

Audit & Risk Assurance Committee

Tue 18 April 2023, 09:30 - 13:00

Board Room, Ystwyth Building and via MS Teams

Agenda

09:30 - 09:35 1. Introductions

5 min

1.1. Apologies

Rhodri Evans

1.2. Declaration of Interests

All

09:35 - 10:15 2. Governance

40 min


2.1. Minutes of the Meeting held on 21 February 2023

Rhodri Evans

 2.1 Unapproved ARAC Minutes 21 February 2023.pdf (23 pages)

2.2. Table of Actions

Rhodri Evans

 2.2 Table Of Actions ARAC 21 February 2023.pdf (8 pages)

 2.2 Appendix 1 - WCCIS Review.pdf (5 pages)

2.3. Matters Arising not on the Agenda

Rhodri Evans

2.4. Escalation Status Update

Steve Moore

 2.4 Escalation Status Update ARAC April 2023.pdf (5 pages)

 2.4 Appendix 1 - 2023-03-27 - JP to SM - following TI meeting 17 March 2023.pdf (5 pages)

2.5. Annual Review of the Committee's Terms of Reference & Membership

Rhodri Evans


 2.5 SBAR ARAC TORs April 2023.pdf (3 pages)

 2.5 Appendix 1 - ARAC Terms of Reference v15 for ARAC 18.04.23.pdf (10 pages)

2.6. Scheme of Delegation

Joanne Wilson

 2.6 Revised SoD SBAR ARAC April 2023.pdf (4 pages)

 2.6 Appendix 1 - SoD 2023 v5.pdf (43 pages)

2.7. Counter Fraud Annual Report 2022/23

Ben Rees

- 📄 2.7 SBAR Counter Fraud Annual Report 2022-23.pdf (2 pages)
- 📄 2.7 Counter Fraud Annual Report 2022-23.pdf (26 pages)

2.8. Counter Fraud Work Plan 2023/24

Ben Rees

- 📄 2.8 SBAR Counter Fraud Work Plan 2023-24.pdf (3 pages)
- 📄 2.8 Counter Fraud Work Plan 2023-24.pdf (12 pages)

2.9. NHS Counter Fraud Authority Draft SRT Return

Ben Rees

- 📄 2.9 SBAR Counter Fraud Draft SRT.pdf (2 pages)
- 📄 2.9 Draft review of NHS Requirements Government Functional Standards.pdf (16 pages)

2.10. Report on the Adequacy of Arrangements for Declaring, Registering and Handing interests, Gifts, Hospitality, Honoraria and Sponsorship

Joanne Wilson

- 📄 2.10 Declarations, Gifts, etc ARAC April 2023.pdf (7 pages)

10:15 - 10:25
10 min

3. Financial Focus

3.1. Financial Assurance Report

Huw Thomas

- 📄 3.1 Financial Assurance Report ARAC April 2023 (incl Appendices 1 - 4).pdf (21 pages)
- 📄 3.1 Appendix 5 - 2.7a NHS covering letter final.pdf (2 pages)
- 📄 3.1 Appendix 5 - 2.7b NHS_letter_final_eng.pdf (7 pages)
- 📄 3.1 Appendix 5 - 2.7c Ref - DoF001 - Audit Wales - Signed by HT 16.03.2023.pdf (2 pages)
- 📄 3.1 Appendix 5 - 2.7d AC352 - Letter to Mr Huw Thomas, FD, Hywel Dda UHB.pdf (1 pages)
- 📄 3.1 Appendix 5 - 2.7e Year End Audit Update.pdf (9 pages)
- 📄 3.1 Appendix 6 - 2.7f Carmarthenshire Pooled Budget CF2 2021-22.pdf (2 pages)
- 📄 3.1 Appendix 6 - 2.7g Certified Pooled Budget Memorandum Account.pdf (2 pages)
- 📄 3.1 Appendix 6 - 2.7h Qualification Letter Carmarthenshire HLG01 2021-22.pdf (2 pages)
- 📄 3.1 Appendix 6 - 2.7i CF1 HLG01 2021-22 Ceredigion CC.pdf (1 pages)
- 📄 3.1 Appendix 6 - 2.7j CF2 HLG01 2021-22 Ceredigion CC.pdf (2 pages)
- 📄 3.1 Appendix 6 - 2.7k Pooled Fund Memorandum Account 2021-22 Signed.pdf (1 pages)
- 📄 3.1 Appendix 7 - 2.7l CF1 HLG03 2021-22.pdf (1 pages)
- 📄 3.1 Appendix 7 - 2.7m CF2 HLG03 2021-22.pdf (2 pages)
- 📄 3.1 Appendix 7 - 2.7n Qualification Letter - HLG03 2021-22.pdf (2 pages)
- 📄 3.1 Appendix 7 - 2.7o Section 28A Annual Voucher 21-22.pdf (1 pages)

