



**GIG**  
CYMRU  
**NHS**  
WALES

Bwrdd Iechyd Prifysgol  
Bae Abertawe  
Swansea Bay University  
Health Board



		Agenda Item	2.4 (iii)
Freedom of Information Status		Open	
Reporting Committee	Audit Committee		
Author	Leah Joseph, Corporate Governance Officer		
Chaired by	Martin Sollis, Independent Member		
Lead Executive Director (s)	Pam Wenger, Director of Corporate Governance		
Date of last meeting	07 June 2021		
Summary of key matters considered by the committee and any related decisions made.			
<u>ISA 260 Audit of Financial Statements including the letter of representation and response to audit enquiries</u> were received for noting. Committee members recommended the statements to the Board for approval.			
<u>Annual Accounts 2020/21</u> - Members received the audited annual accounts for the financial year ending 31 <sup>st</sup> March 2021. Committee members recommended the audited annual accounts be taken through Board for approval.			
<u>Annual Report 2020/21</u> - The annual report 2020/21 was received. Committee members recommended the annual report to be taken through the Board for approval subject to minor amendments.			
Key risks and issues/matters of concern of which the board need to be made aware:			
None received.			
Delegated action by the committee:			
As set out in the key matters section.			
Main sources of information received:			
<u>Audit Enquiries Response</u> was received for <b>noting</b> .			
Highlights from sub-groups reporting into this committee:			
None received.			
Matters referred to other committee			
None identified.			
Date of next meeting	13 July 2021		



**GIG**  
CYMRU  
**NHS**  
WALES

Bwrdd Iechyd Prifysgol  
Bae Abertawe  
Swansea Bay University  
Health Board



		Agenda Item	2.4 (iii)
Freedom of Information Status		Open	
Reporting Committee	Audit Committee		
Author	Leah Joseph, Corporate Governance Officer		
Chaired by	Nuria Zolle, Independent Member		
Lead Executive Director (s)	Pam Wenger, Director of Corporate Governance		
Date of last meeting	13 July 2021		
Summary of key matters considered by the committee and any related decisions made.			
<ul style="list-style-type: none"><li>• <b>Audit Registers and Status of Recommendations</b> The committee received a more focused report that provided specific assurance on the actions that were being taken to deal with limited assurance and high priority recommendations.</li><li>• <b>Board Assurance Framework</b> The Board Assurance Framework was received and members were content with the progress made on the document. The document would continue to be developed to ensure the objectives would be mapped in line with the new Organisational Annual Plan as it progresses and to ensure that all external reviews were captured in one place and co-ordinated via a common approach. The finalised updated version was being taken through July's Management Board and Health Board meetings.</li><li>• <b>Internal Audit Progress Report</b> A report was received which confirmed that since the previous meeting, six reports from the 2020/21 Internal Audit Plan have been finalised and this completed their work for 2020/21. Internal Audit are content with progress made by the health board.</li></ul>			
Key risks and issues/matters of concern of which the board need to be made aware:			
<ul style="list-style-type: none"><li>• <b>Update on Data Centre Risk Register</b> The National Data Centre risk score is currently 20. One of the aims to reduce the risk is to establish a better service by transitioning from a tier 2 to a tier 3 data centre. There Has been significant improvement in the robustness of the laboratory systems since the software and hardware update in December 2020.</li><li>• <b>Finance (Month 3) Update</b> A verbal update from the Interim Director of Finance was received. Members were advised that the financial position for period eleven stood at an in-month overspend of £6m.</li></ul>			
Delegated action by the committee:			
<ul style="list-style-type: none"><li>• <b>Health Board Risk Register (HBRR)</b> There were thirty-nine risks on the HBRR, of which 22 have risk scores at, or above, the health board's current appetite of 20. The continuation of the risk appetite limit of 20, ahead of further consideration and approval by the Board was endorsed.</li><li>• <b>Counter Fraud Annual Report 2020-21 and Counter Fraud Annual Plan 2021/22</b> Committee members approved the Counter Fraud Annual Plan 2021/22.</li></ul>			
Main sources of information received:			

The following reports were received with no significant issues raised:

- **Audit Wales Performance and Progress Report**
- **Audit Wales Vaccination Report**
- **NWSSP Procurement Single Tender Actions and Quotations**
- **Declarations of Interest and Hospitality Registers**
- **Information Governance Board Updates**
- **Final Head of Internal Audit Report and Opinion**
- **Post Payment Verification Report**

**Highlights from sub-groups reporting into this committee:**

None identified.

