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Bwrdd Iechyd Prifysgol
Bae Abertawe
Swansea Bay University
Health Board



Meeting Date	12 November 2020	Agenda Item	3.3
Report Title	Update report on actions related to the audit on governance arrangements during COVID and the field hospital assurance review		
Report Author	Darren Griffiths, Director of Finance (interim)		
Report Sponsor	Darren Griffiths, Director of Finance (interim)		
Presented by	Darren Griffiths, Director of Finance (interim)		
Freedom of Information	Open		
Purpose of the Report	<p>This report provides the Audit Committee with an update on the actions undertaken to meet the findings of two key audits in respect of the Health Board's COVID-19 response.</p> <p>The first action plan relates to the Internal Audit report, "Governance arrangements during COVID-19 Pandemic – Advisory Review". The second action plan relates to the follow up review undertaken by the Welsh Government Integrated Assurance Hub in respect of field hospital development.</p>		
Key Issues	<p>The Audit Committee received the "Governance arrangements during COVID-19 Pandemic – Advisory Review" at its September meeting and a report of actions against this plan was requested.</p> <p>In receiving the report, the Committee was advised that: -</p> <ul style="list-style-type: none"> • The COVID-19 report was positive and it highlighted that effective action had been taken; • Feedback from independent members was positive and the board arrangements were organized well; • Good communication and digital arrangements were in place; • Record keeping consistency and quality was the main theme within the recommendations. <p>A detailed appendix is attached to this report setting out the actions completed and being taken.</p>		

	<p>Also at the September Committee members received the Project Assessment review report received by the Health Board following the work undertaken by the Welsh Government Integrated Assurance Hub (WGIAH). The Committee also received a point in time update on the actions being undertaken to address the findings of this report.</p> <p>On 12th October 2020 the WGIAH revisited the Health Board to undertake follow up work on the actions put in place to address the findings of the original report.</p> <p>As a result of the follow up review, the WGIAH stated in their follow up report that action had been taken to substantially complete or progress all recommendations from the previous assurance review and much work has been undertaken to establish revised operational plans (having vacated Llandarcy Field Hospital) for mobilising the first phase of the Bay Field Hospital. The WGIAH increased their confidence delivery assessment from amber/red to amber and issued a further report. The action plan to address the follow up findings is attached to this report.</p>			
Specific Action Required <i>(please choose one only)</i>	Information	Discussion	Assurance	Approval
	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Recommendations	<p>Members are asked to:</p> <ul style="list-style-type: none"> • NOTE the actions in place and underway to address the advisory findings of the Governance arrangements during COVID-19 Pandemic – Advisory Review • NOTE the receipt of the follow up review report from WGIAH regarding field hospitals; and assurance review • NOTE the actions being undertaken to address the follow up review findings 			

UPDATE REPORT ON ACTIONS RELATED TO THE AUDIT ON GOVERNANCE ARRANGEMENTS DURING COVID AND THE FIELD HOSPITAL ASSURANCE REVIEW

1. INTRODUCTION

This report provides the Audit Committee with an update on the actions undertaken to meet the findings of two key audits in respect of the Health Board's COVID-19 response.

The first action plan relates to the Internal Audit report, "Governance arrangements during COVID-19 Pandemic – Advisory Review). The second action plan relates to the follow up review undertaken by the Welsh Government Integrated Assurance Hub in respect of Field Hospital development.

2. BACKGROUND

Governance arrangements during COVID-19 Pandemic – Advisory Review (internal audit)

The Audit Committee received the "Governance arrangements during COVID-19 Pandemic – Advisory Review" at its September 2020 meeting and a report actions of against this plan was requested. This report is attached as **Appendix 1**.

The report was very welcome and covered a wide range of aspects of the Health Board's COVID-19 governance response. To remind the Committee the report covered the following areas, not all of which required action as no findings were required.

Ref	Area covered	No of findings
4.1	Board and Committee meetings	1
4.2	Scheme of reservation and delegation and decision making arrangements	6
4.3	Risk management	3
4.4	Annual accounts and reporting	None
4.5	Financial systems and processes	3
4.6	COVID-19 expenditure (revenue and capital)	1
4.7	Workforce	5
4.8	Budget and savings	None
4.9	Partnership arrangements	None
4.10	Charitable funds	1
4.11	Information governance	None

In receiving the report, the Committee was advised that: -

- The COVID-19 report was positive and it highlighted that effective action had been taken;

- Feedback from independent members was positive and the board arrangements were organized well;
- Good communication and digital arrangements were in place;
- Record keeping consistency and quality was the main theme within the recommendations.

In order to ensure that the findings of the report are effectively actioned and embedded in Health Board practice, a detailed action plan has been developed which covers all of the areas within the report. This action plan is attached for the Committee's consideration at **Appendix 2**.

It has already been agreed with internal audit colleagues that a follow up review on this important area would be beneficial and discussions are planned to be held at the end of November 2020 to scope the range of the follow up audit with a view field work commencing immediately thereafter.

