

## Audit Committee Update – Swansea Bay University Health Board

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# Audit Committee Update

## About this document

- 1 This document provides the Audit Committee with an update on current and planned Audit Wales work. Accounts and performance audit work are considered, and information is also provided on the Auditor General's wider programme of national value-for-money examinations and the work of our Good Practice Exchange (GPX).

## Accounts audit update

- 2 **Exhibit 1** summarises the status of our key accounts audit work to be reported during 2020-21.

### Exhibit 1 – Accounts audit work

Area of work	Current status
Audit of the 2019-20 Accountability Report and Financial Statements	Completed. Certified by the Auditor General and laid by the Senedd in early July 2020.
Audit of the 2019-20 Charitable Funds Accounts	Audit work is complete, and our Financial Statement report was presented to the Charitable Funds Committee on 14 October 2020 with the AGW certifying the accounts on 10 November 2020, ahead of the Charity Commissions deadline of 31 January 2021.
Audit of the 2020-21 Accountability Report and Financial Statements	Audit planning is scheduled to start in December.

## Performance audit update

- 3 The following tables set out the performance audit work included in our current and previous Audit Plans, summarising:
- completed work since the last Audit Committee update (**Exhibit 2**);
  - work that is currently underway (**Exhibit 3**); and
  - planned work not yet started or revised (**Exhibit 4**).

### Exhibit 2 – Work completed

Area of work	Considered by Audit Committee
<u>Structured Assessment 2020</u>	September 2020
<u>Counter Fraud Arrangements</u>	July 2020

### Exhibit 3 – Work currently underway

Topic and relevant Executive Lead	Focus of the work	Current status and Audit Committee consideration
Structured Assessment 2020  Executive Lead – Director of Governance / Executive Director of Workforce and Organisational Development	To support our annual structured assessment work, we are undertaking further work to pull together two short all-Wales summaries focusing on governance arrangements during the COVID-19 pandemic, and arrangements to support staff risk and wellbeing.	All-Wales briefings being drafted.  January 2021
Orthopaedic services – follow up	This review will examine the progress made in response to our 2015 recommendations. The findings from this work will inform	Report being drafted

Topic and relevant Executive Lead	Focus of the work	Current status and Audit Committee consideration
Executive Lead – Chief Operating Officer	<p>the recovery planning discussions that are starting to take place locally and help identify where there are opportunities to do things differently as the service looks to tackle the significant elective backlog challenges.</p> <p>Our findings will be summarised into a single national report with supplementary outputs setting out the local position for each health board.</p>	January 2021
<p>Review of WHSSC</p> <p>Executive Lead – Chief Executive Officer</p>	<p>This work will use aspects of our structured assessment methodology to examine the governance arrangements of WHSSC. Our findings will be summarised into a single national report.</p>	<p>Report being drafted</p> <p>January 2021</p>
<p>Review of the commissioning and contracting arrangements post Bridgend boundary change</p> <p>Executive Lead – Director of Strategy/Interim Director of Finance</p>	<p>This work will examine the robustness of the arrangements for overseeing and managing the contractual agreements established following the Bridgend service transition in 2019. The work will also consider the programme for service disaggregation (for relevant services), and whether the arrangements support future regional service models currently being explored by the organisations.</p>	<p>Fieldwork underway</p> <p>TBC</p>
Test, Track and Protect	<p>In response to the COVID-19 pandemic, this work will take the form of an overview of the whole system governance arrangements for Test, Track and Protect, and of</p>	<p>Report being drafted</p> <p>January 2021</p>

<b>Topic and relevant Executive Lead</b>	<b>Focus of the work</b>	<b>Current status and Audit Committee consideration</b>
Executive Lead – Director of Public Health	the Local COVID-19 Prevention and Response Plans for each part of Wales.	

