

HYWEL DDA UNIVERSITY HEALTH BOARD – AUDIT & RISK ASSURANCE COMMITTEE DRAFT ANNUAL WORK PLAN 2020/21

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	21 April 2020	5 May 2020	27 May 2020	23 June 2020	25 Aug 2020	20 Oct 2020	15 Dec 2020	23 Feb 2021	April 2021
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	✓							✓	✓
Targeted Intervention Arrangements	SM					✓	✓			✓
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				✓					✓
Legislative Assurance Framework	JW									
Compliance with Ministerial Directions	JW		✓							
Compliance with Welsh Health Circulars (WHCs)	JW		✓							
Review Annual Quality Statement	MR		✓							
Review Draft/Final ARAC Annual Report	Chair		✓							
Review Draft/Final Governance, Leadership & Accountability Standard (Board Effectiveness Report)	JW		✓							

AGENDA ITEM/ISSUE	LEAD	21 April 2020	5 May 2020	27 May 2020	23 June 2020	25 Aug 2020	20 Oct 2020	15 Dec 2020	23 Feb 2021	April 2021
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 & Performance Section)	KM				✓					
All Wales NHS Audit Committee Chairs' Meeting Update	Chair							✓		
Review changes to Standing Financial Instructions*	HT							✓		
Annual Review of HDdUHB SOs	JW							✓		
Scheme of Delegation	JW							✓		
Annual Review of TORs/membership	Chair/JW								✓	
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)	All	✓	✓	✓	✓	✓	✓	✓	✓	✓

AGENDA ITEM/ISSUE	LEAD	21 April 2020	5 May 2020	27 May 2020	23 June 2020	25 Aug 2020	20 Oct 2020	15 Dec 2020	23 Feb 2021	April 2021
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.	SW	✓	✓	✓	✓	✓	✓	✓	✓	✓
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		✓		✓					
COVID-19 – Single Tender Action (STA) Review	HT			✓						
Review Annual Summary of STAs	HT				✓					
Receive Post Payment Verification (PPV) report	HT					✓			✓	
Receive PPV annual report	HT					✓				
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								✓	

AGENDA ITEM/ISSUE	LEAD	21 April 2020	5 May 2020	27 May 2020	23 June 2020	25 Aug 2020	20 Oct 2020	15 Dec 2020	23 Feb 2021	April 2021
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/PK					✓				✓
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/PK					✓				✓
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	✓				✓	✓	✓	✓	✓
Auditor General Structured Assessment Feedback	Audit Wales				✓	✓	✓	✓	✓	✓

AGENDA ITEM/ISSUE	LEAD	21 April 2020	5 May 2020	27 May 2020	23 June 2020	25 Aug 2020	20 Oct 2020	15 Dec 2020	23 Feb 2021	April 2021
Receive the Auditor's General report to those charged with governance (Year-end)	Audit Wales		✓		✓					
NHS Consultant Contract Follow-up Review Update	Audit Wales/PK	✓								
Audit Wales Counter Fraud (National & Local Reports)	Audit Wales					✓				
Audit Wales Integrated Care Fund (ICF) Review Update	SJ					✓				
Audit Wales Clinical Coding Follow-up Update, incl 'Cracking the Code – Mgmt of Clinical Coding across Wales'	Audit Wales/KM	✓					✓			
Audit Wales Review of Estates 2016 Update	AC						✓			
Audit Wales Review of Operational Quality & Safety Arrangements Update	MR						✓			
Audit Wales Annual Audit Report 2020	Audit Wales							✓		
Audit Wales Report: The Refurbishment of Ysbyty Glan Clwyd	Audit Wales/HT							✓		
Audit Wales Orthopaedic Services Follow-up	Audit Wales/AC									✓
Audit Wales Review: Supporting Staff Wellbeing during COVID-19	Audit Wales/LG									✓
Audit Wales Review: Test, Trace, Protect	Audit Wales/AS									✓
NWSSP – AUDIT AND ASSURANCE SERVICES – INTERNAL AUDIT										
Internal Audit: Audit Plan Progress Report	JJ	✓	✓	✓	✓	✓	✓	✓	✓	✓
Review and approve Annual Internal Audit Plan	JJ	✓			✓					✓

