

ABM University Health Board	
8th March 2018 Workforce and Organisational Development Committee Agenda item: 7	
Subject	Limited Assurance Audit Actions
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Approved by	Kate Lorenti, Acting Director of HR
Presented by	Kate Lorenti, Acting Director of HR

1. PURPOSE

To share with Workforce & OD Committee an update on the actions planned to address limited assurance audit actions.

2. BACKGROUND

In accordance with the 2017/18 Internal Audit Plan, reviews were undertaken of the statutory and mandatory training progress and PADR arrangements of the Health Board.

2.1 Mandatory Training

The overall objective of this audit was to review arrangements in place to ensure all staff comply with statutory and mandatory training requirements determined by the Health Board, including the management and monitoring of actions and risks identified at the last review.

2.2 PADR

The overall objective of this audit was to review staff performance management and appraisals. In view of the issues and actions reported to the Board with respect to this area, the audit was focused on action being taken to improve performance of PADRs and recording of the same within ESR.

3. KEY ISSUES

3.1 Mandatory Training

Outstanding Overdue Recommendations	Actions Planned
<p>Management should review the Mandatory Training Framework and include the membership of the Mandatory Training Governance Committee in the terms of reference</p>	<p>The review date for the Mandatory Training Framework is June 2018.</p> <p>Arrangements for review will be coordinated by the Learning and Development Team.</p>
<p>We would recommend that at its next review the Framework be developed by the subgroup, but approved by the wider Executive Team with a covering report noting the consultation process.</p> <p>We would also recommend that the Health Board Partnership Forum review the terms of reference of its subgroup in conjunction with the Board Secretary to ensure that the appropriate approval mechanisms are in place for future corporate documents.</p>	<p>Following review of the Framework this will be shared with the wider Executive Team.</p> <p>The Learning and Development Team will ensure the Health Board Partnership Forum are involved in Reviewing the Terms of reference to ensure these are in line with approval mechanisms.</p> <p>An extension until April 2018 has been agreed for this action in order to align with the Health Board committee structure review.</p>
<p>Management should ensure that the Mandatory Training Governance Committee meet on a regular basis to monitor implementation of statutory and mandatory arrangements within ABM as per the terms of reference.</p>	<p>Mandatory Training Governance committee will be renamed to Mandatory Training Governance Group</p> <p>Due to interim executive arrangements and committee reporting structure changes this group has not met.</p> <p>Review of whether formation of the group is the continued vision for the Health Board following commencement of substantive Director of WOD.</p>
<p>We recommend that in the information reported to the Health Board, via the WODC, an indication of the continued exposure to risk and assurance in respect of action being taken to address</p>	<p>Continue to provide statistics to the WOD Committee</p> <p>It has been agreed that this will be added to Organisational Risk Register in</p>

it.	February 2018
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3.2 PADR

Outstanding overdue Recommendations	Actions Planned/ Update
<p>Management should agree a target date by which Supervisor Self-Service will be rollout with milestones along the way and report that and progress against it to Workforce & OD Committee to enhance the assurance provided.</p>	<p>Some progress has been made in establishing supervisor hierarchies and expediting the process of uploading supervisors into ESR (via data upload rather than manual upload).</p> <p>Resources, capacity and prioritisation continues to be an issue and an organisational decision around ESR SS roll out is still pending at this time.</p> <p>December 2018</p>

3.3 Audit of Occupational Health and Wellbeing Transformation Group

An internal audit of the Project Plan has been undertaken with the recommendation of undertaking a 'stock take' of the group against the original external review recommendations that brought it about and considering this alongside other Health Board priorities. This recommendation was considered at the Transformational Group meeting held on 28/11/17 and outstanding actions were discussed alongside other Health Board priorities. A revised plan was produced of outstanding actions with time-framed outcomes. Since then the Recovery and Sustainability Programme has been revised and a new 'Staff Wellbeing' work stream has been developed within this. The implications of this will be discussed at the next Transformational Group and it is anticipated that the revised actions will be complete by July 2018.

4. RECOMMENDATIONS

The Workforce & OD Committee is asked to note the updates in this paper.