

Audit & Risk Assurance Committee

Tue 14 December 2021, 13:00 - 17:00

Board Room, Ystwyth Building and via MS Teams

Agenda

13:00 - 13:05 **1. Introductions**
5 min

1.1. Apologies

Paul Newman

1.2. Declaration of Interests

All

13:05 - 13:35 **2. Governance**
30 min

2.1. Minutes of the Meeting held on 19 October 2021


Paul Newman

 Unapproved ARAC Minutes 19 October 2021.pdf (22 pages)

2.2. Table of Actions

Paul Newman

 Table Of Actions ARAC 19 October 2021.pdf (10 pages)

 Appendix 1 - Capital Schemes.pdf (1 pages)

 Appendix 2 - Discharge Processes Review Management Response.pdf (7 pages)

 Appendix 3 - Medical Staff Recruitment Updated Management Response.pdf (4 pages)

2.3. Matters Arising not on the Agenda

Paul Newman

2.4. All Wales NHS Audit Committee Chairs' Meeting Update

Paul Newman

 All Wales Audit Committee Chairs' Meeting Update ARAC December 2021.pdf (5 pages)

2.5. Review of Capital Governance Arrangements – Management Response


Lee Davies

 SBAR Capital Governance Review Management Response ARAC December 2021.pdf (3 pages)

 Appendix 1 - Capital Governance Review Management Response.pdf (4 pages)

2.6. Annual Review of the Committee's Self-Assessment of Effectiveness - Six Month Review

Paul Newman

 ARAC Self-Assessment 2020-21 - 6 month Review.pdf (12 pages)

2.7. Cost Advisor Review from Field Hospitals

Huw Thomas

📄 Cost Advisor Review - Field Hospitals ARAC December 2021.pdf (7 pages)

13:35 - 13:40
5 min

3. Financial Focus

3.1. Financial Assurance Report

Huw Thomas

📄 Financial Assurance Report ARAC December 2021.pdf (19 pages)

13:40 - 14:20
40 min

4. Audit Wales

4.1. Audit Wales Update Report

Audit Wales

📄 Audit Wales Update ARAC December 2021.pdf (10 pages)

4.2. Phase 1 Structured Assessment - Operational Planning (Update)

Audit Wales/Lee Davies

📄 Phase 1 SA2021 (Operational Planning) ARAC December 2021.pdf (3 pages)

📄 Appendix 1 - SA (Phase 1) Management Response Update December 2021.pdf (6 pages)

4.3. Phase 2 Structured Assessment - Corporate Governance and Financial Management

Audit Wales/Joanne Wilson/Huw Thomas

DEFERRED to 22 February 2022

4.4. Orthopaedic Services Follow-up

Audit Wales/Andrew Carruthers

DEFERRED to 22 February 2022

4.5. Review of the Sustainable Use of RTT Monies

Audit Wales/Andrew Carruthers

DEFERRED to 22 February 2022

4.6. Taking Care of the Carers? How NHS bodies supported staff wellbeing during the COVID-19 pandemic

Audit Wales/Lisa Gostling

📄 Taking Care of the Carers.pdf (29 pages)

📄 Taking Care of the Carers - A Checklist for NHS Board Members.pdf (3 pages)

📄 Gofalu am y Gofalwyr.pdf (32 pages)

📄 Gofalu am y Gofalwyr - Rhestr Wirio ar gyfer Aelodau Bwrdd y GIG.pdf (3 pages)

📄 Management Response - Taking Care of the Carers.pdf (6 pages)



14:20 - 14:30
10 min

5. BREAK

6. NWSSP - Audit and Assurance Services - Internal Audit

6.1. Internal Audit Plan Progress Report

James Johns

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

6.2. Deployment of WPAS into MHLD (Limited Assurance)

James Johns/Huw Thomas

-  Deployment of WPAS into MHLD Final IA Report.pdf (17 pages)

6.3. Therapies Directorate Governance Review (Reasonable Assurance)

James Johns/Alison Shakeshaft/Lance Reed

-  Therapies Directorate Review Final IA Report.pdf (14 pages)

