meeting. September 2021 - meetings have been organised to commence the policy and procedure, which will be completed by the end of October 2021. November 2021 - No further update provided



Ref	Date added	Assurance rating	Recommendation	Priority	Management Action Agreed	Responsible Executive Lead/Management Lead	Responsible Management Lead	Original Agreed Implementation Date	Revised Implementation Date	Status	Progress	Updates during this period/Latest Update	Previous Updates
Cyber Security Follow Up 04	Jun-20	Reasonable	Original Recommendation - A formal, resourced plan for the removal of old software and devices should be established. Updated Recommendation - The remaining areas of old software should be identified and formally reported to the DSSG / committee, noting where software cannot be easily removed and the associated risk. Linked to this a formal plan for removing /updating old software within the resource constraints should be defined.	Medium	Original Management Response - The existing plan will be updated and brought to DSSG for formal approval in June. Updated Management Response - A formal risk analysis and remediation strategy is currently being developed which will be presented to the DHSSG by September 2020.	Director of Digital	Assistant Director of ICT	Jun-19	September 2020 November 2020 May 2021 August 2021 Now April 2022		In progress	January 2022 Update - This is an ongoing matter and a programme discipline has now been established. There remains legacy software and actions are continuing. However MS Programme now requires a refresh every 30 months	Current Position - Work to remove old software is part of the general procedures. As new systems are brought on line the older servers are removed so the process is largely led from the bottom up rather than top down and there is no formalised plan to remove old versions of software. We note that old versions of key software such as Java / Windows Server / Windows are still used as they are supporting a vital component of the service and as such the Health Board has removed and updated as much as possible without updating these core applications themselves. We note that there is ongoing work to reduce the risks associated with old software, with older versions of Firefox being removed from desktops. We further note that initial discussions are ongoing over the use of Kapersky to block unofficial and old software within the Health Board. Based on the progress made and the evidence that we reviewed we consider the original recommendation to be partially implemented and the remaining elements remain as Medium priority. August 2020 Update - Work has commenced within the infrastructure team, to address the server operating systems to ensure that all servers are on at least Server 2016 operating systems. An end user device sub group has been formed and will have its first meeting this month to discuss a strategy of ensuring that Windows operating systems are on the most up to date version. The timescale has been set back to November 2020. January 2021 - work is continuing within the working groups to ensure that outdated software is addressed. March 2021 - a formal report and remediation strategy and will be presented to the RAGCSB to review at the April 2021 meeting. May 2021 - the RAGCSB did not meet in April due to members being unavailable. A Head of End User Computing (EUC) has been appointed and is discussions with Dell on procuring their services to update end of life software (specifically Windows 7). The Head of Server Management recently had a meeting with various Clinical Systems Managers and a plan is in progress of removing/replacing end of life operating systems. July 2021 Update - Work is continuing on eradication of date operating system software. There is approximately around 500 devices left to either update or replace. September 2021 - work is continuing on removing out of date operating systems within the server estate between members of the server team and system managers. The work is hampered by third party system software vendors providing updated software that will operate on modern operating systems. November 2021 - No further update provided
Cyber Security Follow Up 05	Jun-20	Reasonable	Original Recommendation - The organisation should provide additional resource for a minimum defined period to allow for the data communications team to improve network security. Updated Recommendation - Work should continue to improve the network security of the Health Board. Following the firewall audit, the firewall rules should be amended to increase the security position.	Medium	Original Management Response - Data communications security will be addressed by the new posts discussed in finding 2. Updated Management Response - The firewall audit has been received and confirmed as accurate. Work has commenced in addressing the recommendations highlighted in the audit. The Cyber team have received the Cisco Implementing Advanced Cisco ASA Security and will be addressing the firewall rules starting in June 2020.	Director of Digital	Assistant Director of ICT	Jul-19	June 2020 December 2020 March 2021 July 2021 Now August 2021 Now February 2022		In progress	January 2022 Update - End of year resources have been provided to improve network security, however requirements will remain	Current Position - As noted above, resources have been provided for cyber security and one of the posts is within the server team. The current position with the firewall is that the rules have not been changed to restrict access from NHS Wales, however in order to improve the security of the Health Board, a company has been engaged to undertake a firewall audit. The purpose of this is to look at the firewall configuration and rules, which will form the basis of the control moving forward. We note that control over changes to the firewall rules is moving to the cyber security team with training for the cyber security team booked with Cisco in order to do this. The process for changing the firewall rules has been improved with a standard form in place for requests, which are channelled through the cyber team for approval before being discussed and agreed at the Change Advisory Board (CAB). January 2021 - work is continuing on addressing the rules on the Firewalls where the bulk of the work should be completed by the end of February 2021. Additional hardware and software licenses have been procured for the upgrade of the Solarwinds network and performance management environment. A date has been set for the upgrade to be completed by Friday 12 February. Based on the progress made and the evidence that we reviewed we consider the original recommendation to be partially implemented and the remaining elements remain as Medium priority. July 2020 update: Firewall project to restart in August with gradual handover of firewall rules from Data Comms to Cyber Security Team. Training scheduled between Data Comms Team and Cyber Team to begin handover. We have an additional temporary resource within Cyber Security Team also looking at networking areas and Solarwinds. August 2020 Update - work on the updating of software versions on each firewall is now complete along with configuring each firewall as per recommendations. There has been an issue in auditing the rules on each firewall due to a licensing issue with Solarwinds. The ICT Department have requested a quote from the supplier on the cost of increasing the licenses on Solarwinds to address this issue. March 2021 - work is continuing to address the firewall rules with a review audit by SICT currently being procured. Work is still carrying on to get the new Solarwinds environment set up. May 2021 - a meeting has taken place with SICT and the firewall configuration files have been provided as part of the review process. Work on the firewall rules is continuing. In March ICT procured software called Skybox for a one year as a Proof of Concept. Once installed and configured the software will enable ICT to address more complex firewall rules and help manage the administration more effectively. The new Solarwinds environment is now up and running. July 2021 Update - The Skybox server has had to be rebuilt as the configuration ISO was out of date. There has been a few issues with the configuration, however the contract will not commence until the software is up and running. September 2021 - work is continuing on the installation of the Skybox application. Work has been delayed due to the Firewall replacement programme on the PCH and RGH Firewalls which is due to be completed by the end of October 2021. November 2021 - No further update provided
Head and Neck Compliance 03	Aug-20	Reasonable	Given the value of items that pass through the audiology department, management should review the current arrangements for managing stock in all departments and then consider drawing up a desktop procedure for the management of stock, which is applied to all departments. The procedure should cover as a minimum: • Ordering and receipting. • Minimum and maximum stock levels (if practical). • Security and access to stock. • Ongoing spot checks. • Annual stock take.	Medium	Actions will be: • The Service Group Manager will see the Head of Audiology personally to emphasise the importance of this issue – including its financial implications for the Directorate as a whole. • The Head of Audiology will be required to improve this situation as part of his PADR and also asked to identify a plan with milestones.	Director of Operations	Head of Audiology	Sep-20	March 2021 May 2021 Now December 2021		In progress	February 2022 Update - Further meetings held in the Department and with Procurement. Now all completed except for standing order items. This should be completed in the coming two months.	January 2021. Implication of covid have meant that this has not been able to receive the appropriate management focus - this will be remedied in the next two months. An update will be provided in March 2021. March 2021 Update - Head of Audiology has set up a meeting to discuss stock control across the sites and draft a procedure. Anticipated this will be completed by end of April 2021. May 2021. The Head and Neck Directorate no longer exists, and so consideration will be given by the next meeting to how to explain this to auditors and propose a change in the management actions. For reassurance in the meantime, CSGs now managing these specialties have been contacted and though actions are sometimes slow as a result of covid 19 implications, the services are being subsumed into new arrangements in each ILG. The actions recommended are usually monitored locally by the CSG meeting with the ILG and then at ILG Performance Review Meetings with the COO. Further, Audiology colleagues across the UHB have met to focus on stock control. Stock is kept securely in Audiology and there are plans to carry out more regular stock takes and the minimum and maximum stock levels, including preparation of standing orders for hearing aid orders. Battery provision will be picked up centrally, with colleagues at shared services are working on this on an all wales level. July 2021 - No further update provided. September 2021 Update. Head of Audiology has now met with stock leads across Audiology, to emphasise background and context. There is now a draft stock protocol available. Further, there are plans to develop local minimum stock levels and standing orders for hearing aids and batteries. The Head of Audiology has been assured regarding stock security on all audiology sites. There have been delays in resolving this situation - they relate to long term sick and the ongoing structural issues in the department. However, work is progressing albeit slowly in the context of HR OCP pending as well. November 2021 Update - no further progress reported, but a meeting is scheduled to discuss within the Department in late November 2021.
