

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	18 April 2023
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	✓								
Enhanced Monitoring Targeted Intervention (wef Dec 2022) Escalation Status Update (wef feb 2023)	SM/SMJ	✓					✓	✓	✓	✓
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		✓							

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Review Draft/Final Accountability Report, including Annual Governance Statement	JW		✓	✓						
Review Annual Head of Internal Audit Report and associated opinions (including Capital/PFI)	JJ		✓	✓						
Review, agree and recommend to the Board the audited accounts & financial statements	HT		✓	✓						
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		✓	✓						
Review changes to Standing Financial Instructions*	HT				✓					
Annual Review of HDdUHB SOs and SFIs	JW				✓					
Scheme of Delegation	JW				✓					
All Wales NHS Audit Committee Chairs' Meeting Update	Chair									
Annual Review of TORs/membership	Chair/JW				✓					
All Wales NHS Audit Committee Chairs' Meeting Update	Chair				✓					
Bluestone Review	SM								✓	
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	All	✓	✓	✓	✓	✓	✓	✓	✓	✓

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compliance, risks of non-compliance and recommendations (decide mtg to mtg if issues to raise to Board)										
Provide assurances through where a significant activity is shared with another organisation (eg NWSSP, EASC, WHSSC)	HT/SM	✓	✓	✓	✓	✓	✓	✓	✓	✓
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	✓			✓	✓	✓	✓	✓	✓
Receive, for information, UHBs Summary Report on monthly Financial Monitoring Returns to WG	HT	✓			✓	✓	✓	✓	✓	✓
Review Draft/Final Annual Accounts	HT		✓	✓						
Review Annual Summary of STAs	HT				✓					
Receive Post Payment Verification (PPV) report	HT					✓				✓
Receive PPV annual report	HT								D	✓
Receive Primary Care PPV report	JP								D	✓
Annual statement of financial procedures - Review changes to the	HT								✓	

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accounting policies & comment on the process for review of the accounts prior to submission for audit										
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									
CLINICAL AUDIT										
Review annual forward clinical audit plan and terms of reference	MR				✓					✓
Review the effectiveness of clinical audit – consider recommendations from the Effective Clinical Practice Group on suggested areas of activity for review by internal audit.	MR				✓					✓
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 & management responses to any issues identified and ensure that the other Committees monitor & report back	Audit Wales	✓			✓	✓	✓	✓	✓	✓
Consider any Audit Wales National Value for Money Examinations & Performance Reports	Audit Wales	✓			✓	✓	✓	✓	✓	✓

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Structured Assessment 2021: • Phase 1: Operational Planning Arrangements	Audit Wales				✓					
• Phase 2: Corporate Governance and Financial Management	Audit Wales									
Structured Assessment 2022	Audit Wales							✓	✓	✓
Receive the Auditor's General report to those charged with governance (Year-end)	Audit Wales		✓							
Orthopaedic Services Follow-up	Audit Wales/AC								✓	
Review of Operational Governance Arrangements - MHL D	Audit Wales/AC									✓
Audit Wales Annual Audit Report 2022	Audit Wales							✓		
Review of the Sustainable use of RTT Monies	Audit Wales/AC								R	
Review of Unscheduled Care	Audit Wales/AC									✓
Follow-up Review of Primary Care	Audit Wales									✓
Workforce Planning	Audit Wales/LG									✓
Review of operational governance arrangements across service directorates	Audit Wales/AC									
DEEP DIVE										
Ophthalmology	AC/CH								✓	
NWSSP – AUDIT AND ASSURANCE SERVICES – INTERNAL AUDIT										
Internal Audit: Audit Plan Progress Report	JJ	✓	✓	✓	✓	✓	✓	✓	✓	✓

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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	✓								
Radiology Directorate Update	AC	✓								
Response to Records Management Briefing Paper	AC	✓								
RCP Medical Records Keeping Standards Update	PK				✓					
TriTech Institute Governance Review (Limited Assurance)	JJ/PK	✓								
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		✓							

