

# DHCW Annual General Meeting

Thu 28 July 2022, 16:00 - 17:30

ZOOM

## Agenda

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16:00 - 17:30    **1. Welcome and Introductions**  
90 min

*For Noting*                      *Chair*

**1.1. Annual Report and Accounts for 2021/22**

*For Noting*                      *Chief Executive Officer*

 1.1 DHCW-AnnualReport-2021-2022-ENG.pdf (104 pages)

**1.2. DHCW 2021/22 Showcase and Forward Look including Financial Position Presentation**

*For Noting*                      *DHCW Executive Team*

 1.2 DHCW AGM Slide Pack - PUBLIC.pdf (34 pages)

**1.3. Question and Answer Session**

*For Discussion*                      *DHCW Board*

**1.4. Summary and Close**

*For Noting*                      *Chair*

# ANNUAL REPORT 2021-22

Digital Health and Care **Wales**



GIG  
CYMRU  
NHS  
WALES

Iechyd a Gofal  
Digidol Cymru  
Digital Health  
and Care Wales

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21/07/2022 14:38:23

# CONTENTS

PERFORMANCE REPORT

FOREWORD

KEY FACTS 2021 -2022

OUR YEAR IN NUMBERS

HOW WE DO IT

PERFORMANCE SUMMARY

PERFORMANCE ANALYSIS

ANNUAL GOVERNANCE STATEMENT

DIRECTOR'S REPORT FOR THE PERIOD ENDED 31 MARCH 2022

THE STATEMENT OF ACCOUNTING OFFICER'S RESPONSIBILITIES

STATEMENT OF DIRECTORS' RESPONSIBILITIES

REMUNERATION AND STAFF REPORT

THE WELSH PARLIAMENTARY ACCOUNTABILITY & AUDIT REPORT

FINANCIAL STATEMENTS AND NOTES 2021/22

# DELIVERING DIGITAL FOR BETTER, CONNECTED CARE PERFORMANCE REPORT

## FOREWORD

from Chair, **Simon Jones**  
and CEO, **Helen Thomas**



We are pleased and immensely proud to present the first annual report from Digital Health and Care Wales (DHCW), which charts the progress made during the first 12 months of operation as a Special Health Authority.

Today's world is dependent on technology, and this review shows how the technical and data services and expertise of DHCW have a major part to play in delivering safe and sustainable healthcare for Welsh people.

Launched during unprecedented and challenging times, it has been truly inspirational to see the amazing dedication of DHCW staff who have worked tirelessly to establish our new organisation, to support the response to the pandemic and to deliver our digital priorities and strategic plan.

Whether it's been through the development of new systems to support testing and vaccine rollout or data tools to provide real-time information our work has helped to save lives.

During the year we have expanded and mobilised the integrated health record through new or refreshed systems. Hospitals in Wales now have a new, national pharmacy system, we began roll out of a new system for use in A&E, and we delivered the Welsh Nursing Care Record, which is revolutionising documentation for nurses.

The Welsh Clinical Portal is at the heart of connecting our healthcare services and we have added to its functionality and mobility, with access available via smartphones and tablets.

We are also supporting primary care through a new framework contract for the next generation GP computing.

At the same time, we have worked hard to make sure our infrastructure is fit for the new world with the expansion of bandwidth and the successful move to a new data centre combined with a shift to cloud services. We have published our Cloud Strategy including the cloud principles that we will follow.

Quality is a central part of our thinking. So, we were pleased to maintain our ISO quality standards and to embed quality standards across the organisation.

While technical adoption delivers so much that is good, it's not without risks from cyber-crime, which is an increasing threat across the world. In response, at the request of Welsh Government, we established a new Cyber Resilience Unit to safeguard and protect NHS Wales data and systems.

Our experiences during the first year of operation have underlined the vital role digital and data play in the health and care system and this has strengthened our commitment to working openly and collaboratively with our stakeholders and partners to ensure a common purpose and common plans as we move forward.

As a result of the pandemic our frontline colleagues have had to use digital differently and in doing so realised that technology and data are now vital to healthcare delivery. The pandemic response exploited and developed national vaccine and test and trace systems deployed at pace in a standard way across Wales. This offers a unique opportunity to build on digital progress and contribute to a positive future for health and care in Wales.

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Putting people first is at the heart of what we do and why we are pleased to take forward an exciting new development – the Digital Services for Patients and Public programme. The aim is to transform how people in Wales access care and manage their own health and well-being. Initially, the programme is developing a gateway application (App), allowing people to select the digital health and care services they wish to use from their smartphones and other mobile devices, replacing outdated paper and system-centred processes. For example, being able to change their healthcare appointments online to a more convenient time or day.

