Audit Recommendations Tracker ☆

Active List - Default - All | BBU | HPSS | HWB | Add view

Remit Committee: PODC ×

Clear ×

Audit Acti...	Origin	Report	Report Assura...	Exec Lead	Date added	Original Imple...	Current Imple...	Recommendation	Management Action Agreed	Remit Co...	Management Lead	Quarterly Progress Report	Financial Year	Action for LT	Themes	Risk Types	Priorit
673	Internal Audit	Workforce - Mental Health Support	Reasonable assurance	Director Peo...	16/12/2025	30/06/2026	30/06/2026	Managing Attendance at Work (MAAW) Staff training We tested a sample of mental health-related sickness absence episodes. We considered if line managers, who conducted the Return to Work (RTW) meetings, had completed the Managing Attendance at Work (MAAW) training. We note: • 9/14 responders were either unaware of the training or had not undertaken the training. • 4/14 line managers had not undertaken MAAW training in the last 3 years, which is longer than the recommended time. • No response was received from six line managers within the sample. People and OD recommend that MAAW training is completed every three years. While we understand that a refresher course is recommended, it is not mandatory. The team is awaiting the release of an e-learning module for MAAW, which will become a mandatory requirement for line managers.	Management will ensure the delivery of learning and development on the Managing Attendance at Work (MAAW) Policy for individuals with line management responsibilities. Once the e-learning is available, the MAAW course will be incorporated into the organisation's induction guidance, as well as updated within relevant policies and procedures (noted that the Policy and e-learning are both developed and agreed at an All-Wales level).	PODC	Jenny Ansell (POD Operations Service Manager)		2025/26		Training and De...	Quality or Safet...	Med
674	Internal Audit	Workforce - Mental Health Support	Reasonable assurance	Director Peo...	16/12/2025	30/06/2026	30/06/2026	We reviewed a sample of 20 mental health-related sickness absence episodes which identified gaps in compliance with the Managing Attendance at Work policy: • Late recording: Four sickness episodes were entered on ESR between 23 and 140 days after absence began. • Missing or incomplete documentation: Two samples lacked supporting documents; five self-certification forms were missing or incomplete; one case had no RTW or self-certification forms. • Form Errors: Discrepancies between ESR and RTW/self-certification dates; unsigned or undated forms; one RTW form had an incorrect historical sign-off date. • GP Fitness Notes: Four samples missing notes; one sample had three notes without the staff member's name.	Management will ensure line managers undertake the MAAW training and strengthen compliance with the application of the MAAW policy by ensuring: • Communication to managers on the importance of appropriate certification for sickness absences. • Timely recording of sickness absence episodes on ESR. • RTW interviews conducted promptly. • Adequate completion and storage of related documentation. • Provision of regular training and refresher sessions for line managers.	PODC	Jenny Ansell (POD Operations Service Manager)		2025/26		Informarion, Dat...	Legal and Regul...	Med
675	Internal Audit	Workforce - Mental Health Support	Reasonable assurance	Director Peo...	16/12/2025	31/01/2026	31/01/2026	Standardised record-keeping for sickness absence documentation The organisation has established a centralised repository for all personnel records, including sickness absence records, stored within a secure SharePoint library. However, not all Directorates have adopted this yet and therefore some personal records relating to sickness absence are retained locally by line managers. In some instances, the People and OD team have access to relevant documentation via SharePoint. As highlighted in Finding 2, two sample records that we requested were not provided, because the documents could not be located. Inconsistent record retention and accessibility may hinder the Trust's ability to demonstrate compliance with sickness absence procedures, provide support to staff and monitor workforce trends effectively.	The organisation has established a centralised repository for all personnel records, including sickness absence records, stored within a secure shared folder accessible to designated members of the People and OD team. This is expected to be adopted by all Directorates by 31 January 2026.	PODC	Jenny Ansell (POD Operations Service Manager)		2025/26		Informarion, Dat...	Legal and Regul...	Med