**Matters referred to other committee**

None identified.

**Date of next meeting**

14 September 2021



**GIG**  
CYMRU  
**NHS**  
WALES

Bwrdd Iechyd Prifysgol  
Bae Abertawe  
Swansea Bay University  
Health Board



		Agenda Item	2.4 (iii)
Freedom of Information Status		Open	
Reporting Committee	Audit Committee		
Author	Leah Joseph, Corporate Governance Officer		
Chaired by	Martin Sollis, Independent Member		
Lead Executive Director (s)	Pam Wenger, Director of Corporate Governance		
Date of last meeting	18 May 2021		
Summary of key matters considered by the committee and any related decisions made.			
<ul style="list-style-type: none"><li><b>Audit Registers and Status of Recommendations</b><p>The committee received a report that provided specific assurance on the actions that were being taken to deal with limited assurance and high priority recommendations. The Chair requested that there is a need to widen the report around progress on other recommendations when ‘normal business’ resumes.</p></li><li><b>Draft Annual Accounts 2020/21</b><p>Members received the draft audited annual accounts timetable and closure plans for the financial year ending 31<sup>st</sup> March 2021. This included an analytic review presentation of comprehensive net expenditure which covered primary health care, healthcare from other providers and hospital and community health services. The Audit Committee final accounts meeting is scheduled for 7<sup>th</sup> June 2021 prior to Board approval on the same day.</p></li><li><b>Draft Annual Report</b><p>The draft annual report 2020-21 was considered. Members agreed to submit final comments via email to Head of Corporate Governance, by 3pm on Friday, 21<sup>st</sup> May 2021. The report is due to be approved by the Health Board in June 2021.</p></li><li><b>Head of Internal Audit Opinion and Annual Report</b><p>A report was received for assurance which highlighted that 32 audits were reported during the year; 5 were substantial, 12 were reasonable, 5 were limited and 10 had a rating of ‘not applicable’. The report showed that the Board would receive an annual “Reasonable Assurance” opinion for 2020/21</p></li></ul>			
Key risks and issues/matters of concern of which the board need to be made aware:			
<ul style="list-style-type: none"><li><b>Health Board Risk Register and Risk Management Strategy</b><p>An update was provided which highlighted that the Chief Executive had written to Executive Directors detailing his expectations surrounding risks. Progress had been made and communication is going being circulated to service groups and the updated risk report will be taken through Management Board on 19<sup>th</sup> May 2021 for comments.</p></li><li><b>Audit Wales Performance and Progress Report</b></li></ul>			

The first phase of the structured assessment is being completed with the second phase due to begin in May 2021. The joint review of Cwm Taf Morganwg University Health Board is underway and the learning will be shared when the final report is complete. A report is due to be published in May 2021 which details the review of Welsh Health Specialised Services Committee which includes their governance arrangements.

#### **Delegated action by the committee:**

- **Draft Remuneration and staff report**

The draft Remuneration and Staff Report for submission to Welsh Government as part of the Health Board's Annual Report for 2020-21 was approved.

#### **Main sources of information received:**

The following reports were received with no significant issues raised:

- **Guardian Service Annual Report**
- **Standing Orders**
- **Breaches in Standing Orders**
- **NWSSP Procurement: Single Tender Actions and Quotations**
- **Information Governance Board Updates**
- **Emergency Medical Retrieval and Transfer Service Annual Report**

#### **Highlights from sub-groups reporting into this committee:**

None received.

#### **Matters referred to other committee**

None identified.

#### **Date of next meeting**

07 June 2021