Looking ahead, to ensure we have the talent needed to maintain essential infrastructure and to develop new services we have expanded our workforce and strengthened our technical capabilities. To continue to attract the skills we need, we remain passionate about nurturing our people and building a flexible and diverse workplace.

Our people are our organisation, they give us their knowledge, skills, expertise and ideas and they have our heartfelt thanks for their contribution during our first year. Thanks also to our interim Chair Bob Hudson for helping to establish the DHCW Board and a positive leadership for DHCW.

Thanks also to colleagues in Welsh Government and health boards for their support and collaboration, which has been instrumental in helping us achieve our goals.

**This has been a truly remarkable year, not without its challenges, but a year that has set a firm foundation to enable DHCW to go forward as a trusted partner with an important part to play in the transformation of health and care in Wales.**



# KEY FACTS 2021 -2022



## REMIT: ALL WALES

**Key Responsibilities:** Enabling digital transformation through design and architecture of digital building blocks, national digital systems development and support, national technical infrastructure, Cyber Security of the NHS system, national digital procurement, collecting and analysing data to deliver insights and intelligence products on behalf of NHS Wales

## ANNUAL BUDGET

Total  
£131m  
funding



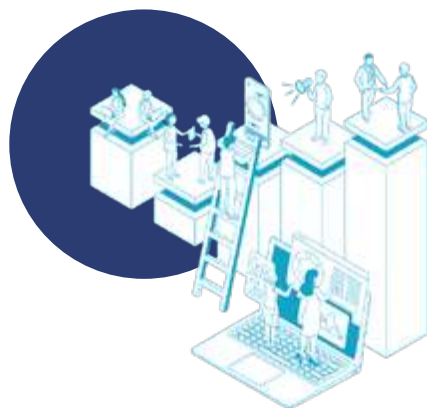
## FLAGSHIP SERVICES ON PORTFOLIO



- Digital Health and Care Record
- Welsh Nursing Care Record
- Welsh Immunisation System, Welsh Pandemic Record and Covid-19 Digital Pass
- National Data Resource
- Electronic Referrals
- Welsh Hospital Pharmacy Stock Management System
- Welsh Patient Administration System
- Radiology Information Management System
- Welsh Laboratory Information Management System
- Welsh Community Care Information System
- Welsh Emergency Department System
- GP System Services
- eLibrary services for professionals
- Choose Pharmacy

## NUMBER OF DIRECTLY EMPLOYED STAFF

969  
employees



## WHO WE WORK WITH

- Academic Institutions including University of South Wales, University of Wales Trinity Saint David and Swansea University
- Centre for Digital Public Services
- Colleagues across NHS Wales
- General Medical Council
- Industry partners
- Life Sciences Hub
- Local Authorities
- National Cyber Security Centre
- NEL Commissioning Support Unit
- NHS Digital
- Office of National Statistics
- Other relevant bodies across the devolved nations
- Royal College of Physicians
- Welsh Government
- Welsh Institute of Digital Information (WIDI)
- Wales Audit Office

## WHO WE SUPPORT

We support all **Health Boards, Trusts, HEIW, NWSSP** and **GPs in NHS Wales**. We also support **community pharmacies, dentists, and prisons**.

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# OUR YEAR IN NUMBERS

**31,000** users of the **Digital Health and Care Record** (Welsh Clinical Portal)



Over **4,000** nurses using the **Welsh Nursing Care Record**

We realised over **£2 million** of cash avoidance and cash releasing **savings on our commercial contracts**

**205,000** calls to our **Service Desk**



**372** attendees of internal **training and development programmes**

**972** learning hours undertaken on our technical e-learning platform since September 2022

**14,000** users of the **Welsh Community Care Information Centre**

We've increased our headcount by **158 people** to support development of new digital services

