

Audit and Corporate Governance Committee Annual Work Plan for 2022/23

Category	Item	Role of Committee	Exec Lead	May	June	Sept	Jan	March	
Annual Financial & Governance Statements	Accountability Report 2021/22	To consider the report in draft form in May, prior to submission to AW To recommend the final version to the Board for approval in June.	Board Secretary and Head of Board Business Unit	✓					
	Annual Financial Statements and Accounts 2021/22	To consider in draft form in May, prior to submission to AW To recommend the final version to the Board for approval in June.	Deputy Chief Executive, Executive Director Operations and Finance	✓					
	Annual Accounts & Accountability Report Timetable 2022/23	For assurance that the Trust has an appropriate plan in place for the production of the Financial Statements and Accountability Report for 2022/23, in line with the statutory deadlines.					✓		
Governance & Accountability	Standing Orders	For recommendation to Board on any proposed changes to Sos.	Board Secretary and Head of Board Business Unit					✓	
	Scheme of Delegation	For recommendation to Board on any proposed changes to SoDs.						✓	
	Declarations of Interest, Gifts & Hospitality Register Bi-Annual Update	For assurance on the implementation of the Standards of Behaviour Policy and the Declarations of Interest, Gifts, Hospitality and Sponsorship Procedure					✓		✓
	Welsh Health Circulate Bi-Annual Update	For assurance on the process for recording and monitoring the organisations compliance with Welsh Health Circulars.					✓		✓
	Summary of policies Bi-Annual Update	For assurance on the prioritisation and progress being made to review policies, procedures and other written control documents within the remit of the Committee. and to approve any policies and procedures proposed to be removed from the register.					✓		✓
	ACG Committee Annual Report	For recommendation to Board, to provide assurance that the Committee is fulfilling its terms of reference.			✓				
	Review of Committee Effectiveness	As part of the overall Board and Committee Performance and Effectiveness review, the Committee will consider the outcomes of the Committee effectiveness survey, and identify any areas of improvement for the following year.			✓			✓	
	Committee Terms of Reference Review	For recommendation to Board on any proposed changes to the Committee's Terms of reference. This is required annually under standing orders.			✓				
Committee Work Plan	For information, and for assurance that the Committee is fulfilling its terms of reference.		✓		✓	✓	✓		
Finance and Procurement	Losses and Special Payments Report	For assurance that all losses and special payments have been made in accordance with the requirements of the Standing Financial Instructions. Reporting to Committee is required under the SFIs.	Deputy Chief Executive, Executive Director Operations and Finance	✓		✓	✓	✓	
	Procurement Report	For assurance that all procurement activity is in accordance with the requirements of the Standing Financial Instructions. Reporting to Committee is required under the SFIs		✓		✓	✓	✓	
	Review of Potential Debt Write Offs	Annual item to request approval from the Committee for write off of debts					✓		
	Thematic Deep Dive: Maximising our Resources for the Greatest Value	For assurance of how the organisation is ensuring the efficiency, effectiveness and economic use of resources					✓		
Counter Fraud	Counter Fraud Progress Report	Quarterly update on Counter Fraud activity for assurance.	Deputy Chief Executive, Executive Director Operations and Finance	✓		✓	✓	✓	
	Counter Fraud Annual Report 2022/23	For assurance of an effective counter fraud service that meets the standards set for the provision of counter fraud, as set out in National Assembly for Wales Directions and as required by the Counter Fraud and Security Management Service arrangements						✓	
	Counter Fraud Work Plan 2023/24	to set out the planned work to be undertake by Counter Fraud for 2023/24						✓	
	Thematic Deep Dive: Counter Fraud	A deep dive for assurance, including an update on counter fraud activity.						✓	
Cyber Security	Cyber Security Deep Dive	A deep dive for assurance, including the outcome of the NIS Audit national review and an update on the cyber work plan.	Deputy Chief Executive, Executive Director Operations and Finance			✓			
	Cyber Security Update	For assurance on the safety and security of the information collected and used by the organisation, and an update on the cyber work plan.						✓	
Managing Risk	Strategic Risk	For assurance that risks of organisation are management appropriately	Executive Director Quality, Nursing and Allied Health Professionals			✓	✓		
	Corporate Risk Register	For assurance that risks of organisation are management appropriately				✓	✓	✓	
	Annual Review of Risk Framework	For assurance on the effectiveness of the overall system for risk management (system for internal control) and the management of Strategic and Corporate risks within the organisation.		✓		✓			
Joint Working Arrangements	Joint Working Framework	For assurance on the progress being made to ensure that all memoranda and agreements are being developed in line with the Joint Working Framework.	Board Secretary and Head of Board Business Unit			✓			
	NHS Wales Health Collaborative Annual Assurance Statement	For assurance on compliance with the hosting agreement (required within the hosting agreement)	Deputy Chief Executive, Executive Director Operations and Finance					✓	
	Finance Delivery Unit Annual Assurance Statement							✓	

