

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
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	✓			✓			✓		✓
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		✓	✓						

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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		✓							
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				✓					
Enhanced Monitoring	SM					✓			✓	
Review of the Capital Governance Arrangements	LD					✓	✓	✓		
All Wales NHS Audit Committee Chairs' Meeting Update	Chair							✓	✓	
Cost Advisor Review from Field Hospitals	HT							✓		
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					✓			✓	
Service Level Agreements – Third Sector Organisations	AC/HT					✓				
NHS Pension Scheme Year End Processing 2021	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	✓					✓			✓
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	✓			✓	✓	✓	✓	✓	✓

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Consider any Audit Wales National Value for Money Examinations & Performance Reports	Audit Wales	✓			✓	✓	✓	✓	✓	✓
Structured Assessment 2021: <ul style="list-style-type: none"> Phase 1: Operational Planning Arrangements Phase 2: Corporate Governance and Financial Management 	Audit Wales				✓	✓		✓		✓
Receive the Auditor's General report to those charged with governance (Year-end)	Audit Wales		✓							
Test, Trace, Protect	Audit Wales/ AS/RJ	✓								
Procuring & Supplying PPE for the COVID-19 Pandemic	Audit Wales/ MR/HT				✓					
COVID-19 Vaccination Rollout	Audit Wales/RJ				✓					
WHSSC Governance Arrangements	Audit Wales/SM					✓			✓	
HDdUHB Quality Governance Arrangements	Audit Wales/MR						✓			
Taking Care of the Carers? How NHS bodies supported staff wellbeing during the COVID-19 pandemic	Audit Wales/LG							✓		
Care Home Commissioning for Older People	Audit Wales								✓	
Orthopaedic Services Follow-up	Audit Wales/AC									✓
Review of Sustainable Use of RTT Monies	Audit Wales/AC									✓

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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	✓								
COVID-19 Vaccination Programme (Advisory Review)	JJ/RJ	✓								
Patient Experience (Reasonable Assurance)	JJ/MR	✓								
Management of Fire Enforcement Notices (Substantial Assurance)	JJ/AC	✓								
BGH Front of House – Final Account (Non-opinion Review)	EJ/AC/HT	✓								
Women & Children’s Phase 2 (Limited Assurance)	EJ/AC/HT		✓							
Health & Safety (Reasonable Assurance)	JJ/MR		✓							
Digital Modelling (Substantial Assurance)	JJ/HT		✓							
WGH Palliative Care, Oncology and Haematology Inpatient Facility (Wards 9 & 10) (Advisory Review)	EJ/AC/HT			✓						
COVID-19 Governance Update (Advisory Review)	JJ/JW			✓						
Brexit Risks and Actions (Adv Review)	JJ/HT			✓						

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Local Deployment of Welsh Immunisation System (WIS) (Reasonable Assurance)	JJ/HT			✓						
Radiology Directorate (Reasonable Assurance) Update	AC					✓				✓
Field Hospital Decommissioning (Advisory Review)	JJ/HT/AC					✓				
Welsh Language Standards (Limited Assurance)	JJ/SM					✓				
Human Tissue Act (HTA) Compliance (Reasonable Assurance)	JJ/PK					✓				
Use of Consultancy (Limited Assurance)	JJ/HT					✓				
Single Tender Actions (Reasonable Assurance)	JJ/HT					✓				
RCP Medical Records Keeping Standards Update	PK						✓			✓
Discharge Processes Review	JJ/AC/JP						✓			
Women and Child Health Directorate Governance Review (Reasonable Assurance)	JJ/AC						✓			
Medical Staff Recruitment (Reasonable Assurance)	JJ/AC						✓			
Waiting Lists Risk Management (Reasonable Assurance)	JJ/AC						✓			
PPH Directorate Governance Review (Reasonable Assurance)	JJ/AC						✓			
Mental Health and Learning Disabilities Directorate Governance Review (Reasonable Assurance)	JJ/AC						✓			
Annual Recovery Plan and Planning Objectives (Reasonable Assurance)	JJ/LD						✓			

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Deployment of WPAS into MHL D (Limited Assurance)	JJ/HT							✓		
Therapies Directorate Governance Review (Reasonable Assurance)	JJ/AS							✓		
Financial Planning, Monitoring and Reporting (Reasonable Assurance)	JJ/HT							✓		
IT Back Up Arrangements (Substantial Assurance)	JJ/HT							✓		
Nurse Bank Overpayments Briefing Paper	JJ/HT								✓	
Deployment of WPAS into MHL D Follow-up (Reasonable Assurance)	JJ/HT								✓	
Use of Consultancy (Reasonable Assurance)	JJ/HT								✓	
Waste Management (Reasonable Assurance)	JJ/AC								✓	
Records Management Briefing Paper	JJ/AC								✓	
Field Hospital Lessons Learned	AC								✓	
Workforce Planning	JJ/LG									✓
Non-clinical Temporary Staff/Agency Spend	JJ/LG									✓
TriTech	JJ/PK									✓
Performance Reporting and Monitoring	JJ/HT									✓
Primary Care Clusters	JJ/JP									✓
Organisational Values & Staff Wellbeing	JJ/LG									✓
The Security of Network & Information Systems (NIS) Regulations	JJ/HT									✓
Nurse Staffing Act	JJ/MR									✓

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ASSURANCE AND RISK										
Review of committees' effectiveness and compliance with TOR	Executive Lead	✓ CFC Fin C			✓ PPPAC	✓ HSAC	✓ QSEAC		✓ MHLAC	✓ CFC Fin C
Audit Tracker	JW/CB	✓			✓	✓	✓	✓	✓	✓
Scrutiny of Outstanding Improvement Plans	JW/CB	✓								✓
Planning Objectives Update	Chair/JW						✓	✓	✓	✓
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	✓			✓	✓	✓	✓	✓	✓
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 2021/22	Chair	✓			✓	✓	✓	✓	✓	✓
Audit Wales Reports: • An Overview of Quality Gov Arr at Cwm Taf UHB: Progress Made against Recommendations					✓					

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<ul style="list-style-type: none"> NWSSP Management Letter Nationally Hosted NHS IT Systems 								✓		
National Internal Audit Reports: <ul style="list-style-type: none"> Control of Contractors Fire Safety Water Management Quality Assurance & Improvement Programme 2020/21 								✓		
Healthcare Inspectorate Wales (HIW): <ul style="list-style-type: none"> Inspection Information Leaflet: Frontline Services Update regarding Approach to Quality Checks and On-site Inspections Activity Update 					✓			✓		
PPV Progress Report							✓			
REVIEW OF THE MEETING										
Reflective Summary of the Meeting	Chair/JW	✓				✓	✓	✓	✓	✓

* To be included on agenda as applicable

Initials

AC – Andrew Carruthers AG – Alison Gittins 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		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
Prepare Schedule of meeting dates	JW/AG							✓		
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 on 17 March 2022