3.1.1. Carers Services Commissioned with Non-recurrent Grant Funding

Lisa Gostling

- 📄 3.1.1 Carers Services STA ARAC April 2023.pdf (5 pages)

10:25 - 11:00
35 min

4. Audit Wales

4.1. Audit Wales Update Report

Audit Wales

- 📄 4.1 2022-23 Audit Wales ARAC Update April 2023.pdf (12 pages)

- 📄 4.1 NHS covering letter final.pdf (2 pages)
- 📄 4.1 NHS covering_letter_cy.pdf (2 pages)
- 📄 4.1 NHS_letter_final_eng.pdf (7 pages)
- 📄 4.1 NHS_letter_final_cy.pdf (7 pages)
- 📄 4.1 Ref - DoF001 - Audit Wales - Signed by HT 16.03.2023.pdf (2 pages)
- 📄 4.1 AC352 - Letter to Mr Huw Thomas, FD, Hywel Dda UHB.pdf (1 pages)

4.2. Audit Wales Annual Plan 2023

Audit Wales

- 📄 4.2 2022-23 HDUHB Outline NHS Audit Plan.pdf (10 pages)

4.3. Workforce Planning Review

Audit Wales/Lisa Gostling

DEFERRED to 20 June 2023

4.4. Orthopaedic Services Review (National and Local Reports)

Audit Wales/Andrew Carruthers

DEFERRED to 20 June 2023

4.5. Review of Operational Governance Arrangements - Mental Health & Learning Disabilities

Audit Wales/Andrew Carruthers/Liz Carroll

The management response is under preparation and will follow, by the end of the week

- 📄 4.5 3507A2023 HDUHB Review of MHLD Governance Arrangements.pdf (22 pages)

11:00 - 11:10 5. BREAK

10 min

11:10 - 11:30 6. Deep Dive - Ophthalmology

20 min

Andrew Carruthers/Carly Hill

- 📄 6 SBAR Ophthalmology ARAC April 2023.pdf (7 pages)
- 📄 6 20160307 Letter to Hywel Dda FOO Assurance Review 01 02 16.pdf (3 pages)
- 📄 6 Eye Care Measures Review - HDUHB report - FINAL.pdf (11 pages)
- 📄 6 Thematic review of Ophthalmology - Final Report.pdf (39 pages)
- 📄 6 Final - Eye care services in Wales follow up (full) report English.pdf (37 pages)

11:30 - 12:30 7. NWSSP - Audit and Assurance Services - Internal Audit

60 min

7.1. Internal Audit Plan Progress Report

James Johns

- 📄 7.1 SBAR IA Plan Progress Report ARAC April 2023.pdf (3 pages)
- 📄 7.1 IA Plan Progress Report ARAC April 2023.pdf (9 pages)

7.2. Internal Audit Plan and Charter 2023/24

James Johns

- 📄 7.2 SBAR IA Plan & Charter 2023-24 ARAC April 2023.pdf (3 pages)
- 📄 7.2 HDdUHB Internal Audit Plan & Charter 2023-24.pdf (29 pages)

