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Health Board

**AUDIT, RISK & ASSURANCE COMMITTEE
CONFIRMED
MINUTES OF THE MEETING HELD ON TUESDAY 27 SEPTEMBER
2022 VIA MICROSOFT TEAMS**

Present:

Mark Taylor	Independent Member – Capital and Estates (Committee Chair)
Rhobert Lewis	Independent Member - General
Ian Phillips	Independent Member - ICT

In Attendance:

Carol Shillabeer	Chief Executive (Joined for part)
Pete Hopgood	Director of Finance and IT
Paula Walters	Associate Director of Corporate Business
Ian Virgil	Head of Internal Audit
Sarah Pritchard	Head of Financial services
Mererid Bowley	Director of Public Health
James Quance	Interim Board Secretary

Committee Support

Stella Parry	Interim Corporate Governance Manager
Beth Powell	Interim Corporate Governance Business Officer (covered part)

Apologies

Ronnie Alexander	Independent Member- General
Tony Thomas	Independent Member – Finance
Vivienne Harpwood	PTHB Chair

ARA/22/061	<p>WELCOME AND APOLOGIES</p> <p>The Committee Chair welcomed everyone to the meeting and confirmed that a quorum was present. Apologies for absence were noted as recorded above.</p>
ARA/22/062	<p>DECLARATIONS OF INTEREST</p> <p>The Committee Chair INVITED Members to declare any interests in relation to the items on the Committee agenda.</p> <p>None were declared.</p>
ARA/22/063	<p>MINUTES OF THE MEETINGS HELD 18 JULY 2022</p> <p>The minutes of the meetings held on 18 July 2022 were RECEIVED and AGREED as being a true and accurate record.</p>
ARA/22/064	<p>MATTERS ARISING FROM PREVIOUS MEETINGS</p> <p>The following matters arising were discussed:</p> <p>ARA/22/055: It was queried whether the Records Management Report that was discussed at a previous Delivery and Performance Committee, had been circulated to Committee members. The Director of Finance and ICT confirmed this would be disseminated to the Committee following the meeting.</p>
ARA/22/065	<p>COMMITTEE ACTION LOG</p> <p>The Committee received and NOTED the action log. The following actions were discussed by the Committee:</p> <ul style="list-style-type: none"> • ARA/22/034, ARA/22/047, ARA/22/048: The Director of Finance and IT suggested that deadlines would be provided for each action and updated in readiness for the next meeting.

ARA/22/066

APPLICATION OF SINGLE TENDER WAIVER

The Head of Financial Services presented the following application for one single tender waiver received during the period of 1 July 2022 and 31 August 2022:

Single Tender Reference	Request to waive QUOTE or TENDER threshold	Name of Supplier	Item	Reason for Waiver	Date of Approval	Value £	Length of Contract	Prospective/ Retrospective	Appendix Ref
POW2223030	Quote	Integra (E-quip) Ltd	Asset Management System for Medical Devices	Sole Supplier	13/07/2022	£5,250	1 year	Prospective	A1

The Head of Financial Services highlighted to Committee members that an administrative error of the Single Tender Waiver (STW) register log was noted for 2022/2023 in relation to STW 2223029 and therefore is the second STW for 2022-2023 and not the thirtieth.

The Committee RATIFIED the use of Single Tender Waiver in respect of 1 item during the period of 1 July 2022 and 31 August 2022.

ARA/22/067

LOCAL PUBLIC HEALTH TEAM TRANSFER

The Associate Director of Corporate Business joined the meeting and presented the item which provided an overview of the arrangements that had been implemented to transfer the local public health team function, staff and resources to the health board from Public Health Wales. Assurance was also provided in relation to the planning and implementation of the transfer and the key risks and mitigating actions that have been put in place to manage the risks and limit any adverse impact on the health board.

Committee members queried whether detailed analysis had been undertaken in relation to the implications of the grant funding utilised to fund substantive posts which were due to be transferred to the health board. It was noted that this had yet to be undertaken and the Committee suggested that an evaluation of the risk be undertaken and the findings be included to the presentation due to be made to the Board on 28th September 2022.

The Committee welcomed the update and DISCUSSED and NOTED the Report. The Associate Director of Corporate Business left the meeting.

