

**AUDIT, RISK AND ASSURANCE COMMITTEE: 03 NOVEMBER 2020  
QUESTIONS RECEIVED IN ADVANCE OF THE MEETING**

**ITEMS FOR APPROVAL/RATIFICATION/DECISION**

**AGENDA ITEM 2.1: APPLICATION OF SINGLE TENDER WIAVERS**

No.	Requestor	Date Received	Question Received	Director Lead	Response
1.	Mark Taylor, Independent Member	29/10/2020	<p>In-line with the organisation's Standing Orders, there is a requirement for all single tender waiver and extension of contracts to be reported to the Audit Risk and Assurance Committee. Single tender waiver shall only be permitted when a single firm or contractor or a proprietary item or service of a special character is required and as set out in law. Single tender waiver shall only be employed following a formal submission and with the express written authority of the Chief Executive, or designated deputy having taken into consideration due regard of procurement requirements.</p> <p>Question: No specific issue with STW, but would be useful to clarify in what circumstances approvals are sought via Gold, STW or Chairs Action / Committee?</p>	Director of Finance & IT	<p>An STW is required when a service has not followed the usual procurement rules, and is reported to the Audit, Risk &amp; Assurance Committee for ratification. Under the COVID-19 FCP the usual procurement requirement for 3 quotes for values between £5k and £25k is relaxed for COVID-19 related expenditure where urgency / speed is an issue. Approval is still required (for the order) via the appropriate process as per the FCP, with Gold approval required over £25k. A full finance report to Gold detailing all expenditure and levels etc. for all COVID-19 related orders that have been completed in line with the FCP but without the usual 3 quotes, these are reported to Audit, Risk &amp; Assurance Committee. Report made at previous committee and next update will be to next committee meeting (along with latest version of FCP).</p> <p>For decisions requiring board approval (based on value or impact / service change, etc.) these go for Chairs Action</p>

					where timing does not permit Board meeting / approval, with the Chairs Action then ratified at the following Board.
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**ITEMS FOR DISCUSSION**  
**AGENDA ITEM 3.3, IMPLEMENTATION OF AUDIT RECOMMENDATIONS DURING COVID-19**

2.	Mark Taylor, Independent Member	29/10/2020	<p>The purpose of this paper is to seek approval from the Audit, Risk &amp; Assurance Committee, of a re-prioritised approach to implementation of audit recommendations due for implementation during the COVID-19 pandemic, which supports delivery of the health board's Winter Protection Plan.</p> <p>Question: Is this leading towards us effectively only progressing priority 1 items during current circumstances?</p>	Board Secretary	<p>The Board has reprioritised its objectives as a requirement to focus capacity to ensure an appropriate response to the pandemic. Therefore, we are saying that the objectives within the Winter Protection Plan are the health board's key priority for delivery during Q3 and Q4.</p> <p>So, in summary, the answer to your question would be yes, we would only intend to progress priority 1 recommendations during this period. However, once Directorates have prioritised their outstanding recommendations and we can see the breakdown across the three priorities, if we identify only a minimal number within priority level 1 bracket then we may need to take a further view on this.</p>
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**ITEMS FOR DISCUSSION**  
**AGENDA ITEM 3.4, DRAFT CHARITABLE FUNDS ANNUAL REPORT AND ACCOUNTS FOR YEAR ENDED 31st MARCH 2020**

3.	Mark Taylor, Independent Member	29/10/2020	<p>Question: Comment is made that no direct employment but then goes on to identify appointment of charitable funds manager so presume employed via PTHB and funded from charitable funds?</p>		<p>Yes, Charity Manager employed by PTHB and funded from Charitable Funds and the Overarching NHS Charity Fund money is allocated via our Charity Fund. This does not feature in the</p>
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			Did the monies raised/distributed from the overarching NHS charity get treated as charitable funds or dealt with outside of this fund?		2019/20 accounts but will do in 2020/21.
<b>ITEMS FOR DISCUSSION</b> <b>AGENDA ITEM 3.8Bii, AUDIT WALES STRUCTURED ASSESSMENT – PTHB MANAGEMENT RESPONSE 2019 – UPDATE</b>					
4.	Mark Taylor, Independent Member	29/10/2020	<p>Action 61: The Health Board is developing its long-term estates strategic plan to address the condition of the estate, to ensure the best use of the current buildings and to deliver modern fit for purpose facilities. The <b>Innovative Environments Strategic Framework</b> is at the first phase of development.</p> <p>Question: Is it appropriate to close this action as complete on the basis of an interim framework? This demonstrates progress but the preparation of a long term strategic estates plan is still a work in progress for delivery by end 2021.</p>		This is a valid point, and we will ensure that action remains open.