

## HYWEL DDA UNIVERSITY HEALTH BOARD – AUDIT & RISK ASSURANCE COMMITTEE DRAFT ANNUAL WORK PLAN 2021/22

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	20 April 2021	5 May 2021	10 June 2021	22 June 2021	24 Aug 2021	19 Oct 2021	14 Dec 2021	22 Feb 2022	April 2022
<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	✓			✓			✓	✓	✓
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		✓	✓						
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>20 April 2021</b>	<b>5 May 2021</b>	<b>10 June 2021</b>	<b>22 June 2021</b>	<b>24 Aug 2021</b>	<b>19 Oct 2021</b>	<b>14 Dec 2021</b>	<b>22 Feb 2022</b>	<b>April 2022</b>
Audit Enquiries to those charged with Governance and Management	<b>HT</b>		✓	✓						
Internal Audit: Annual Governance Statement Review	<b>JJ</b>			✓						
Audit Wales ISA 260 incl Letter of Representation	<b>Audit Wales</b>			✓						
Review the Health Board's Annual Report (Overview & Perf Section)	<b>HT</b>		✓	✓						
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>				✓					
Enhanced Monitoring	<b>SM</b>					✓			✓	
Review of the Capital Governance Arrangements	<b>LD</b>					✓	✓			
Review changes to Standing Financial Instructions*	<b>HT</b>							✓		
Annual Review of HDdUHB SOs	<b>JW</b>							✓		
Scheme of Delegation	<b>JW</b>							✓		
Annual Review of TORs/membership	<b>Chair/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 mtg to mtg if issues to raise to Board)	<b>All</b>	✓	✓	✓	✓	✓	✓	✓	✓	✓
Provide assurances through where a significant activity is shared with another organisation (eg NWSSP, EASC, WHSSC)	<b>HT/SM</b>	✓	✓	✓	✓	✓	✓	✓	✓	✓

<b>AGENDA ITEM/ISSUE</b>	<b>LEAD</b>	<b>20 April 2021</b>	<b>5 May 2021</b>	<b>10 June 2021</b>	<b>22 June 2021</b>	<b>24 Aug 2021</b>	<b>19 Oct 2021</b>	<b>14 Dec 2021</b>	<b>22 Feb 2022</b>	<b>April 2022</b>
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	<b>JJ</b>	✓	✓	✓	✓	✓	✓	✓	✓	✓
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.	<b>EJ</b>	✓	✓	✓	✓	✓	✓	✓	✓	✓
<b>FINANCIAL FOCUS</b>										
Review risks and controls around financial management (via Financial Assurance Report)	<b>HT</b>	✓			✓	✓	✓	✓	✓	✓
Receive, for information, UHBs Summary Report on monthly Financial Monitoring Returns to WG	<b>HT</b>	✓			✓	✓	✓	✓	✓	✓
Review Draft/Final Annual Accounts	<b>HT</b>		✓	✓						
Review Annual Summary of STAs	<b>HT</b>				✓					
Receive Post Payment Verification (PPV) report	<b>HT</b>					✓			✓	
Receive PPV annual report	<b>HT</b>					✓				
Receive Primary Care PPV report	<b>JP</b>					✓			✓	
Service Level Agreements – Third Sector Organisations	<b>AC/HT</b>					✓				
NHS Pension Scheme Year End Processing 2021	<b>HT</b>					✓				
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	<b>HT</b>								✓	

<b>AGENDA ITEM/ISSUE</b>	<b>LEAD</b>	<b>20 April 2021</b>	<b>5 May 2021</b>	<b>10 June 2021</b>	<b>22 June 2021</b>	<b>24 Aug 2021</b>	<b>19 Oct 2021</b>	<b>14 Dec 2021</b>	<b>22 Feb 2022</b>	<b>April 2022</b>
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>	✓					✓			✓
<b>AUDIT WALES</b>										
Review External Audit Plan via update reports	<b>Audit Wales</b>	✓			✓	✓	✓	✓	✓	✓
Approve External Audit Strategy & Annual Audit Plan (designed to implement the strategy) & assoc fees	<b>Audit Wales</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>Audit Wales</b>	✓			✓	✓	✓	✓	✓	✓
Consider any Audit Wales National Value for Money Examinations & Performance Reports	<b>Audit Wales</b>	✓			✓	✓	✓	✓	✓	✓