**1,710** users of the **Welsh Hospital Pharmacy Stock Control System**



**100** Operational services used daily by healthcare staff

**57** members of staff supported to undertake **professional qualifications and degrees**

**7 million** COVID-19 vaccinations enabled by the **Welsh Immunisation System**



**30 million** diagnostic tests managed digitally

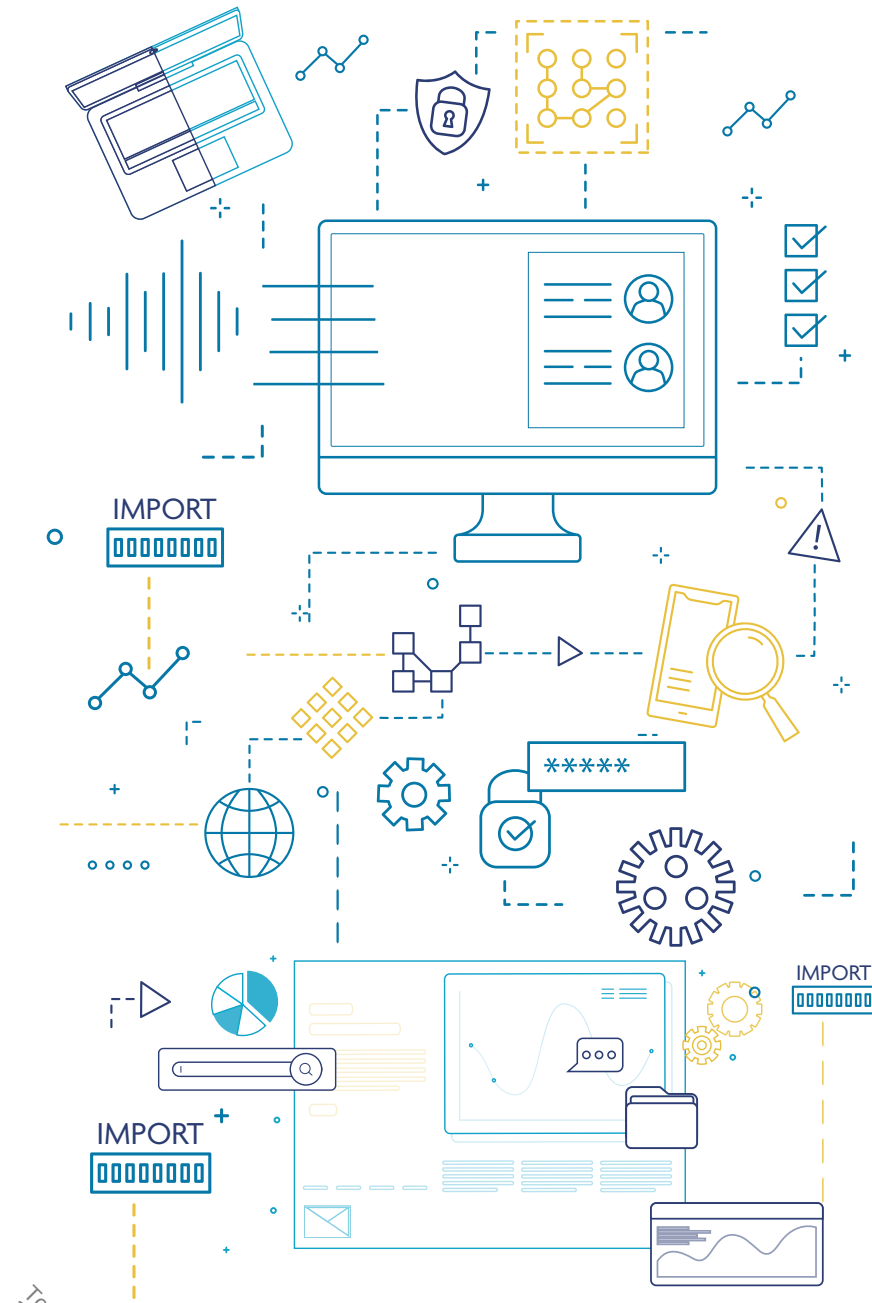
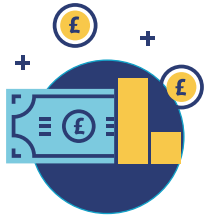


Over **35,500** users of the **Patient Administration System**

**5,000** users of the **Welsh Laboratory Information Management System** to manage pathology tests and results

**180** contracts with **93** different suppliers

**£127 million** was awarded in contracts in the year



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# OUR VISION...

To provide world leading digital services, empowering people to live healthier lives

## WHO WE ARE AND WHAT WE DO



Digital Health and Care Wales is a new Special Health Authority with an important role in transforming the way health and care services are delivered.

Established under statute on 1 April 2021, the majority of our funding comes from Welsh Government.

We work closely and in partnership with health boards and trusts, primary care, social care, life sciences, industry and academia to deliver the next generation of digital and data services for the people of Wales.

Our aims are to make it easier for staff to deliver care and to enable better patient outcomes and experiences.

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# OUR PURPOSE...

To transform health and care for everyone in Wales

## OUR ORGANISATION

As at 31 March 2022 we employed 969 people with 944 whole time equivalent (WTE) staff divided across six directorates. We recruited 158 people externally and 179 people moved to new opportunities internally during the past 12 months. Due to the ongoing pandemic the majority of staff continued to work remotely.

Our 2021/22 directorates:

- Applications Development and Support
- Clinical
- Corporate Governance and Communications
- Engagement and Transformation
- Finance and Business Assurance
- Information and Communications Technology

As a new organisation we spent time during the first year to consolidate our vision for the future, developing a strategic plan to make this possible and to support the priorities of the Welsh health and care system.

We also worked with speed and agility to develop and enhance products to support the pandemic and the longer term aims of digital transformation.

