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WALES

Bwrdd Iechyd Prifysgol  
Bae Abertawe  
Swansea Bay University  
Health Board



<b>Meeting Date</b>	<b>14<sup>th</sup> July 2022</b>		<b>Agenda Item</b>	<b>2.2</b>
<b>Report Title</b>	<b>Audit Registers and Status of Recommendations</b>			
<b>Report Author</b>	Len Cozens, Head of Compliance			
<b>Report Sponsor</b>	Hazel Lloyd, Acting Director of Corporate Governance			
<b>Presented by</b>	Len Cozens, Head of Compliance			
<b>Freedom of Information</b>	Open			
<b>Purpose of the Report</b>	The purpose of this report is to provide summary extracts from the Health Board's audit registers, which have been developed to assist in monitoring and reporting on the status of agreed audit recommendations and progress against management responses.			
<b>Key Issues</b>	<p>Action plans in respect of all final audit reports are available on the Finance Portal through SharePoint for managers and executives to access and update throughout the year.</p> <p>Training has been provided to executives and the named managers within the action plans. The deadlines for the reporting periods to the Audit Committee are clearly set out within the file set up.</p> <p>This report includes all updates to audit registers made up to and including the 24<sup>th</sup> June 2022.</p> <p>In respect of AW/WAO reports, there are currently no actions overdue when measured against their revised deadline dates.</p> <p>There has also been a reduction in the number of overdue actions stemming from NWSSP A&amp;A reports since the last Committee update; however this has been off-set somewhat by the need to 're-open' a number of actions which had previously been recorded as complete within two audits</p>			
<b>Specific Action Required</b> <i>(please choose one only)</i>	<b>Information</b>	<b>Discussion</b>	<b>Assurance</b>	<b>Approval</b>
	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<b>Recommendations</b>	<p>Members are asked to:</p> <ul style="list-style-type: none"> <li>• <b>NOTE</b> the current position of the Audit Registers and the status of the action plans.</li> <li>• <b>AGREE</b> any specific areas where the Committee feel that further assurance is required in order that these may be addressed with the relevant Lead Executive(s).</li> </ul>			

# **AUDIT REGISTERS AND STATUS OF RECOMMENDATIONS**

## **1. INTRODUCTION**

- 1.1 The purpose of this report is to provide summary extracts from the Health Board's audit registers, which have been developed to assist in monitoring and reporting on the status of agreed audit recommendations and progress against management responses.

