

# Audit & Risk Assurance Committee

Tue 17 October 2023, 09:30 - 13:00

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 - 10:10 2. Governance

35 min

#### 2.1. Minutes of the Meeting held on 26 July 2023

*Rhodri Evans*

 Item 2.1 Unapproved ARAC Minutes 26 July 2023.pdf (6 pages)

#### 2.2. Minutes of the Meeting held on 15 August 2023

 Item 2.2 Unapproved ARAC Minutes 15 August 2023.pdf (17 pages)

#### 2.3. Table of Actions

*Rhodri Evans*

 Item 2.3 Table Of Actions ARAC 26 July 2023.pdf (2 pages)

 Item 2.3 Table Of Actions ARAC 15 August 2023.pdf (10 pages)

 Item 2.3 Appendix 1 - Updated Management Response.pdf (10 pages)

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

*Rhodri Evans*

#### 2.5. Escalation Status Update

*Steve Moore*

 Item 2.5 Escalation Status Update ARAC October 2023.pdf (6 pages)

#### 2.6. All Wales NHS Audit Committee Chairs' Meeting Update

*Rhodri Evans*

 Item 2.6 AWACC - April 2023 - AAA Report.pdf (5 pages)

#### 2.7. Revised Model Standing Orders and Model Standing Financial Instructions

*Joanne Wilson*

 Item 2.7 Revised Model SOs and SFIs ARAC October 2023.pdf (7 pages)

 Item 2.7 Appendix 1 - LHB Model Standing Orders Reservation and Delegation of Powers July 2023 v6 Final -

## 10:10 - 10:40 3. Financial Focus

30 min

### 3.1. Financial Assurance Report

*Huw Thomas*

- Item 3.1 SBAR Financial Assurance Report ARAC October 2023.pdf (3 pages)
- Item 3.1 Financial Assurance Report ARAC October 2023 (incl Appendix 1 - 6).pdf (49 pages)
- Item 3.1 Appendix 7 - Financial Compliance Presentation.pdf (10 pages)

### 3.2. Counter Fraud Update

*Ben Rees*

- Item 3.2 SBAR Counter Fraud Update ARAC October 2023.pdf (3 pages)
- Item 3.2 Counter Fraud Update October 2023.pdf (7 pages)
- Item 3.2 Appendix 1 - Fraud Prevention Notice.pdf (5 pages)
- Item 3.2 Appendix 2 - Risk Assessment Theatre Trays.pdf (2 pages)

### 3.3. Post Payment Verification (PPV) Report

*Amanda Legge*

- Item 3.3 SBAR PPV April- Sept 2023 ARAC October 2023.pdf (4 pages)
- Item 3.3 Hywel Dda PPV Report April - Sept 2023.pdf (1 pages)

### 3.4. Primary Care PPV Update

*Jill Paterson*

- Item 3.4 Primary Care PPV Update ARAC October 2023.pdf (5 pages)
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## 10:40 - 11:00 4. Clinical Audit

20 min

### 4.1. Clinical Audit Update

*Mandy Rayani/ Ian Bebb*

- Item 4.1 Clinical Audit Update ARAC October 2023.pdf (6 pages)
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## 11:00 - 11:10 5. BREAK

10 min

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## 11:10 - 11:20 6. Audit Wales

10 min

### 6.1. Audit Wales Update Report

*Audit Wales*

- Item 6.1 2023-24 Audit Wales ARAC Update October 2023.pdf (12 pages)

### 6.2. Structured Assessment 2022 - Management Response Update

*Audit Wales/ Joanne Wilson*

DEFERRED to 12 December 2023

### 6.3. Review of Unscheduled Care

*Audit Wales/Andrew Carruthers*

DEFERRED to 12 December 2023

### 6.4. Follow-up Review of Primary Care

*Audit Wales/Jill Paterson*

DEFERRED to 12 December 2023

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11:20 - 12:40  
80 min

## 7. NWSSP - Audit and Assurance Services - Internal Audit

### 7.1. Internal Audit Plan Progress Report

*James Johns*

 Item 7.1 SBAR IA Plan Progress Report ARAC October 2023.pdf (4 pages)

 Item 7.1 IA Plan Progress Report ARAC October 2023.pdf (12 pages)

### 7.2. Deprivation of Liberty Safeguards (Reasonable Assurance)

*James Johns/ Andrew Carruthers/ Jill Paterson*

 Item 7.2 DoLS Final Internal Audit Report.pdf (14 pages)

### 7.3. Quality & Safety Governance Bronglais (Limited Assurance)

*James Johns/ Andrew Carruthers/ Mandy Rayani*

 Item 7.3 Q & S BGH Final Internal Audit Report.pdf (16 pages)

### 7.4. MHLD Service - Timely Access (Reasonable Assurance)

*James Johns/ Andrew Carruthers/ Liz Carroll*

 Item 7.4 MHLD - Timely Access Final Internal Audit Report.pdf (18 pages)


### 7.5. Estates Assurance - Estate Condition

*James Johns/ Andrew Carruthers*

DEFERRED to 12 December 2023

### 7.6. NICE Guidance (Limited Assurance)

*James Johns/ Prof Philip Kloer*

 Item 7.6 NICE Guidance Final Internal Audit Report.pdf (15 pages)

### 7.7. Locum Medical Staff

*James Johns/ Prof Philip Kloer*

REMOVED FROM IA PLAN - TO BE REPLACED

### 7.8. Emergency Planning

*James Johns/ Dr Ardiana Gjini*

DEFERRED to 20 February 2024

### 7.9. Board Oversight (Substantial Assurance)

*James Johns/ Steve Moore/ Joanne Wilson*

📄 Item 7.9 Board Oversight Final Internal Audit Report.pdf (11 pages)

## **7.10. Sealing of Contracts (Advisory Review)**

*James Johns/ Joanne Wilson*

📄 Item 7.10 Sealing of Contracts Review Final Internal Audit Report.pdf (4 pages)

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## **12:40 - 12:50 8. Assurance and Risk**

10 min

### **8.1. Audit Tracker**

*Joanne Wilson*

📄 Item 8.1 Audit Tracker ARAC October 2023.pdf (16 pages)

📄 Item 8.1 Appendix 1 - Audit and Inspection Tracker - October 2023.pdf (45 pages)

📄 Item 8.1 Appendix 2 - Open and Closed Reports - October 2023.pdf (2 pages)

📄 Item 8.1 Appendix 3 - Not Known Recommendations - October 2023.pdf (15 pages)

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## **12:50 - 12:50 9. For Information**

0 min

### **9.1. Audit & Risk Assurance Committee Work Programme 2023/24**

📄 Item 9.1 Audit Work Programme 2023-24.pdf (10 pages)

### **9.2. National Internal Audit Reports**

NONE TO REPORT

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## **12:50 - 12:55 10. Any Other Business**

5 min

*All*

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## **12:55 - 13:00 11. Review of Meeting**

5 min

### **11.1. Matters and Risks for Escalation to the Board**

*Rhodri Evans/Joanne Wilson*

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## **13:00 - 13:00 12. Date and Time of Next Meeting**

0 min

9.30am, 12 December 2023