As a key part of the NHS Wales family our work has demonstrable impact, as seen through the 100 plus operational services used daily by thousands of staff to deliver health and care.



# OUR ROLE IS TO



**Support health and care frontline staff** with high-quality modern systems and secure access to information about their patients, available wherever they want to work



**Deliver new digital solutions** that help clinical staff care for patients, including new digital services for nurses, critical care units, hospital pharmacy, prescribing and medicines management and community care



**Use data** to provide insight and improve outcomes and support how health and care services are delivered and accessed by patients



**Help Welsh people manage their own health** and recovery from illness by putting health services in their pocket. Giving people access to their own digital health record and apps from any device making it easier to connect with health and care services



**Combat cybercrime** supported by a dedicated cyber resilience unit



**Use digital and data standards** to allow for faster development and delivery of digital services



**Protect valuable data assets** by modernising data storage and adopting a ‘cloud-first’ policy



**Provide the resilient technical infrastructure and platform** needed, using the highest standards of security, to enable the delivery of digital and data services for health and care in Wales

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# STRATEGIC PRIORITIES

## Enabling Digital Transformation

We enable digital transformation by building on our foundations of data protection, infrastructure and information availability and flow - opening up our architecture to enable faster, consistent sharing of data with partners and suppliers

## Delivering high quality technology, data products and services

As technology and the needs of health and care evolve, we are developing and delivering standardised services to Wales’ health and care providers, as well as rapidly standing up new services to cope with unforeseen situations, such as the Covid-19 pandemic.

## Expanding the content, availability and functionality of the digital health and care record

Clinical and health care information for citizens in Wales is accessible to their care providers through the digital health and care record. Moving forward more elements of the record will become available directly to citizens.

## Driving value and innovation for better outcomes and value-based care

The need for accurate data for insight and analytics is more important than ever to improve health and care, and to use data in ways that are safe and uncompromising. This includes creating a data-driven system that supports value in healthcare through timely information to support decision making and better outcomes.

## Becoming the trusted strategic partner and a high performing, inclusive, ambitious organisation supporting our workforce and stakeholders

Being a trusted organisation is key to successful delivery of the DHCW vision and achieving all that is expected of us.

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# HOW WE DO IT

## OUR CULTURE, VALUES AND BEHAVIOURS



### DHCW aims to be an excellent employer and a great place to work.

Our leaders are challenged to be emotionally intelligent, to embrace change and seek out innovation and continuous improvement to deliver the outcomes our partners and users value and want, inspiring and encouraging their teams to do the same.

Throughout the year our leaders have continued to deliver great performance, through a focus on personal resilience, resourcefulness and agility, so their teams are equipped to deliver high quality services. To date we have developed and delivered several bespoke programmes such as Managing with Impact, a bespoke Managers Induction Programme and Leading Hybrid Teams.

We are committed to a great working environment and for staff to have a clear understanding of the part they play to achieve our vision and outcomes and to deliver an unrivalled user experience.

We are proud of our inclusive and diverse culture that values difference. A culture where our people are supported by their managers and empowered to ensure that their voice is heard. We are committed to ensuring we are not only compliant with legislation but that the organisation is value driven.

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21/07/2022 14:38:23

# WORKFORCE PLANNING AND TRAINING

To deliver our organisational commitments we need a strong, flexible and skilled workforce. There are now in place targeted attraction and recruitment activities to increase staff numbers which includes:

- increased collaboration with the education sector and a wide range of Welsh universities
- attendance at jobs fairs
- designing and delivering our own organisational virtual careers events

Work was also undertaken in 2021/22 to review gender pay gaps, reduce inequality of outcomes and identify workforce development needs.

A key element in workforce planning is succession planning, growing the future generation of talent and developing the people we have here now, as well as supporting learning and development at all career stages of our current and potential workforce. This ranges from School leavers to University Graduates as well those individuals looking to move their careers and progress with their career ambitions.

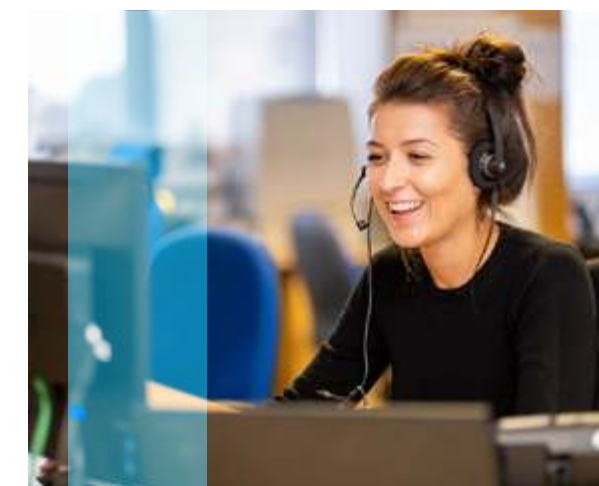
We are committed to being a digital leader and raising the profile of the organisation through the promotion of key partnerships was a priority throughout 2021/22. A number of our staff are undertaking higher education and professional qualifications:

- three members of staff undertaking PHD research
- ten members of staff studying for their masters
- forty-two members of staff are enrolled on the Digital Degree course with seven signing up this year

Since 2018, 98 apprentices have enrolled on Health Informatics Level 3/4 (10 in DHCW and 88 All Wales) and 107 are undertaking the Digital Degree (42 in DHCW and 65 All Wales). This year, 8 signed up for Digital Degree (7 from DHCW and 1 from Hywel Dda).

