

# Audit & Risk Assurance Committee

Tue 21 February 2023, 09:30 - 13:00

Boardroom, Ystwyth Building, St. David's Park, Carmarthen SA31  
3BB and MS Teams

## Agenda

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### 09:30 - 09:35 1. Introductions 5 min

#### 1.1. Apologies

*Paul Newman*

#### 1.2. Declaration of Interests

*All*

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### 09:35 - 10:10 2. Governance 35 min

#### 2.1. Minutes of the Meeting held on 13 December 2022

*Paul Newman*

 2.1 Unapproved ARAC Minutes 13.12.2022 DRAFT v0.5.pdf (15 pages)

#### 2.2. Table of Actions

*Paul Newman*

 2.2 Table Of Actions ARAC Dec 22 FINAL.pdf (11 pages)

#### 2.3. Matters Arising not on the Agenda

*Paul Newman*

#### 2.4. Escalation Status Update


*Steve Moore*

#### 2.4.1. Report on the Targeted Intervention Meeting held 6 December 2022 and the Joint Executive Team Meeting held on 22 December 2022

 2.4.1 SBAR - TI and JET Meetings Update - ARAC Feb 2023 Final.pdf (14 pages)

#### 2.4.2. Targeted Intervention and Enhanced Monitoring - Board Oversight of Areas of Concern

 2.4.2 SBAR - EM Update - HB Oversight of TI Areas of Concern - ARAC Feb 2023 v1 (002) FINAL.pdf (7 pages)

 2.4.2 TI Themes - Evidence from Assurance Committees FINAL.pdf (16 pages)

#### 2.5. Bluestone Review

*Steve Moore*

 2.5.1 ARAC.SBAR.Bluestone FINAL.pdf (5 pages)

 2.5.2 Bluestone Final Report Final 24 January 2023 (003).pdf (19 pages)

## 2.6. Counter Fraud Update

*Ben Rees*

- 📄 2.6.1 CF Audit and Risk Assurance Committee SBAR February 2023 v0.2 FINAL.pdf (8 pages)
  - 📄 2.6.2 Counter Fraud Update February 2023 Final.pdf (4 pages)
  - 📄 2.6.3 Appendix 1 Purchase Cards Review Final.pdf (6 pages)
  - 📄 2.6.4 Appendix 2 HYWEL DDA UNIVERSITY LHB PO Report.pdf (15 pages)
  - 📄 2.6.5 Appendix 3 HYWEL DDA UNIVERSITY PEA Report.pdf (14 pages)
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10:10 - 10:30

20 min

## 3. Financial Focus

### 3.1. Financial Assurance Report

*Huw Thomas*

- 📄 3.1 Financial Assurance Report for February ARAC 130223.pdf (20 pages)

### 3.2. Annual Statement of Financial Procedures

*Huw Thomas*

- 📄 3.2.1 SBAR Financial procedures review Feb 23 ARAC 130223.pdf (4 pages)
  - 📄 3.2.2 SBAR Accounting policies review Feb 23 ARAC 130223.pdf (2 pages)
  - 📄 3.2.3 SBAR Accounts process timetable review Feb 23 ARAC 130223.pdf (2 pages)
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10:30 - 10:55

25 min

## 4. Audit Wales

### 4.1. Audit Wales Update Report

*Anne Beegan*

- 📄 4.1 2069A Audit Wales HDUHB ARAC Update (1).pdf (10 pages)

### 4.2. Structured Assessment - Management Response

*Joanne Wilson*

- 📄 4.2.1 ARAC.SBAR.StructuredAssessmentMgmtResp22&21.V1.010223. FINAL.pdf (4 pages)
- 📄 4.2.2 App2 - 2360A2021-22 HDUHB SA (Ph 1) Mgmt Resp.Updated.Feb23.pdf (2 pages)

### 4.3. Orthopaedic Services in Wales – Tackling the Waiting List Backlog: A comparative picture for Hywel Dda University Health Board

*Anne Beegan / Andrew Carruthers*

- 📄 4.3 3293A2022\_HDUHB\_Orthopaedics\_Health\_Board\_report.pdf (26 pages)

### 4.4. Review of the Sustainable use of Referral to Treatment (RTT) Monies

*Anne Beegan / Andrew Carruthers*

This review has been stood down. A note of the key issues from the work is being developed; however, no formal output/report will be prepared.

