

## HYWEL DDA UNIVERSITY HEALTH BOARD – AUDIT & RISK ASSURANCE COMMITTEE DRAFT ANNUAL WORK PLAN 2019/20

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	23 April 2019	7 May 2019	29 May 2019	25 June 2019	27 Aug 2019	22 Oct 2019	19 Dec 2019	25 Feb 2020	April 2020
<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	✓		✓	✓	✓	✓	✓	✓	✓
Targeted Intervention Arrangements	SM	✓			✓	✓	✓	✓	✓	✓
Legislative Assurance Framework	JW		✓							
Ministerial Directions	JW		✓							
Receive Report and Assurance on Compliance with WHCs	JW		✓							
Review Annual Quality Statement	MR		✓							
Review Draft/Final ARAC Annual Report	Chair		✓	✓						
Review Draft/Final Governance, Leadership & Accountability Standard	JW		✓	✓						
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		✓	✓						

<b>AGENDA ITEM/ISSUE</b>	<b>LEAD</b>	<b>23 April 2019</b>	<b>7 May 2019</b>	<b>29 May 2019</b>	<b>25 June 2019</b>	<b>27 Aug 2019</b>	<b>22 Oct 2019</b>	<b>19 Dec 2019</b>	<b>25 Feb 2020</b>	<b>April 2020</b>
Audit Enquiries to those charged with Governance and Management	<b>HT</b>		✓	✓						
Internal Audit: Annual Governance Statement Review	<b>JJ</b>			✓						
Wales Audit Office ISA 260	<b>JS</b>			✓						
Letter of Representation	<b>JS</b>			✓						
Review the Health Board's Annual Report	<b>SJ</b>			✓						
Annual Review of TORs/membership	<b>Chair/JW</b>								✓	
Self assessment of Committee's effectiveness		✓			✓				✓	✓
Review and report upon the adequacy of arrangements for declaring, registering and handling interests	<b>JW</b>	✓								✓
Receive full report of all offers of gifts and hospitality	<b>JW</b>	✓								✓
Review changes to Standing Financial Instructions*	<b>HT</b>	✓					✓			✓
Annual Review of HDdUHB SOs/SFIs	<b>JW</b>	✓					✓			✓
Scheme of Delegation	<b>JW</b>	✓								✓
Draft Standards of Behaviour Policy	<b>JW</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 meeting to meeting if issues to raise to Board)	<b>All</b>	✓			✓	✓	✓	✓	✓	✓

AGENDA ITEM/ISSUE	LEAD	23 April 2019	7 May 2019	29 May 2019	25 June 2019	27 Aug 2019	22 Oct 2019	19 Dec 2019	25 Feb 2020	April 2020
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	✓			✓	✓	✓	✓	✓	✓
<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 Annual Accounts	HT			✓						
Receive Post Payment Verification (PPV) report	HT				✓			✓		
Receive Post Payment Verification (PPV) annual report	HT				✓					
Review Annual Summary of Single Tender Actions	HT				✓					
CHC Claims Analysis	HT					✓				
WRP Claims Analysis	HT					✓				
Annual statement of financial procedures - Review changes to the accounting policies & comment on the	HT								✓	

<b>AGENDA ITEM/ISSUE</b>	<b>LEAD</b>	<b>23 April 2019</b>	<b>7 May 2019</b>	<b>29 May 2019</b>	<b>25 June 2019</b>	<b>27 Aug 2019</b>	<b>22 Oct 2019</b>	<b>19 Dec 2019</b>	<b>25 Feb 2020</b>	<b>April 2020</b>
process for review of the accounts prior to submission for audit										
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/PK</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/PK</b>	✓				✓				✓
Medical Director Sub-Structure	<b>PK</b>	✓				✓				
<b>WALES AUDIT OFFICE</b>										
Review External Audit Plan via update reports	<b>WAO</b>	✓			✓	✓	✓	✓	✓	✓
Approve External Audit Strategy & Annual Audit Plan (designed to implement the strategy) & assoc fees	<b>WAO</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>WAO</b>	✓			✓	✓	✓	✓	✓	✓
Consider any WAO National Value for Money Examinations & Performance Reports	<b>WAO</b>	✓			✓	✓	✓	✓	✓	✓