Directorate Review Acute Medicine & A&E 04	Aug-20	Reasonable	1. A review of the policies and procedures saved to the intranet should be undertaken to ensure there is a central repository of all documents and all documents that are listed are still relevant, with all out of date policies reviewed and updated where necessary. 2. Where there are common policies across a number of departments, to avoid duplication and possible inconsistencies, consideration should be given to having a set of directorate wide policies with one copy saved and clear information on the lead area for the policy including who is responsible for reviewing and updating the policy.	Medium	The review of policies and procedures needs to be undertaken on each acute site and it is acknowledged that this is an area of concern with focussed attention needed over the next 6 months. There also needs to be clear guidance from the ILG on the process for the approval of policies and procedures in the new operating model.	Director of Operations	ILG Directors/ General Manager	September 2020/December 2020	01/04/2021 Now April 2022		Part Completed	February 2022 Update - the Directorate has started a task and finish group to review all policies and procedures and will update them pan CTM if they are organisation wide – support on this from corporate team and policies will be taken month by month through policy group chaired by a Consultant member of the medical staff. Given the size of the task the Directorate says that it will need a year for this to be complete.	November 2020 Update - The planned review has been delayed due to the COVID pandemic and the timely appointment to the CSG supporting structure. RTE ILG January 2021 Update - The planned review has been delayed due to the COVID pandemic and the timely appointment to the CSG supporting structure. March 2021 Update - Final timing for the completion of this work will be reported by the end of April 2021. May 2021. A check has been made across the old Cwm Taf Directorates and a review has been taken on this issue. This does remain a key risk for old policies –and this will be a challenging piece of work to undertake with all the other priorities. Both Directorates do, however, confirm that the new policies that were developed as a result of changes involving covid 19 have been stored in one place and are accessible. July 2021 update. For RTE and MC ILG, no change – remains a key risk area. Will be addressed when capacity allows. September 2021 Update - This remains a key risk and represents a significant amount of work in an area where capacity is stretched. No further action to report, but it remains an issue about which the Service Group is aware. November 2021 Update - no action to report - deadline remains April 2022.



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Risk Management 2021 03	Feb-21	Reasonable	Whilst we acknowledge that compiling a Training Needs Analysis is a new task that has been included on the Risk Management Improvement Plan, Management need to ensure that all departments and staff are provided with training on the new Risk Management Strategy, and the use of Datix to record risks, as soon as possible. This will help ensure consistency of approach across the organisation.	Medium	A training needs analysis will be undertaken early in 2021. In the interim monthly risk training sessions via Microsoft Teams has been scheduled with an open invite for staff across ILG's to attend.	Director of Corporate Governance/ Board Secretary	Assistant Director of Governance & Risk	Apr-21	01/07/2021 Now October 2021 Now December 2021 31.12.2021 - Module 1 Training. Module 2, 3 and TNA - 31.3.2022 Now April 2022		In progress	Update January 2022 The TNA and development of an All Wales Risk Management Training package has been placed on hold whilst the Once For Wales Risk Management Module is finalised. The rationale for this decision is to ensure that any training developed is aligned to the new module that staff will be expected to use. The Health Board is represented on the Once For Wales Monthly Meetings and the more regular task and finish group meetings. In the meantime, risk management training continues within the Health Board with monthly sessions being held virtually over Teams.	Update March 2021 A revised date is requested as the Assistant Director of Governance & Risk is now part of a small Task and Finish Group with other NHS Organisations in Wales to develop a risk training needs analysis that ensures a consistent approach across NHS Wales and avoids duplication. A first draft of a TNA has been developed and will be shared with the Health Board in due course. The training packages to support the TNA are being worked through by the group. Update May 2021 Training Needs Analysis currently being finalised within the Task and Finish Group. Will be shared with the Health Board once the training packages that align have been developed. Update July 2021 - Training Needs Analysis completed and will be shared across the Health Board once the training packages that align to the TNA have been developed. Level 1 Training Package- draft being shared with Elearning colleagues w/c 26th July 2021 to start development of esr module. Level 2 - Training package development to commence August 2021. September 2021 Update - The Training Needs Analysis is complete, however, the Assistant Director of Governance & Risk is working with peers across NHS Wales to develop Level 1 - 3 Risk Training packages available on the ESR E-Learning platform. Level 1 is currently with ELearning Teams to finalise and Level 2 development has been commenced. An extension to the implementation date is requested to allow for the launch to coincide with the training packages being made available on E-Learning on an All Wales Basis. The Health Board is working with All Wales colleagues to ensure a consistent approach to risk is adopted and transferable across Wales. November 2021 Update - In Progress: Training Needs analysis complete launch of this will be in conjunction with the completion of the following modules. Module 1 Risk Training - developed and with Learning Management System (LMS) Team to finalise and upload to the LMS. Timescale: 31.12.2021. Module 2 - Risk Management in Practice Module 3 - Board Member Risk Awareness Module 2 development will commence in December 2021 and Module 3 - thereafter for completion by the end of March 2022. The TNA will be issued once all modules are complete. The Risk Community in Practice meet on a monthly basis with All Wales representatives progressing the training programmes as a cohesive group to ensure consistency across Wales in the approach to risk management. The monthly risk training will continue until the above is in place.
