

# Audit & Risk Assurance Committee

Tue 19 October 2021, 13:00 - 16:45

Board Room, Ystwyth Building and via MS Teams

## Agenda

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

**1.1. Apologies**

*Paul Newman*

**1.2. Declaration of Interests**

*All*

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

**2.1. Minutes of the Meeting held on 24 August 2021**

*Paul Newman*

 Unapproved ARAC Minutes 24 August 2021.pdf (20 pages)

**2.2. Table of Actions**

*Paul Newman*

 Table Of Actions ARAC 24 August 2021.pdf (6 pages)

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

*Paul Newman*

**2.4. Review of Capital Governance Arrangements**

*Lee Davies*

 SBAR Capital Governance Review ARAC October 2021.pdf (3 pages)

 Capital Governance Review ARAC October 2021.pdf (19 pages)


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**13:30 - 13:40** **3. Financial Focus**  
10 min

**3.1. Financial Assurance Report**

*Huw Thomas*

 Financial Assurance Report ARAC October 2021.pdf (20 pages)

 Appendix A - FP Use of Consultancy.pdf (8 pages)

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**13:40 - 14:05** **4. Audit Wales**  
25 min

**4.1. Audit Wales Update Report**

*Audit Wales*

 Audit Wales Update ARAC October 2021.pdf (10 pages)

## **4.2. Structured Assessment 2021: Phase 2 - Corporate Governance and Financial Management**

*Audit Wales/Joanne Wilson/Huw Thomas*

DEFERRED to 14 December 2021

## **4.3. Orthopaedic Services Follow-up**

*Audit Wales/Andrew Carruthers*

DEFERRED to 14 December 2021

## **4.4. Review of the Sustainable Use of RTT Monies**

*Audit Wales/Andrew Carruthers*

DEFERRED to 14 December 2021

## **4.5. Supporting Staff Wellbeing during COVID-19**

*Audit Wales/Lisa Gostling*

DEFERRED to 14 December 2021

## **4.6. Quality Governance Arrangements**

*Audit Wales/Mandy Rayani*

 Review of Quality Governance Arrangements - Hywel Dda UHB.pdf (36 pages)

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**14:05 - 14:20**  
15 min

## **5. Clinical Audit**

### **5.1. Clinical Audit Update**

*Mandy Rayani*

 Clinical Audit Update ARAC October 2021.pdf (7 pages)

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**14:20 - 14:30**  
10 min

## **6. BREAK**

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**14:30 - 16:10**  
100 min

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

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

*Dr Philip Kloer*

 RCP Medical Records Keeping Standards Update ARAC October 2021.pdf (12 pages)

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

*James Johns*

 SBAR IA Plan Progress Report ARAC October 2021.pdf (3 pages)

 IA Plan Progress Report ARAC October 2021.pdf (11 pages)

### **7.3. Discharge Processes Review**

*James Johns/Andrew Carruthers/Jill Paterson*

 Discharge Processes Review Final IA Report.pdf (13 pages)


### **7.4. Women & Child Health Directorate Governance Review (Reasonable Assurance)**

*James Johns/Andrew Carruthers*

 Women & Child Health Directorate Governance Review Final IA Report.pdf (14 pages)

### **7.5. Medical Staff Recruitment (Reasonable Assurance)**

*James Johns/Andrew Carruthers*

 Medical Staff Recruitment Final IA Report.pdf (14 pages)

### **7.6. Waiting Lists Risk Management (Reasonable Assurance)**

*James Johns/Andrew Carruthers*

 Waiting Lists Risk Management Final IA Report.pdf (12 pages)

### **7.7. Restart of Elective Work/Planned Recovery**

*James Johns/Andrew Carruthers*

DEFERRED to later point due to operational pressures

### **7.8. PPH Directorate Governance Review (Reasonable Assurance)**

*James Johns/Andrew Carruthers*

 PPH Directorate Governance Review Final IA Report.pdf (15 pages)

### **7.9. Mental Health & Learning Disabilities Directorate Governance Review (Reasonable Assurance)**

*James Johns/Andrew Carruthers*

 MHLD Directorate Governance Review Final IA Report.pdf (13 pages)

### **7.10. Annual Recovery Plan and Planning Objectives (Reasonable Assurance)**

*James Johns/Lee Davies*

 Annual Recovery Plan & Planning Objectives Final IA Report.pdf (12 pages)

### **7.11. Mental Health Patient Administration System**

*James Johns/Huw Thomas*

DEFERRED to 14 December 2021

### **7.12. Directorate Review: Therapies**

*James Johns/Alison Shakeshaft*

DEFERRED to 14 December 2021

### **7.13. Corporate Governance**

*James Johns/Joanne Wilson*



DEFERRED to 14 December 2021

### **7.14. Non Clinical Agency Spend**

**16:10 - 16:30** **8. Assurance and Risk**  
20 min



**8.1. Audit Tracker**

*Joanne Wilson*

-  Audit Tracker ARAC October 2021.pdf (9 pages)
-  Appendix 1 - Audit and Inspection Tracker October 2021.pdf (21 pages)
-  Appendix 2 - Open and Closed Reports October 2021.pdf (2 pages)

**8.2. Planning Objectives Update**

*Paul Newman/Joanne Wilson*

-  Planning Objectives Update ARAC October 2021.pdf (5 pages)
-  Appendix 1 - PO Update ARAC October 2021.pdf (3 pages)

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




*Mandy Rayani*

-  QSEAC Assurance Report ARAC October 2021.pdf (6 pages)
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**16:30 - 16:35** **9. Counter Fraud**  
5 min

**9.1. Counter Fraud Update**

*Ben Rees*

-  SBAR Counter Fraud Update ARAC October 2021.pdf (2 pages)
  -  Counter Fraud Update ARAC October 2021 FINAL.pdf (5 pages)
  -  Appendix 1 - Counter Fraud Newsletter Autumn 2021.pdf (4 pages)
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**16:35 - 16:40** **10. For Information**  
5 min

**10.1. National Internal Audit Reports (Limited Assurance)**

NONE TO REPORT

**10.2. Post Payment Verification Progress Report**

-  PPV Progress Report.pdf (3 pages)

**10.3. Audit & Risk Assurance Committee Work Programme 2021/22**

-  Audit Work Programme 2021-22.pdf (11 pages)
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**16:40 - 16:40** **11. Any Other Business**  
0 min

*All*

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**16:40 - 16:45** **12. Review of Meeting**  
5 min

**12.1. Reflective Summary of the Meeting**

*Paul Newman/Joanne Wilson*

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**16:45 - 16:45** **13. Date and Time of Next Meeting**  
0 min

1.00pm, 14 December 2021