

## HYWEL DDA UNIVERSITY HEALTH BOARD – AUDIT & RISK ASSURANCE COMMITTEE DRAFT ANNUAL WORK PLAN 2023/24

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	18 April 2023	11 May 2023	20 June 2023	26 July 2023	15 Aug 2023	17 Oct 2023	12 Dec 2023	22 Feb 2024	16 April 2024
<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	✓								✓
Escalation Status Update	SM/PK	✓		✓		✓	✓	✓	✓	✓
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		✓		✓					
Review Annual Head of Internal Audit Report and assoc op (incl Capital/PFI)	JJ		✓	✓						

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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 Orders & Standing Financial Instructions*	HT			✓			✓			
Annual Review of SOs and SFIs	JW			✓						
Scheme of Delegation	JW	✓				✓				
All Wales NHS Audit Committee Chairs' Meeting Update	Chair			✓			✓			
Contract and Procurement Processes – Governance	JW							D	D	✓
Annual Review of TORs/membership	Chair/JW	✓							✓	
Execution of the Contract for the Construction of the Day Surgery Unit, PPH				✓						
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, EASC, WHSSC)	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	✓	✓	✓	✓	✓	✓	✓	✓	✓
<b>FINANCIAL FOCUS</b>										
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	✓								
Receive Primary Care PPV report	JP	✓					✓			
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	HT								✓	
Review of Schedule of Losses & Compensation*	HT									

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Receive reports which record the basis of decisions where the HB awards additional funding to contractors outside the terms of the contract *	HT									
Carers Services Commissioned with Non-recurrent Grant Funding	LG	✓								
IMCA Services Single Tender Action	JP			✓						
Report on Non-Clinical Temporary Staff/Agency Spend and Numbers	HT/LG									✓
<b>CLINICAL AUDIT</b>										
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						✓			
<b>AUDIT WALES</b>										
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 2022 Management Response Update	Audit Wales/JW			✓			D			
Structured Assessment 2023	Audit Wales							✓	✓	✓
Receive the Auditor's General report to those charged with governance (Year-end)	Audit Wales		✓							
Review of Operational Governance Arrangements - MHLD	Audit Wales/AC	✓							✓	
Orthopaedic Services Review (Nat and Local AW Reports and GIRFT Orthopaedics Report)	Audit Wales/AC	D		✓						
Workforce Planning	Audit Wales/LG	D		D		✓				
Review of Unscheduled Care	Audit Wales/AC			D		D	D	D	D	✓
Follow-up Review of Primary Care	Audit Wales/JP			D		D	D	✓	✓	
Review of operational governance arrangements across service directorates	Audit Wales/AC									
<b>NWSSP – AUDIT AND ASSURANCE SERVICES – INTERNAL AUDIT</b>										
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	✓								

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RCP Medical Records Keeping Standards Update	<b>PK</b>	✓								
Strategic Governance Update & Savings Governance Review	<b>JW/HT/LD</b>					✓				
Safety Indicators – Pressure Damage & Medication Errors (Reasonable Assurance)	<b>JJ/MR</b>	✓								
Patient Experience (Reasonable Assurance)	<b>JJ/MR</b>	✓								
Fitness for Digital (Advisory Review)	<b>JJ/HT</b>	✓								
Job Planning (Limited Assurance)	<b>JJ/PK</b>	D	✓							
Service Reset and Recovery (Reasonable Assurance)	<b>JJ/AC</b>	D	✓							
WGH Fire Precautions Phase 1 (Reasonable Assurance)	<b>JJ/AC</b>	D	✓							
Regional Integrated Fund (Reasonable Assurance)	<b>JJ/JP</b>	D	✓							
Lessons Learned (Reasonable Assurance)	<b>JJ/MR</b>	D	D	✓						
Agency Nursing & Rostering (Reasonable Assurance)	<b>JJ/LG</b>	D	D	✓						
Records Digitalisation (Limited Assurance)	<b>JJ/HT</b>	D	✓	✓						
Strategic Transformation Programme Governance (Limited Assurance)	<b>JJ/HT</b>	D	D	✓						
Financial Management (Reasonable Assurance)	<b>JJ/HT</b>	D	D	✓						
Theatre Loan Trays & Consumables (Limited Assurance)	<b>JJ/AC</b>		D	✓						
Escalation Status Actions (Reasonable Assurance)	<b>JJ/SM/JW</b>					✓				
NICE Guidance (Limited Assurance)	<b>JJ/PK</b>					D	✓			