CAMHS Compliance 03	Feb-21	Reasonable	Management must ensure that termination forms are completed and submitted in a timely manner prior to the employee's termination dates to prevent over payments occurring.	Medium	Line Management flow chart/SOP & training information pack to be developed, including internal audit process. Training session to be delivered to all line managers to ensure everyone is aware of their responsibilities. Including reminding of the requirement to complete & submit termination forms in a timely manner prior to the employee's termination dates to prevent over payments occurring. Responsibility with each professional lead to identify clear line management arrangements - ESR & Health Roster to reflect this.	Director of Operations	Senior Nurse/ Clinical Leads	Mar-21	01/05/2021 August 2021 Now September 2021 Now December 2021		In progress	February 2022 Update - no permanent CSG Manager in post. Update will be available for the next meeting.	March 2021 Update - Update will be available in May 2021. May 2021 Update - An update will be available in August 2021. July 2021 Update - This action should now be complete - final check to be undertaken this month. Training pack completed & training to be rolled out to all managers. ESR being updated to reflect line management arrangements. September 2021 Update - Line Management training currently being delivered across CAMHS to ensure all staff who line manage others are fully aware of their responsibilities. CAMHS due to receive feedback from the recent re-audit undertaken by NSWWP in month. November 2021 Update - nothing further this month. There has been a change in management arrangements and an update on the work that remains ongoing will be ready for the next meeting.
Estates Directorate Management Arrangements 03	Apr-21	Reasonable	Management should ensure that the Asbestos Policy and Service Testing of Electrical Equipment Procedure (STEEP) are updated as soon as possible and all P&Ps which are soon due for review are updated in a timely manner.	Medium	The asbestos policy and STEEP will be updated and endorsed at the next meeting of the relevant group.	Director of Finance	Head of Assets, Technical Services and Governance	May 2021/September 2021	September 2021 for STEEP element. Now January 2022 Now 30 April 2022		Part Completed	January 2022 Update - The Asbestos Policy has been reviewed, approved and published to SharePoint. The STEEP Procedure has been updated and is with the Chair of the Electrical Safety Group awaiting pre-approval.	July 2021 Update - The Asbestos Policy has been reviewed, updated approved and published to SharePoint, so this item is complete. The Asbestos Management Plan is reviewed annually with the next review due on the 31st January 2022. STEEP is referring to the In Service Testing of Electrical Equipment procedure, which is being actioned by the Electrical Safety Group, led by Jason Williams. This is currently being reviewed and in the process of being completed, and will require approval through the Electrical safety group, for noting at the HS&R committee, and final approval at the Capital and Estates Governance committee. September 2021 Update - a revised completion date has been provided for the STEEP element of this recommendation. November 2021 Update - STEEP (Portable Appliance Testing PAT) Policy is under review by the Chair of the Electrical Safety Group.
Financial Systems 03	Apr-21	Reasonable	1. As part of the ongoing review of the Charitable Funds FCP the inconsistencies between the FCP and Scheme of Delegation should be resolved, and updates made where processes and appendices have been amended. 2. Consideration should be given to introducing tolerance levels, below which finance can approve variations in payment values, as opposed to requiring fund holder authorisation. 3. Relevant staff should be made aware of the revised FCP and old copies of forms removed from circulation.	Medium	Agreed, FCP needs to be reviewed in line with the Scheme of Delegation and updated.	Director of Finance	Head of Corporate Finance	Jun-21	01/08/2021 Now November 2021 Now December 2021 Now March 2022		In progress	January 2022 Update - The Model SFIs have now been approved. Work is ongoing to update the FCPs for Charitable Funds, in line with the move onto the Oracle system. This has been delayed due to audit of the Charitable Funds accounts, but will be a priority in the next month.	July 2021 Update - Charitable Funds have recently been moved onto the Oracle system which allows for greater consistency of governance and controls, these are currently being bedded in and reviewed. The FCP needs to be updated to reflect these changes. September 2021 Update - New Model Standing Financial Instructions are to be adopted by the board in October. Following this will require review of the full suite of FCPs, including Charitable Funds FCP. This has started and will be completed in the next couple of months. November 2021 Update - The Model Standing Financial Instructions are due to be approved by the Board on the 25th November 2021. The review of FCPs and SoDs is currently being undertaken and will be brought to the next Audit Committee for endorsement to the Board.
Clinical Audit 04	Aug-21	Reasonable	Due to the Covid-19 pandemic and the pausing of committees and groups, clinical audit plans were not able to be approved as outlined in the Clinical Audit & Effectiveness Policy & Strategy. Going forward: 1. The Health Board's Clinical Audit Programme and Annual Clinical Audit Forward Plan should be appropriately approved. 2. The ILG Governance Groups, in compliance with the Clinical Audit & Effectiveness Policy & Strategy should approve their ILG clinical audit programmes. 3. The speciality groups should approve the forward work plans for each of their specialities.	Medium	1. The Clinical Audit Programme and Annual Clinical Audit Forward Plan has been scheduled for approval in the July 2021 Quality & Safety Committee and dates set for quarterly updates through to March 2022. Due to purdah and the transfer of responsibilities for the NHS Wales National Clinical Audit & Outcome Review Plan (NCA&ORP) from Welsh Government to Digital Health and Care Wales (formerly known as NWIS) there is currently no date set for release of the NCA&ORP for 2021-22. Therefore, the CTMUBH Clinical Audit Plan will be rolled over from the 2020-21 programme of national audits and reviewed once the NCA&ORP is released later this year. 2. After the Clinical Audit & Effectiveness Policy & Strategy has been approved by the Quality and Safety Committee, in July 2021. The 2021-22 ILG plans will be signed off for their tier 1-4 clinical audits in accordance with the approach defined in the policy and strategy. 3. The speciality group 2021-22 forward plans are on the agendas for the June - August clinical audit meetings for discussion and sign off across all specialities. In accordance with the pre-pandemic process, that was suspended during the pandemic due to restrictions placed by the Health Board on the operation of clinical meetings. The CTMUBH Clinical Audit Forward Plan 2021-22 will go to the July Quality & Safety Committee, subsequent update reports will then go to the QSC on a quarterly basis. Submission timetable agree with corporate team. A review of the Terms of Reference for all groups will be undertaken to ensure incorporation of the requirement to regularly review progress against the Health Board, ILG and Speciality audit plans.	Medical Director	Head of Clinical Audit & Quality Informatics	31 July 2021 for action 1. 30 September 2021 for action 2. 31 August 2021 for action 3.	Now December 2021		Completed	January 2022 Update - The ILG forward plans were finalised and signed off in December prior to the December Clinical Audit and Effectiveness Group meeting. The normal review process has now commenced to develop the plans for 2022-23.	September 2021 Update - 1. Clinical Audit Forward Plan submitted to the July Quality and Safety Committee (QSC) as planned. (Complete) 2. The ILG Clinical Forward Plans are on track to be signed off by the end of September 2021 (in progress) 3. The HB Speciality Clinical Audit plans have been discussed, signed off and uploaded to the AMaT Clinical Audit system following the August round of audit meetings. (Complete). November 2021 Update - The ILG forward plan were finalised by the end of September as planned, but sign off is in progress through the ILG governance groups and due for completion by the end of November 2021 across all 3 ILGs
Clinical Audit 05	Aug-21	Reasonable	As the Health Board moves out of the pandemic, clarity should be sought around the role and remit of the Audit & Risk Committee and the Quality & Safety Committee to ensure there is no overlap or duplication of reporting. The Clinical Audit Department should seek advice from the governance team and consider the frequency of providing performance reports on the progress against the Health Board Clinical Audit Programme to the relevant committee. In line the Clinical Audit & Effectiveness Policy & Strategy, the Clinical Audit & Effectiveness Group, ILG Governance Groups and the department / speciality / ward clinical audit meetings should review the progress of the clinical audit programme with their respective	Medium	The CTMUBH Clinical Audit Forward Plan 2021-22 will go to the July Quality & Safety Committee, subsequent update reports will then go to the QSC on a quarterly basis. Submission timetable agree with corporate team. A review of the Terms of Reference for all groups will be undertaken to ensure incorporation of the requirement to regularly review progress against the Health Board, ILG and Speciality audit plans.	Medical Director	Head of Clinical Audit & Quality Informatics	31 July 2021 and 30 September 2021	Now November 2021 Now January 2022 Now March 2022		In progress	January 2022 Update - Due to the requirement to approve the Clinical Assurance Framework that outlined the framework by which the Board can be assured from the appropriate committees on clinical audit planning and performance. The quarterly update reports were deferred until 2022-23. The next clinical audit report to committee will be the Clinical Audit Annual Plan (Going to March QSC for approval and then April Audit & Risk for noting) and the Clinical Audit Annual Report (Going to Sept QSC for approval and then October ARC for noting)	September 2021 Update - Clinical Audit Forward Plan submitted to the Quality and Safety Committee (QSC) as planned. (Complete) Clinical Audit update report delayed due to rescheduling of QSC and then request to take update papers to Management Board before QSC. Plan for paper to go to October MB and November QSC Committee. (In Progress). November 2021 Update - Clinical Audit update reports to recommence through new reporting route from January 2022 onwards. Updates will be sighted by Strategic Leadership Group prior to Quality & Safety Committee.



