

Audit & Risk Assurance Committee
TABLE OF ACTIONS
Arising from Meetings held on 9th and 21st June 2022

Minute No.	Meeting Date	Subject	Action	Lead	Timescale	Progress/Date Achieved
AC(21)118	22/06/2021	Report on the Adequacy of Arrangements for Declaring, Registering and Handling Interests, Gifts, Hospitality, Honoraria and Sponsorship	To explore other digital solutions for obtaining and collating this information.	HT/AT	August October December 2021 February April August 2022	<p><u>Update for August 2021 ARAC meeting:</u> The Digital team is exploring the use of Office 365 as a suitable solution. Specifically using MS forms and power automation. The discovery phase will be completed within 4 weeks, with a proposal following this phase of work.</p> <p><u>Update for October 2021 ARAC meeting:</u> The discovery work has been completed and a SharePoint Developer with skills in Power Automate has been assigned the work package. A proposed solution will be scoped and a beta version will be available by the end of November 2021, for testing.</p>

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						<p><u>Update for December 2021 ARAC meeting:</u> The Digital team is still working on the solution, and anticipates that the beta version will be available by mid December 2021.</p> <p><u>Update for February 2022 ARAC meeting:</u> Unfortunately, the assigned developer was re-prioritised onto an urgent Executive Team request. The developer has nearly completed the required work and will be placed back onto this task. The re-prioritisation has introduced a 3 month delay on delivery.</p> <p><u>Update for April 2022 ARAC meeting:</u> A developer has been re-assigned and a development plan is being progressed – revised date of July 2022. Verbal update to be provided at meeting</p>
AC(22)14	22/02/2022	Structured Assessment 2021: Phase 2 - Corporate	To revisit R3, around staff engagement in PODCC, to review and re-examine the	LG	April June August 2022	Forward planned for 18 th August 2022 PODCC meeting.

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		Governance and Financial Management Arrangements	UHB's staff engagement strategy post COVID-19.			
AC(22)66	19/04/2022	Radiology Directorate Internal Audit Update	To discuss with Mrs Lisa Gostling whether there is any update on how HEIW propose to manage graduate allocation to Health Boards.	AC	August 2022	<i>Update for June 2022 ARAC meeting: Update to be provided to 16th August 2022 meeting. Verbal update to be provided at meeting</i>
			To discuss with Mr Huw Thomas opportunities offered by digital platforms.	AC/HT	August 2022	<i>Update for June 2022 ARAC meeting: Update to be provided to 16th August 2022 meeting. Verbal update to be provided at meeting</i>
AC(22)91	05/05/2022	BlackLine Financial Reconciliation System (Non-opinion Review)	To discuss further the potential for a full audit in this area.	JJ/HT	May June August 2022	Completed. Included in the Internal Audit Plan for 2022/23.
AC(22)92	05/05/2022	Draft Annual Accounts 2021/22	To obtain additional data/intelligence from the Welsh Risk Pool around clinical negligence and the likely future trajectory of claims.	HT	May August 2022	<i>Update for June 2022 ARAC meeting: Updates at an all Wales level are provided by WRP to the Directors of Finance. These will be reviewed to assess likely future trajectory. Update for August 2022 ARAC meeting: Request for additional intelligence sent directly</i>

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						to NWSSP Director of Finance. Response awaited.
AC(22)100	05/05/2022	Assurance Report on Board Effectiveness	To establish whether similar information exists for other Health Boards.	AB	May August 2022	Similar information on Board maturity is only available for Velindre NHS Trust. This appears to stem from the original pilot to utilise the Board maturity matrix tool adopted by the Health Board and the Trust pre pandemic.
AC(22)109	09/06/2022	Partnership Governance Follow-up (Reasonable Assurance)	To consider a national/ wider approach with regard to auditing RIF governance arrangements	JJ	August 2022	At present these audits are not identified in all audit plans. This matter has been raised by the Director of Audit & Assurance at relevant national groups for consideration.
			To raise with Mr Simon Cookson at the All Wales Board Secretaries Network meeting on 10 th June 2022 the issue of scrutiny of partnership governance arrangements	JW	June 2022	Completed. Potential to be included within HBs internal audit plans subject to local agreement.
			To define timescales for outstanding recommendations to allow monitoring via the Audit Tracker	CB/JP/ KB	August 2022	In progress. These recommendations will be clarified as part of the annual review of the Audit Tracker with Executive Leads which is

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						planned from August to October 2022.
AC(22)111	09/06/2022	Head of Internal Audit Opinion & Annual Report 2021/22	To raise with Mr Simon Cookson at the next All Wales Board Secretaries Network meeting the national approach to in-year Follow-up audits	JW	June 2022	Completed. Mr Cookson agreed to review how this is reported within Heads of Internal Audit Opinion in the current financial year recognising the feedback from the Committee.
			To include in the next Internal Audit Plan Progress Report potential solutions/actions to address the backlog in outstanding recommendations	JJ	August 2022	The Assurance and Risk team are currently undertaking an exercise reviewing recommendations remaining on the Tracker and gaining further information regarding their status. Following completion of this, Audit & Assurance will undertake testing to review the current position and obtain evidence to evaluate whether these actions have been fully completed.
AC(22)112	09/06/2022	Overview and Performance Report (Section of HDdUHB Annual Report 2021-22)	To amend the statement on page 8 of the report that '...almost three in five people (61%) are overweight or obese' to read '...over three in five	JW	June 2022	Completed.