AGENDA ITEM/ISSUE	LEAD	23 April 2019	7 May 2019	29 May 2019	25 June 2019	27 Aug 2019	22 Oct 2019	19 Dec 2019	25 Feb 2020	April 2020
Auditor General Structured Assessment Feedback	WAO	✓			✓	✓	✓	✓	✓	✓
Receive the Auditor's General report to those charged with governance (Year-end)	WAO			✓						
WAO Clinical Coding Follow-up	WAO/KM	✓					✓			
WAO Operating Theatres Progress Update	JT				✓					
WAO Local Quality & Safety Review	WAO/MR				✓	✓				
WAO Integrated Care Fund (ICF) Review	WAO/JT					✓			✓	
Response to AGW Report: What's the hold up? Discharging Patients in Wales	WAO/JT					✓	✓			
NHS Consultant Contract Follow-up Review	WAO/PK					✓				✓
WAO Wellbeing Future Generations examination	WAO/SJ						✓			
WAO Review of Primary Care	WAO/JP							✓		
WAO Orthopaedic Services Follow-up	WAO/JT							✓		
Update on Private Practice (response to IA & WAO reviews)	JT								✓	
<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	✓		✓	✓	✓	✓	✓	✓	✓

<b>AGENDA ITEM/ISSUE</b>	<b>LEAD</b>	<b>23 April 2019</b>	<b>7 May 2019</b>	<b>29 May 2019</b>	<b>25 June 2019</b>	<b>27 Aug 2019</b>	<b>22 Oct 2019</b>	<b>19 Dec 2019</b>	<b>25 Feb 2020</b>	<b>April 2020</b>
Review and approve Internal Audit terms of reference (charter) and the effectiveness of internal audit	<b>JJ</b>	✓								
Capital Follow-up Report	<b>SW</b>	✓								✓
Estates Follow-up Report	<b>SW</b>	✓								✓
Welsh Risk Pool Claims (Substantial Assurance)	<b>JJ</b>	✓							✓	
Financial Ledger (Substantial Assurance) (Reasonable Assurance)	<b>JJ</b>	✓								
National Standards for Cleaning Follow-up (Limited Assurance)	<b>JJ/JT</b>	✓								✓
Concerns (Reasonable Assurance) Update	<b>MR/LO'C</b>	✓								
Radiology Directorate (Reasonable Assurance) Update	<b>JT/AE</b>	✓					✓			
STA Process Follow-up (Reasonable Assurance)	<b>JJ</b>	✓								
Water Safety (Limited Assurance)	<b>SW/JT</b>	✓								
Annual Plan 2019/20 (Substantial Assurance)	<b>JJ</b>	✓								
Information Governance: General Data Protection Regulation (GDPR) (Substantial Assurance)	<b>JJ</b>	✓								
Accounts Receivable (Reasonable Assurance)	<b>JJ</b>	✓								
UHB Payroll (Reasonable Assurance)	<b>JJ</b>	✓								
Management of Controlled Drugs (Reasonable Assurance)	<b>JJ</b>	✓								
Primary & Community Care Pipeline Projects – Aberaeron Integrated Care Centre (Substantial Assurance)	<b>SW</b>	✓								
Cardigan Integrated Care Centre (Reasonable Assurance)	<b>SW</b>	✓								

