

HYWEL DDA UNIVERSITY HEALTH BOARD – AUDIT & RISK ASSURANCE COMMITTEE DRAFT ANNUAL WORK PLAN 2023/24

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	18 April 2023	11 May 2023	20 June 2023	26 July 2023	15 Aug 2023	17 Oct 2023	12 Dec 2023	22 Feb 2024	April 2024
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	✓								✓
Escalation Status Update	SM/SMJ	✓		✓		✓	✓	✓	✓	✓
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 assoc op (incl Capital/PFI)	JJ		✓	✓						

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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 Orders & Standing Financial Instructions*	HT			✓			✓			
Annual Review of SOs and SFIs	JW			✓						
Scheme of Delegation	JW	✓				✓				
All Wales NHS Audit Committee Chairs' Meeting Update	Chair			✓			✓			
Contract and Procurement Processes – Governance	JW							✓		
Annual Review of TORs/membership	Chair/JW	✓								
Execution of the Contract for the Construction of the Day Surgery Unit, PPH				✓						
Review of any other sources of external assurance to ensure approp planning & coordination and that the Board is informed accordingly of any issues relating to compliance, risks of non-compliance & recommendations	All	✓	✓	✓	✓	✓	✓	✓	✓	✓
Provide assurances through where a significant activity is shared with another organisation (eg NWSSP, EASC, WHSSC)	HT/SM	✓	✓	✓	✓	✓	✓	✓	✓	✓

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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								✓	
Review of Schedule of Losses & Compensation*	HT									

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Receive reports which record the basis of decisions where the HB awards additional funding to contractors outside the terms of the contract *	HT									
Carers Services Commissioned with Non-recurrent Grant Funding	LG	✓								
IMCA Services Single Tender Action	JP			✓						
Report on Non-Clinical Temporary Staff/Agency Spend and Numbers	HT/LG								✓	
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	✓		✓		✓	✓	✓	✓	✓

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Structured Assessment 2022 Management Response Update	Audit Wales/JW			✓			D			
Structured Assessment 2023	Audit Wales							✓	✓	
Receive the Auditor's General report to those charged with governance (Year-end)	Audit Wales		✓							
Review of Operational Governance Arrangements - MHLD	Audit Wales/AC	✓							✓	
Orthopaedic Services Review (Nat and Local AW Reports and GIRFT Orthopaedics Report)	Audit Wales/AC	D		✓						
Workforce Planning	Audit Wales/LG	D		D		✓				
Review of Unscheduled Care	Audit Wales/AC			D		D	D	D	✓	
Follow-up Review of Primary Care	Audit Wales/JP			D		D	D	✓	✓	
Review of operational governance arrangements across service directorates	Audit Wales/AC									
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	✓								

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RCP Medical Records Keeping Standards Update	PK	✓								
Strategic Governance Update & Savings Governance Review	JW/HT/LD					✓				
Safety Indicators – Pressure Damage & Medication Errors (Reasonable Assurance)	JJ/MR	✓								
Patient Experience (Reasonable Assurance)	JJ/MR	✓								
Fitness for Digital (Advisory Review)	JJ/HT	✓								
Job Planning (Limited Assurance)	JJ/PK	D	✓							
Service Reset and Recovery (Reasonable Assurance)	JJ/AC	D	✓							
WGH Fire Precautions Phase 1 (Reasonable Assurance)	JJ/AC	D	✓							
Regional Integrated Fund (Reasonable Assurance)	JJ/JP	D	✓							
Lessons Learned (Reasonable Assurance)	JJ/MR	D	D	✓						
Agency Nursing & Rostering (Reasonable Assurance)	JJ/LG	D	D	✓						
Records Digitalisation (Limited Assurance)	JJ/HT	D	✓	✓						
Strategic Transformation Programme Governance (Limited Assurance)	JJ/HT	D	D	✓						
Financial Management (Reasonable Assurance)	JJ/HT	D	D	✓						
Theatre Loan Trays & Consumables (Limited Assurance)	JJ/AC		D	✓						
Escalation Status Actions (Reasonable Assurance)	JJ/SM/JW					✓				
NICE Guidance (Limited Assurance)	JJ/PK					D	✓			

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Quality & Safety Governance BGH (Limited Assurance)	JJ/MR/AC					D	✓	✓		
Board Oversight (Substantial Assurance)	JJ/SM/JW						✓			
Deprivation of Liberty Safeguards (Reasonable Assurance)	JJ/AC/JP						✓	✓		
MHLD Service - Timely Access (Reasonable Assurance)	JJ/AC						✓			
Sealing of Contracts (Advisory Review)	JJ/JW						✓			
Locum Medical Staff	JJ/PK						R			
Estates Condition (Limited Assurance)	JJ/AC						D	✓		
Strategic Programme Governance Follow-up (Reasonable Assurance)	JJ/LD/HT							✓		
Technical Resilience (Reasonable Assurance)	JJ/HT							✓		
Workforce Strategies - Site Stabilisation	JJ/LG							R		
Decarbonisation	JJ/LD							D	✓	
Cross Hands Health & Wellbeing Centre								D	✓	
Emergency Planning	JJ/AG						D		✓	
Transforming Urgent & Emergency Care (TUEC)	JJ/AC								✓	
Agency/Rostering	JJ/LG								✓	
Financial Savings & Financial Control	JJ/HT								✓	
Cleanliness/Cleaning Standards	JJ/AC								✓	
Elective Waiting List Management	JJ/AC								✓	
Theatre Trays & Loans Follow-up	JJ/AC								✓	
Major Programme/Project Provision	JJ/LD								✓	
GGH Fire Enforcement (BJC1)									✓	
WGH RAAC Internal Major Incident	JJ/AC								✓	
NICE Guidance Follow-up	JJ/PK								✓	

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Quality & Safety Governance BGH Follow-up	JJ/MR/AC								✓	
Accelerated Cluster Development	JJ/AC/JP									✓
Quality & Safety - New Quality Standards	JJ/MR									✓
Discharge Management	JJ/AC									✓
MHLD DWP - Patients Affairs and Monies	JJ/AC									✓
Records Digitalisation Follow-up	JJ/AC									✓
Job Planning Follow-up	JJ/PK									✓
DEEP DIVE										
Ophthalmology	AC/CH	✓						✓		
ASSURANCE AND RISK										
Audit Tracker	JW/CW	✓		✓		✓	✓	✓	✓	✓
Risk Assurance Report	JW/CW					✓				
Scrutiny of Outstanding Improvement Plans	JW/CW									
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 CF Authority SRT Return	CFO	✓								✓
Annual Review of Requisitions	CFO								✓	
Review the Health Board's assessment against NHS Protect Qualitative Assessment Reviews*	CFO									

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FOR INFORMATION										
ARAC Work Programme 2023/24	Chair	✓		✓		✓	✓	✓	✓	✓
Auditor General Forward Programme 2023-2026				✓						
National Internal Audit Reports										
REVIEW OF THE MEETING										
Matters & Risks for Escalation to the Board	Chair/JW	✓		✓		✓	✓	✓	✓	✓

* To be included on agenda as applicable

Initials

AC – Andrew Carruthers AG – Ardiana Gjini AS – Alison Shakeshaft CH – Carly Hill CW – Charlotte Wilmshurst 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 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 SM – Steve Moore SMJ – Sian-Marie James TP – Tracy Price
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Audit Committee Tasks		18 April 2023	11 May 2023	20 June 2023	26 July 2023	15 Aug 2023	17 Oct 2023	12 Dec 2023	22 Feb 2024	April 2024
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