During the year the technical e-learning platform procured by workforce colleagues on behalf of the organisation has been well used with 263 of the 379 licences issued being actively used to support upskilling and reskilling existing technical team.

There has been 972 learning hours undertaken since September 2021 to May 2022. The two top programmes include Development Tools (Development Operations Course) and Cloud Basics to support the strategic direction of the organisation, increase retention and grow our talent within DHCW, these have received positive feedback.



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# WELL-BEING AND NEW WAYS OF WORKING

With many staff working remotely for the last two years the value of health and well-being is paramount and staff are supported by their managers and our Health and Well-being and Safety, Health and Estates groups. We supported staff who wanted to work from the office for wellbeing reasons in a safe and managed way

One outcome from the pandemic is that we have demonstrated that we can work differently and effectively in challenging circumstances. This has informed our thinking on how we embrace new ways of working using the power of digital and has provided an opportunity to review our Estates Strategy to support hybrid working and our decarbonisation agenda.

Our offices were re-designed throughout the year in line with Welsh Government guidelines to create a safe working environment and to embrace the flexibility of hybrid working as staff return to the office.

We have also engaged external expertise as required, building on the successful industry partnerships established in 2020-21. These proved material to the successful roll out of Office 365 the Test, Trace, Protect (TTP) and vaccine developments.

Using our Dynamic Purchasing System has enabled maximum opportunities for Welsh businesses to work with us to expedite delivery and share innovation and ideas.



# LOCAL PARTNERSHIP FORUM

Relationships with our Trade Union partners is extremely positive. We have a well- established Local Partnership Forum which was formally established as an advisory group of the Board during 2021/22, it meets bi-monthly and is jointly chaired by our Chief Executive and Associate Board Member (Trade Unions) representing our staff. It provides an opportunity for management and staff side representatives to discuss pertinent and strategic issues to the DHCW workforce.

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# ANNUAL PLANNING FRAMEWORK 2021-2022

The Welsh Government Annual Planning Framework was issued in December 2020 setting out ministerial priorities and enablers. The DHCW Annual plan subsequently prioritised these within our delivery plans.

DHCW, along with other NHS bodies, was required by Welsh Government to produce an Annual Plan for 2021/22 rather than a full three year Integrated Medium Term plan, due to the uncertain environment dealing with the Covid-19 pandemic.

This was submitted in March 2021 and updated for submission to Welsh Government in June 2021 and approved by the new SHA Board. It did not require ministerial approval but feedback was provided in a parameter letter in October 2021. The following areas were noted as points to develop further:

- Seek to strengthen engagement with health boards to deliver own plan effectively and the digital agenda for NHS Wales as a whole
- Ensure actions going forward build on new ways of working implemented during the pandemic
- Consider the need to mitigate on digital workforce shortages

In response we re-energised our executive engagement sessions with NHS Wales partner organisations along with regular attendance on professional peer groups and national programme and project boards.

We also developed a stakeholder engagement strategy which was approved by the Board in September 2021 and are working with NHS Wales colleagues to arrive at a transparent joint national plan applying learning from the digital COVID-19 response based on agility and speed to our product lines.

To address the digital workforce challenges we introduced a number of recruitment initiatives.

- expanding the apprenticeships schemes available
- targeted social media job advertising
- Maintaining current positive relationships and building further relationships with our education and academic partners
- commitment to further virtual jobs fairs and development of new innovative practice to attraction, recruitment and contracting

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Priority 1 PREVENTION

- Scaling up and enhance our digital offerings around Covid -19 contact tracing (6.01)
- Enhancing and rolling out our Welsh Immunisation System (6.02)
- Ensuring Covid-19 systems are sustainable, supported and funded (6.03)
- Support the increasing requirements to deliver flows of Covid-19 testing data to new users, across borders, integrate with new systems and develop a Welsh Pandemic Record (6.04)
- Building on the Covid-19 business intelligence successes to extend our value from data offerings (6.05)
- Progress any planned enhancement or transfer of Screening systems whilst sharing screening results with other systems nationally (6.06)

