

HYWEL DDA UNIVERSITY HEALTH BOARD – AUDIT & RISK ASSURANCE COMMITTEE DRAFT ANNUAL WORK PLAN 2024/25

The proposed work programme is aligned to the requirements of the 2012 Revised NHS Wales Audit Committee Handbook, Draft Terms of Reference and example agenda and timetable.

AGENDA ITEM/ISSUE	LEAD	16 April 2024	9 May 2024	18 June 2024	9 July 2024	13 Aug 2024	15 Oct 2024	10 Dec 2024	11 Feb 2025	April 2025
INTRODUCTIONS										
Apologies	Chair	✓	✓	✓	✓	✓	✓	✓	✓	✓
Declaration of Interests	All	✓	✓	✓	✓	✓	✓	✓	✓	✓
GOVERNANCE										
Minutes from previous meeting	Chair	✓		✓		✓	✓	✓	✓	✓
Matters Arising & Table of Actions	Chair	✓		✓		✓	✓	✓	✓	✓
Matters Arising not on agenda	Chair	✓		✓		✓	✓	✓	✓	✓
Self-Assessment of Committee's effectiveness	Chair					✓				
Review and report upon the adequacy of arrangements for declaring, registering and handling interests	JW		✓							✓
Receive full report of all offers of gifts and hospitality	JW		✓							✓
Escalation Status Update	PK/LD	✓		✓		✓	✓	✓	✓	✓
Compliance with Ministerial Directions	JW		✓							
Compliance with Welsh Health Circulars (WHCs)	JW		✓							
Review Draft/Final ARAC Annual Report	Chair		✓							
Review Draft/Final Board Effectiveness Report	JW		✓							
Review Draft/Final Accountability Report, including Annual Governance Statement	JW		✓ (Draft)		✓ (Final)					
Review Annual Head of Internal Audit Report and assoc op (incl Capital/PFI)	JJ		✓ (Draft)	✓ (Final)						

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Review, agree and recommend to the Board the audited accounts & financial statements	HT		✓ (Draft)		✓ (Final)					
Audit Enquiries to those charged with Governance and Management	HT		✓							
Internal Audit: Annual Governance Statement Review	JJ				✓					
Audit Wales ISA 260 incl Letter of Representation	Audit Wales				✓					
Review the Health Board's Annual Report (Overview & Perf Section)	HT		✓ (Draft)		✓ (Final)					
Review changes to Standing Orders & Standing Financial Instructions*	JW									
Annual Review of Standing Orders and Standing Financial Instructions	JW		✓							✓
Scheme of Delegation	JW						✓			
All Wales NHS Audit Committee Chairs' Meeting Update	Chair					✓	✓	✓	✓	✓
Contract and Procurement Processes – Governance	JW	✓								
Annual Review of Terms of Reference/membership	Chair/JW			✓						
Procedure 175: Management of Board and Committees SOP	JW						✓			
Review of any other sources of external assurance to ensure approp planning & coordination and that the Board is informed accordingly of any issues relating to compliance, risks of non-compliance & recommendations	All	✓	✓	✓	✓	✓	✓	✓	✓	✓
Provide assurances through where a significant activity is shared with another organisation (eg NWSSP, JCC)	HT/SM	✓	✓	✓	✓	✓	✓	✓	✓	✓

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Receive assurances from internal audit performed at these organisations that risks in the services provided to them are adequately managed and mitigated with appropriate controls	JJ	✓	✓	✓	✓	✓	✓	✓	✓	✓
Review of Capital & PFI Audit Reports including results & the adequacy of executive & management responses to any issues identified and ensuring that they are acted upon	EJ	✓	✓	✓	✓	✓	✓	✓	✓	✓
FINANCIAL FOCUS										
Review risks and controls around financial management (via Financial Assurance Report)	HT	✓		✓		✓	✓	✓	✓	✓
Review Annual Summary of Single Tender Actions (STAs)	HT			✓						
Receive Post Payment Verification (PPV) report	HT			✓				✓		
Receive PPV annual report	HT			✓						
Receive Primary Care PPV report	JP			✓				✓		
Annual statement of financial procedures	HT								✓	
Review of Schedule of Losses & Compensation*	HT									
Receive reports which record the basis of decisions where the HB awards additional funding to contractors outside the terms of the contract *	HT									
Non-Clinical Temporary Staff/Agency Spend and Numbers	HT/LG	✓								
NuroKor Write-Off	HT	✓								
Industrial Action Payments	HT/AG	✓								