<b>AGENDA ITEM/ISSUE</b>	<b>LEAD</b>	<b>20 April 2021</b>	<b>5 May 2021</b>	<b>10 June 2021</b>	<b>22 June 2021</b>	<b>24 Aug 2021</b>	<b>19 Oct 2021</b>	<b>14 Dec 2021</b>	<b>22 Feb 2022</b>	<b>April 2022</b>
Structured Assessment 2021: <ul style="list-style-type: none"> <li>Phase 1: Operational Planning Arrangements</li> <li>Phase 2: Corporate Governance and Financial Management</li> </ul>	<b>Audit Wales</b>				✓	✓		✓	✓	
Receive the Auditor's General report to those charged with governance (Year-end)	<b>Audit Wales</b>		✓							
Test, Trace, Protect	<b>Audit Wales/ AS/RJ</b>	✓								
Procuring & Supplying PPE for the COVID-19 Pandemic	<b>Audit Wales/ MR/HT</b>				✓					
COVID-19 Vaccination Rollout	<b>Audit Wales/RJ</b>				✓					
WHSSC Governance Arrangements	<b>Audit Wales/SM</b>					✓				
HDdUHB Quality Governance Arrangements	<b>Audit Wales/MR</b>						✓			
Orthopaedic Services Follow-up	<b>Audit Wales/AC</b>							✓		
Review of Sustainable Use of RTT Monies	<b>Audit Wales/AC</b>							✓		
Supporting Staff Wellbeing during COVID-19	<b>Audit Wales/LG</b>							✓		
Audit Wales Annual Audit Report 2021	<b>Audit Wales</b>							✓		
<b>NWSSP – AUDIT AND ASSURANCE SERVICES – INTERNAL AUDIT</b>										
Internal Audit: Audit Plan Progress Report	<b>JJ</b>	✓	✓	✓	✓	✓	✓	✓	✓	✓

<b>AGENDA ITEM/ISSUE</b>	<b>LEAD</b>	<b>20 April 2021</b>	<b>5 May 2021</b>	<b>10 June 2021</b>	<b>22 June 2021</b>	<b>24 Aug 2021</b>	<b>19 Oct 2021</b>	<b>14 Dec 2021</b>	<b>22 Feb 2022</b>	<b>April 2022</b>
Review and approve Annual Internal Audit Plan	<b>JJ</b>	✓								✓
Review of Internal Audit Reports including results & the adequacy of executive & management responses to any issues identified and ensuring that they are acted upon	<b>JJ</b>	✓	✓	✓	✓	✓	✓	✓	✓	✓
Review and approve Internal Audit terms of reference (charter) and the effectiveness of internal audit	<b>JJ</b>	✓								
COVID-19 Vaccination Programme (Advisory Review)	<b>JJ/RJ</b>	✓								
Patient Experience (Reasonable Assurance)	<b>JJ/MR</b>	✓								
Management of Fire Enforcement Notices (Substantial Assurance)	<b>JJ/AC</b>	✓								
BGH Front of House – Final Account (Non-opinion Review)	<b>EJ/AC/HT</b>	✓								
Women & Children's Phase 2 (Limited Assurance)	<b>EJ/AC/HT</b>		✓							
Health & Safety (Reasonable Assurance)	<b>JJ/MR</b>		✓							
Digital Modelling (Substantial Assurance)	<b>JJ/HT</b>		✓							
WGH Palliative Care, Oncology and Haematology Inpatient Facility (Wards 9 & 10) (Advisory Review)	<b>EJ/AC/HT</b>			✓						
COVID-19 Governance Update (Advisory Review)	<b>JJ/JW</b>			✓						
Brexit Risks and Actions (Adv Review)	<b>JJ/HT</b>			✓						
Local Deployment of Welsh Immunisation System (WIS) (Reasonable Assurance)	<b>JJ/HT</b>			✓						

