



Audit Recommendations Tracker

Actions within the remit of the People and Organiaastional Development Committee considered by the Audit and Corporate Governance Committee Meeting 9 May 2024

Remit Committee: PODC ×									
Action No.	Origin	Re...	D...	F	Re...	Recommendation	Management Action Agreed	Original I...	Current I...
447	Audit Wales	Review of Quality Governance Arrangeme...	01/08/2022	PODC	N/A	R1 Equality Impact Assessments. Weaknesses in the Trust's approach to conducting, sharing, and responding to equality impact assessments limit its ability to deliver quality services that meet the needs of the population. The Trust should strengthen its approach to equality impact assessments by: a. Ensuring EIAs are completed where necessary b. Agreeing quality standards and a process to assess EIAs, ensuring they are meaningful assessments with appropriate actions to mitigate adverse impacts. c. Developing a central repository to store and share EIAs across the organisation. d. Developing a process to monitor implementation of mitigating actions.	Agree with the recommendation. The importance and value of Equality Impact Assessments in supporting quality services that meet the needs of the Welsh population is understood. This is currently a high priority issue as we realise the importance of enhancing the current arrangements to help the organisation meet the needs of the Socio-Economic Duty. There is a cross-organisational working group currently reviewing the tool for completing impact assessments, with the view to integrating various impact assessments and readying the organisation to develop a digital tool. This tool will support staff to engage with and complete the Equality Impact Assessment process. Currently there is limited dedicated resource to support staff in the organisation to complete these. We are scoping improved support for staff to ensure they are completed in a meaningful way and actions are monitored and completed. This will take into consideration the recommendation that a central repository is held to store EIAs, which was already planned as part of the ongoing implementation of the Socio-Economic Duty. In addition, we are launching an Engagement & Experience Network for colleagues across the organisation who have responsibility for designing and delivering our services, programmes and functions. There will be opportunity in the workplan of this network to further develop the capability of staff to complete Equality Impact Assessments to a high standard, including ensuring that the public's voice is at their centre. • Scope and agree the solution • Implement the agreed solution	01/03/2023	30/09/2024
557	Audit Wales	Workforce Planning	29/01/2024	PODC	N/A	Delivering the People Strategy R1 The Trust has not assessed its capacity and capability to deliver its People Strategy or assess specific risks associated with delivery beyond its three-year IMTP. By the end of quarter 1, 2024-25, the Trust should incorporate assessments of risk and resources into its 2024-27 IMTP as follows: 1.1. Set out the costs, staff capacity, skills and other resources associated with implementation of the next three years of the People Strategy, within its People and Organisational Development Directorate and across the business (high priority)	R1 The Trust has not assessed its capacity and capability to deliver its People Strategy or assess specific risks associated with delivery beyond its three-year IMTP. By the end of quarter 1, 2024-25, the Trust should incorporate assessments of risk and resources into its 2024-27 IMTP as follows: 1.1. Set out the costs, staff capacity, skills and other resources associated with implementation of the next three years of the People Strategy, within its People and Organisational Development Directorate and across the business (high priority); Accepted Actions 1.1 and 1.2 will need to be completed in partnership with Finance / Planning Colleagues and would need to be integrated into the IMTP planning framework to achieve alignment and integration with the LTS.	30/06/2024	31/03/2025
558	Audit Wales	Workforce Planning	29/01/2024	PODC	N/A	Delivering the People Strategy R1 The Trust has not assessed its capacity and capability to deliver its People Strategy or assess specific risks associated with delivery beyond its three-year IMTP. By the end of quarter 1, 2024-25, the Trust should incorporate assessments of risk and resources into its 2024-27 IMTP as follows: 1.2. Identify the specific risks associated with implementing the People Strategy and plans to manage those risks (high priority).	As Action 557. 1.2. Identify the specific risks associated with implementing the People Strategy and plans to manage those risks (high priority). Accepted Actions 1.1 and 1.2 will need to be completed in partnership with Finance / Planning Colleagues and would need to be integrated into the IMTP planning framework to achieve alignment and integration with the LTS.	30/06/2024	30/03/2025
559	Audit Wales	Workforce Planning	29/01/2024	PODC	N/A	R2 The Trust is developing a comprehensive picture of current workforce capacity via its workforce toolkit but must ensure its workforce information is correct. In particular, the Trust needs accurate figures on its current establishment and vacancies. It also needs to understand future service demand and model the impact on future workforce requirements. The Trust should: 2.1. Develop an approach to ensure the accuracy of data in the workforce toolkit and other internal workforce datasets by the end of quarter 1 2024-25. In particular, the Trust must have an accurate picture of its current establishment and vacancy levels (high priority)	Developing workforce intelligence R2 The Trust is developing a comprehensive picture of current workforce capacity via its workforce toolkit but must ensure its workforce information is correct. In particular, the Trust needs accurate figures on its current establishment and vacancies. It also needs