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Quality & Safety Governance BGH (Limited Assurance)	JJ/MR/AC					D	✓	✓		
Board Oversight (Substantial Assurance)	JJ/SM/JW						✓			
Deprivation of Liberty Safeguards (Reasonable Assurance)	JJ/AC/JP						✓	✓		
MHLD Service - Timely Access (Reasonable Assurance)	JJ/AC						✓			
Sealing of Contracts (Advisory Review)	JJ/JW						✓			
Locum Medical Staff	JJ/PK						R			
Estates Condition (Limited Assurance)	JJ/AC						D	✓		
Strategic Programme Governance Follow-up (Reasonable Assurance)	JJ/LD/HT							✓		
Technical Resilience (Reasonable Assurance)	JJ/HT							✓		
Workforce Strategies - Site Stabilisation	JJ/LG							R		
Quality & Safety Governance BGH Follow-up (Reasonable Assurance)	JJ/MR/AC								✓	
Theatre Loan Trays Follow-up (Reasonable Assurance)	JJ/AC								✓	
NICE Guidance Follow-up (Substantial Assurance)	JJ/MH								✓	
Decarbonisation (Limited Assurance)	JJ/LD							D	✓	
Cross Hands Health & Wellbeing Centre	JJ/LD							D	D	✓
Emergency Planning	JJ/AG						D		D	✓
Transforming Urgent & Emergency Care (TUEC)	JJ/AC								D	✓
Agency/Rostering	JJ/LG								D	✓
Financial Savings & Financial Control	JJ/HT								D	✓
Cleanliness/Cleaning Standards	JJ/AC								D	✓

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Elective Waiting List Management	JJ/AC								D	✓
Major Programme/Project Provision	JJ/LD								D	✓
GGH Fire Enforcement (BJC1)	JJ/AC								D	✓
WGH RAAC Internal Major Incident	JJ/AC								D	✓
Accelerated Cluster Development	JJ/AC/JP									✓
Quality & Safety - New Quality Standards	JJ/SD									✓
Discharge Management	JJ/AC									✓
MHLD DWP - Patients Affairs and Monies	JJ/AC									✓
Records Digitalisation Follow-up	JJ/AC									✓
Job Planning Follow-up	JJ/PK									✓
<b>DEEP DIVE</b>										
Ophthalmology	AC/CH	✓						✓		
<b>ASSURANCE AND RISK</b>										
Audit Tracker	JW/CW	✓		✓		✓	✓	✓	✓	✓
Risk Assurance Report	JW/CW					✓			✓	
Risk Management Strategy	JW/CW								✓	
Scrutiny of Outstanding Improvement Plans	JW/CW									
<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 CF Authority SRT Return	CFO	✓								✓
Annual Review of Requisitions	CFO								✓	



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Review the Health Board's assessment against NHS Protect Qualitative Assessment Reviews*	CFO									
<b>FOR INFORMATION</b>										
ARAC Work Programme 2023/24	Chair	✓		✓		✓	✓	✓	✓	✓
Auditor General Forward Programme 2023-2026				✓						
Audit Wales Letter – Audit of Accounts 2023/24									✓	
National Internal Audit Reports										
<b>REVIEW OF THE MEETING</b>										
Matters & Risks for Escalation to the Board	Chair/JW	✓		✓		✓	✓	✓	✓	✓

\* To be included on agenda as applicable

#### Initials

AC – Andrew Carruthers AG – Ardiana Gjini AS – Alison Shakeshaft 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 MR – Mandy Rayani NLI – Nicola Llewellyn PK – Philip Kloer RE – Rob Elliott SD – Sharon Daniel SM – Steve Moore SMJ – Sian-Marie James TP – Tracy Price
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<b>Audit Committee Tasks</b>		<b>18 April 2023</b>	<b>11 May 2023</b>	<b>20 June 2023</b>	<b>26 July 2023</b>	<b>15 Aug 2023</b>	<b>17 Oct 2023</b>	<b>12 Dec 2023</b>	<b>22 Feb 2024</b>	<b>April 2024</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