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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			✓						
Overpayment of Salary (Limited Assurance)	JJ/LG					✓				
Withybush Fire Precautions: Phase 1 (Reasonable Assurance)	JJ/AC					✓				
Fire Governance (Substantial Assurance)	JJ/AC					✓				
Public Inquiry Preparedness (Substantial Assurance)	JJ/JW					✓				
IT WPAS Follow-up (Substantial Assurance)	JJ/HT					✓				
Directorate Governance - Glangwili (Reasonable Assurance)	JJ/AC						✓			
Directorate Governance - Withybush (Reasonable Assurance)	JJ/AC						✓			
Quality and Safety Governance Framework (Reasonable Assurance)	JJ/MR						✓			
Falls (Reasonable Assurance)	JJ/MR						✓			
TriTech Follow-up (Substantial Assurance)	JJ/PK						✓			
Estates Assurance – Decarbonisation	JJ/HT/LD							✓		
Welsh Language Follow-up (Reasonable Assurance)	JJ/SM							✓		

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Overpayment of Salary Follow-up (Reasonable Assurance)	JJ/LG							✓		
IT Infrastructure (Reasonable Assurance)	JJ/HT					D		✓		
Cyber Security (Substantial Assurance)	JJ/HT							✓		
GGH Fire Precautions Works: Phase 1 (Reasonable Assurance)	JJ/AC								✓	
Individual Patient Funding Requests (Reasonable Assurance)	JJ/PK								✓	
GGH - Women and Children's Development (Reasonable Assurance)	JJ/AC								✓	
Non-clinical Temporary Staffing Follow-up (Reasonable Assurance)	JJ/LG								✓	
Continuing Health Care & Funded Nursing Care (Reasonable Assurance)	JJ/JP								✓	
Prevention of Self Harm Follow-up	JJ/MR								✓	
BlackLine (Substantial Assurance)	JJ/HT								✓	
A Healthier Mid & West Wales Programme Forward Look Governance Review (Advisory Review)	JJ/LD								✓	
Service Reset and Recovery	JJ/AC								D	✓
Regional Integrated Fund	JJ/JP								D	✓
Fitness for Digital	JJ/HT								D	✓
Lessons Learned	JJ/MR								D	✓
Safety Indicators	JJ/MR								D	✓
Records Management	JJ/AC									✓
Job Planning	JJ/PK									✓
Patient Experience	JJ/MR									✓
Rostering	JJ/LG									✓
Accelerated Cluster Development	JJ/JP									✓
Public Health	JJ/DPH									✓
Discharge Management	JJ/AC									✓

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Major Project/Programme Provision	JJ/LD									✓
Agency Nursing	JJ/LG									
Workforce Strategies	JJ/LG									
Financial Management	JJ/HT									
Records Digitisation	JJ/HT									
Commissioning (Mental Health)	JJ/AC									
Withybush Fire Enforcement Works Phase 1	JJ/AC									
ASSURANCE AND RISK										
Audit Tracker	JW/CW	✓			✓	✓	✓	✓	✓	✓
Risk Management Framework	JW/CW				✓					
External Validation Update	AC				✓					
Risk Assurance Report	JW/CW								✓	
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 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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FOR INFORMATION										
ARAC Work Programme 2022/23	Chair	✓			✓	✓	✓	✓	✓	✓
HIW Strategic Plan Launch & Spring Update	HIW	✓								
REVIEW OF THE MEETING										
Reflective Summary of the Meeting	Chair/JW	✓			✓	✓	✓	✓	✓	✓

* To be included on agenda as applicable

Initials

AC – Andrew Carruthers AS – Alison Shakeshaft CH – Carly Hill CW – Charlotte Wilmshurst (previously Beare) CFO – Counter Fraud Officer CSO – Committee Services Officer DPH – Director of Public Health EDs – Executive Directors EJ – Eifion Jones HIW – Healthcare Inspectorate Wales	HT – Huw Thomas IMs – Independent Board Members JJ – James Johns JP – Jill Paterson JPJ – Jenny Pugh-Jones JW – Joanne Wilson KJ – Keith Jones LC – Liz Carroll LD – Lee Davies	LO’C – Louise O’Connor LG – Lisa Gostling MR – Mandy Rayani NLI – Nicola Llewellyn PK – Philip Kloer RE – Rob Elliott SM – Steve Moore TP – Tracy Price
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Audit Committee Tasks		19 April 2022	5 May 2022	9 June 2022	21 June 2022	23 Aug 2022	18 Oct 2022	13 Dec 2022	21 Feb 2023	April 2023
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 8 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