

# Audit and Risk Assurance Committee

Tue 20 February 2024, 09:30 - 13:30

Ystwyth Boardroom/MS Teams



## Agenda

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### 09:30 - 09:35 **1. Introductions**

5 min

#### **1.1. Apologies**

*Rhodri Evans*

#### **1.2. Declaration of Interests**

*All*

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### 09:35 - 10:00 **2. Governance**

25 min

#### **2.1. Minutes of the Meeting held on 12 December 2023**

*Rhodri Evans*

📄 Item 2.1 Unapproved ARAC Minutes 12 December 2023.pdf (22 pages)

#### **2.2. Table of Actions**

*Rhodri Evans*

📄 Item 2.2 Table Of Actions ARAC 12 December 2023.pdf (8 pages)

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

*Rhodri Evans*

#### **2.4. Escalation Status Update**

*Philip Kloer*

📄 Item 2.4 Escalation Status Update ARAC February 2024.pdf (5 pages)

📄 Item 2.4 Appendix 1 - Joint Escalation and Intervention Arrangements.pdf (2 pages)

#### **2.5. Contract and Procurement Processes - Governance**

*Joanne Wilson*

DEFERRED to 16 April 2024

#### **2.6. ARAC Self-Assessment 2023/24**

*Rhodri Evans/Joanne Wilson*

📄 Item 2.6 ARAC Self-Assessment 2023-24.pdf (6 pages)

📄 Item 2.6 ARAC Committee Effectiveness Outcomes.pdf (33 pages)

#### **2.7. Revised ARAC Terms of Reference**

*Rhodri Evans*

- 📄 Item 2.7 SBAR ARAC TORs February 2024.pdf (3 pages)
- 📄 Item 2.7 Appendix 1 - ARAC Terms of Reference v16 for ARAC 20.02.24.pdf (10 pages)

10:00 - 10:30  
30 min

### 3. Financial Focus

#### 3.1. Financial Assurance Report

*Huw Thomas*

- 📄 Item 3.1 SBAR Financial Assurance Report ARAC February 2024.pdf (4 pages)
- 📄 Item 3.1 Financial Assurance Report ARAC February 2024 (incl Appendix 1 - 4).pdf (32 pages)
- 📄 Item 3.1 Appendix 5 - Project Bank Accounts Update.pdf (3 pages)
- 📄 Item 3.1 Appendix 6 - 2.7a CF1 HLG01 Carms CC 2022-23.pdf (1 pages)
- 📄 Item 3.1 Appendix 6 - 2.7b CF2 HLG01 Carms CC 2022-23.pdf (2 pages)
- 📄 Item 3.1 Appendix 6 - 2.7c Qualification Letter -Carmarthenshire CC HLGO1.pdf (2 pages)
- 📄 Item 3.1 Appendix 6 - 2.7d Signed Pooled budgets memorandum 2022-23.pdf (2 pages)
- 📄 Item 3.1 Appendix 6 - 2.7e NHS letter - final 23-24.pdf (10 pages)

#### 3.2. Annual Statement of Financial Procedures

*Huw Thomas*

- 📄 Item 3.2 Annual Statement of Financial Procedures ARAC February 2024.pdf (4 pages)

#### 3.3. Counter Fraud Update

*Ben Rees*

- 📄 Item 3.3 SBAR Counter Fraud Update ARAC February 2024.pdf (3 pages)
- 📄 Item 3.3 Counter Fraud Update ARAC February 2024.pdf (5 pages)
- 📄 Item 3.3 Appendix 1 - Fraud Prevention Notices.pdf (9 pages)

10:30 - 11:30  
60 min

### 4. Audit Wales

#### 4.1. Audit Wales Update Report

*Audit Wales*

- 📄 Item 4.1 2023-24 Audit Wales ARAC Update (20.02.24).pdf (12 pages)

#### 4.2. Structured Assessment 2023 - Management Response

*Audit Wales/Philip Kloer/Joanne Wilson/Sharon Daniel/Huw Thomas/Lee Davies*

- 📄 Item 4.2 SBAR Structured Assessment 2023 Management Response.pdf (3 pages)
- 📄 Item 4.2 3950A2023 HDUHB Structured Assessment 2023 Report - Organisational Response Form Final.pdf (3 pages)

#### 4.3. Review of Unscheduled Care

*Audit Wales/Andrew Carruthers*

DEFERRED to 16 April 2024

#### 4.4. Review of Operational Governance Arrangements MHL D - Update

*Andrew Carruthers/Liz Carroll*

- 📄 Item 4.4 SBAR Audit Wales MHL D Update ARAC February 2024.pdf (4 pages)
- 📄 Item 4.4 Appendix 1 - HDUHB Review of MHL D Governance Arrangements Management Response Updated ARAC February 2024.pdf (9 pages)
- 📄 Item 4.4 3507A2023 HDUHB Review of MHL D Governance Arrangements (as presented to April 2023 meeting).pdf (22 pages)

