

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	21 April 2020
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	✓		✓	✓	✓	✓	✓	✓	✓
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		✓	✓						

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Audit Enquiries to those charged with Governance and Management	HT		✓	✓						
Internal Audit: Annual Governance Statement Review	JJ			✓						
Wales Audit Office ISA 260	JS			✓						
Letter of Representation	JS			✓						
Review the Health Board's Annual Report	SJ			✓						
Self Assessment of Committee's effectiveness	Chair/JW	✓			✓				✓	✓
Annual Review of TORs/membership	Chair/JW								✓	
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	✓								✓
Review changes to Standing Financial Instructions*	HT	✓					✓			✓
Annual Review of HDdUHB SOs/SFIs	JW	✓					✓			✓
Scheme of Delegation	JW	✓								✓
Draft Standards of Behaviour Policy	JW					✓				
All Wales NHS Audit Committee Chairs' Meeting Update	Chair							✓		
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)	All	✓			✓	✓	✓	✓	✓	✓

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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 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					✓				

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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									
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	✓				✓				✓
Medical Director Sub-Structure	PK	✓				✓				
WALES AUDIT OFFICE										
Review External Audit Plan via update reports	WAO	✓			✓	✓	✓	✓	✓	✓
Approve External Audit Strategy & Annual Audit Plan (designed to implement the strategy) & assoc fees	WAO	✓							✓	✓
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.	WAO	✓			✓	✓	✓	✓	✓	✓

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Consider any WAO National Value for Money Examinations & Performance Reports	WAO	✓			✓	✓	✓	✓	✓	✓
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 Review of Operational Quality & Safety Arrangements	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							✓		
Update on Private Practice (response to IA & WAO reviews)	JT								✓	
WAO Orthopaedic Services Follow-up	WAO/JT									✓
NWSSP – AUDIT AND ASSURANCE SERVICES – INTERNAL AUDIT										
Internal Audit: Audit Plan Progress Report	JJ	✓		✓	✓	✓	✓	✓	✓	✓
Review and approve Annual Internal Audit Plan	JJ	✓					✓			✓

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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	✓								
Capital Follow-up Report	SW	✓								✓
Estates Follow-up Report	SW	✓								✓
Welsh Risk Pool Claims (Substantial Assurance)	JJ	✓								
Financial Ledger (Substantial Assurance) (Reasonable Assurance)	JJ	✓								
National Standards for Cleaning Follow-up (Limited Assurance)	JJ/JT	✓								✓
Concerns (Reasonable Assurance) Update	MR/LO'C	✓								
Radiology Directorate (Reasonable Assurance) Update	JT/AE	✓					✓			
STA Process Follow-up (Reasonable Assurance)	JJ	✓								
Water Safety (Limited Assurance)	SW/JT	✓								
Annual Plan 2019/20 (Substantial Assurance)	JJ	✓								
Information Governance: General Data Protection Regulation (GDPR) (Substantial Assurance)	JJ	✓								
Accounts Receivable (Reasonable Assurance)	JJ	✓								
UHB Payroll (Reasonable Assurance)	JJ	✓								
Management of Controlled Drugs (Reasonable Assurance)	JJ	✓								

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Primary & Community Care Pipeline Projects – Aberaeron Integrated Care Centre (Substantial Assurance)	SW	✓								
Cardigan Integrated Care Centre (Reasonable Assurance)	SW	✓								
Withybush General Hospital Refurbishment of Wards 9 & 10 (Reasonable Assurance)	SW	✓								
Data Centre Project (Reasonable Assurance)	SW	✓								
Review of PADR Process (Limited Assurance)	JJ/LG			✓						✓
Integrated Care Fund Follow-up (Reasonable Assurance)	JJ			✓						
Discharge Processes Follow-up (Reasonable Assurance)	JJ			✓						
Preparedness & Compliance with the Nurse Staffing Act (Substantial Assurance)	JJ			✓					✓	
Theatres Directorate (Reasonable Assurance) Update	JJ/JT				✓					
Health & Care Standards (Reasonable Assurance)	JJ				✓					
Savings Planning & CIP (Reasonable Assurance)	JJ				✓					
Budgetary Planning (Reasonable Assurance)	JJ				✓					
Asset Management Systems Briefing Note	JJ				✓					
Quality Assurance & Improvement Programme	SC/JJ					✓				
Annual Quality Statement (Reasonable Assurance)	JJ					✓				