Priority 2 REDUCING HEALTH EQUALITIES

- Continue to support the requirements of the COVID-19 response with necessary developments around data, analysis and reporting (11.01)
- Expand the analyses of data in relation to Essential Services provision (11.02)
- Continue the support and development of products in support of the Value in Health Programme, utilising the developing standards for Patient Recorded Outcome Measures (PROMs). (11.03)

Priority 3 PRIMARY AND COMMUNITY

- Complete the procurement of a new Framework for GP systems to provide system choice and enable the transfer of data rich patient records between GP Practices whilst looking to future alignment with the open digital health platform (7.01)
- Continue to support the roll out and platform upgrade of the Community system including the mobile version (7.02)
- Join up further the systems communicating across primary, community and hospital settings, including pharmacy teams benefiting from further electronic integration with other services and eye care (7.03)
- Complete the integration of the Dental E-referral Management System with the Welsh Patient Referral Service enabling Dentists to refer seamlessly to secondary care systems. (7.04)
- Gather informatics requirements and modernise information availability around primary care services including those working in geographical localities called clusters, where health and care partners collaborate to understand local needs (7.06)

Priority 4 TIMELY ACCESS TO ESSENTIAL SERVICES

- Support the modernisation of outpatients through redefining patient contacts and risk stratification , electronic referral prioritisation, and providing digital solutions to support alternatives to outpatient appointments such as advice between primary and secondary care clinicians (8.01)
- Support referral pathway efficiencies from hospital to hospital with our patient referral solution (8.02)
- Roll out a system to support digitalisation of Intensive Care across Wales (8.03)
- Roll out the Welsh Emergency Department System across Wales (8.04)
- Further support remote working for healthcare professionals accessing data from anywhere and anytime, including expansion of both the mobile version of the digital health and care record and Office 365 (4.06)

Priority 5 MENTAL HEALTH

- Work to continue on agreeing data sets for community care including a mental health data set, and business intelligence dashboard linking health with social care data (7.05)
- Continue to support the roll out and platform upgrade of the Community system including the mobile version (7.02)
- Support Clinical plans and NHS professionals by enabling recording and linking data within the national architecture and access to clinical documents and knowledge bases including mental health e-forms (4.02)

Priority 6 DECARBONISATION

- As part of our wider sustainability vision, we are committed to reduce our carbon footprint and save energy across all sites supported by our Carbon Footprint methodology and dashboard. We will derive further benefits from digital working, e.g. less travelling

Priority 7 SOCIAL PARTNERSHIP

- We will include our response to the Social Partnership Act as part of our wider approach to the Well-being of Future Generations Act and sustainable development. We commit to signing the Digital Inclusion Charter

HARM FROM COVID ITSELF	HARM FROM OVER-WHELMED SYSTEM
HARM FROM REDUCED NON COVID ACTIVITY	HARM FROM WIDER SOCIETAL ACTIONS

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# GOVERNANCE

Governance is the external framework and internal controls and monitoring that oversee our organisation and help us to deliver our objectives.

Our Board is established in according to the DHCW Establishment and Membership Order 2020 and consists of an independent chair and vice-chair, five additional independent members, a Chief Executive, not more than four additional executive directors and up to three associate members.

Details of the DHCW Board roles and the vacancies for 21/22 can be found in the [Annual Governance Statement](#).

As a new organisation, work to establish governance structures to support the Board and its committee structures (details of which can be found in the Annual Governance Statement) has been rapid but continuously validated. Findings from an audit by NHS Wales Share Services Partnership reported to the Audit and Assurance Committee in January 2022 ‘substantial assurance’ for governance arrangements.

Significant communications about the new governance structures have taken place across all areas of the organisation.

# ORGANISATIONAL RISK AND GOVERNANCE

Managing risk is a critical for all organisations and has a dual role in identifying opportunities and potential risks.

In 2021/22 the DHCW Board approved the Risk and Board Assurance Framework strategy, setting out the organisational approach to principal risks to the strategic objectives and how the Board will receive assurance on those principle risks.

This strategy is supported by an organisation wide risk management system which enables and empowers staff to identify, assess, manage and where necessary escalate risks to DHCW. More details of this can be found in the [Annual Governance Statement](#).