<b>AGENDA ITEM/ISSUE</b>	<b>LEAD</b>	<b>23 April 2019</b>	<b>7 May 2019</b>	<b>29 May 2019</b>	<b>25 June 2019</b>	<b>27 Aug 2019</b>	<b>22 Oct 2019</b>	<b>19 Dec 2019</b>	<b>25 Feb 2020</b>	<b>April 2020</b>
Withybush General Hospital Refurbishment of Wards 9 & 10 (Reasonable Assurance)	<b>SW</b>	✓								
Data Centre Project (Reasonable Assurance)	<b>SW</b>	✓								
Review of PADR Process (Limited Assurance)	<b>JJ/LG</b>			✓						
Integrated Care Fund Follow-up (Reasonable Assurance)	<b>JJ</b>			✓						
Discharge Processes Follow-up (Reasonable Assurance)	<b>JJ</b>			✓						
Preparedness & Compliance with the Nurse Staffing Act (Substantial Assurance)	<b>JJ</b>			✓					✓	
Theatres Directorate (Reasonable Assurance) Update	<b>JJ/JT</b>				✓					
Health & Care Standards (Reasonable Assurance)	<b>JJ</b>				✓					
Savings Planning & CIP (Reasonable Assurance)	<b>JJ</b>				✓					
Budgetary Planning (Reasonable Assurance)	<b>JJ</b>				✓					
Asset Management Systems Briefing Note	<b>JJ</b>				✓					
Quality Assurance & Improvement Programme	<b>SC/JJ</b>					✓				
Annual Quality Statement (Reasonable Assurance)	<b>JJ</b>					✓				
ARCH (Reasonable Assurance)	<b>JJ</b>					✓				
Environmental Sustainability Reporting	<b>JJ</b>					✓				
Carbon Reduction Commitment	<b>JJ</b>					✓				

<b>AGENDA ITEM/ISSUE</b>	<b>LEAD</b>	<b>23 April 2019</b>	<b>7 May 2019</b>	<b>29 May 2019</b>	<b>25 June 2019</b>	<b>27 Aug 2019</b>	<b>22 Oct 2019</b>	<b>19 Dec 2019</b>	<b>25 Feb 2020</b>	<b>April 2020</b>
WAST Handover of Care at Emergency Departments Follow-up: Health Board Related Recommendations	<b>JJ/JT</b>					✓				
RCP Medical Records Keeping Standards (Reasonable Assurance) Update	<b>JJ/PK</b>						✓			
Welsh Language Compliance (Reasonable Assurance)	<b>JJ</b>						✓			
Water Safety Follow-up (Substantial Assurance)	<b>JJ</b>						✓			
Water Safety – Additional Sampling (Limited Assurance)	<b>JJ/JT</b>						✓			
Directorate Review – Estates (Limited Assurance)	<b>JJ/JT</b>						✓			
Patient Access	<b>JJ</b>							✓		
Research & Development	<b>JJ</b>							✓		
Virtualisation	<b>JJ</b>							✓		
IT Service Management	<b>JJ</b>							✓		
Directorate Review – BGH	<b>JJ</b>							✓		
Consultants' Job Planning	<b>JJ</b>							✓		
Health & Safety	<b>JJ</b>							✓		
Programme Management	<b>JJ</b>							✓		
Core Financial Systems	<b>JJ</b>							✓		
Medical Devices	<b>JJ</b>							✓		
Departmental IT System	<b>JJ</b>							✓		
Variable Pay	<b>JJ</b>							✓		
GGH Women & Children's Development Phase 2	<b>SW</b>							✓		
Estates Assurance	<b>SW</b>							✓		
Commission and Contracting	<b>JJ</b>								✓	
Rostering	<b>JJ</b>								✓	
Health & Care Standards	<b>JJ</b>								✓	



