



PWYLLGOR ARCHWILIO A SICRWYDD RISG AUDIT AND RISK ASSURANCE COMMITTEE

DYDDIAD Y CYFARFOD: DATE OF MEETING:	15 December 2020
TEITL YR ADRODDIAD: TITLE OF REPORT:	All Wales NHS Audit Committee Chair's Meeting
CYFARWYDDWR ARWEINIOL: LEAD DIRECTOR:	Mr Paul Newman, Audit and Risk Assurance Committee Chair
SWYDDOG ADRODD: REPORTING OFFICER:	Mr Paul Newman, Audit and Risk Assurance Committee Chair

Pwrpas yr Adroddiad (dewiswch fel yn addas)

Purpose of the Report (select as appropriate)

Er Gwybodaeth/For Information

ADRODDIAD SCAA SBAR REPORT

Sefyllfa / Situation

The purpose of the paper is to present the Audit and Risk Assurance Committee with an update from the proceedings of the All Wales NHS Audit Committee Chairs' meeting held on 3rd November 2020, attended by Mr Paul Newman, Chair of Hywel Dda University Health Board (HDdUHB) Audit and Risk Assurance Committee.

Cefndir / Background

The All Wales NHS Audit Committee Chairs' forum provides an opportunity to share information regarding common issues which arise within Health Boards and to share best practice. The forum is supported by attendance from a nominated Board Secretary for the All Wales Board Secretaries Network (AWBSN). In addition, meetings are attended by representatives from NHS Wales Shared Services Partnership (NWSSP IA) Internal Audit, as providers of audit assurance through the independent and objective assessment of governance, risk management and internal control. Also in attendance are representatives from Audit Wales (AW), in their capacity as external auditors who also provide information and advice.

Asesiad / Assessment

The following is a summary of the main issues discussed at the meeting on 3rd November 2020:

1. NWSSP IA provided a presentation, which focussed on the COVID-19 governance reviews, Internal Audit work programmes and NWIS. Key points covered included:
 - 2019/20 Opinion Analysis – All NHS organisations in Wales received a 'reasonable assurance' rating albeit recognising not all planned audits were delivered.
 - COVID-19 Governance Reviews – Key messages from arising from the reviews undertaken across Wales were noted.
 - 2020/21 Audit Progress – As at 30 September 2020, 18% of expected audits delivered and 20% work was in progress.

- 2021/22 audit programmes – A review was underway to look at approach to future planning of audit programmes with Board Secretaries.
- NHS Digital & Innovation Wales – Update on NWIS 2020/21 audit plan was provided as well as the governance arrangements for the new Strategic Health Authority.
- Other areas of focus - This included focus on reporting outcomes, all-Wales analysis, IMTP delivery, update on appointments have been made to Deputy Head of IA posts.

It was also confirmed that the COVID-19 Governance Summary Report was being finalised prior to sharing with individual Audit Committees and within the respective organisations.

In respect of the end of year audit opinion, NWSSP IA remain committed to delivering agreed plans to be in the best position to provide a full opinion at year-end however will work with individual Audit Chairs if a limited scope opinion is needed. It was expected that performance would improve in the next few months in respect of delivering against the expected audit plans. COVID-19 has impacted the pace of delivery of audits that involve clinical involvement and which entail accessing some operational directorates, with it recognised that these may need to be deferred to later in the year, however assurance was provided that these would be delivered even though they may take longer to complete.

The NWIS transition to NHS Digital and Innovation Wales will now 'go live' on 1st April 2021 noting Welsh Government are now looking to appoint an interim Chair and a Shadow Board.

2. AW provided an update on the external audit programme. This was divided into 3 parts:
 - a) Public Accounts Committee activity/developments
 - b) Recently published work across all public sector in Wales
 - c) Work in progress

Key points of discussion for the Group were:

- Structured Assessments 2020 – These have all been completed and have been or are just about to be presented to Audit Committees and Boards. The 2020 assessment was a high level overview of governance arrangements during COVID-19 with IA providing in-depth reviews into specific areas. The process worked well and there was good engagement between both organisations to reduce duplication and the impact on organisations. AW are planning to share a national summary in respect of governance during the crisis which will reflect areas which could be kept to maintain agile governance going forward and to stimulate debate. There will also be a summary of actions organisations took to support the well-being of staff during the pandemic, which will be supplemented by colleagues from Royal College of Nursing and the British Medical Association. Both summaries will be issued before Christmas 2020.
- Test, Trace and Protect (TTP) – TTP was added to the work plan to help inform the on-going development of the programme.
- NHS Finances – A new data tool will provide infographics on in-year spending and will enable further detail on COVID expenditure.
- Personal Protective Equipment (PPE) – This will take a similar approach taken to TTP work, however this commentary will supplement the National Audit Office review on PPE

and provide a Welsh perspective. It was confirmed that this would be a review of the whole system and include all partners.