to understand future service demand and model the impact on future workforce requirements. The Trust should: 2.1. Develop an approach to ensure the accuracy of data in the workforce toolkit and other internal workforce datasets by the end of quarter 1 2024-25. In particular, the Trust must have an accurate picture of its current establishment and vacancy levels (high priority); Accepted. This is an essential element of work and having adequate resource to achieve this is critical. Work is underway at an all-Wales level to prepare organisations for the next generation ESR solution. This is a significant piece of work. Unfortunately, the revised solution does not include modules which improve WFP capability. Having access the right skills and technology to deliver this is essential. We will work with the Data Knowledge and Research Team to agree the scope and plan to deliver this aim. This will include investing in technology to facilitate workforce planning and service/workforce modelling, subject to costings and procurement process.	30/06/2024	30/06/2024
560	Audit Wales	Workforce Planning	29/01/2024	PODC	N/A	R2 The Trust is developing a comprehensive picture of current workforce capacity via its workforce toolkit but must ensure its workforce information is correct. In particular, the Trust needs accurate figures on its current establishment and vacancies. It also needs to understand future service demand and model the impact on future workforce requirements. The Trust should: 2.2. In partnership with Data, Knowledge and Research and Finance Directorates, develop a consistent approach to model future service demand to understand the longer-term human and financial resource implications and potential risks to the organisation by the end of quarter 1 2024-25 (medium priority).	Following Action 559 2.2. In partnership with Data, Knowledge and Research and Finance Directorates, develop a consistent approach to model future service demand to understand the longer-term human and financial resource implications and potential risks to the organisation by the end of quarter 1 2024- 25 (medium priority). Accepted. This is an essential element of work and having adequate resource to achieve this is critical. Work is underway at an all-Wales level to prepare organisations for the next generation ESR solution. This is a significant piece of work. Unfortunately, the revised solution does not include modules which improve WFP capability. Having access the right skills and technology to deliver this is essential. We will work with the Data Knowledge and Research Team to agree the scope and plan to deliver this aim. This will include investing in technology to facilitate workforce planning and service/workforce modelling, subject to costings and procurement process.	30/06/2024	30/06/2024
561	Audit Wales	Workforce Planning	29/01/2024	PODC	N/A	R3 There are opportunities for the Trust to improve its approach to staff engagement. By the end of 2023, the Trust should: 3.1. Review the strategic approach to engagement to ensure it is timely and fully embedded in service planning and change management (high priority)	Engagement with staff R3 There are opportunities for the Trust to improve its approach to staff engagement. By the end of 2023, the Trust should: 3.1. Review the strategic approach to engagement to ensure it is timely and fully embedded in service planning and change management (high priority) Accepted – This is work already underway	30/09/2024	31/12/2024
562	Audit Wales	Workforce Planning	29/01/2024	PODC	N/A	R3 There are opportunities for the Trust to improve its approach to staff engagement. By the end of 2023, the Trust should: 3.2. Develop an approach to increase participation rates in workforce surveys	Following Action 561 3.2. Develop an approach to increase participation rates in workforce surveys and engagement activities, specifically targeting underrepresented parts of the business including the Health Protection and Screening Directorate by the end of quarter 2 2024-25 (high priority).	30/09/2024	30/09/2024

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564	Audit Wales	Workforce Planning	29/01/2024	PODC	N/A	R5 We found weaknesses in the Trust's approach to monitoring and overseeing delivery of its People Strategy. It does not understand the impact of its efforts to implement that strategy and the POD Committee does not have a clear picture of progress implementing the People Strategy. By the end of quarter 2 2024-25, the Trust should: 5.1. Develop mechanisms to report progress against the workforce outcome indicators in the People Strategy and IMTP (high priority)	Accepted We will look to do this in partnership with our Strategy and Planning Colleagues, to ensure efficiency and integration.	30/09/2024	30/09/2024
565	Audit Wales	Workforce Planning	29/01/2024	PODC	N/A	R5 We found weaknesses in the Trust's approach to monitoring and overseeing delivery of its People Strategy. It does not understand the impact of its efforts to implement that strategy and the POD Committee does not have a clear picture of progress implementing the People Strategy. By the end of quarter 2 2024-25, the Trust should: 5.2. Develop mechanisms to measure the impact of workforce initiatives and activities on sickness absence and turnover to understand their contribution to reducing workforce risk in areas identified as higher risk such as health protection and screening (high priority)	Following Action 564 Accepted We will look to do this in partnership with our Strategy and Planning Colleagues, to ensure efficiency and integration.	30/09/2024	30/09/2024