#### Exhibit 4 – Planned work not yet started or revised

<b>Topic and relevant Executive Lead</b>	<b>Focus of the work</b>	<b>Current status and Audit Committee consideration</b>
Quality Governance  Executive Lead – Director of Nursing and Patient Experience	This work will allow us to undertake a more detailed examination of factors underpinning quality governance such as strategy, structures and processes, information flows, and reporting. This work follows our joint review of Cwm Taf Morgannwg UHB and as a result of findings of previous structured assessment work across Wales which has pointed to various challenges with quality governance arrangements.	Fieldwork on hold – timing to restart is currently being considered  TBC
Review of Unscheduled Care  Executive Lead – Chief Operating Officer	This work will examine different aspects of the unscheduled care system and will include analysis of national data sets to present a high-level picture of how the unscheduled care system is currently working. Once completed, we will use this data analysis to determine which aspects of the unscheduled care system to review in more detail.	Data analysis currently being completed  Module currently being developed focusing on Choose Well.  Any further modules

Topic and relevant Executive Lead	Focus of the work	Current status and Audit Committee consideration
		postponed to 2021 and replaced with work on Test, Track and Protect  TBC
Local work 2020 (TBC)	This work is likely to focus on following up progress made by the Health Board against our previous recommendations relating to radiology services.	Ongoing discussions with lead officers  TBC

## Good Practice events and products

- 4 In addition to the audit work set out above, we continue to seek opportunities for finding and sharing good practice from all-Wales audit work through our forward planning, programme design and good practice research.
- 5 **Exhibit 5** outlines the Good Practice Exchange (GPX) events which have been held since our last Committee Update. Materials are available via the links below. Details of future events are available on the [GPX website](#).

### Exhibit 5 – Good practice events and products

Event	Details
Working together to identify and reduce vulnerability (February 2020)	This seminar focussed on how to achieve effective governance and accountability in partnership working to deliver efficient public services. There are no materials available following the seminar.

Event	Details
<p>Corona, Complexity and the Future of Audit (March 2020)</p>	<p>At this webinar, Toby Lowe, Northumbria University discussed Complex Systems and the Human Learning Systems Approach they have developed around 'how to measure what matters'. We also heard from Andy Brogan, Easier Inc on Regulation. This focused on the work he's leading with Toby on different approaches to regulation in complex systems. There was an opportunity for delegates to engage in some discussion around what all this means and are there opportunities to think about different approaches to regulation in a post COVID-19 world.</p>
<p>COVID and Complexity: Making sense and taking action (March 2020)</p>	<p>Prof Dave Snowden is a key figure in the world of working with Complex Systems. He's the principal author of the Harvard Business Review cover article, <a href="#"><u>A Leader's Framework for Decision Making</u></a></p> <p>During this webinar, Prof Snowden discussed the work he is involved in on a number of international projects around COVID-19 – working with the UN and the European Commission.</p>
<p>Ideas UK webinar: Making the good stuff stick! (June 2020)</p>	<p>The coronavirus has impacted us all both at home and at work and has driven us to innovate and innovate fast! Now as we take steps to ease lockdown, we need to think about which changes we want to keep and ensure that the Good Stuff Sticks! This session shared how and what organisations did to help teams work remotely, stay fully connected and remain engaged. Panellists included individuals from the Ministry of Defence, Thales, Wye Valley NHS Trust &amp; Audit Wales.</p>

Cyber resilience in Wales  
(September 2020)

At this webinar we previewed our emerging findings from our national study, shared items of good practice and discussed the future of cyber resilience in Wales. Delegates heard from experts in the field and were able to compare the arrangements in their organisation with other, similar bodies.

- 6 In response to the Covid-19 pandemic, we have established a **Covid-19 Learning Project** to support public sector efforts by sharing learning through the pandemic. This is not an audit project; it is intended to help prompt some thinking, and hopefully support the exchange of practice. We have produced a number of outputs as part of the project which are relevant to the NHS, the details of which are available [here](#).

## NHS-related national studies and related products

- 7 The Audit Committee may also be interested in the Auditor General's wider programme of national value for money studies, some of which focus on the NHS and pan-public-sector topics. These studies are typically funded through the Welsh Consolidated Fund and are presented to the Public Accounts Committee to support its scrutiny of public expenditure.
- 8 **Exhibit 6** provides information on the NHS-related or relevant national studies published since our last Committee Update. It also includes all-Wales summaries of work undertaken locally in the NHS.

### Exhibit 6 – NHS-related or relevant studies and all-Wales summary reports

Title	Publication Date
<a href="#">Welsh Community Care Information System</a>	October 2020
<a href="#">The National Fraud Initiative in Wales 2018-20</a>	October 2020
<a href="#">10 Opportunities for Restarting and Resetting the NHS Planned Care System</a>	September 2020

Title	Publication Date
<u>Cracking the Code: Management of Clinical Coding across Wales</u>	September 2020
<u>The Refurbishment of Ysbyty Glan Clwyd</u>	September 2020



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