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Information Governance	Information Governance Quarterly Reports	For assurance that the Information Governance Management System is working effective	Executive Director Quality, Nursing and Allied Health Professionals			Q4 Q1	Q2	Q3
Audit	Audit Action Log	Oversight of the log, fore assurance on progress and timeliness of the implementation of actions identified through audit activity.	Board Secretary and Head of Board Business Unit			✓		✓
	Head of Internal Audit Opinion and Annual Report 2021/22	An annual assurance opinion, to contribute to the assurances available to the Chief Executive as Accountable Officer and the Board which underpin the Board's own assessment of the effectiveness of the system of internal control.	Head of Internal Audit / Board Secretary and Head of Board Business Unit	✓	✓			
	Internal Audit Progress Report	To provide the Committee with an update with the current and planned internal Audit work, and relevant progress with the Internal Audit Work Plan.		✓		✓	✓	✓
	Audit Wales Progress Report	To provide the Committee with an update on current and planned Audit Wales work		✓		✓	✓	✓
	Internal Audit Reports	ACGC receives all final reports following audit reviews, including the results of internal and external audit, for assurance on the adequacy of executive and managements response to issues identified by audit, inspection and other assurance activity, and to have oversight of the implementation of actions resulting from such reviews. Refer Audit Activity Plan for full details of planned activity for 2022/23.	Head of Internal Audit / Board Secretary and Head of Board Business Unit	✓	✓	✓	✓	✓
	Internal Audit Work Plan 2022/23	For approval of the Internal audit planned activity for 2023/24. The report details the audits to be undertaken and an analysis of the corresponding resources, and the Internal Audit Charter which defines the over-arching purpose, authority and responsibility of Internal Audit and the Key Performance Indicators for the service.					✓	✓
	Audit Wales: Annual Audit Report 2021/22	For assurance as part of the Committee's consideration of the Annual Financial Statements and Accounts, and accountability Report.	Audit Wales			✓		✓
	Annual Opinion (ISA 260)	For assurance as part of the Committee's consideration of the Annual Financial Statements and Accounts, and accountability Report.			✓			
	Audit Wales Progress Report	To provide the Committee with an update on current and planned Audit Wales work		✓		✓	✓	✓
	Audit Wales Work Plan 2023	To set out the planned work to be undertake by Audit Wales during 2022 to discharge statutory responsibilities as PHW's external auditor and to fulfil AW's obligations under the Code of Audit Practice.		✓				✓
	External Audit Reports	ACGC receives all final reports following audit reviews, including the results of internal and external audit, for assurance on the adequacy of executive and managements response to issues identified by audit, inspection and other assurance activity, and to have oversight of the implementation of actions resulting from such reviews. Refer Audit Activity Plan for full details of planned activity for 2022/23.		✓	✓	✓	✓	✓
	Quality and Clinical Audit Plan 2022/23	For assurance on the overall system in place for clinical audit to ensure that there is an effective clinical audit function. **The Quality, Safety and Improvement Committee will seek more detail on the clinical outcomes and improvements made as a result of clinical audit	Executive Director Quality, Nursing and Allied Health Professionals	✓		✓		