

# Audit & Risk Assurance Committee

Tue 19 April 2022, 09:30 - 13:20

Board Room, Ystwyth Building and via MS Teams

## Agenda

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

**1.1. Apologies**

*Paul Newman*

**1.2. Declaration of Interests**

*All*

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**09:35 - 10:20** **2. Governance**  
45 min

**2.1. Minutes of the Meeting held on 22 February 2022**

*Paul Newman*

 Unapproved ARAC Minutes 22 February 2022.pdf (21 pages)

**2.2. Table of Actions**

*Paul Newman*

 Table Of Actions ARAC 22 February 2022.pdf (10 pages)


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

*Paul Newman*

**2.4. Enhanced Monitoring Update**

*Steve Moore*

 Enhanced Monitoring Update ARAC April 2022.pdf (3 pages)

 Appendix 1 - Letter from Judith Paget 03.03.22.pdf (2 pages)

 Appendix 2 - Letter to Judith Paget 24.03.22.pdf (3 pages)

**2.5. Notification of the Annual Review of the Committee's Self- Assessment of Effectiveness**


*Paul Newman*

 SBAR ARAC Self-Assessment April 2022.pdf (3 pages)

 ARAC Draft Self-Assessment Questions April 2022.pdf (3 pages)

**2.6. Counter Fraud Annual Report 2021/22**



*Ben Rees*

 SBAR Counter Fraud Annual Report 2021-22.pdf (2 pages)

 Counter Fraud Annual Report 2021-22.pdf (20 pages)



**2.7. Counter Fraud Work Plan 2022/23**

*Ben Rees*

-  SBAR Counter Fraud Work Plan 2022-23.pdf (3 pages)
-  Counter Fraud Work Plan 2022-23.pdf (12 pages)






## **2.8. NHS Counter Fraud Authority Draft SRT Return**

*Ben Rees*

-  SBAR Counter Fraud Draft SRT April 2022.pdf (2 pages)
-  Draft review of NHS Requirements Government Functional Standards.pdf (15 pages)

## **2.9. Report on the Adequacy of Arrangements for Declaring, Registering and Handing interests, Gifts, Hospitality, Honoraria and Sponsorship**

*Joanne Wilson*

-  Declarations, Gifts, etc ARAC April 2022.pdf (9 pages)
-  Appendix 1 - Register of Board Members Interests 31.03.22.pdf (8 pages)
-  Appendix 2 - Register of Staffs Interests 31.03.22.pdf (207 pages)
-  Appendix 3 - Register of Gifts 31.03.22.pdf (3 pages)
-  Appendix 4 - Register of Hospitality Sponsorship Honoraria 31.03.22.pdf (2 pages)

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**10:20 - 10:25**  
5 min

## **3. Financial Focus**

### **3.1. Financial Assurance Report**

*Huw Thomas*

-  Financial Assurance Report ARAC April 2022.pdf (24 pages)

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**10:25 - 10:40**  
15 min

## **4. Clinical Audit**

### **4.1. Clinical Audit Update**

*Mandy Rayani*

DEFERRED to 21 June 2022

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**10:40 - 11:00**  
20 min

## **5. Audit Wales**

### **5.1. Audit Wales Update Report**

*Audit Wales*

-  Audit Wales Update ARAC April 2022.pdf (10 pages)

### **5.2. Audit Wales Annual Plan 2022**

*Audit Wales*

-  Audit Wales Hywel Dda UHB Audit Plan 2022.pdf (14 pages)

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**11:00 - 11:10**  
10 min

## **6. BREAK**

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

### **7.1. Radiology Directorate Internal Audit Update**


*Andrew Carruthers*

 Radiology Update ARAC April 2022.pdf (6 pages)

### **7.2. Response to Internal Audit Records Management Review**

*Andrew Carruthers*

 Response to IA Records Management Review ARAC April 2022.pdf (9 pages)

 Records Management Final IA Briefing Paper.pdf (12 pages)

### **7.3. RCP Medical Records Keeping Standards Internal Audit Update**


*Philip Kloer*

DEFERRED to 21 June 2022

### **7.4. Internal Audit Plan Progress Report**


*James Johns*

 SBAR IA Plan Progress Report ARAC April 2022.pdf (3 pages)

 IA Plan Progress Report ARAC April 2022.pdf (12 pages)

### **7.5. Internal Audit Plan and Charter 2022/23**

*James Johns*

 SBAR IA Plan & Charter 2022-23 ARAC April 2022.pdf (3 pages)

 HDdUHB Internal Audit Plan & Charter 2022-23.pdf (30 pages)

### **7.6. TriTech Institute Governance Review (Limited Assurance)**

*James Johns/Philip Kloer*

 Trittech Institute Governance Review Final IA Report.pdf (19 pages)

### **7.7. Non-clinical Temporary Staffing (Limited Assurance)**

*James Johns/Lisa Gostling*

 Non-Clinical Temporary Staffing Final IA Report.pdf (16 pages)

### **7.8. Workforce Planning (Substantial Assurance)**

*James Johns/Lisa Gostling*

 Workforce Planning Final IA Report.pdf (11 pages)

### **7.9. Organisational Values & Staff Wellbeing (Substantial Assurance)**

*James Johns/Lisa Gostling*

 Organisational Values & Staff Wellbeing Final IA Report.pdf (13 pages)

### **7.10. Primary Care Clusters (Reasonable Assurance)**

*James Johns/Jill Paterson*

 Primary Care Clusters Final IA Report.pdf (11 pages)

### **7.11. Performance Monitoring & Reporting (Substantial Assurance)**

*James Johns/Huw Thomas*

## 7.12. Network & Information Systems (NIS) Directive (Substantial Assurance)

*James Johns/Huw Thomas*

📄 NIS Directive Final IA Report.pdf (13 pages)

## 7.13. Nurse Staffing Act

*James Johns/Mandy Rayani*

DEFERRED to 5 May 2022

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## 13:00 - 13:10 10 min 8. Assurance and Risk

### 8.1. Audit Tracker

*Joanne Wilson*

📄 Audit Tracker SBAR April 2022v14.pdf (12 pages)

📄 Appendix 1 - Audit and Inspection Tracker April 2022.pdf (31 pages)

📄 Appendix 2 - Open and Closed Reports April 2022.pdf (2 pages)

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## 13:10 - 13:15 5 min 9. For Information

### 9.1. National Internal Audit Reports

NONE TO REPORT

### 9.2. HIW Strategic Plan Launch & Spring Update

📄 20220331 Alun Jones HIW to NHS HBs and Trusts Wales.pdf (3 pages)

📄 20220323 - HIW Strategic Plan FINAL.pdf (16 pages)

### 9.3. Audit & Risk Assurance Committee Work Programme 2022/23

📄 Draft Audit Work Programme 2022-23.pdf (8 pages)

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## 13:15 - 13:15 0 min 10. Any Other Business

*All*

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## 13:15 - 13:20 5 min 11. Review of Meeting

### 11.1. Reflective Summary of the Meeting

*Paul Newman/Joanne Wilson*

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## 13:20 - 13:20 0 min 12. Date and Time of Next Meeting

1.30pm, 5 May 2022 (Review of Draft Annual Accounts and Draft Accountability Report)

9.30am, 9 June 2022 (Sign-off Annual Accounts)

9.30am, 21 June 2022 (Routine Meeting)