



**CTM BOARD**

**HIGHLIGHT REPORT FROM THE CHAIR OF THE AUDIT COMMITTEE**

<b>DATE OF MEETING</b>	26/11/2020
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<b>PUBLIC OR PRIVATE REPORT</b>	Public
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<b>IF PRIVATE PLEASE INDICATE REASON</b>	Not Applicable - Public Report
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<b>PREPARED BY</b>	Emma Walters, Corporate Governance Manager (Board & Committee Business)
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<b>PRESENTED BY</b>	P Griffiths, IM Chair of Audit & Risk Committee
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<b>EXECUTIVE SPONSOR APPROVED</b>	Georgina Galletly, Director of Corporate Governance/Board Secretary
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<b>REPORT PURPOSE</b>	FOR NOTING
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<b>ACRONYMS</b>	

**1. PURPOSE**

- 1.1 This paper has been prepared to provide the Board with details of the key issues considered by the Audit & Risk Committee at its meeting on the 19 October 2020.
- 1.2 Key highlights from the meeting are reported in section 2.
- 1.3 The Board is requested to **NOTE** the contents of the report and actions being taken.

## 2. HIGHLIGHT REPORT

<b>ALERT / ESCALATE</b>	Nil
<b>ADVISE</b>	<p>The Committee expressed their concern as to the progress that had been made by the Pathology Directorate in their follow up internal audit review and requested that a further follow up was undertaken during next year's Audit Programme.</p> <p>No formal recommendations had been made in the review undertaken into Covid-19 Governance, although a management response had been developed to address some of the observations made. The Committee noted that an All Wales review was also being undertaken.</p> <p>Audit Wales were planning on undertaking a full audit of the 2019/2020 Funds held in Trust Accounts following a limited assurance rating being given to this area previously.</p> <p>Audit Wales review into the Effectiveness of Counter Fraud arrangements identified that further consideration needed to be given to the recommendation to make counter fraud training mandatory for some staff groups.</p> <p>Whilst there had been no formal recommendations made within the Structured Assessment 2020 review, a management response would still be developed by the Management Team in relation to the key findings</p> <p>Limited progress made against some areas of the Audit Recommendations Tracker. The Committee requested that for the December meeting focus was placed on trying to close down the high priority recommendations.</p> <p>Work continued to be undertaken with Integrated Locality Groups to review the risks on the organisational risk register and noted that the revised Risk Management Strategy would be presented to a future meeting for endorsement prior to Board approval.</p>



	<p>Local Counter Fraud report highlighted ongoing resource issues within the Team along with ongoing ICT issues.</p> <p>The Financial Control Procedure on Medical Variable Pay needed further work to strengthen the procedure prior to Committee approval. It was agreed that Chairs Action would be sought outside of the meeting once changes had been actioned.</p>
<b>ASSURE</b>	<p>The Committee received and noted for assurance the following Internal Audit &amp; Assurance reports:</p> <ul style="list-style-type: none"><li>• Annual Quality Statement;</li><li>• Pathology Directorate Follow Up Review;</li><li>• Covid 19 Governance Review;</li><li>• Medical Agency</li></ul> <p>Substantial assurance rating for the Annual Quality Statement by Internal Audit with thanks extended to the Team for this achievement.</p> <p>The Committee received and noted for assurance the following Audit Wales reports:</p> <ul style="list-style-type: none"><li>• Effectiveness of Counter Fraud Arrangements – Local and National Review;</li><li>• Structured Assessment Review 2020;</li><li>• Audit of Accounts report Addendum.</li></ul> <p>The Committee received and noted the following Internal Control and Risk Management Reports:</p> <ul style="list-style-type: none"><li>• Covid Assurance – Gateway Report on Field Hospitals;</li><li>• Actions Arising from Field Hospital Review across Wales;</li><li>• Covid Assurance – FDU Peer Review of Covid &amp; Resetting;</li><li>• Audit Recommendations Tracker;</li><li>• Organisational Risk Register;</li><li>• Local Counter Fraud Report;</li><li>• Balance Sheet Planning in 2020/2021;</li><li>• Clinical Audit Forward Work Programme;</li><li>• Financial Control Procedure – Medical Variable Pay</li></ul>



<b>INFORM</b>	<p>The Committee received and approved the following reports:</p> <ul style="list-style-type: none"><li>• Gifts, Sponsorship &amp; Hospital Form;</li><li>• Audit &amp; Risk Committee Annual Report 2019/2020;</li><li>• Procurements and Scheme of Delegation Report</li></ul> <p>The Committee received and noted the following reports:</p> <ul style="list-style-type: none"><li>• Losses and Special Payments;</li><li>• Committee Forward Work Plan 2020/21.</li></ul> <p><b><u>Part 2 – Welsh Health Specialised Services Committee (WHSSC) and Emergency Ambulance Services Committee (EASC)</u></b></p> <p>WHSSC Internal Audit Recommendations Tracker contained only one outstanding recommendation.</p> <p>WHSSC Risk Management Update received noting concern that the Audit Committee had not been presented with an updated Corporate Risk Assurance Framework and noted that processes were being reviewed in light of Covid-19</p> <p>The Committee received and noted the EASC Risk Register.</p> <p>The Committee received and approved the WHSSC Review of Scheme of Delegation in Response to Covid-19.</p>
<b>APPENDICES</b>	<b>NOT APPLICABLE</b>