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AUDIT WALES										
Review External Audit Plan via update reports	Audit Wales	✓		✓		✓	✓	✓	✓	✓
Approve External Audit Strategy & Annual Audit Plan (designed to implement the strategy) & assoc fees	Audit Wales	✓								✓
Review of External Audit Reports including results & the adequacy of executive & mgmt responses to any issues identified and ensure that the other Cttees monitor & report back	Audit Wales	✓		✓		✓	✓	✓	✓	✓
Consider any Audit Wales National Value for Money Examinations & Performance Reports	Audit Wales	✓		✓		✓	✓	✓	✓	✓
Receive the Auditor's General report to those charged with governance (Year-end)	Audit Wales		✓							
Structured Assessment 2023 Management Response Update	Audit Wales/JW					✓			✓	
Structured Assessment 2024	Audit Wales							✓	✓	
Review of Operational Governance Arrangements across Service Directorates	Audit Wales/AC	D		✓						
Review of Cost Savings Arrangements Report and HDdUHB Management Response	Audit Wales/HT					✓				
Review of Urgent and Emergency Care	Audit Wales/AC	D				D	D	✓		
Planned Care Review	Audit Wales/AC								✓	
Review of Arrangements for Capital Programme Prioritisation	Audit Wales/LD								✓	
Review of the Management of Outpatients	Audit Wales/AC									✓

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Review of Investment in Digital Systems	Audit Wales/HT									
NWSSP – AUDIT AND ASSURANCE SERVICES – INTERNAL AUDIT										
Internal Audit: Audit Plan Progress Report	JJ	✓	✓	✓	✓	✓	✓	✓	✓	✓
Review and approve Annual Internal Audit Plan	JJ	✓								✓
Review of Internal Audit Reports including results & the adequacy of executive & management responses to any issues identified and ensuring that they are acted upon	JJ	✓	✓	✓	✓	✓	✓	✓	✓	✓
Review and approve Internal Audit terms of reference (charter) and the effectiveness of internal audit	JJ	✓								
WGH RAAC Internal Major Incident (Reasonable Assurance)	JJ/AC	✓								
Transforming Urgent & Emergency Care (Reasonable Assurance) and update	JJ/AC	✓				✓	✓			
Cleanliness/Cleaning Standards (Limited Assurance)	JJ/AC	D	✓							
Elective Waiting List Management – SCP (Reasonable Assurance)	JJ/AC	✓								
GGH Fire Enforcement (BJC1) (Limited Assurance)	JJ/AC	D	✓							
Records Digitisation Follow-up (Reasonable Assurance)	JJ/AC	✓								
Discharge Management (Limited Assurance) and update	JJ/AC	✓				✓				
Agency/Rostering (Reasonable Assurance)	JJ/LG	✓								
Cross Hands Health & Wellbeing Centre Capital Scheme (Reasonable Assurance)	JJ/LD	✓								

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Consultant Job Planning Follow-up (Limited Assurance) and update	JJ/MH	✓				✓				
BGH Chemotherapy Day Unit Review (Final Briefing Paper) and update	JJ/AC			✓		✓				
RAAC Programme WGH (Substantial Assurance)	JJ/LD			✓						
Planning Maturity Matrix (Reasonable Assurance)	JJ/LD			✓						
Accelerated Cluster Development (Reasonable Assurance)	JJ/JP			✓						
Emergency Response Planning – Industrial Action (Reasonable Assurance)	JJ/AG			✓						
Health & Care Quality Standards/Duty of Quality (Reasonable Assurance)	JJ/SD			✓						
Nurse Staffing Levels (Wales) Act 2016 (Reasonable Assurance)	JJ/SD					✓				
Falls Management (Reasonable Assurance)	JJ/SD						✓			
Emergency and Business Continuity Planning (Reasonable Assurance)	JJ/AG						✓			
Digital Benefits Realisation (Substantial Assurance)	JJ/HT						✓			
Ultrasound Services (Reasonable Assurance)	JJ/AC					D	✓			
Cash Management	JJ/HT						D	✓		
Speaking up Safely	JJ/SD						D	✓		
Nursing Management	JJ/SD						D	✓		
Health & Safety	JJ/JS						D	✓		
Executive Team Working	JJ/PK/JW							✓		
Financial Management	JJ/HT							✓		
Discharge Management Follow-up	JJ/AC							✓		
Management of Bed Capacity (Pembrokeshire)	JJ/AC							✓		