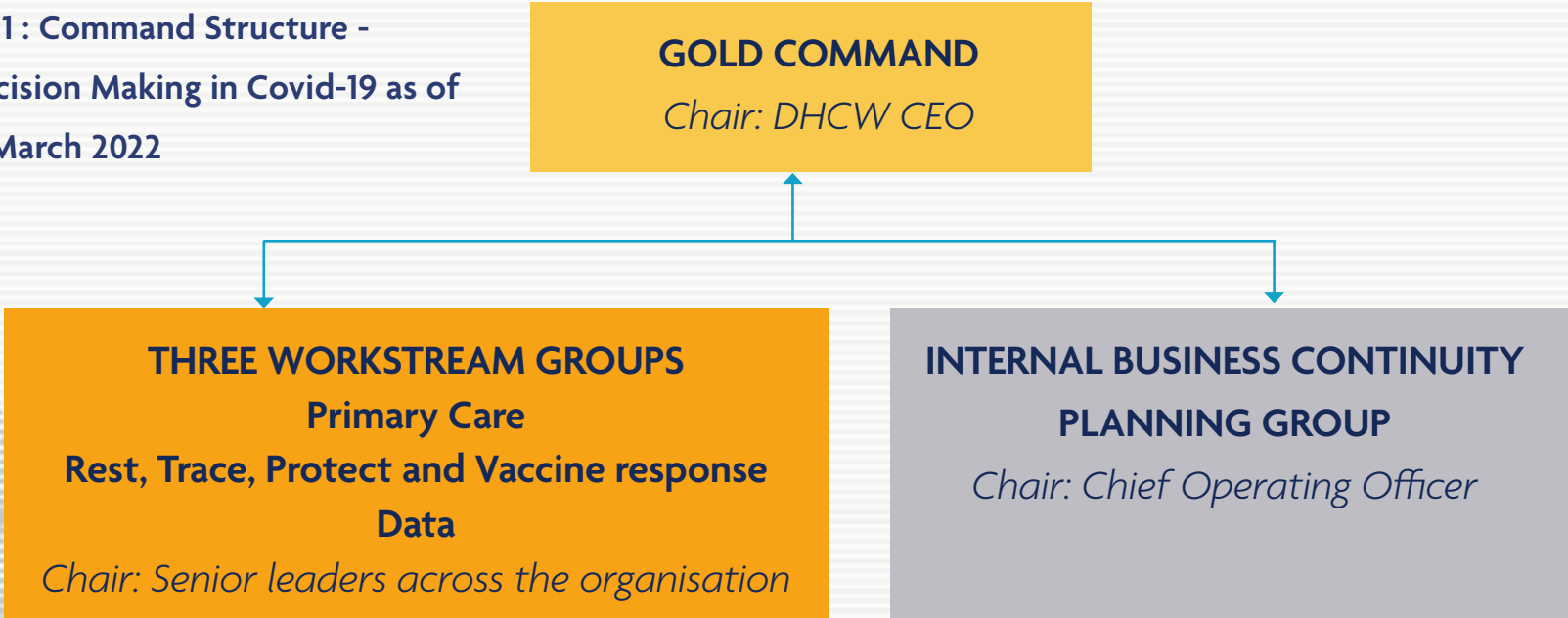
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# GOVERNANCE IN COVID-19

To ensure our organisation was able to respond effectively to the changes introduced in response to the pandemic, the existing Emergency Response Command Structure was ratified at the inaugural meeting of the DHCW Board on **1 April 2021**. Throughout the year the command structure evolved in response to the needs of the pandemic and was used to aid an agile response through rapid decision-making structures.

All decisions taken within the command structure were made within the scheme of delegation approved by the Board on the 1st April 2021 and Gold Command decisions requiring organisational oversight were reported to Management Board.

**Fig 1 : Command Structure -  
Decision Making in Covid-19 as of  
31 March 2022**



## BUSINESS CONTINUITY

DHCW have a Business Continuity Plan that is overseen operationally by the Business Continuity Planning Group who meet on a bi-weekly basis as part of the command structure in response to the pandemic, this plan takes into account emergency preparedness requirements in response to Major Incidents as well as all requirements set out within the Civil Contingencies Act 2004.

Predominantly our business continuity response in 2021/22 has focused on our response to the pandemic which included mobilising home working, continued national service availability, additional infrastructure support and heightened cyber security risk as a result of the Ukraine/Russia conflict.

We continue to prioritise business continuity and have run tabletop exercises and simulations to test our preparedness. This information was reported to Welsh Government as part of the Health Emergency Planning Annual Report for 2021.

# OPERATING CONTEXT

Our plans and objectives are underpinned by legal and policy documents. These include

**A Healthier Wales** – the Welsh Government long-term plan for Health and Social Care, it embraces the principle of prudent healthcare and sets out an ambitious plan for a whole system revolution and context for NHS organisations plans for the future.

Link to [A Healthier Wales](#)

**Digital Strategy for Wales** – sets out Welsh Government’s national vision for jointly adopting a digital approach with the aim of modernising public services to increase efficiencies, an improved experience for citizens and to support innovation and business development in Wales.

Link to [Digital Strategy for Wales](#)

# WELLBEING OF FUTURE GENERATIONS (WALES) ACT 2015

Our strategic Well-being Objectives

Embed a sustainable culture to limit the impact on the environment.

Actively promote the use of the Welsh language.

