

## **Agenda Audit & Risk Assurance Committee**

**Date** 20/10/2020  
**Time** 9:30 - 13:20  
**Location** Ystwyth Building - Board Room  
**Chair** Paul Newman

### **Description**

#### **1 Introductions**

9:30

##### **1.1 Apologies**

Presenter: Chair

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

All

#### **2 Governance**

9:35

##### **2.1 Minutes of the Meeting held on 25 August 2020**

Presenter: Chair

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

Presenter: Chair

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

Presenter: Chair

##### **2.4 Update on Escalation/Targeted Intervention Status**

Presenter: Steve Moore

#### **3 Governance Reviews**

9:50

##### **3.1 Audit Wales Structured Assessment 2020**

Presenters: Audit Wales/Joanne Wilson

##### **3.2 Internal Audit Advisory Review: Governance Arrangements during the COVID-19 Pandemic**

Presenters: James Johns/Joanne Wilson/Huw Thomas

#### **4 Financial Focus**

10:40

##### **4.1 Financial Assurance Report**

Presenter: Huw Thomas

##### **4.2 Morning Break**

10:50

**5 Audit Wales**

11:00

**5.1 Audit Wales Update**

Presenter: Audit Wales

**5.2 Audit Wales Structured Assessment 2019 - Progress to Date**

Presenter: Joanne Wilson

**6 NWSSP - Audit and Assurance Services - Internal Audit**

11:10

**6.1 Internal Audit Plan Progress Report**

Presenter: James Johns

**6.2 Partnership Governance (Integrated Care Fund) (Limited Assurance)**

Presenters: James Johns/Ros Jervis

**6.3 Core Financial Systems - Accounts Receivable (Reasonable Assurance)**

Presenters: James Johns/Huw Thomas

**6.4 Additional Learning Needs and Educational Tribunal (Wales) Act 2018 (Reasonable Assurance)**

Presenters: James Johns/Alison Shakeshaft

**6.5 IM&T Control & Risk Assessment**

Presenters: James Johns/Karen Miles  
DEFERRED to 20 December 2020

**6.6 Information Governance**

Presenters: James Johns/Karen Miles  
DEFERRED to 20 December 2020

**6.7 Research & Development Department Follow-up (Reasonable Assurance)**

Presenters: James Johns/Dr Philip Kloer

**6.8 Bronglais General Hospital Directorate Governance Follow-up (Reasonable Assurance)**

Presenters: James Johns/Andrew Carruthers

**6.9 Records Management Follow-up (Limited Assurance)**

Presenters: James Johns/Andrew Carruthers

**7 Updates on Audit Wales and Internal Audit Reviews**

12:10

**7.1 Audit Wales Clinical Coding Follow-up Update**

Presenter: Karen Miles

**7.2 Internal Audit RCP Medical Records Keeping Standards Update**

Presenter: Dr Philip Kloer

**7.3 Audit Wales Review of Estates Update**

Presenter: Andrew Carruthers

**7.4 Audit Wales Review of Operational Quality & Safety Arrangements Update**

Presenter: Mandy Rayani

**8 Assurance and Risk**

12:50

**8.1 Quality, Safety & Experience Assurance Committee Assurance Report around the Discharge of their Terms of Reference**

Presenter: Mandy Rayani

**8.2 Scrutiny of Outstanding Improvement Plans**

Presenter: Joanne Wilson

**8.3 Audit Tracker**

Presenter: Joanne Wilson

**9 Counter Fraud**

13:00

**9.1 Counter Fraud Update**

Presenter: Ben Rees

**10 For Information**

13:05

**10.1 Audit Wales: 10 Opportunities for Restarting and Resetting the NHS Planned Care System**

**10.2 Audit Wales: NHS Wales Finances Data Tool (weblink)**

<https://www.audit.wales/publication/nhs-wales-finances-data-tool-march-2020>

**10.3 Audit & Risk Assurance Committee Work Programme 2020/21**

Presenter: Chair

**11 Any Other Business**

13:10

All

**12**            **Review of Meeting**

13:15

**12.1**          **Reflective Summary of the Meeting**

Presenter: Chair/Joanne Wilson

**13**            **Date & Time of Next Meeting**

9:30am, 15th December 2020, Boardroom, Corporate Offices, Ystwyth Building, St David's Park, Carmarthen