

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	23 Aug 2022	18 Oct 2022	13 Dec 2022	21 Feb 2023	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	✓								
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		✓							
Review Draft/Final Accountability Report, including Annual Governance Statement	JW		✓	✓						

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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	JW		✓							
Scheme of Delegation	JW		✓							
Enhanced Monitoring	SM	✓					✓			✓
All Wales NHS Audit Committee Chairs' Meeting Update	Chair									
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	✓	✓	✓	✓	✓	✓	✓	✓	✓

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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.	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					✓				
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								✓	

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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	✓			✓	✓	✓	✓	✓	✓
Structured Assessment 2021: • Phase 1: Operational Planning Arrangements	Audit Wales				✓					

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• Phase 2: Corporate Governance and Financial Management										
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		✓							
Audit Wales Annual Audit Report 2022	Audit Wales							✓		
NWSSP – AUDIT AND ASSURANCE SERVICES – INTERNAL AUDIT										
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	✓								
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	✓								

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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	✓								
Risk Management & Board Assurance Framework	JJ/JW		✓							
Infection Prevention & Control	JJ/MR		✓							
Nurse Staffing Act	JJ/MR		✓							
Partnership Governance Follow-up	JJ/JP		✓							
Points of Ligature	JJ/AC		✓							
Women & Children's Phase 2	JJ/AC		✓							
Backline Financial Reconciliation System (Briefing Paper)	JJ/HT		✓							
ASSURANCE AND RISK										
Audit Tracker	JW/CB	✓			✓	✓	✓	✓	✓	✓
Risk Management Framework	JW/CB				✓					
Scrutiny of Outstanding Improvement Plans	JW/CB									
Alignment of Committee Workplan to Strategic Objectives	Chair/JW				✓					
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	✓			✓	✓	✓	✓	✓	✓

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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									
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 CB – Charlotte Beare 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 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 RJ – Ros Jervis 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