- Programme of Work – AW have undertaken a review of their programme to establish the work which should continue, what should be paused and new areas that needed to be included:
 - WHSCC – This review was paused due to COVID-19, however is now almost concluded following recent discussions with CEOs and Chairs.
 - Unscheduled Care Review – This review will be restarting soon as the same system pressures are emerging as were present pre-pandemic. A data tool will demonstrate key metrics across the pathway, and there will be a focus on key areas in more detail.
 - Quality Governance – Currently setting up similar work across Wales to the joint review undertaken at CTMUHB by HIW and AW in respect to quality governance. These will not be joint reviews however will be undertaken collaboratively with HIW and aligned to the four quadrants of harm set out in the WG Operating Framework. There will be a change of the methodology to enable the review to be undertaken remotely using self-assessment, staff surveys and interviews. Work will commence prior to Christmas however this will depend on the impact of the second wave. It was confirmed that local reviews would look at local assurance mechanisms such as clinical audit and the All Wales summary may need to identify the WG perspective in respect of the national clinical audit programme going forward, particularly as it is not clear what will be in place nationally for clinical audit next year.

3. Clinical Audit Arrangements – A paper on clinical audit arrangements collated from responses provided by Board Secretaries was presented. This was timely in light of the lack of clarity at present in Wales in respect to the continuation of the national clinical audit programme, particularly as NHS England have indicated they will be pulling out of the programme and NHS organisations in Wales continue to restart services. It was generally agreed that there were similarities between the responses however, a better understanding was needed of the Audit Committees' role in respect of clinical audit and to learn from best practice. There was agreement that local arrangements needed to be effective particularly given the considerable resources invested in this area by organisations. The Group asked the AWBSN and Medical Directors Group to undertake further work in this area to ensure there was consistency across organisations, and to try to influence the national agenda to ensure assurance could be provided to the public on the quality of services across Wales.
4. Field Hospital Governance Reviews - Most organisations in Wales have now been subject to a review in respect of field hospitals and each Chair provided a verbal brief update of the reviews at their respective organisation.
5. Update from AWBSN – An update was provided from the AWBSN, who meet formally on a monthly basis, with attendance from WG and regulators, and have informal fortnightly catch-ups to ensure there is a level of consistency between organisations and sharing of good practice, as well as sharing audit and risk approaches.

Among the key pieces of work underway by the AWBSN at present, is the governance plan, sponsored by the CEO, Powys LTHB, which includes three key areas which will be taken forward on a national basis

- 1) Facilitating good governance including identifying lessons learnt from the pandemic, developing a Once for Wales risk management approach and review of Scheme of Delegation arrangements.

- 2) Board leadership, capability of governance, which includes developing a board maturity assessment tool and a best practice Board development toolkit.
- 3) Professional development based on emerging governance themes.

The Group were advised that the AWBSN will have further discussions in respect of the clinical audit work and how the work programmes of the AWACC and AWBSN could be stronger aligned.

6. The next meeting will take place late February/early March 2021. Agenda items to include
 - Clinical Audit
 - The NWIS transition to NHS Digital and Innovation Wales Audit Trackers and Progress during the pandemic
 - Internal Audit year-end update
 - AW Update on the work completed by Christmas

The group agreed that virtual meetings facilitated meeting more frequently and it was resolved that meetings would take place quarterly, as opposed to twice yearly, which would enable it to develop an effective work programme and address issues at pace.

Argymhelliad / Recommendation

The Audit and Risk Assurance Committee is requested to receive this report for information.

Amcanion: (rhaid cwblhau)	
Objectives: (must be completed)	
Committee ToR Reference Cyfeirnod Cylch Gorchwyl y Pwyllgor	5.1 The Committee shall review the adequacy of the UHB's strategic governance and assurance arrangements and processes for the maintenance of an effective system of good governance, risk management and internal control, across the whole of the organisation's activities (both clinical and non-clinical) that supports the achievement of the organisation's objectives.
Cyfeirnod Cofrestr Risg Datix a Sgôr Cyfredol: Datix Risk Register Reference and Score:	Not Applicable
Safon(au) Gofal ac Iechyd: Health and Care Standard(s):	Governance, Leadership and Accountability
Amcanion Strategol y BIP: UHB Strategic Objectives:	All Strategic Objectives are applicable
Amcanion Llesiant BIP: UHB Well-being Objectives: Hyperlink to HDdUHB Well-being Statement	Not Applicable

Gwybodaeth Ychwanegol: Further Information:	
Ar sail tystiolaeth: Evidence Base:	Assurance reports to Committees and Board aligned to relevant standards.
Rhestr Termau: Glossary of Terms:	Included within the body of the report
Partion / Pwyllgorau â ymgynhorwyd ymlaen llaw y Pwyllgor Archwilio a Sicrwydd Risg: Parties / Committees consulted prior to Audit and Risk Assurance Committee:	Board Secretary Chair, Audit & Risk Assurance Committee

Effaith: (rhaid cwblhau) Impact: (must be completed)	
Ariannol / Gwerth am Arian: Financial / Service:	There are no direct financial implications within this report.
Ansawdd / Gofal Claf: Quality / Patient Care:	There are no direct quality or patient care implications within this report.
Gweithlu: Workforce:	There are no direct workforce implications within this report.
Risg: Risk:	There are no direct implications within this report.
Cyfreithiol: Legal:	There are no legal workforce implications within this report.
Enw Da: Reputational:	There are no direct implications within this report.
Gyfrinachedd: Privacy:	There are no direct implications within this report.
Cydraddoldeb: Equality:	<ul style="list-style-type: none"> • Has EqIA screening been undertaken? No • Has a full EqIA been undertaken? No