<b>AGENDA ITEM/ISSUE</b>	<b>LEAD</b>	<b>20 April 2021</b>	<b>5 May 2021</b>	<b>10 June 2021</b>	<b>22 June 2021</b>	<b>24 Aug 2021</b>	<b>19 Oct 2021</b>	<b>14 Dec 2021</b>	<b>22 Feb 2022</b>	<b>April 2022</b>
Radiology Directorate (Reasonable Assurance) Update	<b>AC</b>					✓				
Field Hospital Decommissioning (Advisory Review)	<b>JJ/HT/AC</b>					✓				
Welsh Language Standards (Limited Assurance)	<b>JJ/SM</b>					✓				
Human Tissue Act (HTA) Compliance (Reasonable Assurance)	<b>JJ/PK</b>					✓				
Use of Consultancy (Limited Assurance)	<b>JJ/HT</b>					✓				
Single Tender Actions (Reasonable Assurance)	<b>JJ/HT</b>					✓				
RCP Medical Records Keeping Standards Update	<b>PK</b>						✓			
Discharge Processes Review	<b>JJ/AC/JP</b>						✓			
Women and Child Health Directorate Governance Review (Reasonable Assurance)	<b>JJ/AC</b>						✓			
Medical Staff Recruitment (Reasonable Assurance)	<b>JJ/AC</b>						✓			
Waiting Lists Risk Management (Reasonable Assurance)	<b>JJ/AC</b>						✓			
PPH Directorate Governance Review (Reasonable Assurance)	<b>JJ/AC</b>						✓			
Mental Health and Learning Disabilities Directorate Governance Review (Reasonable Assurance)	<b>JJ/AC</b>						✓			
Annual Recovery Plan and Planning Objectives (Reasonable Assurance)	<b>JJ/LD</b>						✓			
Mental Health Patient Administration System	<b>JJ/HT</b>							✓		
Therapies Directorate Governance Review	<b>JJ/AS</b>							✓		

<b>AGENDA ITEM/ISSUE</b>	<b>LEAD</b>	<b>20 April 2021</b>	<b>5 May 2021</b>	<b>10 June 2021</b>	<b>22 June 2021</b>	<b>24 Aug 2021</b>	<b>19 Oct 2021</b>	<b>14 Dec 2021</b>	<b>22 Feb 2022</b>	<b>April 2022</b>
Corporate Governance	JJ/JW							✓		
Non Clinical Agency Spend	JJ/							✓		
Quality & Safety Governance Framework	JJ/MR							✓		
Financial Planning, Reporting and Monitoring	JJ/HT							✓		
Performance Reporting and Monitoring	JJ/HT							✓		
Commissioning	JJ/HT							✓		
IT Back Up Arrangements	JJ/HT							✓		
Workforce Planning	JJ/LG							✓		
Records Management	JJ/AC								✓	
Clinical Audit	JJ/MR								✓	
Falls	JJ/MR								✓	
IT Infrastructure	JJ/HT								✓	
Primary Care Clusters	JJ/JP								✓	
Continuing Health Care / Long Term Care Pathway	JJ/JP								✓	
Organisational Values & Staff Wellbeing	JJ/LG								✓	
Waste Management	JJ/AC								✓	
Infection Prevention & Control	JJ/MR									✓
Risk Management & Board Assurance Framework	JJ/JW									✓
The Security of Network & Information Systems (NIS) Regulations	JJ/HT									✓
Public Health	JJ/RJ									✓
Partnership Governance	JJ/JP									✓
Consultants Job Planning	JJ/PK									✓
Decarbonisation	JJ/AC									✓
Women & Children Phase II	JJ/AC									✓
Restart of Elective Work/Planned Recovery	JJ/AC									✓



