

**Audit & Risk Assurance Committee**  
**TABLE OF ACTIONS**  
**Arising from Meetings held on 10<sup>th</sup> and 22<sup>nd</sup> June 2021**

Minute No.	Meeting Date	Subject	Action	Lead	Timescale	Progress/Date Achieved
AC(20)175	20/10/2020	Update on Escalation/Targeted Intervention Status	To provide a six monthly assurance report.	SM	April June August 2021	Forward planned for 24 <sup>th</sup> August 2021 meeting.
AC(20)186	20/10/2020	Bronglais General Hospital Directorate Governance Follow-up (Reasonable Assurance)	To discuss the reporting arrangements across all directorates to ensure there is a standardised approach that provides assurance without causing unnecessary additional work.	AC	April August 2021	<p><u>Update for April 2021 ARAC meeting:</u>  <i>Deferred due to the second wave of COVID-19 Pandemic. Governance structures and development work within Operational functions will be reviewed after completion of the Annual Recovery Plan in June 2021.</i></p> <p><u>Update for August 2021 ARAC meeting:</u>  A standardised approach to Directorate Governance arrangements has been communicated. This will be further strengthened by the setting up of monthly meetings, including:</p> <ul style="list-style-type: none"> <li>• Internal Operational Performance Touchpoint</li> <li>• Business meetings</li> </ul>

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AC(20)190	20/10/2020	Internal Audit RCP Medical Records Keeping Standards (Reasonable Assurance) Update	To provide a progress update in 9 to 12 months' time.	PK	October 2021	Forward planned for 19 <sup>th</sup> October 2021 meeting.
AC(21)27	23/02/2021	Radiology Directorate (Reasonable Assurance) Update	To discuss with the Executive Team the proposals and their financial implications.	AC	April August 2021	SBAR to be submitted to Executive Team to review in July 2021.
			To provide an update in August 2021.	AC	August 2021	Forward planned for 24 <sup>th</sup> August 2021 meeting.
AC(21)53	20/04/2021	Internal Audit Plan 2021/22	To include the number of days/hours anticipated for each audit;	JJ	June August 2021	<i>Update for 10<sup>th</sup> June 2021 ARAC meeting:</i> A meeting is scheduled for 21 <sup>st</sup> June 2021 with the ARAC Chair and Board Secretary to discuss the requirements further.
			To discuss with NWSSP and Audit Wales the potential value of an audit assurance programme jointly commissioned through the RPB.	HT	June August 2021	<i>Update for August 2021 ARAC meeting:</i> A methodology has been discussed with the ARAC Chair, which will highlight the category of audit being undertaken and will be included in progress reports going forward. Meeting held between the Director of Audit at NWSSP and the HDdUHB Director of Finance, Board Secretary and Vice-Chair (RPB Chair) on 17 <sup>th</sup> June 2021. NWSSP have

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						agreed to work with Internal Audit teams across Local Authority partners.
AC(21)80	05/05/2021	Health & Safety (Reasonable Assurance)	To provide further evidence regarding monitoring via the Table of Actions;	MR/TH	October 2021	Update to be obtained for 19 <sup>th</sup> October 2021 meeting.
AC(21)82	05/05/2021	Digital Modelling (Substantial Assurance)	To consult Digital Health & Care Wales (DHCW) regarding which code hosting platforms they recommend.	HT	June 2021	<i>Update for 10<sup>th</sup> June 2021 ARAC meeting:</i> <i>The Health Analytics Team are in discussion with DHCW to ascertain which package they use; however, the coding is currently stored within the Health Board's infrastructure, and therefore backed up daily. Where there is necessity to share with other Health Boards, the code is shared in a secure manner.</i>  <i>See further update under AC(21)99, below.</i>
AC(21)99	10/06/2021	Table of Actions: AC(21)82 - Digital Modelling (Substantial Assurance)	To obtain a further update, noting that the issue relates to version control.	HT	August 2021	The Health Analytics Team have established a repository of the modelling coding via GitHub, to which the Analytical Team and Assistant Director of Digital Services has access.

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						A further review is being undertaken to find a longer-term solution which is accessible to all staff. GitHub requires a licence to unlock the full functionality. The Health Analytics Team are exploring the use of Office 365 as a document managements system.
AC(21)102	10/06/2021	Withybush General Hospital Wards 9 & 10 Lessons Learnt (Advisory Review)	To present a report on the Capital Governance arrangements review to the August ARAC meeting;	LD	August 2021	Forward planned for 24 <sup>th</sup> August 2021 meeting (Terms of Reference) and 19 <sup>th</sup> October 2021 meeting (Full Report).
			To consider whether evaluations for the WGH Wards 9 & 10 and W&C Phase 2 projects could be merged, in order to reflect on common themes.	AC	August 2021	Merging both project evaluations in order to reflect common themes will not be undertaken, due to: <ul style="list-style-type: none"> <li>W&amp;C Phase 2 work is currently ongoing and the scheme is still live;</li> <li>Post Project Evaluation of Wards 9/10 will have a different focus.</li> </ul> The recommendations of the audit report presented to the previous ARAC meeting are being addressed by a small group from Estates, Finance and Planning.