### 4.5. Audit Wales Annual Plan 2023

*Deferred to 18 April 2023*

*Anne Beegan*

### 4.6. Review of Operational Governance Arrangements – Mental Health & Learning Disabilities

**10:55 - 11:00 5. BREAK**

5 min

**11:00 - 11:20 6. Deep Dive - Ophthalmology**

20 min

*Andrew Carruthers / Carly Hill*

- 📄 6.1 Audit and Risk Assurance Committee SBAR Dec 2022.pdf (7 pages)
- 📄 6.2 20160307 Letter to Hywel Dda FOO Assurance Review 01 02 16.pdf (3 pages)
- 📄 6.3 Eye Care Measures Review - HDUHB report - FINAL.pdf (11 pages)
- 📄 6.4 Thematic review of Ophthalmology - Final Report.pdf (39 pages)
- 📄 6.5 Final - Eye care services in Wales follow up (full) report English.pdf (37 pages)

**11:20 - 12:45 7. NWSSP Audit and Assurance Services - Internal Audit**

85 min

**7.1. Internal Audit Plan Progress Report***James Johns*

- 📄 7.1.1 A&A ARAC SBAR Internal Audit Progress Report Feb 2023.pdf (4 pages)
- 📄 7.1.2 A&A HDUHB ARAC progress report Feb 2023.pdf (9 pages)

**7.2. Glangwili General Hospital Fire Precautions Works: Phase 1 (Reasonable Assurance)***James Johns / Andrew Carruthers*

- 📄 7.2 SSUHDU222307 GGH Fire Precautions Works - Phase 1 Final Report.pdf (24 pages)

**7.3. Glangwili Hospital - Women & Children's Development (Reasonable Assurance)***James Johns / Andrew Carruthers*

- 📄 7.4 Final Internal Audit Report WC PhII 2223.pdf (28 pages)

**7.4. A Healthier Mid & West Wales Programme Forward Look Governance Review (Advisory Review)***James Johns / Lee Davies*

- 📄 7.9 HDUHB HMWW Forward Look Governance Review Final Report.pdf (9 pages)

**7.5. Individual Patient Funding Requests (Reasonable Assurance)***James Johns / Philip Kloer*

- 📄 7.3 HDUHB-2122-14 Individual Patient Funding Requests - Final Report.pdf (12 pages)

**7.6. Non-Clinical Temporary Staffing Follow-up (Reasonable Assurance)***James Johns / Lisa Gostling*

- 📄 7.5 HDUHB-2223-31 Non-Clinical Temporary Staffing Follow Up - Final Report.pdf (17 pages)

**7.7. Continuing Healthcare and Funded Nursing Care (Reasonable Assurance)***James Johns / Jill Paterson*

- 📄 7.6 HDUHB 2223-10 Continuing Healthcare FINAL Internal Audit Report.pdf (13 pages)

**7.8. Prevention of Self Harm Follow-up (Reasonable Assurance)**

*James Johns / Mandy Rayani*

 7.7 HDUHB-2223-33 Prevention of Self Harm Follow Up Final Report.pdf (15 pages)

## **7.9. BlackLine (Substantial Assurance)**

*James Johns / Huw Thomas*

 7.8 HDUHB-2223-36 Blackline Final Internal Audit Report.pdf (7 pages)

## **7.10. Draft Internal Audit Plan 2023**

*Deferred to 18 April 2023*      *James Johns*

## **7.11. Service Reset and Recovery**

*Deferred to 18 April 2023*      *James Johns / Andrew Carruthers*

## **7.12. Regional Integrated Fund**

*Deferred to 18 April 2023*      *James Johns / Jill Paterson*

## **7.13. Fitness for Digital**

*Deferred to 18 April 2023*      *James Johns / Huw Thomas*

## **7.14. Lessons Learned**

*Deferred to 18 April 2023*      *James Johns / Mandy Rayani*

## **7.15. Safety Indicators**

*Deferred to 18 April 2023*      *James Johns / Mandy Rayani*

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## **12:45 - 12:45** 8. Post Payment Verification 0 min

### **8.1. Post Payment Verification (PPV) Report**

*Deferred to 18 April 2023*      *Amanda Legge*

### **8.2. Primary Care PPV Report**

*Deferred to 18 April 2023*      *Jill Paterson*


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## **12:45 - 12:55** 9. Assurance and Risk 10 min


### **9.1. Audit Tracker**

*Joanne Wilson*

 9.1.1 Audit Tracker SBAR February 2023 FINAL.pdf (15 pages)

 9.1.2 Appendix 1 - Audit tracker - February 2023 FINAL.pdf (20 pages)

 9.1.3 Appendix 2 - Open and Closed Reports February 2023 FINAL.pdf (2 pages)

 9.1.4 Appendix 3 - Not Known recommendations February 2023 FINAL.pdf (6 pages)

### **9.2. Risk Assurance Report**

*Joanne Wilson*

📄 9.2.1 Risk Assurance Report Covering SBAR v2 FINAL.pdf (4 pages)

📄 9.2.2 Risk Assurance Report v10 FINAL.pdf (18 pages)

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**12:55 - 12:55** **10. For Information**

0 min

**10.1. Audit and Risk Assurance Committee Work Programme 2022/23**

📄 10.1 Audit Work Programme 2022-23.pdf (11 pages)

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**12:55 - 12:55** **11. Any Other Business**

0 min

*All*

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**12:55 - 13:00** **12. Review of Meeting**

5 min

**12.1. Reflective Summary of Meeting**

*Chair / Joanne Wilson*

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**13:00 - 13:00** **13. Date and Time of Next Meeting**

0 min

9.30am, 18 April 2023