ARA/22/068

INTERNAL AUDIT PROGRESS REPORT 2022-23

The Head of Internal Audit presented the item which provided an overview of the progress against the 2022-23 Internal Audit Plan to date. It was noted that the plan for 2022/2023 was agreed by the Audit, Risk and Assurance Committee in April 2022 and is delivered as part of the arrangements established. The following matters were highlighted for the Committee's attention:

- Two Internal Audit Reports had been finalised since the previous meeting of the Committee; one report had been rated 'Limited Assurance' and one 'Advisory'. Within the agenda, the Site Leadership and Co-ordination report has been reported as 'Limited Assurance' as an error; this should state 'Advisory'.
- A further report that was at the draft report stage has since been reported as finalised as a 'Substantial Assurance' as a follow up of a previous 'Limited Assurance' report.
- Seven audits are work in progress with a further seven at the planning stage.
- A detailed follow-up Audit has been added to the plan, for the previously limited assurance report on Control of Contractors.

Committee members suggested that the scopes of audit reviews need to be made clear prior to receipt of the final reports to frame the expectations. The Head of Internal Audit confirmed that outline scopes are set in the annual plan which was agreed in March 2022 but recognised the Committee's wish to understand the detail of the scope of forthcoming reviews. Further narrative would be included within the progress report to regarding audit scopes for the November meeting.

The Committee DISCUSSED and NOTED the update and AGREED the proposed changes to the 2022-23 Internal Audit Plan.

ARA/22/069	<p>INTERNAL AUDIT REPORTS</p> <p><i>a) IT Infrastructure and Asset Management (Limited Assurance)</i></p> <p>The Committee received the report which sought to evaluate the adequacy and monitoring of IT infrastructure within the health board. It was noted that the report had received 'Limited Assurance'. Although improvements in monitoring and updating equipment had taken place, the infrastructure still contained significant areas for improvement.</p> <p>The Committee DISCUSSED the findings of the report in detail and recognised the potentially sensitive nature of the report. The Committee AGREED that the report would be taken to a forthcoming meeting of the Delivery and Performance Committee for a further discussion in relation to potential impacts and prioritisation. Action: Director of Finance and IT.</p> <p><i>b) Site Leadership and Coordination (Advisory)</i></p> <p>The Committee received the report and noted that the report was an advisory review to support management rather than an assurance report. No assurance rating was therefore provided. The review suggested that the health board had developed an appropriate site coordination and leadership model which had been effectively implemented to date and was supported by robust governance arrangements.</p> <p>The Committee received and NOTED the Internal Audit Reports.</p>
ARA/22/070	<p>EXTERNAL AUDIT PROGRESS REPORT 2022-23</p> <p>External Audit presented the item which provided an update on current and planned Audit Wales work. Information was also provided on the Auditor General's wider programme of national value-for-money examinations and the work of the Good Practice Exchange (GPX). The Committee NOTED the following audits currently underway:</p> <ul style="list-style-type: none"> • Orthopaedic services – follow up; • Renewal Programme; • Review of Unscheduled Care; and • Structured Assessment. <p>The Committee DISCUSSED and NOTED the Report and welcomed the increased usage of interactive datasets.</p>
ARA/22/071	<p>AUDIT RECOMMENDATION TRACKING</p> <p>The Board Secretary presented the item and highlighted that in August 2022 Executive Owners were provided with an opportunity to review any outstanding recommendations from 2017/18, and 2019/20 and re-consider where appropriate, achievable final deadlines for implementation that could be monitored against.</p> <p>The Committee DISCUSSED and NOTED the Report, and the Chair welcomed the positive progress made against the implementation of recommendations to date.</p>

ARA/22/072	<p>ANNUAL REVIEW OF COMMITTEE TERMS OF REFERENCE 2022-2023</p> <p>The Board Secretary presented the Committee’s Terms of Reference for review in order to ensure that they remain fit for purpose. It was requested that any suggested amendments were relayed via the Chair or Board Secretary by 7th October 2022.</p> <p>The Board Secretary highlighted that it had been suggested that the frequency of meeting for 2022/24 be amended from bi-monthly, to at least quarterly. Committee Members suggested that careful consideration would need to be given to the management of committee business.</p> <p>The Committee Chair noted that the Terms of Reference stated that the Committee would receive a copy of the Corporate Risk Register, it was agreed that this would be discussed with the Board Secretary.</p> <p>The Committee NOTED the report and AGREED to return any proposed amendments by 7th October 2022.</p>
ARA/22/073	<p>REVIEW OF COMMITTEE PROGRAMME OF BUSINESS</p> <p>The Committee RECEIVED and NOTED the Committee programme of business.</p>
ARA/22/074	<p>ITEMS TO BE BROUGHT TO THE ATTENTION OF THE BOARD AND OTHER COMMITTEES</p> <p>There were no matters to be brought to the attention of the Board and other Committees.</p>
ARA/22/075	<p>ANY OTHER URGENT BUSINESS</p> <p>No other urgent business was declared.</p>
ARA/22/076	<p>DATE OF NEXT MEETING</p> <p>15 November 2022, 10:00 am, Microsoft Teams</p>