6.4. Financial Planning, Monitoring and Reporting (Reasonable Assurance)

James Johns/Huw Thomas

-  Financial Planning, Monitoring & Reporting Final IA Report.pdf (14 pages)

6.5. IT Back Up Arrangements (Substantial Assurance)

James Johns/Huw Thomas

-  IT Backup Arrangements Final IA Report.pdf (10 pages)

6.6. Workforce Planning

James Johns/Lisa Gostling

DEFERRED to 22 February 2022

6.7. Non-clinical Temporary Staff/Agency Spend

James Johns/Lisa Gostling

DEFERRED to 22 February 2022

6.8. TriTech

James Johns/Philip Kloer

DEFERRED to 22 February 2022

6.9. Quality & Safety Governance Framework

James Johns/Mandy Rayani

DEFERRED to 22 February 2022

6.10. Corporate Governance

James Johns/Joanne Wilson

DEFERRED to April 2022

6.11. Performance Reporting and Monitoring

James Johns/Huw Thomas

DEFERRED to 22 February 2022

6.12. Commissioning

James Johns/Huw Thomas

DEFERRED to 22 February 2022

6.13. Records Management

James Johns/Andrew Carruthers

DEFERRED to 22 February 2022

16:00 - 16:15 7. Assurance and Risk 15 min

7.1. Audit Tracker

Joanne Wilson

- 📄 Audit Tracker ARAC December 2021.pdf (10 pages)
- 📄 Appendix 1 - Audit and Inspection Tracker December 2021.pdf (12 pages)
- 📄 Appendix 2 - Open and Closed Reports December 2021.pdf (2 pages)

7.2. Planning Objectives Update

Paul Newman/Joanne Wilson

- 📄 Planning Objectives Update ARAC December 2021.pdf (5 pages)
- 📄 Appendix 1 - PO Update ARAC December 2021.pdf (2 pages)

16:15 - 16:20 8. Counter Fraud 5 min

8.1. Counter Fraud Update

Ben Rees

- 📄 SBAR Counter Fraud Update ARAC December 2021.pdf (2 pages)
- 📄 Counter Fraud Update ARAC December 2021.pdf (5 pages)
- 📄 Appendix 1 - Fraud Awareness Week Newsletter.pdf (4 pages)
- 📄 Appendix 2 - Requisitions Report - Estates.pdf (7 pages)

16:20 - 16:40 9. For Information 20 min

9.1. National Internal Audit Reports

- 📄 Audit & Assurance - Control of Contractors .pdf (10 pages)
- 📄 Audit & Assurance - Fire Safety.pdf (11 pages)
- 📄 Audit & Assurance - Water Management.pdf (12 pages)
- 📄 Audit & Assurance - QAIP 2020-21.pdf (27 pages)

9.2. Audit Wales Reports

- 📄 NWSSP Management Letter 2020-21.pdf (10 pages)
- 📄 Nationally Hosted NHS IT Systems NWSSP Report.pdf (24 pages)

9.3. WHSSC Joint Committee/CTMUHB Audit & Risk Committee Assurance Report

- 📄 WHSSC JC - CTMUHB Audit & Risk Committee Assurance Report.pdf (4 pages)

9.4. HIW Update regarding Approach to Quality Checks and On-site Inspections

📄 HIW - Letter from Alun Jones, 2021.11.09.pdf (3 pages)

📄 HIW NHS Service of Concern Process Document - 09.11.2021.pdf (10 pages)

9.5. Audit & Risk Assurance Committee Work Programme 2021/22

📄 Audit Work Programme 2021-22.pdf (11 pages)

16:40 - 16:40 **10. Any Other Business**

0 min

All

16:40 - 16:45 **11. Review of Meeting**

5 min

11.1. Reflective Summary of the Meeting

Paul Newman/Joanne Wilson

16:45 - 16:45 **12. Date and Time of Next Meeting**

0 min

9.30am, 22 February 2022