



GIG
CYMRU
NHS
WALES

Bwrdd Iechyd Prifysgol
Abertawe Bro Morgannwg
University Health Board



Meeting Date	Audit Committee 2019		Agenda Item	2b
Report Title	Briefing Report on Audit Recommendations for Strategy Directorate			
Report Author	Joanne Abbott-Davies, Assistant Director of Strategy & Partnerships			
Report Sponsor	Siân Harrop-Griffiths, Director of Strategy			
Presented by	Siân Harrop-Griffiths, Director of Strategy			
Freedom of Information	Open			
Purpose of the Report	This report provides an update on progress by the Strategy Directorate in addressing the recommendations made in Audit reports and outlines actions planned to address outstanding actions.			
Key Issues	The Strategy Directorate has made good progress to improve against the recommendations made in previous audits. Attached as Appendix 1 is a table showing the outstanding issues and plans to complete these.			
Specific Action Required	Information	Discussion	Assurance	Approval
			√	
Recommendations	The Audit Committee is asked to: <ul style="list-style-type: none"> Note the update from the Strategy Directorate against existing audit reports; Note the actions planned and timescales to address outstanding recommendations. 			

BRIEFING REPORT ON AUDIT RECOMMENDATIONS FOR STRATEGY DIRECTORATE

1. INTRODUCTION

This report provides an update on progress by the Strategy Directorate in addressing the recommendations made in Audit reports and outlines actions planned to address outstanding actions.

2. BACKGROUND

There are a total of 6 audit reports within the Strategy Directorate's scope, which are:

- Annual Plan – integration
- Capital Equipment Replacement
- Strategy & Planning Directorate
- Third Sector Commissioning Follow up
- Disaster Recovery
- Corporate Compliance

It should be noted that with the changes in Executive Director portfolios over recent months, a number of audit reports have also transferred to other corporate directorates – in particular those relating to Estates, Support Services and Health and Safety.

3. ASSESSMENT

The Strategy Directorate has made good progress to improve against the recommendations made in previous audits. Of the above 6 reports, the Strategy directorate has completed all actions in 4 of these:

- Annual Plan – integration
- Third Sector Commissioning Follow Up
- Disaster Recovery
- Corporate Compliance.

Currently the Strategy Directorate has 6 overdue actions across the 2 remaining reports:

- Capital Equipment Replacement
- Strategy and Planning Directorate

Updates of progress and expected closure dates of overdue actions are attached as **Appendix 1**.

4. RECOMMENDATIONS

The Audit Committee is asked to:

- Note the update from the Strategy Directorate against existing audit reports;
- Note the actions planned and timescales to address outstanding recommendations.

Governance and Assurance							
Link to corporate objectives (please ✓)	Promoting and enabling healthier communities		Delivering excellent patient outcomes, experience and access	Demonstrating value and sustainability	Securing a fully engaged skilled workforce		Embedding effective governance and partnerships
	✓		✓	✓	✓		✓
Link to Health and Care Standards (please ✓)	Staying Healthy	Safe Care	Effective Care	Dignified Care	Timely Care	Individual Care	Staff and Resources
		✓	✓		✓		✓
Quality, Safety and Patient Experience							
Addressing recommendations in Audit Reports ensures that quality, safety and patient experience, where relevant, are advanced.							
Financial Implications							
There are no financial implications.							
Legal Implications (including equality and diversity assessment)							
There are no legal implications.							
Staffing Implications							
There are no staffing implications							
Long Term Implications (including the impact of the Well-being of Future Generations (Wales) Act 2015)							
Addressing the recommendations should ensure that services are improved for the future.							
Report History	None						
Appendices	1. Breakdown of Outstanding Issues.						

Appendix 1

Breakdown of Outstanding Issues

Title	Ref.	Recommendation	Responsible Officer	Deadline	Latest Update
Capital Equipment Replacement	1(a)	Management should review, update and arrange for the approval of: a) Financial Control Procedure No. 5 - Financial Planning; in accordance with their review and expiry dates and ensuring the alignment of relevant proformas	Carolyn Blockley, Finance Manager, Capital	30/11/18	Financial Procedure 15 has been updated and has been submitted to audit for review. Comments have been received and the wording is being slightly amended before submitting to Audit Committee for approval. Completion of this action is dependent upon the implementation of the new Scheme of Delegation which is still to be reviewed and approved. Once implemented the exercise will be completed and the recommendation closed and completed. Finance to review and update the Financial Control procedures Estimated Completion Date – end March 2019
	1(b)	Management should review, update and arrange for the approval of: b) Financial Control Procedure No. 15 - Capital Investment, Private Financing, Fixed Asset Registers & Security of Assets(V3.2) in accordance with their	Carolyn Blockley, Finance Manager, Capital	30/11/18	Financial Procedure 15 has been updated and has been submitted to audit for review. Comments have been received and the wording is being slightly amended before submitting to Audit Committee for approval. Completion of this action is dependent upon the implementation of the new Scheme of Delegation which is still to be reviewed and approved. Once implemented the exercise will be completed and the recommendation closed and completed

		review and expiry dates and ensuring the alignment of relevant proformas			Finance to review and update the Financial Control procedures Estimated Completion Date – end March 2019
Strategy & Planning Directorate	1(ii)	We would recommend that the Director of Strategy ensure that job descriptions are documented to describe the roles & responsibilities of these posts and submitted for evaluation and approval via the Health Board's established processes.	Nicola Johnson, Interim Asst Director of Strategy (Transferred from Darren Griffiths in line with his new role)	21/12/2018	Postholder's role has been flexible during 2018/19 to meet the particular needs of the organisation. Discussions ongoing in context of developing the Transformation Programme. Work underway to complete revised job description in line with role. Estimated Completion Date - end April 2019
	2(i)D	We would recommend that Capital Planning & Estates refresh objectives annually, setting new targets for the year(s) ahead.	Des Keighan, Asst Director of Strategy (Estates)	21/12/18	In line with revised Executive Director roles, the Executive lead for this has transferred to Chris White, COO.
	4	The Director of Strategy, liaising with her Finance team, should review the Directorate authorised signatory list and revise as necessary to ensure it is compliant with the	Darren Griffiths, Associate Director of Performance	30/11/18	Detailed fieldwork provided by Internal Audit. Review carried out of authorised signatory list and consistency with other processes. Investigation found that the utilities invoice was related to an existing contract. The Board will already have agreed the amount to be paid by agreeing the contract award and this would have been part of an All Wales contract. The authoriser was only certifying that the meter readings and the

		<p>requirements of Standing Orders Scheme of Delegation.</p> <p>Action should be taken to ensure that the Oracle hierarchical structure and any other listing considered necessary reflect the same. Consideration should be given to reducing the number of documents describing authority however, so that their administration is easier.</p>			<p>amount being charged were correct and in accordance with the contract terms and payment under the contract.</p>
	5	<p>Following review of the Directorate authorised signatory list, the Director of Strategy should ensure that all staff are aware of their limits and comply with them.</p>	<p>Darren Griffiths, Associate Director of Performance</p>	21/12/18	<p>Once the revised scheme of delegation is agreed, all staff within the Strategy Directorate will be briefed and receive a copy of the scheme of delegation (signed for) as part of this process</p> <p>Estimated completion date -</p>