7.3. RCP Medical Record Keeping Standards Internal Audit Update

Philip Kloer

- 📄 7.3 RCP Medical Record Keeping Update ARAC April 2023.pdf (5 pages)
- 📄 7.3 Appendix 1- 195 Clinical Record Keeping Policy.pdf (17 pages)
- 📄 7.3 RCP Medical Records Keeping Standards (Reasonable Assurance) Dec 2018.pdf (14 pages)

7.4. Job Planning

James Johns/Philip Kloer

DEFERRED to 11 May 2023

7.5. Service Reset and Recovery

James Johns/Andrew Carruthers

DEFERRED to 11 May 2023

7.6. WGH Fire Precautions Phase 1

James Johns/Andrew Carruthers

DEFERRED to 11 May 2023

7.7. Regional Integrated Fund

James Johns/Jill Paterson

DEFERRED to 11 May 2023

7.8. Lessons Learned

James Johns/Mandy Rayani

DEFERRED to 11 May 2023

7.9. Safety Indicators – Pressure Damage & Medication Errors (Reasonable Assurance)

James Johns/Mandy Rayani

- 📄 7.9 Safety Indicators Final Internal Audit Report.pdf (16 pages)

7.10. Patient Experience (Reasonable Assurance)

James Johns/Mandy Rayani

- 📄 7.10 Patient Experience Final Internal Audit Report.pdf (14 pages)

7.11. Agency Nursing & Rostering

James Johns/Lisa Gostling

DEFERRED to 11 May 2023

7.12. Fitness for Digital (Advisory Review)

James Johns/Huw Thomas

- 📄 7.12 Fitness for Digital Internal Audit Review Final Report.pdf (35 pages)

7.13. Records Digitalisation

James Johns/Huw Thomas

DEFERRED to 11 May 2023

7.14. Strategic Transformation Programme Governance

James Johns/Huw Thomas

DEFERRED to 11 May 2023

7.15. Financial Management

James Johns/Huw Thomas

DEFERRED to 11 May 2023

12:30 - 12:50 8. Post Payment Verification

20 min

8.1. Post Payment Verification (PPV) Report

Huw Thomas/Amanda Legge

- 📄 8.1 Post Payment Verification (PPV) Report ARAC April 2023.pdf (4 pages)
- 📄 8.1 Hywel Dda UHB PPV Report April 2022 - March 2023 (anonymised).pdf (5 pages)

8.2. Primary Care PPV Report

Jill Paterson

- 📄 8.2 GMS PPV Update ARAC April 2023.pdf (4 pages)
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12:50 - 13:00 9. Assurance and Risk

10 min

9.1. Audit Tracker

Joanne Wilson

- 📄 9.1 Audit Tracker SBAR ARAC April 2023.pdf (14 pages)
 - 📄 9.1 Appendix 1 - Audit Tracker - April 2023.pdf (29 pages)
 - 📄 9.1 Appendix 2 - Open and Closed Reports April 2023.pdf (3 pages)
 - 📄 9.1 Appendix 3 - Not Known recommendations April 2023.pdf (6 pages)
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13:00 - 13:00 10. For Information

0 min

10.1. Audit & Risk Assurance Committee Work Programme 2023/24

- 📄 10.1 Audit Work Programme 2023-24.pdf (8 pages)

10.2. National Internal Audit Reports

NONE TO REPORT

13:00 - 13:00 11. Any Other Business

0 min

All

13:00 - 13:00 12. Review of Meeting

0 min

12.1. Reflective Summary of the Meeting

13:00 - 13:00
0 min

13. Date and Time of Next Meeting

2.00pm, 11 May 2023 (Review of Draft Annual Accounts and Draft Accountability Report)

9.30am, 20 June 2023 (Routine Meeting)