

Audit & Risk Assurance Committee
TABLE OF ACTIONS
Arising from Meeting held on 19th April and 5th May 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.</p>
AC(21)185	19/10/2021	RCP Medical Records Keeping Standards Internal Audit Update	To explore potential learning from other organisations who use written records;	PK	April June 2022	To be incorporated in full update scheduled for 19 th April 21 st June 2022.
			To provide a further update to the April 2022 meeting.	PK	April June	<u>Update for April 2022 ARAC meeting:</u>

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					2022	<p><i>The Clinical Record Keeping Policy has been reviewed and an updated version is in draft. A set of clinical record keeping principles have been developed with multidisciplinary input, and they have formed the basis of the updated Policy. A review of Health Board and Trust Record Keeping policies from across the UK has been undertaken, and informed the development of the draft Hywel Dda Policy. A Task and Finish Group is being convened to finalise the policy. The previously drafted e-learning module is being updated with new content to reflect the revised record keeping principles and updated policy, and contact has been made with the workforce education and development department for advice on other methods for training and education around the</i></p>

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						<p><i>policy and revised record keeping principles. Additional capacity had been secured to take forward a number of actions in relation to record keeping, however this work was halted due to the deployment of this individual to the operational front line between December 2021 and March 2022. Discussions are currently ongoing regarding the deployment of another individual to progress this work.</i></p> <p>Full update forward planned for 21st June 2022 meeting.</p>
AC(21)212	14/12/2021	Table of Actions: AC(21)189 - Medical Staff Recruitment (Reasonable Assurance)	To share the report with PODCC and discuss monitoring actions via its Workplan with Mrs Lisa Gostling.	JW	February June 2022	To be included on the forward Workplan for PODCC and will be an agenda item at the 20 th June 2022 meeting.
AC(22)14	22/02/2022	Structured Assessment 2021: Phase 2 - Corporate Governance and Financial Management Arrangements	To revisit R3, around staff engagement in PODCC, to review and re-examine the UHB's staff engagement strategy post COVID-19.	LG	April June August 2022	Forward planned for 18 th August 2022 PODCC meeting.

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AC(22)38	22/02/2022	External Validation Update	To provide an update on the outcome of the validation exercise when this is complete.	AC	June 2022	Forward planned for 21 st June 2022 meeting.
AC(22)51	19/04/2022	Table of Actions: AC(21)105 - Local Deployment of WIS (Reasonable Assurance)	To discuss with the Digital Director the request to close action AC(21)105 and progress it via other means.	JW	May 2022	Agreed to close action with Digital Director, agreeing to update Board Secretary and IM (IT) once this has occurred.
AC(22)54	19/04/2022	Notification of the Annual Review of the Committee's Self-Assessment of Effectiveness	To issue the self-assessment questionnaire.	CM	April 2022	Completed.
AC(22)58	19/04/2022	Report on the Adequacy of Arrangements for Declaring, Registering and Handling Interests, Gifts, Hospitality, Honoraria and Sponsorship 2021/22	To look into the second entry in Appendix 4 and establish why this honoraria had been paid directly to the individual.	JW	May 2022	Review undertaken on honoraria payment. Payment made directly to individual due to preparation and delivery being undertaken in own time rather than UHB's.
AC(22)59	19/04/2022	Financial Assurance Report	To clarify whether STA HDD595, in respect of Fire Doors for Ty Bryn, or a contract for Fire Doors at Bronglais General Hospital had been awarded first.	HT	May 2022	There were two parts in relation to BGH Fire Doors, a VEAT was issued in October 2021 following an urgent fire improvement notice and an ITT was awarded on 23 rd February 2022.

