

## HYWEL DDA UNIVERSITY HEALTH BOARD – AUDIT & RISK ASSURANCE COMMITTEE DRAFT ANNUAL WORK PLAN 2022/23

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	19 April 2022	5 May 2022	9 June 2022	21 June 2022	16 Aug 2022	18 Oct 2022	13 Dec 2022	21 Feb 2023	April 2023
<b>INTRODUCTIONS</b>										
Apologies	Chair	✓	✓	✓	✓	✓	✓	✓	✓	✓
Declaration of Interests	All	✓	✓	✓	✓	✓	✓	✓	✓	✓
<b>GOVERNANCE</b>										
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	✓								
Enhanced Monitoring	SM	✓					✓			✓
Legislative Assurance Framework	JW									
Compliance with Ministerial Directions	JW		✓							
Compliance with Welsh Health Circulars (WHCs)	JW		✓							
Review Draft/Final ARAC Annual Report	Chair		✓							
Review Draft/Final Governance, Leadership & Accountability Standard (Board Effectiveness Report)	JW		✓							
Review Draft/Final Accountability Report, including Annual Governance Statement	JW		✓	✓						

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Review Annual Head of Internal Audit Report and associated opinions (including Capital/PFI)	<b>JJ</b>		✓	✓						
Review, agree and recommend to the Board the audited accounts & financial statements	<b>HT</b>		✓	✓						
Audit Enquiries to those charged with Governance and Management	<b>HT</b>		✓							
Internal Audit: Annual Governance Statement Review	<b>JJ</b>			✓						
Audit Wales ISA 260 incl Letter of Representation	<b>Audit Wales</b>			✓						
Review the Health Board's Annual Report (Overview & Perf Section)	<b>HT</b>		✓	✓						
Review changes to Standing Financial Instructions*	<b>HT</b>				✓					
Annual Review of HDdUHB SOs and SFIs	<b>JW</b>				✓					
Scheme of Delegation	<b>JW</b>				✓					
All Wales NHS Audit Committee Chairs' Meeting Update	<b>Chair</b>									
Annual Review of TORs/membership	<b>Chair/JW</b>				✓					
All Wales NHS Audit Committee Chairs' Meeting Update	<b>Chair</b>				✓					
Review of any other sources of external assurance to ensure appropriate planning & coordination and that the Board is informed accordingly of any issues relating to compliance, risks of non-compliance and recommendations (decide mtg to mtg if issues to raise to Board)	<b>All</b>	✓	✓	✓	✓	✓	✓	✓	✓	✓

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Provide assurances through where a significant activity is shared with another organisation (eg NWSSP, EASC, WHSSC)	<b>HT/SM</b>	✓	✓	✓	✓	✓	✓	✓	✓	✓
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	<b>JJ</b>	✓	✓	✓	✓	✓	✓	✓	✓	✓
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.	<b>EJ</b>	✓	✓	✓	✓	✓	✓	✓	✓	✓
<b>FINANCIAL FOCUS</b>										
Review risks and controls around financial management (via Financial Assurance Report)	<b>HT</b>	✓			✓	✓	✓	✓	✓	✓
Receive, for information, UHBs Summary Report on monthly Financial Monitoring Returns to WG	<b>HT</b>	✓			✓	✓	✓	✓	✓	✓
Review Draft/Final Annual Accounts	<b>HT</b>		✓	✓						
Review Annual Summary of STAs	<b>HT</b>				✓					
Receive Post Payment Verification (PPV) report	<b>HT</b>					✓			✓	
Receive PPV annual report	<b>HT</b>					✓				
Receive Primary Care PPV report	<b>JP</b>					✓			✓	
Annual statement of financial procedures - Review changes to the accounting policies & comment on the process for review of the accounts prior to submission for audit	<b>HT</b>								✓	

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Review of Schedule of Losses & Compensation*	<b>HT</b>									
Receive reports which record the basis of decisions where the HB awards additional funding to contractors outside the terms of the contract *	<b>HT</b>									
<b>CLINICAL AUDIT</b>										
Review annual forward clinical audit plan and terms of reference	<b>MR</b>				✓					✓
Review the effectiveness of clinical audit – consider recommendations from the Effective Clinical Practice Group on suggested areas of activity for review by internal audit.	<b>MR</b>				✓					✓
<b>AUDIT WALES</b>										
Review External Audit Plan via update reports	<b>Audit Wales</b>	✓			✓	✓	✓	✓	✓	✓
Approve External Audit Strategy & Annual Audit Plan (designed to implement the strategy) & assoc fees	<b>Audit Wales</b>	✓								✓
Review of External Audit Reports including results & the adequacy of executive & management responses to any issues identified and ensure that the other Committees monitor & report back	<b>Audit Wales</b>	✓			✓	✓	✓	✓	✓	✓
Consider any Audit Wales National Value for Money Examinations & Performance Reports	<b>Audit Wales</b>	✓			✓	✓	✓	✓	✓	✓
Structured Assessment 2021: • Phase 1: Operational Planning Arrangements	<b>Audit Wales</b>				✓					