AGENDA ITEM/ISSUE	LEAD	21 April 2020	5 May 2020	27 May 2020	23 June 2020	25 Aug 2020	20 Oct 2020	15 Dec 2020	23 Feb 2021	April 2021
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	✓								
RCP Medical Records Keeping Standards (Reasonable Assurance) Update	PK	✓					✓			
Core Financial Systems (Substantial Assurance)	JJ	✓								
Rostering (Reasonable Assurance)	JJ	✓								
Contracting (Limited Assurance)	JJ/HT			✓						
Estates Assurance – Control of Contractors (Limited Assurance)	EJ/AC	✓		✓						
Estates Assurance – Water BGH (Reasonable Assurance)	EJ			✓						
Estates Assurance – Water Follow-up WGH (Reasonable Assurance)	EJ			✓						
Nursing Medication Errors (Reasonable Assurance)	JJ	✓		✓						
Review of PADR Process Follow-up (Reasonable Assurance)	JJ			✓						
Estates Directorate Governance Review Follow-up (Reasonable Assurance)	JJ	✓		✓						
Health & Care Standards (Reasonable Assurance)	JJ	✓		✓						
Annual Quality Statement 2019 (Substantial Assurance)	JJ			✓						

AGENDA ITEM/ISSUE	LEAD	21 April 2020	5 May 2020	27 May 2020	23 June 2020	25 Aug 2020	20 Oct 2020	15 Dec 2020	23 Feb 2021	April 2021
GGH Women & Children's Development Phase 2 (Reasonable Assurance)	EJ	✓			✓					
Mortality Rates (Reasonable Assurance)	JJ	✓			✓					
IM&T Assurance Follow-up (Reasonable Assurance)	JJ	✓			✓					
Health & Safety (Reasonable Assurance)	JJ	✓			✓					
Variable Pay (Reasonable Assurance)	JJ	✓			✓					
Capital Assurance Follow-up (Reasonable Assurance)	EJ	✓			✓					
Estates Assurance Follow-up (Substantial Assurance)	EJ	✓			✓					
Business Continuity (Reasonable Assurance)	JJ/RJ	✓				✓				
National Standards for Cleaning Follow-up (Reasonable Assurance)	JJ				✓					
Standards of Behaviour (Reasonable Assurance)	JJ/JW					✓				
Environmental Sustainability Reporting (Substantial Assurance)	JJ/AC					✓				
Charitable Funds (Substantial Assurance)	JJ/MR					✓				
Research & Development Department Governance Review Update	PK/LP					✓				
Research & Development Department Follow-up (Reasonable Assurance)	JJ/PK						✓			
Partnership Governance (ICF) (Limited Assurance)	JJ/JP						✓			
Core Financial Systems – Accounts Receivable (Reasonable Assurance)	JJ/HT						✓			

AGENDA ITEM/ISSUE	LEAD	21 April 2020	5 May 2020	27 May 2020	23 June 2020	25 Aug 2020	20 Oct 2020	15 Dec 2020	23 Feb 2021	April 2021
Additional Learning Needs & Educational Tribunal (Wales) Act 2018 (Reasonable Assurance)	JJ/AS						✓			
Bronglais General Hospital Directorate Governance Follow-up (Reasonable Assurance)	JJ/AC						✓			
Records Management Follow-up (Limited Assurance)	JJ/AC						✓			
IM&T Control & Risk Assessment (no assurance rating)	JJ/HT							✓		
Implications of COVID-19 on Information Governance (Substantial Assurance)	JJ/HT							✓		
Agility to Flex Workforce to COVID-19 Planning (Substantial Assurance)	JJ/LG							✓		
Welsh Community Care Information System (WCCIS) (Reasonable Assurance)	JJ/HT							✓		
Welsh Risk Pool Claims (Substantial Assurance)	JJ/MR							✓		
Finance Team Transformation (Substantial Assurance)	JJ/HT							✓		
Backlog Maintenance (Reasonable Assurance)	EJ/AC							✓		
Quality & Safety Governance (Reasonable Assurance)	JJ/MR								✓	
Health & Care Standards (Substantial Assurance)	JJ/MR								✓	
Closure of Actions (Reasonable Assurance)	JJ/MR								✓	
Effectiveness of IT Deployment in Relation to COVID-19 (Substantial Assurance)	JJ/HT								✓	