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Clinical Audit 06	Aug-21	Reasonable	Management should ensure that the Quality & Safety Committee receive, in line with agreed timescales, a performance and monitoring report which considers the findings of national and local clinical audits, including outcomes and actions to address risks identified. A decision should be made as to whether the findings of local audits should be presented at the Quality & Safety Committee or if there is a more appropriate committee or group to receive these reports. The policy should be updated to reflect any changes. In addition, the Clinical Audit & Effectiveness Group should receive summaries of national clinical audit reports and completed local clinical audit reports with recommendations and action plans.	Medium	As part of the review of the Risk Log arrangements in consultation with the Deputy Assistant Medical Director for Clinical Audit and ILGs and agree the approach to considers the findings of national clinical audits, including outcomes and actions to address risks identified. We have already reviewed the policy and saw the mistake in reporting requirements and have notified for changes to made to the policy. A review of the Terms of Reference for Clinical Audit & Effectiveness Group will be undertaken to ensure incorporation of the requirement to receive summaries of national clinical audit reports and completed local clinical audit reports with recommendations and action plans.	Medical Director	Head of Clinical Audit & Quality Informatics	31 August 2021/31 July 2021/30 September 2021	Now December 2021		Completed	January 2022 Update - An agreed process and associated SOP was discussed and agreed at the December 2021 Clinical Audit and Effectiveness Group. The Clinical Audit Risk Register has also been made a regular agenda item and was discussed in the December 2021 meeting.	September 2021 Update - Linked to CA 01: Arrangements on track for completion by the end of September 2021. November 2021 Update - The Clinical Audit and Effectiveness Group meeting has been delayed until December. The SOP and Risk Register have been agendered for the December meeting.
Sunnysi de Health & Wellbeing Centre 01	Aug-21	Reasonable	Management should confirm revised governance arrangements via a Project Execution Plan including: • effective cost management; • contractual relationships, values and payment arrangements; • committee reporting of project risks; • scheduled outputs from sub-groups for scrutiny; and • stakeholder engagement.	Medium	The Health Board will work with the external project manager to develop a Project Execution Plan to be signed off at the Project Board, this will provide a formalised single record of all of the above criteria which have been approved separately by Project Board.	Director of Finance	Head of Capital	Sep-21	Now January 2022 Now 31 March 2022		In progress	January 2022 Update The tender process has been extended at contractors request. The tender process closes on 9th Feb and will need a ca 3 week evaluation process. At that stage the revised costs will need to go back to WG for re-approval. Therefore it has been proposed to change the review date to 31 March 2022 when contractor, costs and timeline should be clearer to inform the contents of the PEP	September 2021 Update - the PEP is being drafted however there have been delays in the same due to the administration of the contractor. It was anticipated the the completion contract would have been issued by this time however due to internal process at Linc Cymru this has been delayed to the end of September, as a result the PEP will not be completed until the new contractor is known and this is not likely to be until December 2021 at the earliest. November 2021 Update - the PEP will be drafted however there have been delays in the same due to the administration of the contractor. It was anticipated the the completion contract would have been issued by this time however due to internal process at Linc Cymru this has been delayed to mid November. As a result the PEP will not be completed until the new contractor is known and this is not likely to be until late January 2022 at the earliest.
Sunnysi de Health & Wellbeing Centre 04	Aug-21	Reasonable	Management should ensure that individual cost provisions within the works information are reported to understand charges and adjustments to provisional sums.	Medium	The updated reporting template includes a section detailing provisional sums and contingencies and tracks through the release of provisional sums into actual costs, as well as all contingency items, these will be reported monthly to Project Board as part of the financial template. However there will need to be a further tender and revised provisional sums with the letting of a contract for completion therefore an extended target date is provided to ensure the most up to date information is captured	Director of Finance	Senior Project Manager	Mar-22			In progress	Update 31.01.22 the tender process has been extended at contractors request. The tender process closes on 9th Feb and will need a ca 3 week evaluation process. At that stage the revised costs will need to go back to WG for re-approval. Therefore it has been proposed to change the review date to 31 March 2022 when contractor, costs and timeline should be clearer to inform the report contents	September 2021 Update - Remains in progress to be agreed with the new contractor when appointed. November 2021 Update - Remains in progress to be agreed with the new contractor when appointed.
Sunnysi de Health & Wellbeing Centre 05	Aug-21	Reasonable	Management should ensure provision of project manager and cost adviser reports, in support of the Welsh Government Dashboard return.	Medium	These will be included as required as soon as the project recommences, and a new contractor is appointed. This is likely to take at least a further 3-4 months hence the longer target date.	Director of Finance	Senior Project Manager	Jan-22	Now March 2022		In progress	January 2022 Update The tender process has been extended at contractors request. The tender process closes on 9th Feb and will need a ca 3 week evaluation process	September 2021 Update - Remains in progress to be agreed with the new contractor when appointed. November 2021 Update - Remains in progress to be agreed with the new contractor when appointed.
Sunnysi de Health & Wellbeing Centre 07	Aug-21	Reasonable	Management should obtain documentation to which the client is entitled under the contract, including collateral warranties, and a copy of the construction performance bond, and confirm assurances provided at the latter.	Medium	These are available and will be supplied by the developer.	Director of Finance	Senior Project Manager	Sep-21	Now November 2021 Now January 2022 Now 31 March 2022		In progress	January 2022 Update The tender process has been extended at contractors request. The tender process closes on 9th Feb and will need a ca 3 week evaluation process. At that stage the revised costs will need to go back to WG for re-approval. Therefore it has been proposed to change the review date to 31 March 2022 when contractor, costs and timeline should be clearer to inform the report content	September 2021 Update - There have been delays in obtaining all of this due to the priority being the completion contract works these are in hand to be provided by the time of the next meeting. November 2021 Update - Remains in progress to be provided by the new contractor when appointed.
