

## Audit and Corporate Governance Committee Work Plan 2023 - 24

Category	Item	Exec Lead	10 May 23	12 July 23	19 September 23	16 January 24	19 March 24	Role of Committee
<b>Annual Financial &amp; Governance Statements</b>	Accountability Report 2022/23	Board Secretary and Head of Board Business Unit	✓					To consider the report in draft form in May, prior to submission to AW
		Board Secretary and Head of Board Business Unit		✓				To recommend the final version to the Board for approval in June.
	Annual Financial Statements and Accounts 2022/23	Deputy Chief Executive, Executive Director Operations and Finance	✓					To consider the accounts in draft
		Deputy Chief Executive, Executive Director Operations and Finance			✓			To recommend the final version to the Board for approval in June.
	Annual Accounts & Accountability Report Timetable 2023/24	Deputy Chief Executive, Executive Director Operations and Finance				✓		For assurance that the Trust has an appropriate plan in place for the production of the Financial Statements and Accountability Report for 202/24, in line with the statutory deadlines.
<b>Governance &amp; Accountability</b>	Standing Orders / and Scheme of Delegation	Board Secretary and Head of Board Business Unit					✓	For recommendation to Board on any proposed changes to Sos/ SoD.
	Declarations of Interest, Gifts & Hospitality Register Bi-Annual Update	Board Secretary and Head of Board Business Unit			✓		✓	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	Board Secretary and Head of Board Business Unit			✓		✓	For assurance on the process for recording and monitoring the organisations compliance with Welsh Health Circulars.
	Summary of policies Bi-Annual Update	Board Secretary and Head of Board Business Unit			✓		✓	For assurance on the prioritisation and progress being made to review policies, procedures and other written control documents within the remit of the Committee. Also to approve any policies and procedures proposed to be removed from the register.
	Compliance with the Code of Governance Self Assessment	Board Secretary and Head of Board Business Unit					✓	For assurance on Public Health Wales' compliance with Corporate Governance in Central Governance Departments: Code of Practice 2017.
	ACGC Committee Annual Report	Board Secretary and Head of Board Business Unit					✓	For recommendation to Board, to provide assurance that the Committee is fulfilling its terms of reference.
	Review of Committee Effectiveness	Board Secretary and Head of Board Business Unit					✓	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	Board Secretary and Head of Board Business Unit					✓	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	Board Secretary and Head of Board Business Unit	✓		✓	✓	✓	For information, and for assurance that the Committee is fulfilling its terms of reference.
<b>Finance and Procurement</b>	Losses and Special Payments Report	Deputy Chief Executive, Executive Director Operations and Finance	✓		✓	✓	✓	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.
	Procurement Report	Deputy Chief Executive, Executive Director Operations and Finance	✓		✓	✓	✓	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	Deputy Chief Executive, Executive Director Operations and Finance				✓		Annual item to request approval from the Committee for write off of debts
<b>Counter Fraud</b>	Counter Fraud Progress Report	Deputy Chief Executive, Executive Director Operations and Finance	Q4		✓	✓	✓	Quarterly update on Counter Fraud activity for assurance.
	Counter Fraud Annual Report	Deputy Chief Executive, Executive Director Operations and Finance	2023-24				2024-25	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

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Counter Fraud	Counter Fraud Work Plan	Deputy Chief Executive, Executive Director Operations and Finance	2023-24				2024-25	to set out the planned work to be undertake by Counter Fraud for 2023/24
	PHW Counter Fraud Arrangements	Deputy Chief Executive, Executive Director Operations and Finance	✓					
Cyber Security	Cyber Security Update	Deputy Chief Executive, Executive Director Operations and Finance			✓	✓	✓	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	Executive Director Quality, Nursing and Allied Health Professionals	✓		✓	✓	✓	For assurance that risks of organisation are management appropriately
	Corporate Risk Register	Executive Director Quality, Nursing and Allied Health Professionals	✓			✓		For assurance that risks of organisation are management appropriately
	Risk Development Plan Update	Executive Director Quality, Nursing and Allied Health Professionals			✓			For assurance that risks of organisation are management appropriately 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.
	Annual Review of Risk Framework	Executive Director Quality, Nursing and Allied Health Professionals	✓					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	Board Secretary and Head of Board Business Unit			✓	✓		For assurance on the progress being made to ensure that all memoranda and agreements are being developed in line with the Joint Working Framework.
	NHS Executive Annual Assurance Statement	Deputy Chief Executive, Executive Director Operations and Finance					✓	For assurance on compliance with the hosting agreement (required within the hosting agreement)
	Finance Delivery Unit Annual Assurance Statement	Deputy Chief Executive, Executive Director Operations and Finance	✓					
Information Governance	Information Governance Quarterly Reports	Executive Director Quality, Nursing and Allied Health Professionals			Q4 Q1	Q1 Q2	Q3	For assurance that the Information Governance Management System is working effectively.
	Data Breaches -Update on Action Plan	Executive Director Quality, Nursing and Allied Health Professionals			✓			For assurance and oversight of the learning from data breaches being taken forward within the organisation. (Remitted from Board 26 May 2022)_
	Audit Action Log	Board Secretary and Head of Board Business Unit			✓		✓	Oversight of the internal and external audit log, for assurance on progress and timeliness of the implementation of actions identified through audit activity.
	Head of Internal Audit Opinion and Annual Report 2022/23	Head of Internal Audit / Board Secretary and Head of Board Business Unit	✓	✓				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.
	Internal Audit Progress Report	Head of Internal Audit / Board Secretary and Head of Board Business Unit	✓		✓	✓	✓	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	Head of Internal Audit / Board Secretary and Head of Board Business Unit	✓		✓	✓	✓	To provide the Committee with an update on current and planned Audit Wales work
	Internal Audit Reports	Head of Internal Audit / Board Secretary and Head of Board Business Unit	✓	✓	✓	✓	✓	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 2023/24.

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Audit	Internal Audit Work Plan 2024/25	Head of Internal Audit / Board Secretary and Head of Board Business Unit				✓	✓	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 2024/25	Audit Wales				✓	✓	For assurance as part of the Committee's consideration of the Annual Financial Statements and Accounts, and accountability Report.
	Annual Opinion (ISA 260)	Audit Wales		✓				For assurance as part of the Committee's consideration of the Annual Financial Statements and Accounts, and accountability Report.
	Audit Wales Progress Report	Audit Wales	✓		✓	✓	✓	To provide the Committee with an update on current and planned Audit Wales work
	Audit Wales Work Plan 2024/25	Audit Wales					✓	To set out the planned work to be undertaken by Audit Wales during 2024 to discharge statutory responsibilities as PHW's external auditor and to fulfil AW's obligations under the Code of Audit Practice.
	External Audit Reports	Audit Wales	✓	✓	✓	✓	✓	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 2023/24.
	Quality and Clinical Audit Plan 2023/24	Executive Director Quality, Nursing and Allied Health Professionals			✓			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
Deep Dives	Thematic Deep Dive: Maximising our Resources for the Greatest Value	Deputy Chief Executive, Executive Director Operations and Finance						For assurance of how the organisation is ensuring the efficiency, effectiveness and economic use of resources

Changes since last considered by the Committee:  
Actions deferred since the last meeting are shown in red.