## 4.5. Follow-up Review of Primary Care - Management Response

*Jill Paterson*

 Item 4.5 3949A2023 Hywel Dda Primary Care Follow-Up - Organisational Response Form.pdf (2 pages)

 Item 4.5 3949A2023 HDUHB Primary Care Follow-Up Report (as presented to December 2023 meeting).pdf (27 pages)

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## 11:30 - 11:40 5. BREAK

10 min

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## 11:40 - 13:00 6. NWSSP - Audit and Assurance Services - Internal Audit

80 min

### 6.1. Internal Audit Plan Progress Report

*James Johns*

 Item 6.1 SBAR IA Plan Progress Report ARAC February 2024.pdf (4 pages)

 Item 6.1 IA Plan Progress Report ARAC February 2024.pdf (9 pages)

### 6.2. Bronglais General Hospital Quality and Safety Governance Follow-up (Reasonable Assurance)

*James Johns/Sharon Daniel/Andrew Carruthers*

 Item 6.2 BGH Quality and Safety Follow-up Final Internal Audit Report.pdf (14 pages)

### 6.3. WGH RAAC Internal Major Incident

*James Johns/Andrew Carruthers*

DEFERRED to 16 April 2024

### 6.4. Transforming Urgent and Emergency Care (TUEC)

*James Johns/Andrew Carruthers*

DEFERRED to 16 April 2024

### 6.5. Cleanliness/Cleaning Standards

*James Johns/Andrew Carruthers*

DEFERRED to 16 April 2024

### 6.6. Elective Waiting List Management

*James Johns/Andrew Carruthers*

DEFERRED to 16 April 2024

### 6.7. Theatre Loan Trays and Consumables Follow-up (Reasonable Assurance)

*James Johns/Andrew Carruthers*

 Item 6.7 Theatre Loan Trays Follow-up Final Internal Audit Report.pdf (19 pages)

### 6.8. GGH Fire Enforcement (BJC1)

*James Johns/Andrew Carruthers*

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### 6.9. Agency/Rostering

*James Johns/Lisa Gostling*

DEFERRED to 16 April 2024

## **6.10. Emergency Planning**

*James Johns/Dr Ardiana Gjini*

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## **6.11. NICE Guidance Follow-up (Substantial Assurance)**

*James Johns/Mr Mark Henwood*

 Item 6.11 NICE Guidance Follow-up Final Internal Audit Report.pdf (12 pages)

## **6.12. Decarbonisation (Limited Assurance)**

*James Johns/Lee Davies*

 Item 6.12 Decarbonisation Final Internal Audit Report.pdf (19 pages)

## **6.13. Cross Hands Health and Wellbeing Centre**

*James Johns/Lee Davies*

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## **6.14. Major Programme/Project Provision**

*James Johns/Lee Davies*

DEFERRED to 16 April 2024

## **6.15. Financial Savings and Financial Control**

*James Johns/Huw Thomas*

DEFERRED to 16 April 2024





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**13:00 - 13:30**  
30 min

## **7. Assurance and Risk**






### **7.1. Audit Tracker**

*Joanne Wilson*

-  Item 7.1 Audit Tracker ARAC February 2024.pdf (20 pages)
-  Item 7.1 Appendix 1- Audit and Inspection Tracker - January 2024.pdf (36 pages)
-  Item 7.1 Appendix 2 - Open and Closed Reports - February 2024.pdf (3 pages)
-  Item 7.1 Appendix 3 - Not Known Recommendations - February 2024.pdf (15 pages)

### **7.2. Risk Assurance Report and Risk Maturity Assessment**

*Joanne Wilson*

-  Item 7.2 SBAR Risk Assurance Report ARAC February 2024.pdf (3 pages)
-  Item 7.2 Risk Assurance Report February 2024.pdf (19 pages)
-  Item 7.2 Appendix 1 - Reporting of Themed Risk Registers.pdf (4 pages)
-  Item 7.2 Appendix 2 - Summary of Risk Reporting.pdf (5 pages)
-  Item 7.2 Appendix 3 - Service and Directorate Level Monitoring Arrangements.pdf (3 pages)

### **7.3. Risk Management Strategy**

*Joanne Wilson*

-  Item 7.3 SBAR Risk Management Strategy ARAC February 2024.pdf (3 pages)

**13:30 - 13:30 8. For Information**

0 min

**8.1. Audit Wales Letter - Audit of Accounts 2023/24**

Item 8.1 NHS letter - final 23-24 - Welsh.pdf (10 pages)

Item 8.1 NHS letter - final 23-24.pdf (10 pages)

**8.2. Audit and Risk Assurance Committee Work Programme 2023/24**

Item 8.2 Audit Work Programme 2023-24.pdf (10 pages)

**8.3. National Internal Audit Reports**

NONE TO REPORT

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**13:30 - 13:30 9. Any Other Business**

0 min

*All*

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**13:30 - 13:30 10. Review of Meeting**

0 min

**10.1. Matters and Risks for Escalation to the Board**

*Rhodri Evans/Joanne Wilson*

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**13:30 - 13:30 11. Date and Time of Next Meeting**

0 min

9.30am, 16 April 2024