Sunnysi de Health & Wellbeing Centre 10	Aug-21	Reasonable	Management should be provided with proposed contact variations and monitoring to facilitate timely Health Board scrutiny, in accordance with entitlements under the contract.	Medium	This will be provided when the project restarts and all design works are completed.	Director of Finance	Senior Project Manager	No Date Identified	Mar-22		In progress	January 2022 Update The tender process has been extended at contractors request. The tender process closes on 9th Feb and will need a ca 3 week evaluation process. At that stage the revised costs will need to go back to WG for re-approval. Therefore it has been proposed to change the review date to 31 March 2022 when contractor, costs and timeline should be clearer to inform the report content	September 2021 Update - To be completed and agreed with new contractor on appointment. November 2021 Update - To be completed and agreed with new contractor on appointment
Sunnysi de Health & Wellbeing Centre 11	Aug-21	Reasonable	The Health Board require the developer to remind the contractor of its contractual obligations to formally notify of any delays (and their associated time/cost impact within the contractual time frames).	Medium	With the original contractor there was confidence that much of the time could be recovered and therefore no formal application had been made. Clearly with the current contractor going into administration there will need to be a new contractor appointment. The Health Board will ensure that the need for a contractual. notification of future delays is communicated to the new contractor.	Director of Finance	Senior Project Manager	Mar-22			In progress	January 2022 Update - as per the above notes this can only be done post contractor appointment which has delayed due to tender period extensions and confirmed need for WG re-approval	September 2021 Update - To be completed and agreed with new contractor on appointment. November 2021 Update - To be completed and agreed with new contractor on appointment
Sunnysi de Health & Wellbeing Centre 17	Aug-21	Reasonable	A costed risk register should be regularly maintained and reported to facilitate monitoring of the build.	Medium	A fully costed capital risk register is in existence and will continue to be kept up to date as risks are realised or not throughout the project, however this will be revisited with decision on process for and appointment of a new contractor.	Director of Finance	Head of Capital	Nov-21	Now March 2022		In progress	January 2022 Update - see notes above for revised timeline	September 2021 Update - In progress and development - risk of some slippage due to delays in the tender for the completion contract but all steps are being taken to ensure this is completed by November. November 2021 Update - To be completed and agreed with the Employers Agent once new contractor has been appointed
Sunnysi de Health & Wellbeing Centre 13	Aug-21	Reasonable	Management should actively monitor and report the value of residual construction cost risks v remaining contingency.	Medium	This is picked up in the appendix to the standard Highlight Report discussed in action 2.	Director of Finance	Head of Capital	Sep-21	Now March 2022		In progress	January 2022 Update - see notes above for revised timeline	September 2021 Update - One off exercise done to date but this will not be actively monitored until construction works commence. November 2021 Update - One off exercise done to date but this will not be actively monitored until construction works commence
Sunnysi de Health & Wellbeing Centre 15	Aug-21	Reasonable	The Health Board should obtain engrossed and signed copies of all relevant developer adviser contracts in accordance with entitlements to inform of potential liabilities and costs, and report relevant implications to appropriate groups/committees.	Medium	This cannot be fully achieved without the appointment of a new contractor. The Health Board will ensure that all contracts have been received and filed centrally. The new contractor contract will be provided by the developer on signature .	Director of Finance	Project Leader	Sep-21	Now January 2022 Now 31 March 2022		In progress	January 2022 Update - see notes above for revised timeline	September 2021 Update - Contracts for all save for the new contractor are complete - for the new contractor this will not be delivered until 2022. November 2021 Update - Contracts for all save for the new contractor are complete - for the new contractor this will not be delivered until 2022
Sunnysi de Health & Wellbeing Centre 18	Aug-21	Reasonable	Management should obtain signed lease agreements with relevant parties at the earliest opportunity.	Medium	The Primary Care lead will continue to work with NWSSP Specialist Estates Services to ensure that the lease is signed off as soon as possible.	Director of Finance	Primary Care Estates and Development Manager	Jan-22	Now 31 March 2022		In progress	January 2022 Update - this will be delayed until after the new contractor costs and timeline is known	September 2021 Update - Ongoing with GPs partners however new contract and revised cost is required now to finalise this. November 2021 Update - Ongoing with GPs partners however new contract and revised cost is required now to finalise this
Sunnysi de Health & Wellbeing Centre 19	Aug-21	Reasonable	Management should confirm an agreed service model with measurable outcomes for front line and support services.	Medium	The Bridgend Integrated Locality Group (ILG) will link with the Primary Care team over the service model and support functions. This will be developed during the construction period for the site and given that the completion is likely to slip to late 2/23 the target is to complete in order that any financial consequences are picked up in Integrated Medium Term Plan (IMTP) planning cycles.	Director of Finance	Bridgend ILG Community Lead	Mar-22			In progress	January 2022 Update - remains ongoing as programme remains unclear until contractor appointment	September 2021 Update - Ongoing. November 2021 Update - Ongoing



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Sunnyside Health & Wellbeing Centre 20	Aug-21	Reasonable	Objectives at the business case should be measurable.	Medium	The approved business case contained a Benefits Realisation Plan. This will be reviewed to ensure that the benefits are measurable and deliverable.	Director of Finance	Head of Capital	Jan-22	Now 31 March 2022	Red	In progress	January 2022 Update - may need to be tied in with new contractor appointment	September 2021 Update - Ongoing. 2021 Update - Ongoing	November
Sunnyside Health & Wellbeing Centre 21	Aug-21	Reasonable	Management should review and confirm project objectives based on only measurable outcomes within a Benefits Realisation Plan.	Medium	Please see response above .	Director of Finance	Head of Capital	Jan-22	Now 31 March 2022	Red	In progress	January 2022 Update - as per BRP	September 2021 Update - Ongoing. 2021 Update - Ongoing	November
Integrated Locality Groups Review 01	Oct-21	Reasonable	Management should ensure that the term 'earned autonomy' is clarified for the ILGs. A framework that sets out the purpose and value of earned autonomy and the process for increasing the level of autonomy should be created, approved, communicated and implemented in line with the Operating Model.	Medium	The Executive Team and ILGs recognise this as a key issue. A piece of work has already commenced, being led by the CEO's Chief of Staff to review the operating model that was implemented intra-Covid. This review was always planned as part of the implementation of the new model and following the re-introduction of normalised ways of working post-Covid, that review has now started. This will specifically include consideration of the roles & responsibilities of the ILGs and individual roles within those, along with a review of the framework for earned autonomy and delegation of decision rights to ILGs	Director of Operations	Chief Of Staff	Quarter 4 2021/2022	Mar-22	Green	Completed	February 2022 Update - review complete and fed back to Executive Team - follow on next steps being devised in collaboration with ILG Directors and Executive Team. Also shared this review with IA directly.	November 2021 Update - An operating model review is underway which will encapsulate all of these themes.	