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			people (61%) are overweight or obese'			
AC(22)114	09/06/2022	Audit Wales ISA 260 and Letter of Representation	To clarify whether the annual leave accrual issue is common across other Health Boards or specific to HDdUHB	CJ	August 2022	Hywel Dda is not alone in having issues with collation of annual leave balances. The specific systems and processes vary, but other HBs have received recommendations from Audit Wales to improve their processes.
AC(22)120	21/06/2022	Review of HDdUHB Standing Orders (SOs) and Standing Financial Instructions (SFIs)	To share with Mrs Judith Hardisty and amend prior to submission to the Board, wording in 5.2.1 of the Scheme of Delegation around 'pooled budget arrangements'	JW	July 2022	Completed. Unable to make the amendments due to the wording contained within the SFIs
AC(22)121	21/06/2022	Annual Review of the Committee's Terms of Reference & Membership	To make the agreed amendments	CB	July 2022	Completed.
AC(22)123	21/06/2022	Counter Fraud Update	To include a link to the Sway format Newsletter in future reports, rather than including this as an appendix	BR	August 2022	Complete: Link will be circulated via Teams when next Newsletter is published.
AC(22)124	21/06/2022	Financial Assurance Report	To include information on underpayments of salary in future reports	HT	August 2022	Completed. Information available will be included from August report.
			To discuss with Mrs Lisa Gostling the issue of use of different rota systems and	JW/ LG	August 2022	Verbal update to be provided at meeting

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			whether this is a topic for discussion at PODCC			
			To highlight to the Board the matter of Capital Project Bank Accounts and the associated issues	PN/JW	July 2022	Completed. Included in ARAC Update Report to 28 th July 2022 Public Board meeting.
			To make further enquiries regarding the possible implications of a dispute between the UHB and a primary contractor, in terms of impact on sub-contractor payment	HT	August 2022	Confirmed with WG Policy lead that any dispute between the UHB and Primary Contractor should not affect payments to sub-contractors. The Project Bank Account will provide additional safeguarding to the sub-contractor as the UHB will be able to monitor that payments are made.
AC(22)129	21/06/2022	Audit Tracker	To conduct an exercise to identify areas of concern/ requiring focus	JW/CB	August 2022	Areas of concern/priority will be identified prior to the planned Tracker Review meetings with Lead Executives to form a key part of the discussions. These review meetings will take place over the next few months, and will be reported to ARAC as part of the Tracker paper.
			To include in the Audit Tracker actions emanating from recent reviews/	CB	August 2022	The Cyber Assessment Framework Report as issued by NHS Wales Cyber Resilience Unit,

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			assessments concerning Cyber Security			was received at the In-Committee of the Sustainable Resources Committee meeting in June 2022 and these have now been included on the UHB tracker. Due to the sensitive nature of the information included, the detailed recommendations will not be listed individually on the tracker, however progress updates will be obtained via the bi-monthly service updates to the digital team, and progress on their implementation will be reported to ARAC.
AC(22)130	21/06/2022	RCP Medical Records Keeping Standards Internal Audit Update	To raise with Mrs Mandy Rayani concerns around the disparity in Clinical Audit resources across the region, and resultant lack of equity	JE	August 2022	Addressed during discussion of the Clinical Audit Update later on the agenda.
			To seek more contemporary research/ evidence around the benefits offered by stamps	JE	August 2022	Request made to Knowledge and Library Services to request a literature review. Initial feedback from clinicians has been positive and will form part

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						of the post-project appraisal.
			To discuss with the Information Governance team concerns around the security of stamps	JE	August 2022	Contact has been made with the Information Governance team to discuss information governance concerns raised around the security of stamps and a supporting email agreed to ensure clinicians are aware of the process for lost or mislaid stamps.
			To put in place safeguards such as ensuring stamps are surrendered when staff leave the UHB	JE	August 2022	Stamps distribution letter has been updated to include request to surrender the stamp to line manager when staff leave the Health Board. Once distribution has been completed. A message will be sent to all Doctors requesting that the stamps are surrendered should they leave.
			To ask colleagues whether other Health Boards are considering this issue	JJ	August 2022	This is currently being followed up with audit colleagues at other Health Boards.
			To schedule a further update for ARAC's February 2023 meeting	CM	August 2022	Completed. Forward planned for 21 st February 2023 meeting.
AC(22)131	21/06/2022	External Validation Update	To explore further with the Digital team potential	KJ	August 2022	The Health Board has successfully recruited a

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			opportunities to improve data collection, including robotics/automated processes			Pathway and Validation Manager who will be exploring the suggested actions with the Informatics team once in post on 15 th August 2022. It is also useful to note that Welsh Government will be working with the Health Board via an external provider which is a digital solution regarding validation, and as this progresses reports will be made available to the Committee.
			To highlight to the Board discussions around Validation	PN/JW	July 2022	Completed. Included in ARAC Update Report to 28 th July 2022 Public Board meeting.
AC(22)132	21/06/2022	Clinical Audit Update	To explore, should the upcoming recruitment be unsuccessful, potential opportunities to link with Aberystwyth University	IB	August 2022	Verbal Update to be provided at meeting
			To provide information around 2021/22 outcomes, shared learning from across the year and details of the 2022/23 Clinical Audit Plan	MR/IB	August 2022	Verbal Update to be provided at meeting