AGENDA ITEM/ISSUE	LEAD	23 April 2019	7 May 2019	29 May 2019	25 June 2019	27 Aug 2019	22 Oct 2019	19 Dec 2019	25 Feb 2020	April 2020
Welsh Risk Pool Claims	JJ								✓	
Finance Assurance Framework	JJ								✓	
Closure of Actions	JJ								✓	
IT Follow-up	JJ								✓	
Medical Leadership and Aspiring Leaders Programme	JJ								✓	
Electronic Staff Record (ESR)	JJ								✓	
BGH Front of House Development & Fire Lift – Final Account	SW								✓	
Capital Systems	SW								✓	
Informatics Projects	SW								✓	
Collaborative Development Support – Major Strategic Investment Programmes	SW								✓	
Standards of Behaviour	JJ									✓
TCS/Health & Care Strategy	JJ									✓
Business Continuity	JJ									✓
Mortality Rates	JJ									✓
Nursing Medication Errors	JJ									✓
Cyber Security	JJ									✓
Records Management	JJ									✓
Directorate Review – Estates Follow-up	JJ									✓
<b>ASSURANCE AND RISK</b>										
Audit Tracker	JW/CB	✓			✓	✓	✓	✓	✓	✓
Review of committees' effectiveness and compliance with TOR	Executive Lead	✓ CFC Fin C			✓ UPB	✓ PCAC	✓ BPPAC	✓ QSEAC	✓ MHLAC	✓ CFC Fin C
Scrutiny of Outstanding Improvement Plans:										
• Royal College of Paediatrics & Child Health (RCPCH)	PK	✓								
• WAO Review of Estates 2016	JT					✓	✓			

AGENDA ITEM/ISSUE	LEAD	23 April 2019	7 May 2019	29 May 2019	25 June 2019	27 Aug 2019	22 Oct 2019	19 Dec 2019	25 Feb 2020	April 2020
<ul style="list-style-type: none"> <li>IA Health &amp; Safety 2016</li> <li>WAO Follow-up Information Backup, Disaster Recovery and Business Continuity, and Data Quality Update</li> </ul>	JT  KM					✓	✓  ✓			
<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 (IC from Oct 2018)	CFO	✓		✓	✓	✓	✓	✓	✓	✓
Review and approve annual forward work plan for Counter Fraud activities	CFO	✓								✓
Review and approve Counter Fraud Annual Report	CFO	✓								✓
Review the Health Board's assessment against NHS Protect Qualitative Assessment Reviews*	CFO									
<b>FOR INFORMATION</b>										
ARAC Work Programme 2019/20	Chair/JW	✓			✓	✓	✓	✓	✓	✓
AGW Letter: Consultation on Three-year Forward Programme of Work		✓								
AGW Report: Preparations in Wales for a 'no-deal' Brexit		✓								
AGW Report: What's the hold up? Discharging Patients in Wales		✓								
AGW Report: Waste Management in Wales – Preventing Waste		✓								
Welsh Health Circular WHC/2019/006 – NHS Wales National Clinical Audit and Outcome Review Plan Annual Rolling Programme for 2019/20				✓						

AGENDA ITEM/ISSUE	LEAD	23 April 2019	7 May 2019	29 May 2019	25 June 2019	27 Aug 2019	22 Oct 2019	19 Dec 2019	25 Feb 2020	April 2020
NHS Wales Fighting Fraud Strategy						✓				
<b>REVIEW OF THE MEETING</b>										
Reflective Summary of the Meeting	<b>Chair/JW</b>	✓			✓	✓	✓	✓	✓	✓

\* To be included on agenda as applicable

<b>Audit Committee Tasks</b>		<b>23 April 2019</b>	<b>7 May 2019</b>	<b>29 May 2019</b>	<b>25 June 2019</b>	<b>27 Aug 2019</b>	<b>22 Oct 2019</b>	<b>19 Dec 2019</b>	<b>25 Feb 2020</b>	<b>April 2020</b>
Prepare Schedule of meeting dates	<b>JW/AG</b>							✓		
Agenda Setting Meeting with Chair & Exec Lead (at least 1m prior to mtg)	<b>PN/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>PN/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>PN/JW</b>	✓	✓	✓	✓	✓	✓	✓	✓	✓
Ongoing Development of IMs (Briefings/Training/Development sessions)	<b>PN/JW</b>	✓	✓	✓	✓	✓	✓	✓	✓	✓
Annual Report on Committee's activity for onward submission to the Board – timed to support AGS	<b>PN/JW</b>		✓	✓						
Process for regular and rigorous self assessment of Committee's effectiveness	<b>PN/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>PN/IMs</b>								✓	
Assess performance of External Audit	<b>PN/IMs</b>								✓	