Integrated Locality Groups Review 02	Oct-21	Reasonable	Merthyr Cynon ILG Management should ensure that the Service Group Performance Review meetings for each CSG take place on a regular basis. Appropriate records should be retained for each meeting so that actions identified are recorded, monitored and escalated as required.	Medium	The Clinical Service Group performance reviews re-started following the draft findings of the Internal Audit in 2021/22. With the third Covid surge, significant pressure has been placed on leadership capacity which places these at risk. The Chief Operating Officer will specifically include review of CSG Performance Reviews as part of the ILG level performance reviews.	Director of Operations	Director of Operations	No date identified	Feb-22	Green	Completed	February 2022 Update. The LG has held regular CSG Assurance meetings since at least June 2021, however as will be the case across the HB, regularity has been varied where there have been significant pressures on individual teams and in line with the HB policy stand down during the covid 4th wave. All are recorded and feedback has been provided. Going forward the ILG will be utilising a standard action log template for consistency.	November 2021 Update - a response will be ready for the next meeting.	
Integrated Locality Groups Review 03	Oct-21	Reasonable	Primary Care, Merthyr Cynon and Bridgend ILGs Management should ensure that all meetings are scheduled and take place in accordance with the terms of reference for that committee or group. If the previously agreed meeting frequency is no longer suitable, then the terms of reference should be amended accordingly and reapproved.	Medium	Governance meeting occurrence and regularity has been reviewed with the ILGs as a result of the issue of the draft Internal Audit. A number of key actions have taken place: • Primary Care and Merthyr Cynon ILG have confirmed that the meetings have re-commenced since the initial audit was carried out. Management capacity within MC ILG remains a risk and specific reporting of meeting occurrence and attendance will be sought through the ILG PR process. • Bridgend ILG - the ILG found that meeting as a 'Board' was duplicating other meetings. Following discussion with the COO and other ILG colleagues there will be a second look at the terms of reference to make the meeting more useful in terms of providing a forum for approval of policies and assurance. This will also review whether the role of the Board could be aligned with the ILG Performance Review. The Chief Operating Officer has also requested that the role of the ILG Board is included within the specification of the Chief of Staff review into the ILG Operating Model with recommendations on its future role to be made as part of the specification of work.	Director of Operations	Chief Of Staff	Quarter 4 2021/2022	Mar-22	Yellow	Part Completed	February 2022 Update - further information needed from MC and Bridgend but the target remains March 2022.	November 2021 Update - for PC this is complete.	
Integrated Locality Groups Review 04	Oct-21	Reasonable	Merthyr Cynon and Bridgend ILGs Management should ensure that the terms of reference for the key groups are reviewed to ensure that membership requirements are appropriate and reflect the current governance structure. Management should also ensure that where notes/minutes of meetings are maintained they reflect the names and job titles of all attendees where appropriate. All ILGs and Primary Care Consideration should be given to expanding the membership of the ILG and Primary Care Board meetings to include a Health Board Executive in order for independent challenge to be provided.	Medium	For Merthyr Cynon and Bridgend ILGs, the terms of reference will be updated and the names and titles of attendees recorded correctly. For all ILGs and Primary Care Board Meetings - an Executive will be asked to attend each ILG / PC meeting. Since the Internal Audit review has taken place, the role of the ILG Performance Reviews has also expanded and specifically includes a broader range of executives to ensure a shared understanding and robust challenge between executive and ILG leadership	Director of Operations	ILG Group Directors	Quarter 3 2021/2022	Mar-22	Green	Completed	February 2022 Update - now complete for M&C - discussed at a meeting in the week commencing 24 January 2022.	November 2021 Update - complete for RTE ILG their Executive mentor has been invited to the appropriate meetings. November 2021 Update - complete for PC and independent scrutiny is at the Primary Care Performance Board at present. November 2021 Update - for BILG, ToRs have been reviewed and amended where necessary to reflect the frequency and purpose.	
Welsh Language Standards Compliance 06	Oct-21	Reasonable	6.1) The importance of compliance with the Welsh Language Standards should be reiterated to all staff, and the implications of non-compliance should be considered for inclusion on departmental and ILG risk registers and subsequent monitoring. 6.2) The risk register should be reviewed to ensure the controls listed as being in place and the action marked as completed are an accurate reflection of the findings made during the audit review.	Medium	6.1) The Welsh Language Manager will develop regular communications to remind all staff of their responsibilities and the importance and benefits of complying with the Welsh Language Standards. These communications will be distributed to staff via a range of communications media, including social media. 6.2) The nominated senior ILG leads on the Welsh Language Working Group should discuss with department managers, the inclusion of non-compliance with the Standards on their departmental registers, to assist with the monitoring of progress and completion of outstanding actions. 6.3) The Welsh Language Manager will review the actions on the current Workforce and OD and Health Board Risk Registers to ensure that they are up to date and include the risks identified in this audit report. 6.4) The nominated ILG senior members of the Welsh Language Working Group will have responsibility for adding relevant and appropriate non-compliance issue to the ILG risk registers, which are monitored by the respective SMTs.	Director for People	Welsh Language Manager/ILG Leads/Head of Policy, Compliance and Agenda for Change	January 2022/October 2021	Now March 2022	Red	In progress	Jan 2022 update 6.1) A short communication plan will be written by the recently appointed Welsh Language Manager, including resources to share regarding the Welsh Language Standards i.e. videos and graphics to promote understanding of them. This will be discussed in a meeting arranged with the Asst Director of Communications and Engagement on 3 February 2022. 6.2) The inclusion of Welsh Language risks on the ILG Risk Registers will be an agenda item all forthcoming Welsh Language Committee meetings, with effect from 17 March 2022. 6.3) The Welsh Language Risk Register has been reviewed and appropriate risks added, including the findings of this audit. 6.4) The inclusion of Welsh Language risks on the ILG Risk Registers will be a standing agenda item on the new Welsh Language Committee, which is scheduled for 17 March 2022.	November 2021 Update - The Risk Register has been updated. Although the risk register has been updated. The senior leadership of the ILGs have not received communication or action plans as the new Welsh Language Committee hasn't met. This means there is no progress with ILGs monitoring their compliance and updating their own risk registers.	
Welsh Language Standards Compliance 01	Oct-21	Reasonable	1.1) A more robust process for ensuring action plan recipients are aware of their responsibilities in relation to implementing the actions allocated to them and providing timely updates on progress to the Welsh Language team should be implemented. As action plans are distributed to relevant departments and managers, clear guidance and information should be provided regarding the expectations being placed upon them, and how and when updates should be provided to the Welsh Language Team. In turn, departments / ILGs should develop a clear process for disseminating plans within their area and co-ordinating the completion of actions where there are multiple lead officers, such as 'ward managers'. 1.2) Management should ensure that the action plans which are produced for each area / department across the Health Board are dated and version controlled to clearly allow progress to be mapped.	Medium	1.1) The membership of the Welsh Language Working Group will be reviewed, with the inclusion of a named senior representative from each ILG. The terms of reference to be updated to require the senior ILG representatives to provide regular progress update reports. The Welsh Language Manager will run a learning and development session with the nominated ILG senior representatives with the purpose of: • Briefing them on their responsibilities in relation to ensuring the implementing the actions within their ILG; • Designing and developing a robust process and plan that will facilitate the dissemination of and return of regular departmental action plan updates to them; • Ensuring they provide regular update reports to the Welsh Language Working Group in an agreed and consistent format. 1.2) The Welsh Language Manager will ensure that action plans are clearly dated and version controlled, to allow progress to be mapped, monitored and reported on.	Director for People	Welsh Language Manager	October 2021/November 2021/December 2021	Now March 2022	Red	In progress	January 2022 Update (1.1) The newly appointed Welsh Language Manager has contacted senior ILG leaders requesting a meeting and is awaiting a response. A further request will be sent in February, if a session has still not been confirmed, with the purpose of this session being to discuss the importance of bilingual provision and Welsh Language Standards. (1.2) A new action plan has been sent to ILGs with version control.	November 2021 Update - Action plans will be distributed following the first meeting of the Welsh Language Committee. Progress will be monitored and included in the health board's progress monitor spreadsheet (on the Welsh language SharePoint page). Highlight reports will be shared with the Welsh Language Committee and sent bi-annually to the People and Culture Committee.	



