

**Confirmed Minutes of the Public Audit & Assurance Committee
Held on Tuesday, 21st April 2020
Executive Meeting Room, 2nd Floor, Woodland House**

Chair		
John Union	JU	Independent Member – Finance
Present:		
Eileen Brandreth	EB	Independent Member – ICT
Dawn Ward	DW	Independent Member – Trade Union
In Attendance:		
Bob Chadwick	BC	Executive Director of Finance (<i>via Skype</i>)
Nicola Foreman	NF	Director of Corporate Governance
Mike Jones	MJ	Wales Audit Office (<i>via Skype</i>)
Mike Usher	MU	Sector Lead – Health & Central Government (<i>via Skype</i>)
Ian Virgil	IV	Head of Internal Audit
Secretariat		
Laura Tolley	LT	Corporate Governance Officer
Apologies:		
Martin Driscoll	MD	Deputy Chief Executive Officer / Executive Director of Workforce & Organisational Development
Craig Greenstock	CG	Countefraud Manager
Stuart Walker	SW	Executive Medical Director

AAC 20/04/001	Welcome & Introductions The Committee Chair (CC) welcomed everyone to the public meeting.	ACTION
AAC 20/04/002	Apologies for Absence Apologies for absence were noted.	
AAC 20/04/003	Declarations of Interest There were no declarations of interest.	
AAC 20/04/004	Minutes of the Committee Meeting held on 3rd March 2020 The Committee reviewed the minutes of the meetings held on 3 rd March 2020. Resolved that: (a) the minutes of the meeting held on 3 rd March 2020 be	

	approved as a true and accurate record.	
AAC 20/04/005	<p>Action Log following the Committee Meeting held on 3rd March 2020</p> <p>The Committee reviewed the action log and noted the following updates:</p> <p>AC 20/03/008 – It was confirmed an internal audit would be carried out at an appropriate time agreed with the Executive Medical Director (EMD)</p> <p>AC 19/05/007 – It was confirmed that Performance Reporting Data Quality –RTT had moved to the 2020-21 plan.</p> <p>Resolved that:</p> <p>(a) the Committee noted the action log and the verbal updates provided.</p>	
AAC 20/04/006	<p>Chairs Action taken since the last Committee Meeting held on 18th February 2020</p> <p>There had been no Chairs Action taken.</p> <p>The CC advised the Committee that a weekly Board Governance meeting had been arranged with the Chair and Vice Chair and minutes from that meeting would be shared with all Independent Members as appropriate.</p> <p>The Director of Corporate Governance (DCG) confirmed that all questions raised were recorded to keep an audit trail.</p>	
AAC 20/04/007	<p>Internal Audit Progress and Tracking Report</p> <p>The Head of Internal Audit (HIA) introduced the report and explained the current pandemic had a significant impact to complete work outlined in the work plan, however, the audit reports that were in draft were anticipated to be completed.</p> <p>The HIA further explained that the Committee usually discussed audits that had been fully completed, however, given the current circumstances, asked if the Committee could view the audit reports in draft during the May for information, and the final report would be brought to a future meeting when possible. After Committee discussion, the CC confirmed he was comfortable with proposed approach.</p> <p>The HIA confirmed the following audit reports were included in the report for information:</p> <ul style="list-style-type: none"> • CD&T Laboratory Turnarounds – Substantial • UHB Core Financial Systems - Substantial • Risk Management – Reasonable <p>The DCG confirmed the UHB was pleased with the report and in particular, the substantial reports.</p>	IV

	<p>The HIA confirmed that work was being undertaken to complete the audit plan and subsequently deliver the Head of Internal Audit Opinion. The Committee were advised that seven reports were unable to be undertaken due to COVID-19. The HIA advised the Committee that enough audits had taken place to provide sufficient coverage across the eight domains to complete the Head of Internal Audit Opinion, which would be a reasonable assurance rating.</p> <p>The Independent Member – ICT (IM-ICT) queried why the Health Care Standards had not been completed. In response, the HIA confirmed it was due to adjustments to the annual plan, which meant the timing had changed.</p> <p>The HIA commented that the draft audit plan for 2020-21 had been shared with the DCG and other appropriate Executive Directors for approval, and it was agreed that the audits that had not been completed would be reviewed on a risk based approach before including them on the plan.</p> <p>The CC explained he was pleased to hear that the outstanding audits would take a risk based approach and thanked the HIA for all the work undertaken over the past year.</p> <p>Resolved that:</p> <ul style="list-style-type: none"> (a) the Committee considered the Internal Audit Progress and Tracking Report; (b) the Committee approved the proposed changes outlined within the report. 	
AAC 20/04/008	<p>Declarations of Interests, Gifts and Hospitality Tracking Report</p> <p>The DCG introduced the report and advised the Committee that the back log of forms had been added to the register, so the report was fully up to date which was positive. The DCG added that due to the current pandemic, all communications regarding declarations of interest had stopped, however the team were still monitoring declarations that were being received, and to date, nothing had been received that raised concern.</p> <p>The Independent Member – Trade Union (IM-TU) congratulated the team for the excellent progress made within Standards of Behaviour and asked how the Committee would be sighted on any Declarations of Interest taken on board at Ysbyty Calon Y Ddraig. In response, the DCG confirmed she would discuss with the Executive Director of Workforce & Organisational Development and a report would be brought back at a future meeting.</p> <p>The IM-ICT asked where individuals are known to the Health Board to have interests, would there be any proactive steps to ensure people declare. In response, the DCG encouraged members to inform the Corporate Governance team of any known interests and this would be followed up accordingly.</p>	NF