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						A proposal has been made to bring the Post Project Evaluation forward from January 2022, to September 2021.
AC(21)103	10/06/2021	COVID-19 Governance Update (Advisory Review)	To amend the report to either summarise any actions required, or indicate more clearly that no actions are required.	JJ/JW	August 2021	The report has been reviewed and it is considered that the narrative executive summary provided the conclusion intended. It is confirmed that no specific recommendations were raised in the report.
AC(21)105	10/06/2021	Local Deployment of the Welsh Immunisation System (WIS) (Reasonable Assurance)	To share with ARAC, once published, the DHCW All Wales review into WIS.	AT	August December 2021	DHCW have still to finalise their review and lessons learned report; Health Boards are anticipating a draft in September 2021 for comment.
AC(21)109	10/06/2021	Audit Wales ISA 260 and Letter of Representation	To incorporate the recommendations made in the ISA 260 report within the Audit Tracker	CB	August 2021	Completed.
AC(21)110	10/06/2021	Final Accounts for 2020/21	To provide a breakdown of external consultancy costs for 2020/21;	HT	August 2021	Completed. Circulated to Members via email on 10 <sup>th</sup> August 2021. Also attached at Appendix 1.
			To seek information on external consultancy expenditure from other Health Boards, for comparison.	LE	August 2021	
AC(21)117	22/06/2021	Annual Review of the Committee's Self-Assessment of	To schedule a review of progress in implementing	CM	December 2021	Forward planned for 14 <sup>th</sup> December 2021 meeting.

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		<b>Effectiveness – Analysis of Findings</b>	changes/improvements in 6 months' time.			
<b>AC(21)118</b>	<b>22/06/2021</b>	<b>Report on the Adequacy of Arrangements for Declaring, Registering and Handling Interests, Gifts, Hospitality, Honoraria and Sponsorship</b>	To check whether consultant level staff had been included as part of the focus on high risk staff;	JW	August 2021	Consultant level staff identified within Senior Management staff together with Associate Medical Directors have been included as part of the focus on high risk groups. Going forward, consideration will be given to the requirement for Senior Medical Staff to complete a Declaration of Interest Form integral to Consultant Job Planning reviews/ revalidation, and for junior medical staff to complete a Declaration of Interest Form alongside the completion of commencement forms.
			To explore other digital solutions for obtaining and collating this information;	HT	August 2021	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.
			To cross check that all members of staff able to	HT	August 2021	Whilst budget holders on Oracle are not identified

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			approve budgets on Oracle are included within the high risk staff groups.			as a specific high risk group required to complete an annual Declaration of Interest Form within the Standards of Behaviour Policy, having undertaken a cross-check against the 5th and 6th level Oracle budget holders, there is a 44.3% match with those required to complete an annual declaration. All Oracle budget holders will be identified as a high risk group going forward.
AC(21)119	22/06/2021	Financial Assurance Report	To present to the next meeting a report on Service Level Agreements with Third Sector organisations;	AC/HT	August 2021	Forward planned for 24 <sup>th</sup> August 2021 meeting.
			To investigate the tender of just below £1m, and bring back the detail of the tender and the authorisation levels to the next Committee meeting;	HT	August 2021	The contract was tendered as a call-off contract until 2023. The contract was openly tendered, and the value returned by this supplier coincidentally was just below the £0.5m threshold. We do not envisage the full contract value to be reached for a significant time because: a) of the way digital dictation is rolled out, in a phased way alongside

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						appropriate business change practices; and b) this also included a number of licences in excess of our current requirements in order to future-proof the implementation.
			To clarify whether the re-tendering process for the service currently provided by the British Red Cross (STA HDD563) has begun.	HT	August 2021	See below for update by county relating to the tendering plans for the British Red Cross (BRC). Please note that the BRC is part of a number of services and differs slightly by County: <ul style="list-style-type: none"> <li>• <b>Carmarthenshire</b> - this service is to be jointly tendered between the Local Authority (lead commissioner) and HDdUHB commencing in September 2021;</li> <li>• <b>Ceredigion</b> - BRC is commissioned by Ceredigion Association of Voluntary Services (CAVO) to provide a Home from Hospital service. The contract is between CAVO and BRC and is funded via the Integrated Care Fund (ICF). The current agreement is due to</li> </ul>



