

Audit & Risk Assurance Committee

Tue 23 February 2021, 09:30 - 13:00

Board Room, Ystwyth Building and via MS Teams

Agenda

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

1.1. Apologies

Paul Newman

1.2. Declaration of Interests

All

09:35 - 09:50 **2. Governance**
15 min

2.1. Minutes of the Meeting held on 15 December 2020

Paul Newman

 Unapproved ARAC Minutes 15 December 2020.pdf (18 pages)

2.2. Table of Actions

Paul Newman

 Table Of Actions ARAC 15 December 2020.pdf (13 pages)


 Appendix 1 - IMT Control and Risk Assessment Final IA Report (Revised).pdf (33 pages)

2.3. Matters Arising not on the Agenda

Paul Newman

2.4. Audit & Risk Assurance (ARAC) Self-Assessment Exercise 2020/21

Paul Newman

 SBAR ARAC Self-Assessment Exercise 2020-21 February 2021.pdf (3 pages)

 Draft ARAC Self-Assessment Questions February 2021.pdf (3 pages)

2.5. Annual Review of the Committee's Terms of Reference & Membership

Paul Newman

 SBAR ARAC TORs February 2021.pdf (3 pages)

 ARAC Terms of Reference for Approval by February 2021 ARAC.pdf (11 pages)

09:50 - 10:10 **3. Financial Focus**
20 min

3.1. Financial Assurance Report

Huw Thomas

 Financial Assurance Report ARAC February 2021.pdf (18 pages)

3.2. Annual Statement of Financial Procedures

Huw Thomas

- Annual Statement of Financial Procedures ARAC February 2021.pdf (4 pages)

3.3. Post Payment Verification (PPV) Report

Huw Thomas/Amanda Legge/Sue Tillman/Jill Paterson

- Post Payment Verification (PPV) Report ARAC February 2021.pdf (3 pages)
- Hywel Dda PPV Report October 2020 - January 2021 (anonymised).pdf (3 pages)
- Primary Care Post Payment Verification ARAC February 2021.pdf (7 pages)

10:10 - 10:30
20 min

4. Audit Wales

4.1. Audit Wales Update Report

Audit Wales

- HDdUHB AC Update February 2021.pdf (10 pages)

4.2. Audit Wales Annual Plan 2021

Audit Wales

- Hywel Dda UHB Audit Plan 2021.pdf (16 pages)

4.3. Audit Wales Review: Supporting Staff Wellbeing during COVID-19

Audit Wales/Lisa Gostling

DEFERRED to April 2021

4.4. Audit Wales Review: Test, Trace, Protect

Audit Wales/Alison Shakeshaft

DEFERRED to April 2021

4.5. Audit Wales Orthopaedic Services Follow-up

Audit Wales/Andrew Carruthers

DEFERRED to April 2021

10:30 - 12:10
100 min

5. NWSSP - Audit and Assurance Services - Internal Audit

5.1. Internal Audit Plan Progress Report

James Johns

- SBAR IA Plan Progress Report ARAC February 2021.pdf (3 pages)
- IA Plan Progress Report ARAC February 2021.pdf (12 pages)


5.2. Quality & Safety Governance (Reasonable Assurance)

James Johns/Mandy Rayani

- Quality & Safety Governance Final IA Report.pdf (14 pages)


5.3. Health & Care Standards (Substantial Assurance)

James Johns/Mandy Rayani

 Health and Care Standards Final IA Report.pdf (11 pages)

5.4. Closure of Actions (Reasonable Assurance)

James Johns/Mandy Rayani

 Closure of Actions Final IA Report.pdf (14 pages)

5.5. Health & Safety

James Johns/Mandy Rayani

DEFERRED to April 2021

5.6. Transformation Steering Group

James Johns/Steve Moore

DEFERRED to April 2021

5.7. Infrastructure - to be REPLACED by Data Modelling

James Johns/Huw Thomas

DEFERRED to April 2021

5.8. MORNING BREAK

5.9. Effectiveness of IT Deployment in Relation to COVID-19 (Substantial Assurance)

James Johns/Huw Thomas

 Effectiveness of IT Deployment in Relation to COVID-19 Final IA Report.pdf (13 pages)

5.10. Contracting Follow-up

James Johns/Huw Thomas

 Contracting Follow-Up Final IA Report.pdf (12 pages)

5.11. Quality Review of Consultant Job Plans (no assurance rating)

James Johns/Dr Philip Kloer

 Quality Review of Consultant Job Plans.pdf (9 pages)

5.12. Capital Assurance Follow-up (Reasonable Assurance)

Eifion Jones/Huw Thomas

 Capital Assurance Follow-Up Final IA Report.pdf (12 pages)

5.13. Estates Assurance Follow-up (Substantial Assurance)

Eifion Jones/Andrew Carruthers

 Estates Assurance Follow-Up Final IA Report.pdf (13 pages)

12:10 - 12:25
15 min

6. Updates on Audit Wales and Internal Audit Reviews

6.1. Radiology Directorate (Reasonable Assurance) Update

Andrew Carruthers

12:25 - 12:40
15 min

7. Assurance and Risk

7.1. Mental Health Legislation Assurance Committee (MHLAC) Assurance Report around the Discharge of their Terms of Reference

Andrew Carruthers

📄 MHLAC Assurance Report ARAC February 2021.pdf (7 pages)

7.2. Audit Tracker

Joanne Wilson

📄 Audit Tracker ARAC February 2021.pdf (7 pages)

📄 Appendix 1 - High Priority Recommendations February 2021.pdf (9 pages)

📄 Appendix 2 - In Progress and Overdue Recommendations February 2021.pdf (14 pages)

📄 Appendix 3 - Open and Closed Reports February 2021.pdf (2 pages)

7.3. Prioritised Plan for Outstanding Audit/Regulatory/Inspectorate Recommendations - Update on Progress

Joanne Wilson

📄 Prioritised Plan Update ARAC February 2021.pdf (4 pages)

12:40 - 12:45
5 min

8. Counter Fraud

8.1. Counter Fraud Update

Ben Rees

📄 SBAR Counter Fraud Update February 2021.pdf (2 pages)

📄 Counter Fraud Update February 2021.pdf (4 pages)

📄 Appendix 1 - Counter Fraud Newsletter Winter 2020-2021.pdf (4 pages)

12:45 - 12:50
5 min

9. For Information

9.1. Audit Wales Supplementary Structured Assessment Output: 'Doing it Differently, Doing it Right?'

📄 Doing it Differently, Doing it Right.pdf (19 pages)

📄 Blog - Governance in the NHS During the COVID-19 Crisis.pdf (2 pages)

📄 Doing it Differently, Doing it Right Press Release.pdf (3 pages)

9.2. Auditor General for Wales Letter: Procurement and Supply of PPE during the COVID-19 Pandemic

📄 AC237 - Letter to Chair, HSCS and Chair, PAC.pdf (6 pages)

9.3. Auditor General for Wales Letter to Public Sector CEOs and Senior WG Stakeholders

📄 AC245 - Letter to CEOs and WG.pdf (2 pages)

📄 AC245 - Letter to CEOs and WG Cymru.pdf (2 pages)

9.4. Audit & Risk Assurance Committee Work Programme 2020/21

12:50 - 12:55 **10. Any Other Business**
5 min

All

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

11.1. Reflective Summary of the Meeting

Paul Newman/Joanne Wilson

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

9.30am, 20 April 2021