	<p>Resolved that:</p> <p>(a) the Committee noted the ongoing work in Standards of Behaviour and the progress made to date;</p> <p>(b) the Committee noted the Declarations of Interest Register.</p>	
AAC 20/04/009	<p>Regulatory Compliance Tracking Report</p> <p>The DCG introduced the report and confirmed that all trackers were up to date until COVID-19 and advised the Committee that there were no visits ongoing currently, there were planned visits for June / July, however it was anticipated these would not take place.</p> <p>The CC asked if there were appropriate visits and sign off for Ysbyty Calon Y Ddriag. In response, the DCG confirmed that a report outlining all visits would be produced at a future meeting to provide the Committee with assurance.</p> <p>Resolved that:</p> <p>(a) the Committee noted the continuing development within the Regulatory Compliance Tracking Report.</p>	NF
AAC 20/04/010	<p>Internal Audit Tracking Report</p> <p>The DCG introduced the report and confirmed activity had slowed due to COVID-19, however the number of recommendations had been reduced which was positive.</p> <p>The DCG advised the Committee that the UHB Chair had queried what action would be taken for significantly overdue recommendations. In response, the DCG confirmed that after COVID-19 it was expected these would be picked up and escalated as appropriate. The HIA added that the Internal Audit team would review the recommendations to ensure they were still relevant and had not been superseded.</p> <p>The IM-ICT asked that work be undertaken with the Director of Digital & Health Intelligence to ensure that responses received are transparent and more detailed. In response, the DCG confirmed with the new capacity, it was hoped this area would be improved significantly.</p> <p>Resolved that:</p> <p>(a) the Committee noted the Internal Audit Tracking Report.</p>	NF
AAC 20/04/011	<p>Wales Audit Office Tracking Report</p> <p>The DCG explained that work was still being undertaken in this area, however, it had slowed due to COVID-19. The DCG confirmed there had been a decrease from 90 outstanding recommendations to 48 which were over a course of three years.</p>	

	<p>Resolved that:</p> <p>(a) the Committee noted the Wales Audit Office Tracking Report.</p>	
<p>AAC 20/04/012</p>	<p>Review the Risk Management System</p> <p>The DCG advised the Committee that significant progress had been made within Risk Management and there was now a strategy and agreed risk appetite, along with systems in place to manage risks.</p> <p>The DCG explained that consistent scoring was the next phase of work to be undertaken, however this had been paused due to COVID-19. The DCG further explained that there was an expectation that risk registers would be maintained, however scoring would not be reviewed.</p> <p>The DCG advised that for COVID-19, a risk management register had been put in place and risk registers for the four hubs had been developed, the risk registers would be presented at the Board Governance Group and at the Board Meeting at the end of May 2020.</p> <p>Within the six key risks, one had been slightly amended from ‘planning recovery’ to ‘risks to Cardiff & Vale IMTP’.</p> <p>Resolved that:</p> <p>(a) the Committee reviewed and noted the Risk Management System.</p>	
<p>AAC 20/04/013</p>	<p>Annual Internal Audit Plan</p> <p>The HIA advised the Committee that unfortunately, the Full Audit Plan and Charter was not included in the papers, therefore it would be circulated after the meeting.</p> <p>The HIA explained the audit plan had been produced following discussions with all Executives, UHB Chair and Chief Executive Officer.</p> <p>The HIA further explained that the Committee were being asked to approve the annual plan, but with the acknowledgement that it would need further adjustment and amendment to reflect the emerging risks coming from COVID-19.</p> <p>The HIA added that work was being undertaken with shared services to access potential additional support through agencies to catch up with work required after COVID-19.</p> <p>The IM-ICT requested an update be provided at the next Committee meeting, detailing any changes made to the plan. In response, the HIA confirmed he would update the Committee as part of the progress report.</p> <p>Resolved that:</p> <p>Subject to the caveats discussed;</p>	<p>IV</p>

AAC 20/04/019	Date & Time of next Meeting <i>(to be confirmed)</i> Tuesday, 19 May 2020 9.00am – 12:30pm Coed y Bwl Room, Ground Floor, Woodland House	
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