AGENDA ITEM/ISSUE	LEAD	21 April 2020	5 May 2020	27 May 2020	23 June 2020	25 Aug 2020	20 Oct 2020	15 Dec 2020	23 Feb 2021	April 2021
Contracting Follow-up (Reasonable Assurance)	JJ/HT								✓	
Quality Review of Consultant Job Plans (no assurance rating)	JJ/PK								✓	
Capital Follow-up (Reasonable Assurance)	EJ/HT								✓	
Estates Follow-up (Substantial Assurance)	EJ/AC								✓	
Radiology Directorate (Reasonable Assurance) Update	AC								✓	
Health & Safety	JJ/MR									✓
Transformation Steering Group	JJ/HT									✓
Data Modelling	JJ/HT									✓
Withybush General Hospital Palliative Care, Oncology and Haematology Inpatient Facility (Wards 9 & 10)	JJ/HT									✓
Outpatients	JJ/AC									✓
Annual Quality Statement	JJ/MR									✓
Patient Experience	JJ/MR									✓
Women & Children's Phase 2	JJ/HT									✓
Fire Safety	JJ/AC									✓
Effectiveness of Operational Directorate Response to COVID-19	JJ/AC									✓
GOVERNANCE REVIEWS										
Advisory Review: Governance Arrangements During the COVID-19 Pandemic	JJ/JW/HT						✓			
Audit Wales Structured Assessment 2020	Audit Wales/JW						✓			
KPMG Field Hospital Report (IC)	JW/HT						✓			
KPMG Review of the Transformation Fund	HT/JP/MP							✓		

AGENDA ITEM/ISSUE	LEAD	21 April 2020	5 May 2020	27 May 2020	23 June 2020	25 Aug 2020	20 Oct 2020	15 Dec 2020	23 Feb 2021	April 2021
ASSURANCE AND RISK										
Review of committees' effectiveness and compliance with TOR	Executive Lead				✓ CFC Fin C		✓ QSEAC		✓ MHLAC	✓ CFC Fin C
Audit Tracker	JW/CB	✓			✓	✓	✓	✓	✓	✓
Scrutiny of Outstanding Improvement Plans							✓		✓	
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				✓	✓	✓	✓	✓	✓
Counter Fraud Update – Collaborative Working	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 Draft SRT Return	CFO	✓								✓
Review the Health Board's assessment against NHS Protect Qualitative Assessment Reviews*	CFO									
FOR INFORMATION										
ARAC Work Programme 2020/21	Chair	✓			✓	✓	✓	✓	✓	✓
Management of Operational and Corporate Risks during the COVID-19 Pandemic		✓								
Auditor General for Wales Letter to CEOs			✓							

AGENDA ITEM/ISSUE	LEAD	21 April 2020	5 May 2020	27 May 2020	23 June 2020	25 Aug 2020	20 Oct 2020	15 Dec 2020	23 Feb 2021	April 2021
Audit Wales Structured Assessment 2020: Briefing Note					✓					
Audit Wales: 10 Opportunities for Restarting and Resetting the NHS Planned Care System							✓			
Audit Wales: NHS Wales Finances Data Tool							✓			
Audit Wales Supplementary Structured Assessment Output: 'Doing it Differently, Doing it Right?'									✓	
Auditor General for Wales Letter: Procurement and Supply of PPE during the COVID-19 Pandemic									✓	
Auditor General for Wales Letter to Public Sector CEOs and Senior WG Stakeholders									✓	
REVIEW OF THE MEETING										
Reflective Summary of the Meeting	Chair/JW	✓			✓	✓	✓	✓	✓	✓

* To be included on agenda as applicable

Audit Committee Tasks		21 April 2020	5 May 2020	27 May 2020	23 June 2020	25 Aug 2020	20 Oct 2020	15 Dec 2020	23 Feb 2021	April 2021
Prepare Schedule of meeting dates	JW/AG							✓		
Agenda Setting Meeting with Chair & Exec Lead (at least 1m prior to mtg)	PN/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	PN/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.	PN/JW	✓	✓	✓	✓	✓	✓	✓	✓	✓
Ongoing Development of IMs (Briefings/Training/Development sessions)	PN/JW	✓	✓	✓	✓	✓	✓	✓	✓	✓
Annual Report on Committee's activity for onward submission to the Board – timed to support AGS	PN/JW		✓							
Process for regular and rigorous self assessment of Committee's effectiveness	PN/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	PN/IMs								✓	
Assess performance of External Audit	PN/IMs								✓	