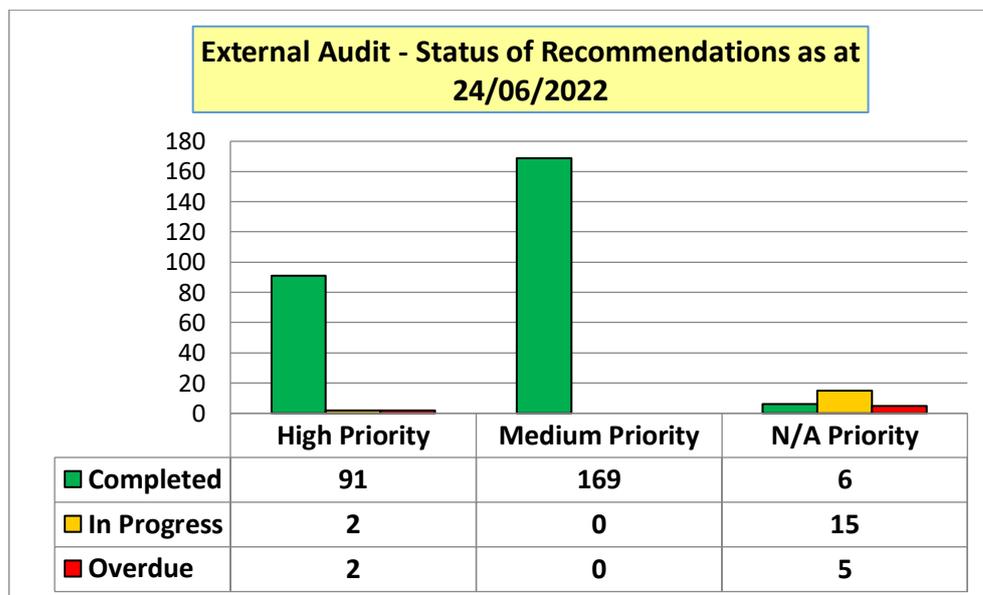
## **2. BACKGROUND AND CONTEXT**

- 2.1 The Audit Committee receives and considers a number of reports as part of normal business, which provide information and assurance in respect of:
- The delivery of the Audit Plans;
  - Receipt of draft and final reports; and
  - Health Board management responses to recommendations contained therein
- 2.2 This report is intended to provide assurance in respect of performance in implementing agreed action across all reports received from both NWSSP Audit & Assurance, and Audit Wales.
- 2.3 Action plans in respect of all final audit reports are available on the Finance Portal through SharePoint for executives and managers to access and update throughout the year. Training has been provided to executives and the named managers within the action plans. The deadlines for the reporting periods to the Audit Committee are clearly set out within the file set up.
- 2.4 It should be noted that the charts and tables within this report relate to reports where outstanding recommendations remain, regardless of the age of the report. Where recommendations have been superseded by the content of later reports, then the original recommendation has been closed and does not form part of the following.

### 3. STATUS UPDATE – AUDIT WALES (FORMERLY WAO) REPORTS

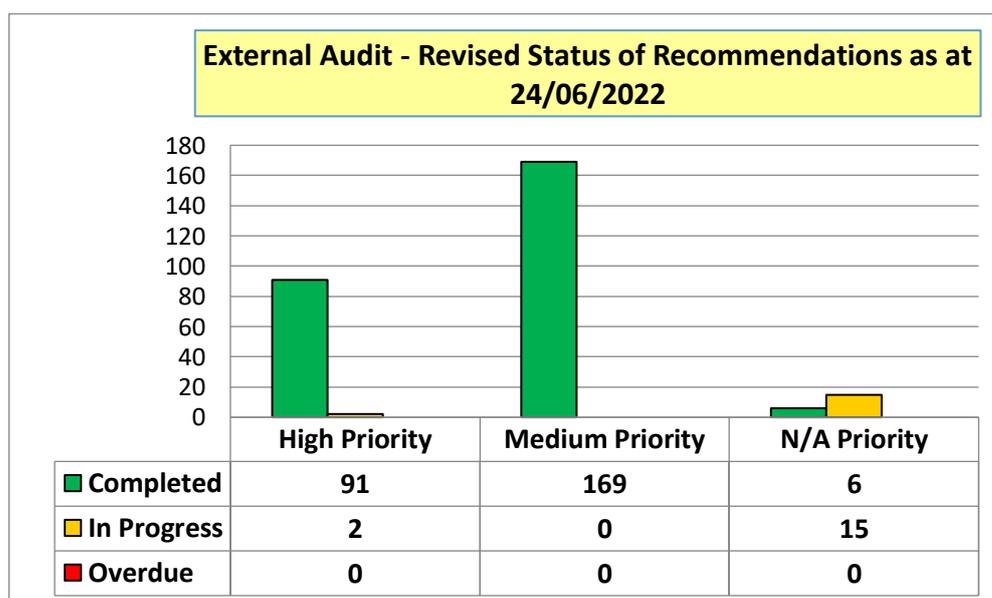
3.1 The following sets out the current position in respect of performance in implementing agreed actions stemming from Audit Wales (formerly WAO) recommendations, when measured against the **original deadlines** agreed by management at the time the reports were finalised.

Fig 1: Audit Wales Reports (Original Deadlines)



3.2 In certain circumstances, factors beyond the control of the implementing officer(s) may mean that the agreed date for implementation of the actions cannot be achieved, and a revised target implementation date is required. The following measures progress taking into account these **revised deadlines**.

Fig 2: Audit Wales Reports (Revised Deadlines)