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CAMHS Follow Up Governance & Risk 2.1	Dec-21	Reasonable	The ToRs for the Locality Governance meeting should be reviewed and updated as required and the ToRs for the Locality Management Team meeting should be checked for completeness.	Medium	The relevant ToR will be reviewed & updated to reflect the recommendations.	Director of Operations	Lead Nurse	Dec-21		In progress	February 2022 Update - no permanent CSG Manager in post. Update will be available for the next meeting.		
CAMHS Follow Up Governance & Risk 4.1	Dec-21	Reasonable	Meeting action logs should list attendees, their post and locality in order to easily establish the correct people or deputies are in attendance, allow confirmation of quoracy where required, and allow easier identification of gaps in attendance by staffing group or locality.	Medium	Administrative support will be provided to meetings to ensure the quality and consistency of action logs & minutes is improved as per the recommendations.	Director of Operations	Lead Nurse	Dec-21		Completed			
CAMHS Follow Up Governance & Risk 4.2	Dec-21	Reasonable	Specifically, in relation to the LMT Tier 4 and Swansea Bay action logs, more comprehensive and meaningful records should be retained of each meeting including who was in attendance, the key agenda items discussed, decisions made and points for future action.	Medium	Administrative support will be provided to meetings to ensure the quality and consistency of action logs & minutes is improved as per the recommendations.	Director of Operations	Lead Nurse	Dec-21		Completed			
CAMHS Follow Up Governance & Risk 6.1	Dec-21	Reasonable	Clarity should be sought on which group is responsible for monitoring the CSG risk register, including where lower scoring risks will be monitored. The ToRs should clearly reflect this responsibility.	Medium	The relevant ToR will be reviewed & updated to reflect the recommendations. Fortnightly meeting with Governance team to review all risks on the CAMHS risk register (focus on over 12s). Minutes & agenda circulated.	Director of Operations	Lead Nurse	Nov-21		Completed			
CAMHS Follow Up Governance & Risk 6.2	Dec-21	Reasonable	The action logs or meeting notes from those groups responsible for monitoring risk should evidence the discussion that has taken place in relation to risk monitoring.	Medium	Administrative support will be provided to meetings to ensure the quality and consistency of action logs & minutes is improved as per the recommendations.	Director of Operations	Deputy Directorate Manager	Nov-21		Completed			
CAMHS Follow Up Workforce 5.1	Dec-21	Limited	Management should ensure that TOIL documentation is fully completed, and records are reviewed for accuracy. Monitoring of TOIL balances should form part of the review and where possible the number of hours brought forward each month should not exceed the maximum limit.	Low	The Line Management training packaged will be reviewed to ensure that it: <ul style="list-style-type: none"> Reflects the Health Board's Managing Sickness Toolkit Reflects TOIL policy & documentation Links to Health Board wide and CAMHS specific policies Refers to performance management & targets Reference the Welsh Government target of 85% and the expectation that staff are also responsible in managing their own compliance rates. Reflects annual leave expectations & carry over arrangements That it is understood that TOIL is agreed up front (understanding the need and balancing this with staff wellbeing). 	Director of Operations	Senior Nurse	Nov-21		In progress	February 2022 Update - no permanent CSG Manager in post. Update will be available for the next meeting.		
CAMHS Follow Up Workforce 5.2	Dec-21	Limited	Without an overall TOIL policy for the CSG, the existing information contained on TOIL and Flexi forms should be reviewed to ensure it is up to date, relevant and consistent across all localities.	Low	A monthly audit will be undertaken to provide assurance regarding the quality of line management supervision delivered.	Director of Operations	Lead Nurse	Nov-21		In progress	February 2022 Update - no permanent CSG Manager in post. Update will be available for the next meeting.		
CAMHS Follow Up Workforce 6.1	Dec-21	Limited	Consideration should be given to reviewing annual leave balances at intervals throughout the year to try and ensure leave is taken as the year progresses	Low	The Line Management training packaged will be reviewed to ensure that it: <ul style="list-style-type: none"> Reflects the Health Board's Managing Sickness Toolkit Reflects TOIL policy & documentation Links to Health Board wide and CAMHS specific policies Refers to performance management & targets Reference the Welsh Government target of 85% and the expectation that staff are also responsible in managing their own compliance rates. Reflects annual leave expectations & carry over arrangements A monthly audit will be undertaken to provide assurance regarding the quality of line management supervision delivered.	Director of Operations	Lead Nurse	Nov-21		In progress	February 2022 Update - no permanent CSG Manager in post. Update will be available for the next meeting.		