<b>AGENDA ITEM/ISSUE</b>	<b>LEAD</b>	<b>20 April 2021</b>	<b>5 May 2021</b>	<b>10 June 2021</b>	<b>22 June 2021</b>	<b>24 Aug 2021</b>	<b>19 Oct 2021</b>	<b>14 Dec 2021</b>	<b>22 Feb 2022</b>	<b>April 2022</b>
<b>ASSURANCE AND RISK</b>										
Review of committees' effectiveness and compliance with TOR	<b>Executive Lead</b>	✓ CFC Fin C			✓ PPPAC	✓ HSAC	✓ QSEAC		✓ MHLAC	✓ CFC Fin C
Audit Tracker	<b>JW/CB</b>	✓			✓	✓	✓	✓	✓	✓
Scrutiny of Outstanding Improvement Plans	<b>JW/CB</b>	✓								
Planning Objectives Update	<b>Chair/JW</b>						✓	✓	✓	✓
<b>COUNTER FRAUD</b>										
Review work plan & results from Counter Fraud activities, including anti fraud policies, etc.	<b>CFO</b>	✓			✓	✓	✓	✓	✓	✓
To provide an update on the cases highlighted as part of the counter fraud update report (In-Committee)	<b>CFO</b>	✓			✓	✓	✓	✓	✓	✓
Review and approve Counter Fraud Annual Report	<b>CFO</b>	✓								✓
Review and approve annual forward work plan for Counter Fraud activities	<b>CFO</b>	✓								✓
NHS Counter Fraud Authority SRT Return	<b>CFO</b>	✓			✓					✓
Annual Review of Requisitions (IC)	<b>CFO</b>							✓		
Review the Health Board's assessment against NHS Protect Qualitative Assessment Reviews*	<b>CFO</b>									
<b>FOR INFORMATION</b>										
ARAC Work Programme 2021/22	<b>Chair</b>	✓			✓	✓	✓	✓	✓	✓
Audit Wales: An Overview of Quality Governance Arrangements at Cwm Taf UHB: Progress Made against Recommendations					✓					
HIW Inspection Information Leaflet: Frontline Services					✓					

AGENDA ITEM/ISSUE	LEAD	20 April 2021	5 May 2021	10 June 2021	22 June 2021	24 Aug 2021	19 Oct 2021	14 Dec 2021	22 Feb 2022	April 2022
PPV Progress Report							✓			
National Internal Audit Reports (Limited Assurance)										
<b>REVIEW OF THE MEETING</b>										
Reflective Summary of the Meeting	<b>Chair/JW</b>	✓			✓	✓	✓	✓	✓	✓

\* To be included on agenda as applicable

Initials

<b>AC – Andrew Carruthers</b> <b>AG – Alison Gittins</b> <b>AS – Alison Shakeshaft</b> <b>CB – Charlotte Beare</b> <b>CFO – Counter Fraud Officer</b> <b>CSO – Committee Services Officer</b> <b>EDs – Executive Directors</b> <b>EJ – Eifion Jones</b> <b>HIW – Healthcare Inspectorate Wales</b>	<b>HT – Huw Thomas</b> <b>IMs – Independent Board Members</b> <b>JJ – James Johns</b> <b>JP – Jill Paterson</b> <b>JPJ – Jenny Pugh-Jones</b> <b>JW – Joanne Wilson</b> <b>KJ – Keith Jones</b> <b>LC – Liz Carroll</b> <b>LD – Lee Davies</b>	<b>LO’C – Louise O’Connor</b> <b>LG – Lisa Gostling</b> <b>MR – Mandy Rayani</b> <b>NLI – Nicola Llewellyn</b> <b>PK – Philip Kloer</b> <b>RE – Rob Elliott</b> <b>RJ – Ros Jervis</b> <b>SM – Steve Moore</b> <b>TP – Tracy Price</b>
--	--	--

<b>Audit Committee Tasks</b>		<b>20 April 2021</b>	<b>5 May 2021</b>	<b>10 June 2021</b>	<b>22 June 2021</b>	<b>24 Aug 2021</b>	<b>19 Oct 2021</b>	<b>14 Dec 2021</b>	<b>22 Feb 2022</b>	<b>April 2022</b>
Prepare Schedule of meeting dates	<b>JW/AG</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>								✓	