

**CONFIRMED MINUTES OF A MEETING OF THE AUDIT COMMITTEE
HELD ON 23 MAY 2017
IN THE CORPORATE MEETING ROOM, HEADQUARTERS, UHW**

Present:

Ivar Grey	Independent Member – Finance, Chair
John Antoniazzi	Independent Member - Capital
Stuart Egan	Independent Member – Trades Unions

In Attendance:

Robert Chadwick	Director of Finance
James Johns	Head of Internal Audit
Peter Welsh	Director of Corporate Governance
Mark Jones	Wales Audit Office
Craig Greenstock	Counter Fraud Manager
Simon Cookson	Director of Audit and Assurance, NWSSP
Sian Rowlands	Corporate Governance Manager
Ian Virgill	Deputy Head of Internal Audit
Carol Evans	Assistant Director of Patient Safety and Quality

Apologies:

John Herniman	Wales Audit Office
---------------	--------------------

Secretariat:

Glynis Mulford

AC: 17/035 WELCOME AND INTRODUCTIONS

The Chair welcomed all present to the meeting and explained that this was an extra meeting to deal with the backlog in internal audit reports. The minutes of the previous meeting and action would be received at the next scheduled meeting.

AC: 17/036 APOLOGIES FOR ABSENCE

Apologies for absence were noted.

AC: 17/037 DECLARATIONS OF INTEREST

The Chair invited Members to declare any interests in the proceedings. None were declared.

AC: 17/038 INTERNAL AUDIT POSITION AND TRACKING REPORT

Mr James John, Head of Internal Audit, highlighted the individual position and progress on each report, stating out of the 13 reports two received Limited Assurance, three Substantial Assurance and eight Reasonable Assurance.

Waiting List Initiative – Limited Assurance: Mr James John, Head of Internal Audit, gave an update on the report highlighting some areas of concern. It was stated they had looked into a number of areas across the Health Board with the largest amount of expenditure. Although good practices were found, inconsistencies in the management approach had been identified. Approval of payments needed to be strengthened as some claims had not been authorized at the appropriate level. Issues had been identified in relation to rates of pay being rewarded to some staff and whether these were correct.

Mr Steve Curry, Chief Operating Officer acknowledged the findings, stating it was essential to have an up to date protocol in use. Members were informed that the team had picked up on a range of recommendations highlighted in the report. One policy will be produced which will have a standard approach with appropriate approvals. There will be no local variation in the policy and it will reflect the three standard pay rates for consultants and registrars. He was satisfied the team had responded accordingly and will provide assurance to the Committee through follow up reports.

Continuing Health Care – Limited Assurance: The report looked at Primary Care and Women & Children Clinical Boards. There was guidance in place at an all Wales level around quality and assurance, although there was no framework for Women & Children. There were issues with ongoing monitoring processes which showed a lack of evidence of reviews for clients and care providers. It was identified that the process was not always compliant with guidance. There were further contractual risks as the Heads of Service Agreement was out of date. These needed completion with appropriate timescales.

Mr Steve Curry, Chief Operating Officer said that in terms of a Heads of Service Agreement the UHB had written to local authorities and a further meeting had been arranged. It was envisaged this would be concluded in June. Members were informed that there had been resource difficulties around Annual Reviews and resources had been moved from north to south area to achieve this. There had been discussion with the Clinical Boards around timeliness in regard to approval of packages. Mr Curry said he was satisfied that both Clinical Boards are moving forward and had taken issues seriously.

The Committee was informed that a Mental Health Assessor had been employed. In relation to Recommendation 8, it was asked for this to be reworded to ensure it stated clearly there would be a three month review.

ACTION: Recommendation 8 to be reworded

IT System – Trauma and Orthopaedics (Bluespier) – Reasonable Assurance: Weaknesses had been identified in the governance

arrangements. Regarding some of the issues with the system, there had been a number of key changes within the directorate and there was a need for strengthening around managers being trained on its application. The Directorate was not gaining full value of use of system and there was a need for key issues to be picked up and addressed. It was necessary for improvements to be made to passwords around control and access arrangements as the system sitting on the network did not meet the password criteria.

The Chair said he would pass the report on to Information Management and Technology sub-Committee for further monitoring.

ACTION: Report to go forward to IMT sub-Committee

Integrated Medium Term Plan (Workstreams) – Reasonable Assurance:

This was in relation to Mental Health Services for Older People and Primary Care. Good controls were found in a number of areas including operational plans in how they are being developed and taken forward. It was noted there were differences between the two Clinical Boards with one having stronger arrangements. There were some delays in certain aspects of the plans.

Theatres Stock – Follow-up – Reasonable Assurance: This received Limited Assurance in the original review. Action had been taken to address issues. A considerable amount of work had been achieved to address the longstanding concerns and a programme was in place to take further.

Mental Health Clinical Board – Information Governance – Reasonable Assurance: There was some basis of a structure for the management of Information Governance. Directorates within the Clinical Board were putting a structure together to take the agenda forward as this was not fully developed. An Information Asset Register was being developed but the posts for Information Asset Administrators were not in place.

Medicine Clinical Board Specializing – Reasonable Assurance: Issues highlighted that procedures were not being followed through consistently and documents were missing or misfiled. There was evidence of gaps around some aspects. Paper SRAs were not being consistently replicated and there was lack of engagement of staff with patients. Concerns were raised around the documentation such as care plans not held at patients bed and DoLs authorization file expiring.

ACTION: C Evans to review report and policy and raise the weaknesses in record keeping with Executive Nurse Director. Findings to be triangulated with DoLs Limited Assurance report that had been received at an earlier meeting. To go forward to Quality and Safety and Mental Health Committees.

Health & Care Standards – Reasonable Assurance: Good progress had been made in terms of embedding arrangements. There was clear evidence Clinical Boards were actively engaging with process.

Specialist Services – Medical Staff Study Leave – Reasonable Assurance: This had been the third piece of work undertaken on Medical Staff Study Leave where a number of issues needed to be addressed and strengthened. The All Wales policy was out of date and should be renewed to reflect current practices. The User Guide was also out of date. The Annual appraisal revalidation MARs was monitored by the Clinical Directors. Uptake of study leave was low and not all costs had not been claimed within the allocated timeframe, as the forms had been submitted late. There was a need for consultants to take appropriate study leave in order to demonstrate Continued Performance Development (CPD).

Rookwood Relocation - Capital Scheme – Reasonable Assurance: Various aspects of the Capital Scheme were being looked at. Six areas were covered in the report with positive outcomes.

The Committee:
CONSIDERED and **NOTED** the Progress Report

AC: 17/039 LOSSES AND SPECIAL PAYMENTS

Mr R Chadwick presented the report, which summarized the meetings of the panel. There were no concerns with content of report.

The Committee:

- **APPROVED** the write off of the losses and special payments outlined in the assessment section shown below:
- **NOTED** the minutes of the 17 May 2017 meeting of the Losses and Special Payments Panel.