566	Audit Wales	Workforce Planning	29/01/2024	PODC	N/A	R5 We found weaknesses in the Trust's approach to monitoring and overseeing delivery of its People Strategy. It does not understand the impact of its efforts to implement that strategy and the POD Committee does not have a clear picture of progress implementing the People Strategy. By the end of quarter 2 2024-25, the Trust should: 5.3. Refine the annual work programme for the POD Committee to link it more clearly to the Trust's management of key workforce risks and the delivery of the People Strategy (high priority)	Following Action 565 Accepted We will look to do this in partnership with our Strategy and Planning Colleagues, to ensure efficiency and integration. Our Dashboards will be the key mechanism for measuring impact of workforce initiatives. We will also seek to gather qualitative data to understand impact of initiatives from a user perspective. We will work in partnership with PODCOM and colleagues in our Board Governance Team to meet the requirements of actions 5.3 and 5.4.	30/09/2024	30/09/2024
591	Internal Audit	Appraisal Process - Public Health Consultants	09/05/2024	PODC	Reasonable assurance	The Trust should ensure that the draft All Wales Medical Appraisal Policy and draft Professional Appraisal Guide are appropriately approved and shared as soon as practically possible. The Trust should also ensure that consultant job planning is undertaken using the 2014 BMA Cymru/Welsh Government/NHS Employers job planning guidance document.	The All Wales Medical Appraisal Policy is currently being progressed through the PHW governance procedure (consultation, Leadership Team and PODCOM). The Leadership Team will be reviewing the document in April 2024. The Professional Appraisal Guide has been drafted and is awaiting final comment from Dep Medical Director and Appraisal Lead with a deadline of end of April 2024. The agreed document will be published on the Office of the Medical Director sharepoint page for future reference for colleagues.	31/05/2024	
592	Internal Audit	Appraisal Process - Public Health Consultants	09/05/2024	PODC	Reasonable assurance	The Office of the Medical Director should ensure that progress toward implementation of a formal appraisers training programme and a supporting appraiser's network is maintained, and implemented as soon as is practicable.	The Appraisal Lead will review existing training material and a final review meeting is planned in early May 2024 to approve the detail and devise a rollout plan.	31/05/2024	
593	Internal Audit	Appraisal Process - Public Health Consultants	09/05/2024	PODC	Reasonable assurance	Consideration should be given to increasing the number of appraisers to improve availability and efficiency of appraisal delivery and ensuring coverage in the event of appraiser absence or unavailability due to work based demand pressures. This could be facilitated through 'The Glancet' Consultant newsletter and the PHW Consultants Engagement Group. Additionally, succession planning processes should be introduced to ensure that a satisfactory level of appraisers is maintained when current appraisers leave Trust employment or choose to step down from the role.	The Appraisal Lead and OMD Team will review recent appraiser survey data including the current list of appraisers and the ratio of appraisees to appraisers, considering the future need for succession planning in this area. Collaboration with the Consultant Engagement Group will take place, to attract new appraisers and local recruitment activity will be planned later in 2024.	30/09/2024	
594	Internal Audit	Appraisal Process - Public Health Consultants	09/05/2024	PODC	Reasonable assurance	All annual Consultant job planning documentation should be provided to the Office of the Medical Director as part of the appraisals process, and to the Office of the Medical Director ensuring a complete and accurate record of the annual appraisal process. The presence and discussion of job plans as part of a Consultants annual appraisal process is a requirement of the 2011 BMA/NHS Employers Guide to Consultant Job Planning and the draft PHW All-Wales Medical Appraisal Policy.	An e-Job Planning system has been piloted and is now being rolled out to all consultants and SAS doctors with a further two training sessions being provided for colleagues. One to one support, provided by the OMD Team, is available to all consultants to enable them to develop and upload their contractual job plan to the system. Furthermore, guidance and instructional documentation is being developed and will be available to colleagues. From June 2024, the OMD will begin the process of conducting monthly reviews of the e-job planning system to ensure job plans are available for all consultants and SAS doctors. Where job plans are not available, support will be provided to assist colleagues with the system or, provide support to upload job plans which are in other formats. Where there is a complete absence of a job plan, this will be highlighted to the Deputy Medical Director in the first instance for discussion with the job holder. A communication will be issued from the Exec Medical Director reminding consultants and SAS doctors of their contractual requirements in relation to job plans. The OMD Sharepoint page will contain a section specifically for job plans and the e-Job planning system providing advice and guidance.	01/06/2024	
595	Internal Audit	Appraisal Process - Public Health Consultants	09/05/2024	PODC	Reasonable assurance	The QA Group ToR should be finalised and then approved by the QA Group as soon as practicable, so as to formalise its mandate in delivering its purpose and objectives.	The TORs for the Revalidation QA Group will be finalised and signed off at the next meeting of the group.	31/05/2024	
596	Internal Audit	Appraisal Process - Public Health Consultants	09/05/2024	PODC	Reasonable assurance	The proposed monthly informatics activity report should be progressed and implemented to ensure regular reporting of appraisals performance to the QA Group and People & OD Committee.	An infographic document will be drafted and shared with OMD DLT (April 2024). This will be updated and produced on monthly basis and shared at the Workforce OMD DLT meeting with quarterly figures being available to the Board/PODCOM as required.		