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ARCH (Reasonable Assurance)	JJ					✓				
Environmental Sustainability Reporting	JJ					✓				
Carbon Reduction Commitment	JJ					✓				
WAST Handover of Care at Emergency Departments Follow-up: Health Board Related Recommendations	JJ/JT					✓				
RCP Medical Records Keeping Standards (Reasonable Assurance) Update	JJ/PK						✓			✓
Welsh Language Compliance (Reasonable Assurance)	JJ						✓			
Water Safety Follow-up (Substantial Assurance)	JJ						✓			
Water Safety – Additional Sampling (Limited Assurance)	JJ/JT						✓			
Directorate Review – Estates (Limited Assurance)	JJ/JT						✓			
Patient Access (Substantial Assurance)	JJ							✓		
Server Virtualisation (Substantial Assurance)	JJ							✓		
Welsh Risk Pool Claims (Substantial Assurance)	JJ							✓		
Financial Safeguarding: Design Team Led CRL Projects (Reasonable Assurance)	SW							✓		
Electronic Staff Record (Reasonable Assurance)	JJ							✓		
Departmental IT System - Lillie (Sexual Health) (Reasonable Assurance)	JJ							✓		

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Consultant & SAS Doctors Job Planning (Limited Assurance)	JJ							✓		✓
Financial Safeguarding: Maintenance Team Led Work (Limited Assurance)	SW/AC							✓		
Medical Devices (Reasonable Assurance)	JJ								✓	
Cyber Security (Stratia Report) (Reasonable Assurance)	JJ								✓	
Research & Development Department Governance Review (Limited Assurance)	JJ								✓	
Bronglais General Hospital Directorate Governance Review (Limited Assurance)	JJ								✓	
GGH Women & Children's Development Phase 2	EJ									✓
BGH Front of House Development & Fire Lift – Final Account	EJ									✓
Core Financial Systems	JJ									✓
Variable Pay	JJ									✓
Commissioning and Contracting	JJ									✓
Rostering	JJ									✓
Closure of Actions	JJ									✓
IT Follow-up	JJ									✓
Health & Safety	JJ									✓
Programme Management	JJ									✓
Estates Assurance	EJ									✓
Finance Assurance Framework	JJ									✓
Informatics Projects	EJ									✓
Standards of Behaviour	JJ									✓
Business Continuity	JJ									✓
Mortality Rates	JJ									✓
Nursing Medication Errors	JJ									✓

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Health & Care Standards										
Records Management Follow-up	JJ									✓
Directorate Review – Estates Follow-up	JJ									✓
ASSURANCE AND RISK										
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: <ul style="list-style-type: none"> Royal College of Paediatrics & Child Health (RCPCH) WAO Review of Estates 2016 IA Health & Safety 2016 WAO Follow-up Information Backup, Disaster Recovery and Business Continuity, and Data Quality Update 	PK JT JT KM	✓				✓	✓			✓
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 (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	✓								✓
NHS Counter Fraud Authority Draft SRT Return	CFO									✓
Review the Health Board's	CFO									

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assessment against NHS Protect Qualitative Assessment Reviews*										
FOR INFORMATION										
ARAC Work Programme 2019/20	Chair/JW	✓			✓	✓	✓	✓	✓	✓
ARAC Work Programme 2020/21	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				✓						
NHS Wales Fighting Fraud Strategy						✓				
REVIEW OF THE MEETING										
Reflective Summary of the Meeting	Chair/JW	✓			✓	✓	✓	✓	✓	✓

* To be included on agenda as applicable

Audit Committee Tasks		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
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								✓	