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• Phase 2: Corporate Governance and Financial Management										
Structured Assessment 2022	<b>Audit Wales</b>							✓	✓	✓
Receive the Auditor's General report to those charged with governance (Year-end)	<b>Audit Wales</b>		✓							
Orthopaedic Services Follow-up	<b>Audit Wales/AC</b>					✓				
MHLD Review	<b>Audit Wales/AC</b>					✓				
Audit Wales Annual Audit Report 2022	<b>Audit Wales</b>							✓		
<b>NWSSP – AUDIT AND ASSURANCE SERVICES – INTERNAL AUDIT</b>										
Internal Audit: Audit Plan Progress Report	<b>JJ</b>	✓	✓	✓	✓	✓	✓	✓	✓	✓
Review and approve Annual Internal Audit Plan	<b>JJ</b>	✓								✓
Review of Internal Audit Reports including results & the adequacy of executive & management responses to any issues identified and ensuring that they are acted upon	<b>JJ</b>	✓	✓	✓	✓	✓	✓	✓	✓	✓
Review and approve Internal Audit terms of reference (charter) and the effectiveness of internal audit	<b>JJ</b>	✓								
Radiology Directorate Update	<b>AC</b>	✓								
Response to Records Management Briefing Paper	<b>AC</b>	✓								
RCP Medical Records Keeping Standards Update	<b>PK</b>				✓					
TriTech Institute Governance Review (Limited Assurance)	<b>JJ/PK</b>	✓								

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Non-clinical Temporary Staffing (Limited Assurance)	JJ/LG	✓								
Workforce Planning (Substantial Assurance)	JJ/LG	✓								
Organisational Values & Staff Wellbeing (Substantial Assurance)	JJ/LG	✓								
Primary Care Clusters (Reasonable Assurance)	JJ/JP	✓								
Performance Reporting and Monitoring (Substantial Assurance)	JJ/HT	✓								
Network & Information Systems (NIS) Directive (Substantial Assurance)	JJ/HT	✓								
Infection Prevention & Control (Reasonable Assurance)	JJ/MR		✓							
Nurse Staffing Act (Reasonable Assurance)	JJ/MR		✓							
Prevention of Self Harm (Limited Assurance)	JJ/MR		✓							
Women & Children's Phase 2 (Reasonable Assurance)	JJ/AC		✓							
BlackLine Financial Reconciliation System (Non-opinion Review)	JJ/HT		✓							
Partnership Governance Follow-up (Reasonable Assurance)	JJ/JP			✓						
Risk Management & Board Assurance Framework (Substantial Assurance)	JJ/JW			✓						
Directorate Governance – Withybush	JJ/AC						✓			
Fire Governance	JJ/AC					✓				
Withybush Fire Precautions: Phase 1	JJ/AC					✓				
Overpayment of Salary	JJ/LG					✓				
Public Inquiry Preparedness	JJ/JW					✓				
IT Infrastructure	JJ/HT					D		✓		
IT WPAS Follow-up	JJ/HT					✓				

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Directorate Governance - Glangwili	JJ/AC						✓			
Glangwili Fire Enforcement Works	JJ/AC								✓	
Quality and Safety Governance Framework	JJ/MR						✓			
Falls	JJ/MR						✓			
Agency Nursing	JJ/LG							✓		
Fitness for Digital	JJ/HT							✓		
Cyber Security	JJ/HT							✓		
Estates Assurance - Decarbonisation	JJ/HT/LD							✓		
Welsh Language Follow-up	JJ/SM							✓		
Discharge Management	JJ/AC									✓
Service Reset and Recovery	JJ/AC							✓		
Workforce Strategies	JJ/LG							✓		
Continuing Health Care	JJ/JP							✓		
Regional Integrated Fund	JJ/JP							✓		
Major Project/Programme Provision	JJ/LD							✓		
Financial Management	JJ/HT							✓		
Records Digitisation	JJ/HT							✓		
Individual Patient Funding Requests (IPFR)	JJ/PK								✓	
TriTech Follow-up	JJ/PK						✓			
Commissioning (Mental Health)	JJ/AC								✓	
Glangwili Hospital - Women and Children's Development	JJ/AC								✓	
Withybush Fire Enforcement Works Phase 1	JJ/AC								✓	
Safety Indicators	JJ/MR								✓	
Lessons Learned	JJ/MR								✓	
Non-clinical Temporary Staffing Follow-up	JJ/LG								✓	
A Healthier Mid & West Wales Programme	JJ/LD								✓	