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Mortuary Services	JJ/AC							✓		
Estates Assurance – Energy Management	JJ/AC							✓		
Capital Systems	JJ/AC							✓		
Targeted Intervention Governance	JJ/PK/JW								✓	
Annual Planning	JJ/LD								✓	
Performance Management Arrangements	JJ/HT								✓	
Learning lessons	JJ/SD								✓	
Medical Workforce (Medical Locums Planned Care)	JJ/MH								✓	
Elective Waiting List Management	JJ/AC								✓	
IT/Digital – Data Quality/Use of Data	JJ/HT								✓	
UHB Procurement - Contract Management	JJ/HT									✓
Cleanliness/Cleaning Standards Follow-up	JJ/AC									✓
Revised Operational Governance arrangements	JJ/AC									✓
Consultant Job Planning Follow-up (2)	JJ/MH									✓
Primary Care Strategy including Managed Practices	JJ/JP									✓
Digital Strategy	JJ/HT									✓
Withybush General Hospital RAAC	JJ/AC									✓
Estates Facilities Directorate	JJ/AC									
CLINICAL AUDIT										
Review annual forward clinical audit plan and terms of reference	SD			✓				✓		
Review the effectiveness of clinical audit – consider recommendations from the Effective Clinical Practice Group on suggested areas of activity for review by internal audit	SD							✓		
DEEP DIVE										
TBC *										

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ASSURANCE AND RISK										
Audit Tracker	JW/CW	✓		✓		✓	✓		✓	
Risk Assurance Report	JW/CW					✓		✓		✓
Risk Assessment Procedure	JW			✓						
Scrutiny of Outstanding Improvement Plans *	JW/CW									
COUNTER FRAUD										
Review work plan & results from Counter Fraud activities, including anti fraud policies, etc.	CFO	✓		✓		✓	✓	✓	✓	✓
To provide an update on the cases highlighted as part of the counter fraud update report (In-Committee)	CFO	✓		✓		✓	✓	✓	✓	✓
Review and approve Counter Fraud Annual Report	CFO	✓								✓
Review and approve annual forward work plan for Counter Fraud activities	CFO	✓								✓
NHS CF Authority SRT Return	CFO	✓								✓
Annual Review of Requisitions	CFO								✓	
Review the Health Board's assessment against NHS Protect Qualitative Assessment Reviews*	CFO									
FOR INFORMATION										
ARAC Work Programme 2024/25	Chair	✓		✓		✓	✓	✓	✓	✓
National Internal Audit Reports *										
REVIEW OF THE MEETING										
Matters & Risks for Escalation to the Board	Chair/JW	✓		✓		✓	✓	✓	✓	✓

* To be included on agenda as applicable

Initials

AC – Andrew Carruthers AG – Ardiana Gjini CH – Carly Hill CW – Charlotte Wilmshurst CFO – Counter Fraud Officer CSO – Committee Services Officer EDs – Executive Directors EJ – Eifion Jones HIW – Healthcare Inspectorate Wales	HT – Huw Thomas IMs – Independent Board Members JJ – James Johns JP – Jill Paterson JW – Joanne Wilson KJ – Keith Jones LC – Liz Carroll LD – Lee Davies LO’C – Louise O’Connor	LG – Lisa Gostling MH – Mark Henwood NLI – Nicola Llewellyn PK – Philip Kloer RE – Rob Elliott SD – Sharon Daniel SMJ – Sian-Marie James TP – Tracy Price
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Audit Committee Tasks		16 April 2024	9 May 2024	18 June 2024	9 July 2024	13 Aug 2024	15 Oct 2024	10 Dec 2024	11 Feb 2025	April 2025
Prepare Schedule of meeting dates	JW/CSO							✓		
Agenda Setting Meeting with Chair & Exec Lead (at least 1m prior to mtg)	Chair/JW	✓	✓	✓	✓	✓	✓	✓	✓	✓
Disseminate agenda & papers 7 days prior to meeting	CSO	✓	✓	✓	✓	✓	✓	✓	✓	✓
Minutes and action log to be circulated within 7 days of the meeting	CSO	✓	✓	✓	✓	✓	✓	✓	✓	✓
Produce ARAC Update Report for Board	Chair/JW/ CSO	✓	✓	✓	✓	✓	✓	✓	✓	✓
Monitor agreed actions from previous meetings	CSO	✓	✓	✓	✓	✓	✓	✓	✓	✓
Develop & monitor annual work plan linked to corporate objectives, assurance framework and Local and national priorities for Audit.	Chair/JW	✓	✓	✓	✓	✓	✓	✓	✓	✓
Ongoing Development of IMs (Briefings/Training/Development sessions)	Chair/JW	✓	✓	✓	✓	✓	✓	✓	✓	✓
Annual Report on Committee's activity for onward submission to the Board – timed to support AGS	Chair/JW		✓							
Process for regular and rigorous self assessment of Committee's effectiveness	Chair/JW +IMs					✓				
Annual bi-lateral meeting between Chair & LCFS *	CFO									
Independent Members private discussions with Internal & External Audit, HIW and LCFS *	All IMs								✓	
Assess performance of Internal Audit *	Chair/IMs								✓	
Assess performance of External Audit *	Chair/IMs								✓	

* Separate meeting