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						<p>end in March 2022 when ICF comes to an end. At County level there is a Hywel Dda contract for a Home from Hospital Service which will need to go out for re-tender (as part of the overall framework).</p> <ul style="list-style-type: none"> <li>• <b>Pembrokeshire</b> - there are two aspects to the BRC in Pembrokeshire. <ol style="list-style-type: none"> <li>1. The support in ED, which does not sit under the County Director</li> <li>2. The remainder of the services are provided through PIVOT, which is predominately funded via ICF and the Transformation Fund. The UHB is awaiting their final affirmation around re-tendering timelines.</li> </ol> </li> </ul>
AC(21)121	22/06/2021	<b>Structured Assessment 2021: Phase 1 Operational Planning Arrangements</b>	To include relevant statements and commitments, together with indicative timescales, within the management response.	LD	August 2021	Completed management response to be presented to 24 <sup>th</sup> August 2021 meeting.

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AC(21)123	22/06/2021	Procuring and Supplying PPE for the COVID-19 Pandemic	To enquire whether there are plans to consider the issue of quality in relation to the supply and procurement of PPE;	AB	August 2021	There are currently no plans in the AGW's work programme to review quality issues associated with the supply and procurement of PPE.
			To enquire whether there are plans to conduct a review across the four nations into PPE guidance and how this was issued.	AB	August 2021	In its November 2020 report on the <a href="#">supply of PPE during the pandemic</a> , the National Audit Office makes reference to the guidance for the use of PPE (part 3). Although the report is predominantly focused on NHS England, there is reference to the UK Government arrangements. There are currently no plans at a UK level to further review the PPE guidance across the four nations.
AC(21)125	22/06/2021	Internal Audit Plan Progress Report	To explore the feasibility of presenting IA reports to the June 2022 ARAC meeting.	JJ/JW	August 2021	This will be explored through the planning process for the 2022/23 year. It is worth reiterating that June is an early point in the audit year and, as such, only a limited number of audits reports would be possible at that stage.

The Health Board's analysis of what has been coded under consultancy is listed below.

Suppliers	£'000
3PB BARRISTERS	2
ACUITY LAW LTD	12
ADMINCONTROL AS	4
BLAKE MORGAN LLP	352
BRITISH ASSESSMENT BUREAU LTD	23
CARMARTHENSHIRE COUNTY COUNCIL	1
CIVITAS LAW	22
CPS GROUP (UK) LTD	1
DELOITTE & TOUCH LLP	4
GENERAL PHARMACEUTICAL COUNCIL	1
GLEEDS	8
HDT LOSSES	30
HDT ONE OFF URGENT PAYMENTS	4
HEALTHCARE EFFICIENCIES LTD	24
IBEX GALE LTD	32
JOURNALS / ACCRUALS	494
KPMG	107
MACE LTD	33
MEDDYGFA TREGARON SURGERY	10
MID WALES HOUSING ASSOCIATION LTD	126
OXFORD HEALTH NHS FOUNDATION TRUST	2
PRICEWATERHOUSECOOPERS LLP	402
PRIMARY CARE GPS	8
RIVER CHAMBERS	12
ROYAL COLLEGE OF NURSING	1
SGS UK LTD	10
SLATER & GORDON UK LLP	1
STUART HOGG PROPERTY CONSULTANT	1
THE COGNITION COMPANY GROUP LTD	5
THE CONSULTATION INSTITUTE	2
THE DIGITAL ACCESSIBILITY CENTRE LTD	3
THOMSON REUTERS (PROFESSIONAL) UK LTD	1
TRUSTMARQUE SOLUTIONS LTD	60
WELSH GOVERNMENT	39
WILDWOOD ECOLOGY LTD	1
<b>Grand Total</b>	<b>1,838</b>

In reviewing this, it is apparent that there are elements coded to this which should be coded elsewhere (for instance, legal fees do not constitute consultancy, some agency staff have been included, PwC have been engaged on technical work and not necessarily consultancy). We will undertake further work on our definitions of consultancy over the coming year in advance of the next annual accounts.

In comparison with the rest of Wales, the following analysis shows the Health Board's position:

<b>Health Body</b>	<b>£'000</b>
C&V	5,562
Hywel Dda	1,838
PHW	620
Swansea	368
Powys	248
AB	168
BCU	59

Hywel Dda UHB have the second highest level of expenditure, which is reflective of the work being undertaken at the Health Board on planning for the Programme Business Case. The Health Board also includes legal fees within this categorisation, at £0.9m, which includes legal fees to cover Redress cases and employment issues.