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Records Management	JJ/AC									✓
Job Planning	JJ/PK									✓
Patient Experience	JJ/MR									✓
Prevention of Self Harm Follow-up	JJ/MR									✓
Rostering	JJ/LG									✓
Accelerated Cluster Development	JJ/JP									✓
Public Health	JJ/DPH									✓
<b>ASSURANCE AND RISK</b>										
Audit Tracker	JW/CB	✓			✓	✓	✓	✓	✓	✓
Risk Management Framework	JW/CB				✓					
External Validation Update	AC				✓					
Scrutiny of Outstanding Improvement Plans	JW/CB									
<b>COUNTER FRAUD</b>										
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 Counter Fraud Authority SRT Return	CFO	✓			✓					✓
Annual Review of Requisitions	CFO							✓		
Review the Health Board's assessment against NHS Protect Qualitative Assessment Reviews*	CFO									



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<b>FOR INFORMATION</b>										
ARAC Work Programme 2022/23	Chair	✓			✓	✓	✓	✓	✓	✓
HIW Strategic Plan Launch & Spring Update	HIW	✓								
<b>REVIEW OF THE MEETING</b>										
Reflective Summary of the Meeting	Chair/JW	✓			✓	✓	✓	✓	✓	✓

\* To be included on agenda as applicable

**Initials**

<b>AC – Andrew Carruthers</b> <b>AS – Alison Shakeshaft</b> <b>CB – Charlotte Beare</b> <b>CFO – Counter Fraud Officer</b> <b>CSO – Committee Services Officer</b> <b>DPH – Director of Public Health</b> <b>EDs – Executive Directors</b> <b>EJ – Eifion Jones</b> <b>HIW – Healthcare Inspectorate Wales</b>	<b>HT – Huw Thomas</b> <b>IMs – Independent Board Members</b> <b>JJ – James Johns</b> <b>JP – Jill Paterson</b> <b>JPJ – Jenny Pugh-Jones</b> <b>JW – Joanne Wilson</b> <b>KJ – Keith Jones</b> <b>LC – Liz Carroll</b> <b>LD – Lee Davies</b>	<b>LO’C – Louise O’Connor</b> <b>LG – Lisa Gostling</b> <b>MR – Mandy Rayani</b> <b>NLI – Nicola Llewellyn</b> <b>PK – Philip Kloer</b> <b>RE – Rob Elliott</b> <b>SM – Steve Moore</b> <b>TP – Tracy Price</b>
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<b>Audit Committee Tasks</b>		<b>19 April 2022</b>	<b>5 May 2022</b>	<b>9 June 2022</b>	<b>21 June 2022</b>	<b>23 Aug 2022</b>	<b>18 Oct 2022</b>	<b>13 Dec 2022</b>	<b>21 Feb 2023</b>	<b>April 2023</b>
Prepare Schedule of meeting dates	<b>JW/CSO</b>							✓		
Agenda Setting Meeting with Chair & Exec Lead (at least 1m prior to mtg)	<b>Chair/JW</b>	✓	✓	✓	✓	✓	✓	✓	✓	✓
Disseminate agenda & papers 8 days prior to meeting	<b>CSO</b>	✓	✓	✓	✓	✓	✓	✓	✓	✓
Minutes and action log to be circulated within 7 days of the meeting	<b>CSO</b>	✓	✓	✓	✓	✓	✓	✓	✓	✓
Produce ARAC Update Report for Board	<b>Chair/JW/ CSO</b>	✓	✓	✓	✓	✓	✓	✓	✓	✓
Monitor agreed actions from previous meetings	<b>CSO</b>	✓	✓	✓	✓	✓	✓	✓	✓	✓
Develop & monitor annual work plan linked to corporate objectives, assurance framework and Local and national priorities for Audit.	<b>Chair/JW</b>	✓	✓	✓	✓	✓	✓	✓	✓	✓
Ongoing Development of IMs (Briefings/Training/Development sessions)	<b>Chair/JW</b>	✓	✓	✓	✓	✓	✓	✓	✓	✓
Annual Report on Committee's activity for onward submission to the Board – timed to support AGS	<b>Chair/JW</b>		✓							
Process for regular and rigorous self assessment of Committee's effectiveness	<b>Chair/JW +IMs</b>	✓				✓				✓
Annual bi-lateral meeting between Chair & LCFS *	<b>CFO</b>									
Independent Members private discussions with Internal & External Audit, HIW and LCFS *	<b>All IMs</b>									
Assess performance of Internal Audit *	<b>Chair/IMs</b>									
Assess performance of External Audit *	<b>Chair/IMs</b>									

\* Separate meeting