

Audit & Risk Assurance Committee
TABLE OF ACTIONS
Arising from the Meetings held on 16 April 2024 and 9 May 2024

Minute No.	Meeting Date	Subject	Action	Lead	Timescale	Progress/Date Achieved
AC(24)34	20/02/2024	Risk Assurance Report and Risk Maturity Assessment	To include narrative around the reasons for the figures within the report, to provide context.	CW	April August 2024	In Progress To be included in the next Risk Assurance Report due to be presented to the Committee in August 2024.
AC(24)48	16/04/2024	Escalation Report – Targeted Intervention	Targeted Intervention update report and action plan to come to the next routine Committee meeting.	LD	June 2024	Completed Item 2.5 on the agenda for 18 June 2024.
AC(24)50	16/04/2024	Audit Wales Annual Plan	To pick up with Mr Dave Thomas, (Audit Wales), whether the Digital Review will include how well Health Boards engage with national work from an external perspective (e.g. Digital Health and Care Wales (DHCW)) and whether it is intended to scrutinise the Digital Priorities Investment Fund (DPIF) and DHCW.	AV	June 2024	Completed The scope of the digital review is not yet finalised, but we are likely to include an audit question around how well NHS bodies engage with the relevant national and regional digital programmes. We have no plans to review the DPIF specifically, as this is a Welsh Government funding stream, but we are likely to also include an audit question which considers how the fund is being utilised locally. We will review all health bodies, including DHCW, however we will adapt the focus of our work at

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						DHCW to reflect its system leadership role.
AC(24)51	16/04/2024	Follow-up Review of Primary Care - Revised Management Response	To follow up on the completion dates and action timelines for the Audit Tracker.	CW/RB	June 2024	Completed
AC(24)52	16/04/2024	Contract and Procurement Processes	To ensure that refresher procurement sessions are offered to all relevant staff.	HT	June 2024	Completed Procurement and Counter Fraud training have been provided to the Informatics directorate.
			JW to link up with HT to ensure that key officers receive adequate procurement training.	JW / HT	June 2024	
AC(24)39	16/04/2024	Contract and Procurement Processes	An update outlining lessons learned in relation to historic contract and procurement processes to be presented at the next ARAC meeting for assurance.	HT	June 2024	Completed A section on the review of historic contracting and procurement issues has been included in the Financial Assurance Report.
AC(24)56	16/04/2024	Counter Fraud Workplan	To work with Christine James (Policy Co-Ordination Officer) on how to better link up Finance and Procurement processes when reviewing existing policies.	BR/JW	June 2024	Completed Upon consultation with the Health Board's Policy co-ordinator actions agreed include a requirement for Finance to consult with Procurement prior to the publishing / renewing of all procurement related policies. Confirmation of contact made, and any comments noted will be included in the policy SBAR. In addition, a reminder to implement these actions will be included in the

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						Finance Policy Schedule. To re-in force this message, Counter Fraud will be undertaking a review of the written control documentation Policy, where similar controls will be introduced.
AC(24)61	16/04/2024	Internal Audit Plan and Charter 2024/25	To consider reviewing wording of para 2.4 to include reference to Auditors' technical skills, as well as professional skills.	JJ	June 2024	Completed This will be considered as part of the full review and update that will be required to the Planning, Strategy and Charter Document for 25/26 aligned to the implementation of the new Internal Audit Standards.
AC(24)63	16/04/2024	Transforming Urgent and Emergency Care (TUEC)	To provide an update on progress against the recommendations in the IA report to the August meeting.	AC	August 2024	Completed Forward planned for 13 August 2024 meeting.
AC(24)66	16/04/2024	Records Digitisation Follow-up (<i>Reasonable Assurance</i>)	To review reporting processes as a result of the new Executive Team Governance structure.	AC/HT	August 2024	In Progress An update on risk 1335 which include details on these reporting arrangements will be provided to the Executive Team on 19 June 2024. The handover process will be outlined within the paper.
AC(24)67	16/04/2024	Discharge Management	To provide an update on progress against the recommendations in the Internal Audit report to the August meeting.	AC	August 2024	Completed Forward planned for 13 August 2024 meeting.
AC(24)71	16/04/2024	Consultant Job Planning	To provide an update on progress against the	MH	August 2024	Completed