Health & Safety Management 05	Aug-20	Low	The pathway on the intranet to the Health and Safety Policy should be made easier in order to ensure easy access for all staff.	Low	The New CTMUBH Health and Safety Policy (once ratified) will be placed under the Risk Management Policies section of the Health Board's intranet pages. A link to this will also be provided clearly on the Health Board's Health and Safety Webpages.	Director for People	Head of Health, Safety & Fire	Sep-20	01/06/2021 Now 31/08/21 01/06/2021 Now 31/08/21 New Policy Approved September 2021 Interactive webpages will be completed by 31/12/2021	Part Completed	APRIL 2021: Once the policy is approved in May, a new interactive area on the intranet will be developed. The interactive intranet page is currently 2/3rds complete, and will be available to launch by the end of June 2021. A revised implementation date has been provided. July 2021 - The newly formed intranet pages will be live by 31/08/2021. UPDATE SEPTEMBER 2021: The Health Board's new Health and Safety Policy was ratified by the Quality and Safety Committee in August 2021. Work is still underway with the Health Board's Intranet Manager to transform this Policy in to a set of Webpages to allow all staff ease in identifying and understanding their responsibilities under the new Policy. The interactive website will be demonstrated at the next Health, Safety and Fire Committee. November 2021 - No further update provided		



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Health & Safety Management 06	Aug-20	Reasonable	The templates currently being used to undertake annual Health and Safety reviews should be reviewed to ensure they are accurately reflecting the Health and Safety issues within each department.	Low	The Health and Safety Team are developing an audit package for use across the CTMUHB. The package will provide assurance to ILGs and the Board that policies and procedures are being followed in all Service Group Wards and Departments. Once completed, the audit package will be presented to the Health, Safety and Fire Committee for approval.	Director for People	Head of Health, Safety & Fire	Jan-21	01/07/2021 Trial Audit on Social Distancing completed August 2021. New completion date for audit package to be suitable for H&S Audits 31/01/2022	Red	Part Completed	APRIL 2021: An audit tool is being developed, taking learning from the social distancing audit tool developed. The package itself is developed, and by July we will have determined the key areas to be examined via the audit tool. This will be complete and ready to use by the end of July. A revised implementation date has been provided. July 2021 - Audit Package currently undergoing further testing due to some reporting issues on the AMaT system. SEPTEMBER 2021: The above audit findings were presented as a draft to the last Health, Safety and Fire Committee in September 2021. There are still some issues with the audit package producing an executive summary of the audit undertaken. The Health, Safety and Fire Team are in further discussions with the Clinical Audit Team and AMaT to resolve this. Whilst awaiting this system fix an audit programme is being set up and will be rolled out once the system fixes have been completed. November 2021 - No further update provided	
Financial Systems 06	Apr-21	Reasonable	Management may want to consider creating a procedure, as it will help strengthen efficiencies, deliver best practice and more importantly it will provide added support should the department have new staff working in that area.	Low	Agreed. A manual for the fixed asset register will be created.	Director of Finance	Finance Manager	Sep-21	Now September 2022	Red	In progress	January 2022 Update - Due to changes in post and the significant pressure on the team as a result of IFRS implementation and preparation for the new quinquennial revaluation this has been unable to be addressed. It is proposed that this is picked up post the year end audit process over the summer of 22/23 post IFRS 16 adoption.	July 2021 Update - Action on target to be completed by September 2021. September 2021 - No further update. November 2021 - No further update provided
Facilities Director ate Review (Workforce Arrangements) Follow in on Sunnyside Health & Wellbeing Centre 09	Aug-21	Reasonable	Both sites Work should continue in relation to the procurement of a more up to date portering management system that would allow the service to be delivered in a more efficient and effective manner.	Low	RGH / RTE and PCH / M&C 1. Work will continue to progress forward in view of managing rota alignment that will support service demands and pressures. This will be always flexible and open to change in view of changing service needs within the Hospitals. 2. A bid for funding for a new Porter Services IT management system solution (Symbiotic) has been submitted in the Facilities IMTP 2021-2022.	Executive Director of Operations	Facilities Regional Managers	Sep-21	Nov-22	Yellow	In progress	February 2022 Update - confirmation from Facilities that this is under continual review and the completion date remains November 2022.	September 2021 - No further update. December 2021 update - plans for Facilities to review other Porter Management Systems year 2022. Procurement will support any tender process. Staffing resources will continue to be managed with services pressures and demands and flexibility to work with the rota.
Sunnyside Health & Wellbeing Centre 09	Aug-21	Reasonable	Performance of relevant parties should be monitored appropriately	Low	As above although there will be a delay with the appointment of a new contractor.	Director of Finance	Senior Project Manager	Sep-21	Now January 2022 for Contractor only Now 31 March 2022	Red	In progress	January 2022 Update - this has been further delayed as a result of a need to extend the tender period	September 2021 Update - Complete for advisors but will not be complete for contractor until a new contractor is appointed. November 2021 Update - ongoing, awaiting contractor appointment
Sunnyside Health & Wellbeing Centre 17	Aug-21	Reasonable	Management should instigate a process for formal review and sign-off of any further design changes with relevant parties.	Low	The Health Board already has in places processes for sign off of design by users and this process will be used in this scheme moving forward (also to be detailed in the Project Execution Plan).	Director of Finance	Senior Project Manager	Nov-21	Now 31 March 2022	Red	In progress	January 2022 Update - although technically this has been agreed it can not be fully implemented until the new contractor is back on site and appointed which will be at least March	September 2021 Update - Ongoing. 2021 Update - to be completed this month
Integrated Locality Groups Review 05	Oct-21	Reasonable	Primary Care, Merthyr Cynon and Bridgend ILGs Management should ensure that all terms of references are reviewed, updated where applicable and then appropriately formally finalised.	Low	Primary Care, Merthyr Cynon and Bridgend ILGs - all terms of references will be reviewed and then formally finalised.	Director of Operations	ILG Group Director	Dec-21	Feb-22	Yellow	In progress	February 2022 Update - PC confirms that this is the case, as does MC. Confirmation needed from Bridgend.	November 2021 Update - an answer will be available at the next meeting.
CAMHS Follow Up Governance & Risk 1.1	Dec-21	Reasonable	A structure diagram that shows the inter-relationship between each of the key committees and groups and any other groups within the Clinical Service Group, and how these feed into the ILG's governance arrangements should be documented.	Low	Flow chart will be produced to reflect current structure	Director of Operations	Lead Nurse	Dec-21		Red	In progress	February 2022 Update - no permanent CSG Manager in post. Update will be available for the next meeting.	
CAMHS Follow Up Governance & Risk 2.2	Dec-21	Reasonable	When ToRs are reviewed, where there are no quoracy requirements for a group, consideration should be given to stating this in the ToRs. This will provide clarity over quoracy expectations.	Low	The ToR will be reviewed & updated to reflect quoracy requirements.	Director of Operations	Lead Nurse	Dec-21		Red	In progress	February 2022 Update - no permanent CSG Manager in post. Update will be available for the next meeting.	
CAMHS Follow Up Governance & Risk 5.3	Dec-21	Reasonable	Concerns in relation to the new policy format should be formally fed back to the corporate team.	Low	Concerns regarding the new policy format highlighted with the Corporate Governance Team.	Director of Operations	Lead Nurse	Dec-21		Red	In progress	February 2022 Update - no permanent CSG Manager in post. Update will be available for the next meeting.	
CAMHS Follow Up Governance & Risk 7.1	Dec-21	Reasonable	CSG management should remind staff of the requirements of the Standards of Behaviour Policy and of the need for annual DOIs or nil returns to be submitted.	Low	Staff have been formally reminded of the requirement to complete this form & it was also minuted in the Senior Management Team Business meeting on 21/10/21.	Director of Operations	Clinical Service Group Manager	Completed		Green	Completed		
Mass Vaccination Programme 01	Aug-21	Substantial	Consideration should be given in any future projects to ensuring that there is not over-reliance on a small number of individuals to be managing the programme on a day-to-day basis.	Low	The COVID vaccination programme has been established as part of the emergency response to COVID and learning from this will feed into the wider COVID learning. The continued requirements for COVID vaccination, mean that the project needs to be converted to 'business as usual'. A business case is being developed to create a core team for 2022/23.	Director of Public Health	Senior Responsible Officer for Vaccinations and Immunisations	Dec-21	Now February 2022	Yellow	In progress	January 2022 Update - With constant changes to the COVID-19 vaccination campaign, clear planning assumptions have been challenging to develop. The National Programme is beginning to articulate high level assumptions, which will allow planning through the Health Board IMTP process and the development of a permanent Vaccination and Testing Department in 2022/23. Draft plans will be presented to the Covid-19 Regional Strategic Oversight Board in February before further discussion with Welsh Government, in line with anticipated policy changes	September 2021 Update - On track to be approved by December 2021 and in place by 1 April 2022. November 2021 Update - With constant changes to the COVID-19 vaccination campaign, clear planning assumptions have been challenging to develop. The National Programme is beginning to articulate high level assumptions, which will allow planning through the Health Board IMTP process and the development of a permanent Vaccination and Testing Department in 2022/23.