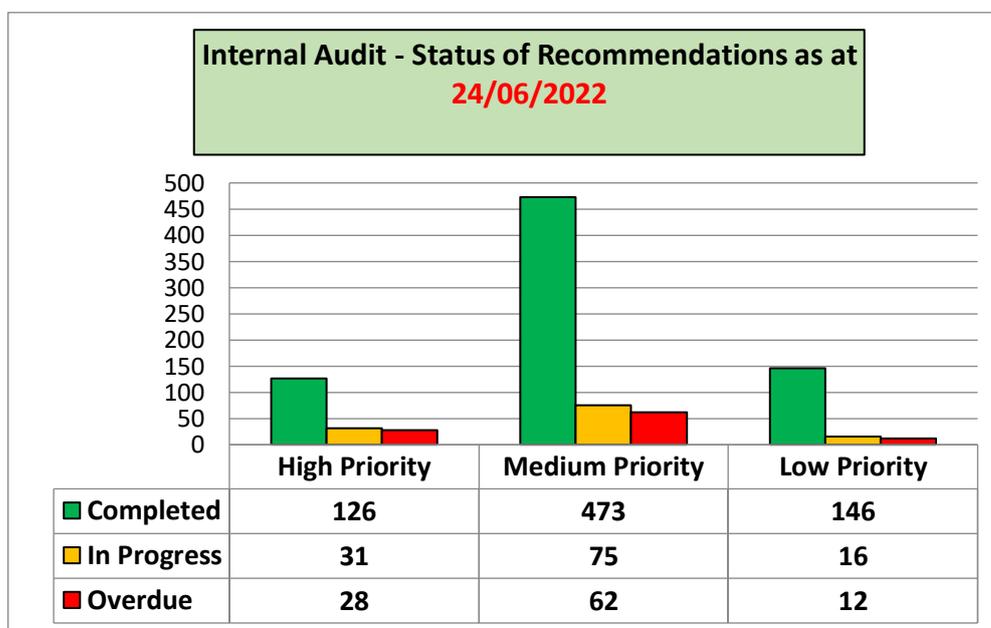


- 3.3 As can be seen from the above, whilst 7 agreed actions remain in progress after their originally agreed deadline dates, there are currently no actions overdue when measured against their revised deadlines. This represents a significant improvement when compared with the last report to Audit Committee (May 2022), which recorded a total of 11 overdue actions. The primary reason for this movement is the closure of all outstanding actions relating to the audit of Primary Care Services.
- 3.4 A detailed breakdown of all actions in progress has been included at **Appendix A** for information. Detail on all actions recorded as complete since the last report, including any comments made by the relevant Executive or their Team in doing so, have been included at **Appendix B**.

#### 4. STATUS UPDATE – NWSSP AUDIT & ASSURANCE REPORTS

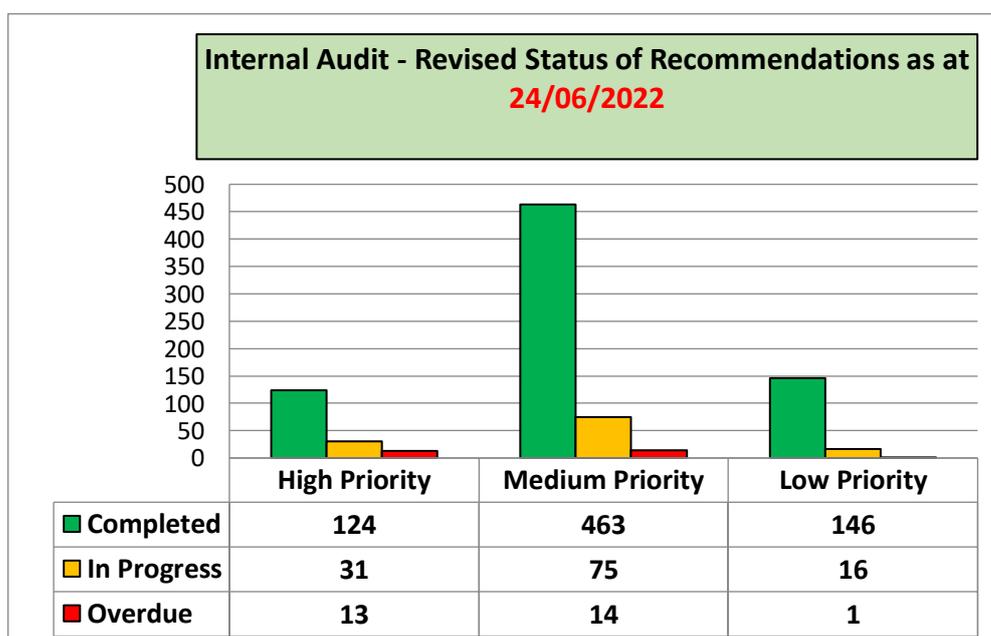
4.1 The following sets out the current position in respect of performance in implementing agreed actions stemming from NWSSP Audit & Assurance recommendations, when measured against the **original deadlines** agreed by management at the time the reports were finalised.