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						The STA ref. HDD595 was approved on 1 st March 2022.
AC(22)62	19/04/2022	Audit Wales Annual Plan 2022	To raise with Ms Anne Beegan whether consideration has been given to audit work with a social care workforce perspective.	CJ	May 2022	The workforce review included in the 2022 Audit Plan will primarily be focused on the NHS, however social care capacity, including workforce, will feature as part of the Audit Wales cross-sectoral review of unscheduled care due to start in May 2022. In addition, NHS and social care workforce featured as a key area for consideration in the recent AGW forward programme consultation. The results of the consultation will inform the audit programme for 2023 and beyond.
AC(22)65	19/04/2022	Organisational Values & Staff Wellbeing (Substantial Assurance)	To highlight to Board the positive findings of the Workforce Planning and Organisational Values & Staff Wellbeing reports.	PN/JW	May 2022	Completed. Included in ARAC Update Report to 26 th May 2022 Public Board meeting.
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	Update to be provided to 16 th August 2022 meeting.

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			To discuss with Mr Huw Thomas opportunities offered by digital platforms.	AC/HT	August 2022	Update to be provided to 16 th August 2022 meeting.
			To highlight the matter of ongoing scrutiny of this topic to Board, and seek guidance regarding with which Committee this is best placed.	PN/JW	May 2022	Completed. Included in ARAC Update Report to 26 th May 2022 Public Board meeting.
AC(22)67	19/04/2022	Response to Internal Audit Records Management Review	To discuss with Mr Andrew Carruthers the proposed closure of recommendations and action accordingly via the Audit Tracker.	JW/AC	May 2022	As per the paper presented to ARAC in April 2022, two recommendations have been closed, and three remain open with a revised completion date for all remaining actions noted as March 2023. It has also been confirmed by Internal Audit that a follow up assurance report on records management is due to take place in Q4 of 2022/23.
			To refer this matter to SRC for monitoring.	HT	June 2022	Forward planned for 28 th June 2022 SRC meeting.
			To pass on the Committee's thanks to the team involved.	AC/GR	May 2022	Completed.
AC(22)70	19/04/2022	Internal Audit Plan and Charter 2022/23	To add to Appendix A details of Audit Type (1, 2 or 3).	JJ	May 2022	The audit type will be included within the Internal Audit Plan Progress report, which will be presented to ARAC on 21 st June 2022

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						and to subsequent meetings throughout the year. This has also been shared with the ARAC Chair.
AC(22)76	19/04/2022	Audit Tracker	To take up with the Head of Effective Clinical Practice & Quality Improvement the Peer Review reports which make reference to 'No response received'.	CB	May 2022	As per the Audit Tracker paper presented at ARAC in April 2022, there were 4 Peer Review reports open on the UHB Audit Tracker. As part of the on-going bi-monthly service update process undertaken by the Assurance and Risk Team, updates are obtained, and progress will be monitored via Future reports to ARAC. As at May 2022, there are 5 peer reviews on the tracker, with 33 recommendations. 17 recommendations had no revised dates, the majority being Women and Children, with the remaining recommendations resulting from the oncology peer review (issued in January 2022 with timescales of March 2022) which was tabled

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						at Operational Quality, Safety and Experience Sub-Committee on 12 th May 2022, where the service was asked to provide revised dates.
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 2022	A meeting has been scheduled for 10 th June 2022.
			To take steps to provide the management assurance that the BlackLine system is operating as intended.	HT	June 2022	A briefing paper will be provided to ARAC as part of the Financial Assurance Report.
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 2022	Updates at an all Wales level are provided by WRP to the Directors of Finance. These will be reviewed to assess likely future trajectory.
AC(22)99	05/05/2022	Draft Head of Internal Audit Opinion & Annual Report 2021/22	To obtain objectives for the national audits to add to pages 17 and 18 of the report.	JJ	May 2022	These have been added to the Final version of the report, which will be presented to ARAC on 9 th June 2022.
			To correct the fourth entry under status in the table on page 19, which is marked 'R' but coloured green.	JJ	May 2022	This has been updated in the Final version of the report, which will be presented to ARAC on 9 th June 2022.
AC(22)100	05/05/2022	Assurance Report on Board Effectiveness	To establish whether similar information exists for other Health Boards.	AB	May 2022	Verbal update to be provided at 9 th June 2022 meeting.