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			recommendations in the Internal Audit report to August meeting.			Forward planned for 13 August 2024 meeting.
AC(24)47	16/04/2024	Audit Tracker	To highlight in the Update Report to Board the trend of the Mental Health directorate being raised as a service of concern.	RE/JW	May 2024	Completed Included in the ARAC Update Report for 30 May 2024 Public Board meeting.
AC(24)82	09/05/2024	Cleanliness/ Cleaning Standards (<i>Limited Assurance</i>)	SD to meet with Mr Rob Elliott to discuss how the Infection Prevention Practitioner within her team can help feed into some of the Service Level Agreements in this area due to their familiarity with the All Wales Cleaning Standards.	SD/RE	June 2024	Completed Meeting held with the Executive Director of Nursing, Quality and Patient Experience, The Estates and Facilities Director and the IPC Team on Tuesday 4 June 2024. A Control Group has been established to address the recommendations within the Audit report. The SLAs and Cleaning Standards will be addressed as part of this work.
			AC and JW to meet to discuss the findings of the audit in further detail and work on a plan to improve governance arrangements.	AC/JW	June 2024	Completed Meeting scheduled to be held on 10 June 2024.
AC(24)84	09/05/2024	Revised Model Standing Orders	JW to correct the name of 'Strategic Planning and Operational Delivery Committee' on Appendix 5 on page 70.	JW	June 2024	Completed
AC(24)86	09/05/2024	Year-end Processes	JW to correct Appendix 1 of the Ministerial Directions report to reflect that 'MD	CW	June 2024	Completed

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			23-27 has not been enacted'.			
			CW to review reasons for non-compliance in the report.	CW		Completed
			JW to seek clarity in relation to why the ear-wax service (As per WHC 006-18) is not being provided, any gaps and what is needed to address them.	JW		Completed The Ear Wax element of the WHC has been completed, with funding required for the first point of contact for audiologists to ensure patients have access to Advanced Practitioner Audiologists. The risk of non-compliance with this WHC is monitored via Risk 1457 - Risk of patients not having access to Ear Wax Management pathways due to lack of Advanced Practitioner Audiologist, with a current risk score of 12 as of 20 May 2024.
AC(24)87	09/05/2024	Draft Audit and Risk Assurance Committee Annual Report 2023/24	Two items for correction were noted: 2.4.11, pg.8 of the report which refers to the sign off accounts for '2023/24'. This needs to reflect the year of 2022/23. In reference to the Standing Orders, this should read September 2023 rather than September 2024.	CW	June 2024	Completed

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AC(24)91	09/05/2024	Draft Performance Overview	HT to include explanatory information for Statistical Process Control (SPC) Charts for readers so they do not have to exit the document in order to access this information via a weblink.	HT	June 2024	Completed The SPC key has been added to the main Annual Report document.
			HT to consider aligning the Health Board's key symbol conventions with those used by Welsh Government in their performance data.			Completed Welsh Government are using RAG rating for their performance data. Hywel Dda's Board decided in February 2021 to use SPC charts for our performance reporting. SPC uses a different symbol convention to RAG.
AC(24)92	09/05/2024	Draft Accountability Report	It was noted that the image resolution is unclear in the structure diagram. JW to liaise with the Communications Team for them to rectify.	JW	June 2024	Completed
AC(24)93	09/05/2024	Draft Annual Accounts 2023/24	HT to provide further information on the 20% increase in clinical negligence.	HT	June 2024	Completed This is included in update reports to ARAC on 18 June 2024.
AC(24)95	09/05/2024	AOB (Re: Draft Annual Accounts 2023/24)	WW was unable to attend the 9 May 2024 meeting, therefore it was agreed that HT would meet with him to discuss the accounts in detail.	HT	June 2024	Completed Rhian Bond and Timothy John in the Finance team met with the Independent Member for Finance.