The Swansea Bay University Health Board advisory report sits alongside reports received by all other health bodies in Wales. Through work carried out by NHS Wales Shared Service, Directors of Finance received a summary set of findings compiled from the findings of all of the reviews and these will also be tested locally in Swansea Bay to determine if further learning can be gained from these national findings.

Field Hospital Follow Up Review (WGIAH)

At the September Committee members received the Field Hospital Project Assessment Review report received by the Health Board following the work undertaken by the WGIAH. The Committee also received a point in time update on the actions being undertaken to address the findings of this report.

On 12th October 2020 the WGIAH revisited the Health Board to undertake follow up work on the actions put in place to address the findings of the original report. At the time of the follow up review the Health Board provided the review team with an updated action plan backed up with a suite of evidence. The review team undertook a range of interviews with Welsh Government and Health Board members of staff on 12th October 2020 and findings report was issued at the end of that day. A copy of the final report is attached at **Appendix 3** for the Committee's consideration.

As a result of the follow up review, the WGIAH stated in their follow up report that action had been taken to substantially complete or progress all recommendations from the previous assurance review and much work has been undertaken to establish revised operational plans (having vacated Llandarcy Field Hospital) for mobilising the first phase of the Bay Field Hospital. The WGIAH increased their confidence delivery assessment from amber/red to amber and issued a further report. The action plan to address the follow up findings is attached to this report as **Appendix 4**.

The Field Hospital Operational Group, reporting to the Field Hospital Establishment Group remains the group responsible for the oversight of the delivery of the action plan. The Committee will note from the detail contained within the action plan that five of the eight findings have already been addressed since the receipt of the report and planned actions in place to move forward on the three outstanding items.

3. GOVERNANCE AND RISK ISSUES

The Health Board recognises and accepts the findings both reports and has arrangements in place to address the findings of each through detailed action plans.

Further updates on progress with the delivery of the action plans will be brought to future Audit Committees for assurance.

4. FINANCIAL IMPLICATIONS

There are no direct financial implications of this two updates provided in this report.

5. RECOMMENDATIONS

Members are asked to:

- **NOTE** the actions in place and underway to address the advisory findings of the Governance arrangements during COVID-19 Pandemic – Advisory Review
- **NOTE** the receipt of the follow up review report from WGIAH regarding field hospitals; and assurance review
- **NOTE** the actions being undertaken to address the follow up review findings

Governance and Assurance		
Link to Enabling Objectives (please choose)	Supporting better health and wellbeing by actively promoting and empowering people to live well in resilient communities	
	Partnerships for Improving Health and Wellbeing	<input checked="" type="checkbox"/>
	Co-Production and Health Literacy	<input checked="" type="checkbox"/>
	Digitally Enabled Health and Wellbeing	<input type="checkbox"/>
	Deliver better care through excellent health and care services achieving the outcomes that matter most to people	
	Best Value Outcomes and High Quality Care	<input checked="" type="checkbox"/>
	Partnerships for Care	<input checked="" type="checkbox"/>
	Excellent Staff	<input checked="" type="checkbox"/>
	Digitally Enabled Care	<input type="checkbox"/>
	Outstanding Research, Innovation, Education and Learning	<input checked="" type="checkbox"/>
Health and Care Standards		
(please choose)	Staying Healthy	<input checked="" 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 checked="" type="checkbox"/>
	Staff and Resources	<input checked="" type="checkbox"/>
Quality, Safety and Patient Experience		
<p>Ensuring strong governance arrangements for the Health Board's response to the COVID-19 pandemic will support the delivery of patient safety at a challenging time for service delivery.</p> <p>Ensuring increased delivery confidence of our field hospital capability as the super surge component of the Health Board's COVID-19 response will ensure that sufficient capacity exists to treat patients in a planned way, in the most appropriate care setting.</p>		
Financial Implications		
There are no direct financial implications of the content of this report.		
Legal Implications (including equality and diversity assessment)		
There are no direct legal implications arising from the content of this report.		
Staffing Implications		
There are no direct staffing implications as a result of this report but there are clear workforce components of the Health Board's COVID-19 response plan should demand be such that both surge and super surge capacity be required.		
Long Term Implications (including the impact of the Well-being of Future Generations (Wales) Act 2015)		
Ensuring that the Health Board has a resilient plan for delivering sufficient capacity to meet any COVID-19 future waves will ensure timely access to care and reduced risk of any preventable long term harm to patients who otherwise may have been unable to access care.		

Report History	<p>This governance arrangement advisory review element of this report is the second report to Audit Committee following formal receipt of the report at its September 2020 meeting.</p> <p>This Field Hospital Assurance Review report is a follow on report from the initial receipt of the first review and action plan by the Audit Committee at its September 2020 meeting.</p>
Appendices	<p>Appendix 1 – Governance arrangements during COVID-19 Pandemic – Advisory Review report from internal audit</p> <p>Appendix 2 – Health Board action plan in response to the advisory review</p> <p>Appendix 3 – Final field hospital follow up review report from the Welsh Government Integrated Assurance Hub</p> <p>Appendix 4 – Action plan (as at 3rd November 2020) in response to the field hospital follow up review</p>