Fig 3: NWSSP Audit & Assurance Reports (Original Deadlines)



4.2 In certain circumstances, factors beyond the control of the implementing officer(s) may mean that the agreed date for implementation of the actions cannot be achieved, and a revised target implementation date is required. The following measures progress taking into account these **revised deadlines** as notified by management.

Fig 4: NWSSP Audit & Assurance Reports (Revised Deadlines)



- 4.3 This represents a decrease when compared with the last report to Audit Committee (May 2022), which recorded a total of 42 overdue actions. The primary reason for this movement is the closure of a number of actions, and agreement of revised deadlines dates for others, as a result of follow-up reviews undertaken in respect of Capital and Estates Assurance.
- 4.4 The above notwithstanding, this decrease has been somewhat off-set by the need to ‘re-open’ a number of actions which had previously been recorded as complete within the following audits:
- Discharge Planning 12 Actions Re-opened
  - WHO Checklist Follow-up 3 Actions Re-opened
- 4.5 A summary table of all actions in progress is set out at **Appendix C**, with a more detailed breakdown included at **Appendix D**. Further detail on all actions completed since the last report, including any comment made by the Executive Leads or their teams, has been included at **Appendix E**.

## 5. FINANCIAL IMPLICATIONS

- 5.1 There are no direct financial implications arising from this report.

## 6. RECOMMENDATIONS

- 6.1 Members are asked to:
- **NOTE** the current position of the Audit Registers and the status of the action plans.
  - **AGREE** any specific areas where the Committee feel that further assurance is required in order that these may be addressed with the relevant Lead Executive(s).

<b>Governance and Assurance</b>		
<b>Link to Enabling Objectives</b> <i>(please choose)</i>	<b>Supporting better health and wellbeing by actively promoting and empowering people to live well in resilient communities</b>	
	Partnerships for Improving Health and Wellbeing	<input type="checkbox"/>
	Co-Production and Health Literacy	<input type="checkbox"/>
	Digitally Enabled Health and Wellbeing	<input type="checkbox"/>
	<b>Deliver better care through excellent health and care services achieving the outcomes that matter most to people</b>	
	Best Value Outcomes and High Quality Care	<input checked="" type="checkbox"/>
	Partnerships for Care	<input type="checkbox"/>
	Excellent Staff	<input checked="" type="checkbox"/>
	Digitally Enabled Care	<input type="checkbox"/>
	Outstanding Research, Innovation, Education and Learning	<input type="checkbox"/>
<b>Health and Care Standards</b>		
<i>(please choose)</i>	Staying Healthy	<input type="checkbox"/>
	Safe Care	<input checked="" type="checkbox"/>
	Effective Care	<input checked="" type="checkbox"/>
	Dignified Care	<input checked="" type="checkbox"/>
	Timely Care	<input checked="" type="checkbox"/>
	Individual Care	<input type="checkbox"/>
	Staff and Resources	<input checked="" type="checkbox"/>
<b>Quality, Safety and Patient Experience</b>		
Outstanding audit recommendations may affect quality, safety and patient experience. It is essential that where audit recommendations are made, they are acted upon with leadership from the relevant Executive Director. Reports addressing quality and safety issues are discussed in more detail in the Quality & Safety Committee.		
<b>Financial Implications</b>		
Whilst there are no direct financial implications that need to be highlighted in this report, there may be issues arising from individual audit reports or recommendations made which have financial implications for the health board.		
<b>Legal Implications (including equality and diversity assessment)</b>		
Failure to address audit recommendations relating to areas such as staff and/or patient safety, or legislative compliance, may lead to action being taken against the health board.		
<b>Staffing Implications</b>		
There are no staffing implications associated with this paper.		
<b>Long Term Implications (including the impact of the Well-being of Future Generations (Wales) Act 2015)</b>		
A robust Governance Work Programme will assist the Board in assessing risk and gathering assurance across all corporate objectives, which span the five ways of working, and the wellbeing goals identified in the Act.		
<b>Report History</b>	N/A	
<b>Appendices</b>	Appendix A	Overdue Audit Wales Agreed Actions
	Appendix B	Overdue NWSSP Agreed Actions (Summary)
	Appendix C	Overdue NWSSP Agreed Actions (Detail)
	Appendix D	Completed NWSSP Agreed Actions

