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Bwrdd Iechyd Prifysgol  
Cwm Taf Morgannwg  
University Health Board

Reporting Committee	Audit Committee
Chaired by	Paul Griffiths, Independent Member
Lead Executive Director	Director of Finance & Interim Board Secretary
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Date of last meeting	20 January 20250

## Summary of key matters including achievements and progress considered by the Committee and any related decisions made.

For the information of Board Members, a brief summary of the papers considered by the Audit Committee at its meeting held on the 20 January 2020. The Agenda and papers for the meetings are available on the UHB's Internet site via the following link: <http://cwmtaf.wales/Docs/Audit%20Committee/013%20February%2011%202019.pdf>

## In Committee (B)

### Local Counter Fraud Quarterly Progress Report

Members discussed and **noted** this report.

#### Part 1.

### Internal Audit Progress Report

Members **received** and **noted** the report, which listed completed reports. The report highlighted that the turnaround time of management responses had deteriorated to 35% which was disappointing. Members were advised that regular meetings were held with Internal Audit and there was an escalation process in place. Internal Audit recognised that there were significant pressures in place within the Health Board. It was agreed that this would be escalated to the Executive Team at their weekly meeting.

### Internal Audit Review Reports

The Committee received and noted the following Internal Audit Review Reports:

- Estates Maintenance Systems – Reasonable Assurance
- Raising Concerns (follow-up) – Reasonable Assurance
- Pathology Directorate Review Management Arrangements – Reasonable Assurance
- Pathology Director Review Compliance – Reasonable Assurance
- Nurse Staffing Levels (Wales) Act – Reasonable Assurance
- Digitisation – Reasonable Assurance
- Princes Charles Redevelopment Financial Management Audit – Reasonable Assurance
- Information Governance – Medical Records Management – Reasonable Assurance

**Wales Audit Office Update Report**

Members **received** and **noted** the report that was presented by Sara Utlely. The report highlighted the Exhibit 2 work which was currently underway or planned and noted that the reports on the Structured Assessment, Annual Audit and Future Generations would be presented to the next meeting.

**Clinical Coding Update**

Members **received** and **noted** the report. The report highlighted the follow-up review of the progress made in regards to the recommendations previously set out in the 2014 review of clinical coding arrangements. Members were advised that the team had fully accepted the findings and that the quality of coding remained of a high standard. Additional funding had been received to support Clinical Audit and Clinical Coding functions and support was being provided by the Medical Director in terms of medical leadership and engagement elements with good progress being made. Members discussed the possibility of undertaking a visit to the clinical coding teams to gain an understanding of the work that they undertake.

**Revised Board Assurance Framework**

Members **received** the report which was presented by Georgina Galletly. Members were advised that the Framework was previously approved in May 2017. Since that time the organisation had evolved to incorporate new boundary changes and was currently responding to an increased Welsh Government escalation status.

Members noted that the review of the Framework would be ongoing, and the revised version was the first step to ensure the framework was updated to incorporate the changes over recent months and years. A more thorough review would continue to be conducted over the next six months resulting in further iterations and continued strengthening of assurance mechanisms to support the Board in leading safe, quality, sustainable services. Members **ENDORSED** the Framework which would be presented to the January 2020 Board Meeting for approval.

**Organisational Risk Register**

Members **received** and **noted** the latest iteration of the Organisational Risk Register which was presented by Georgina Galletly. Members were advised that discussions were ongoing between the Director of Corporate Governance and Lead Directors to comprehensively review the Risk Register with an aim for a new approach to be finalised as soon as possible. Members **NOTED** that the Risk Register was now discussed each month at the Management Board. Three risks had been removed and four new risks added. Members noted the revised Committee structures and that the Risk Register now sat with this Committee as opposed to the Quality & Safety Committee.

**Update on Internal Audit Recommendations Tracker**

Members **NOTED** the verbal update by Georgina Galletly. Members were advised that lots of work was currently being undertaken on the Audit Tracker with Internal Audit providing support to develop a revised template. The revised template would be presented at the April 2020 meeting of the Committee.

**Consultant Job Planning – Response to Review Undertaken by Internal Audit**

Members **received** and **noted** the report which was presented by Nick Lyons. Members had been disappointed with the findings contained within the 'Limited Assurance' Internal Audit Report that had been previously received. Members were advised that the report had recommended eight findings for action. Five were of high priority, two of medium priority and one of low priority. Members **noted** that Finding eight had been completed. Members discussed Findings one to seven in detail and agreed to receive a follow up late 2020/early 2021.

#### **Procurements and Scheme of Delegation Report**

Members received the report which was presented by Elisabeth Williams. Members **noted** the position on procurement matters for the period 1<sup>st</sup> September 2019 to 30 November 2019. Members **noted** the update regarding Purchase-to-Pay and **APPROVED** the Financial Control Procedures.

#### **Losses and Special Payments Report**

Members **received** the report detailing movements. Members **noted** there was an increase of £10.9m in medical negligence provision during this period and discussed the reasons for this. Members **noted** the report.

#### **Risk Share from Welsh Risk Pool Costs above the National Budget and Future Work on Comparative Claims Cost**

Mark Thomas presented the report. Members were advised that for the financial year 2019/2020 Health Boards had incurred an additional charge from the all-Wales Risk share arrangements. The report highlighted how the split of risk sharing allocation was made with CTMUHB share being £1.8m. Members **noted** that the forecast costs for next year was £1.7m and was already being built into the draft financial plan. Members **noted** that further work would be undertaken to understand the reasons behind the variations and **agreed** to keep a close eye on this moving forward. Members **resolved** to **note** the report and the progress made.

### **Part 2.**

#### **Internal Audit Recommendations Tracker**

Members **received** the report which was presented by Stuart Davies. Members **noted** that the report position remained positive with no outstanding recommendations. Four items were not yet due for implementation. Members were advised that there were some actions outstanding with regard to training and these would be completed by March 2020. Members **resolved** to **note** the report.

#### **WHSCC Corporate Risk Assurance Framework**

Members **received** the report and noted that work that had been undertaken in relation to risks. Members **noted** that a number of issues had been removed from the register, one relating to PET scanning and the other related to mobility codes for wheelchairs. Members were advised that a new PET scanner would be in place at Cardiff University hopefully from July and investigations were underway with regard to putting in mobile scanner in Singleton.

#### **EASC Corporate Risk Assurance Framework**

Members **received** and **noted** the verbal update which was presented by Stuart

### Appendix 5.1.3

Davies. Members were advised that a report on Risk Management would be presented to the January 2020 EAS Committee and would subsequently be shared with the Audit Committee following this.

<b>Key risks and issues/matters of concern and any mitigating actions</b>
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None
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<b>Matters referred to other Committees</b>
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None
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<b>Date of next meeting</b>	6 April 2020
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