Promote a culture of volunteering by creating the conditions for citizens to share their experience and to learn new skills.

Attract and develop skill and provide opportunities for existing and future generations.

Work to strengthen the international recognition of NHS Wales as a Centre of Excellence for digital innovation.

Improve the health and well-being of the citizens of Wales, helping to sustain a healthy, productive population that contributes to society.

Support the sharing of expert knowledge so that the citizens of Wales are better able to access the best possible healthcare when they need it.



Digital solutions and services contribute to the implementation of the Wellbeing of Future Generations (Wales) Act 2015, which requires public bodies in Wales to think about the long-term impact of their decisions, to work better with people, communities and each other, and to prevent persistent problems such as poverty, health inequalities and climate change.

Our role aligns to the digital needs of A Healthier Wales - one of the seven core well-being goals of the Future Generations Act, and Welsh Government’s long-term plan for Health and Social Care; the other well-being goals also resonate with our approach and will continue to be developed moving forward.

Throughout the year we have reviewed progress against activities within each objective and identified additional activities where necessary. Some of the key achievements during 2021/22 are:

<b>Healthier:</b> We have accelerated the digital transformation of health and care in NHS Wales as the trusted delivery partner for digital health and care services.	<b>Healthier:</b> We have undertaken collaborative design and added new capabilities to the Digital Health and Care Record, including delivering on the eleven portfolios and enablers that underpin our IMTP.	<b>Resilient:</b> We have worked with our delivery partners on the plan for Digital Services for Patients and the Public, including the NHS Wales bi-lingual app, which will support the citizens of Wales to take a more active role in their own health and well-being.
<b>Globally Responsible:</b> We have developed our Decarbonisation Strategic Delivery Plan.	<b>Healthier:</b> A significant programme of organisational development is underway as part of our strategic approach as a new Special Health Authority.	<b>More equal:</b> We have continued to promote and support activities that celebrate diversity and inclusion.
<b>Vibrant culture:</b> We have continued to promote and support use of the Welsh language and appointed a full time Welsh Language Services Manager.	<b>Prosperous:</b> We have worked on an all-Wales basis to share best practice and embrace partnership working, including social partnerships.	<b>More equal:</b> We have worked with Welsh Government to complete the Digital Workforce Review across NHS Wales.
<b>Globally Responsible:</b> DHCW have further reduced carbon emissions in 2021/22.		



# PERFORMANCE SUMMARY

In March 2020 the Integrated Medium Term Plan planning process was paused with Welsh Government requesting quarterly plans for 2020-21, for 2021-22 the Planning and Delivery framework requested delivery of an Annual Plan. DHCW’s approved Annual Plan 2021-22 included the delivery plan of our 5 strategic objectives previously detailed in the [strategic priorities](#) section.

Performance management is an integral part of ensuring value for money for the people of Wales.

Throughout our first year we continued to develop our performance management approach, working closely with our Board and senior leaders to refine the content and narrative of performance reporting, including our plan, workforce, operational service management, performance and quality.

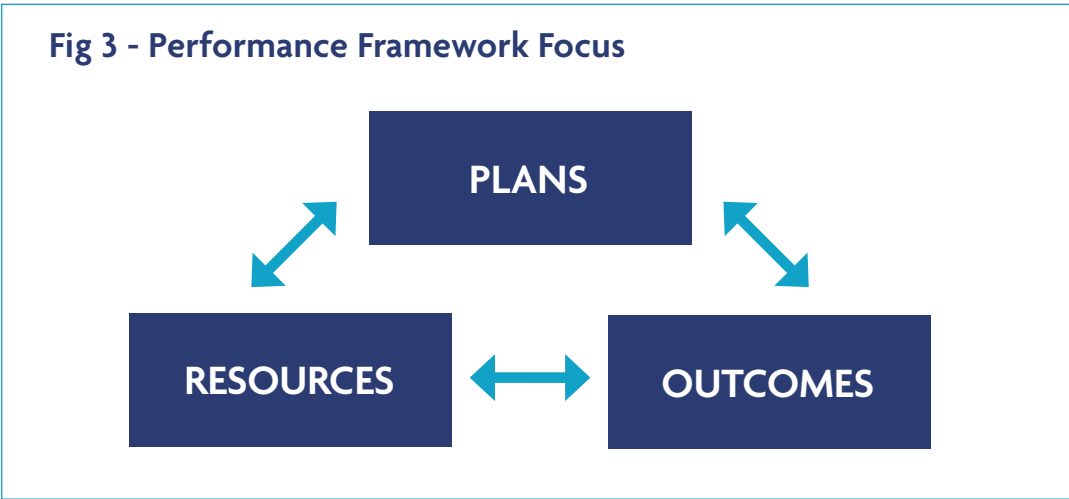
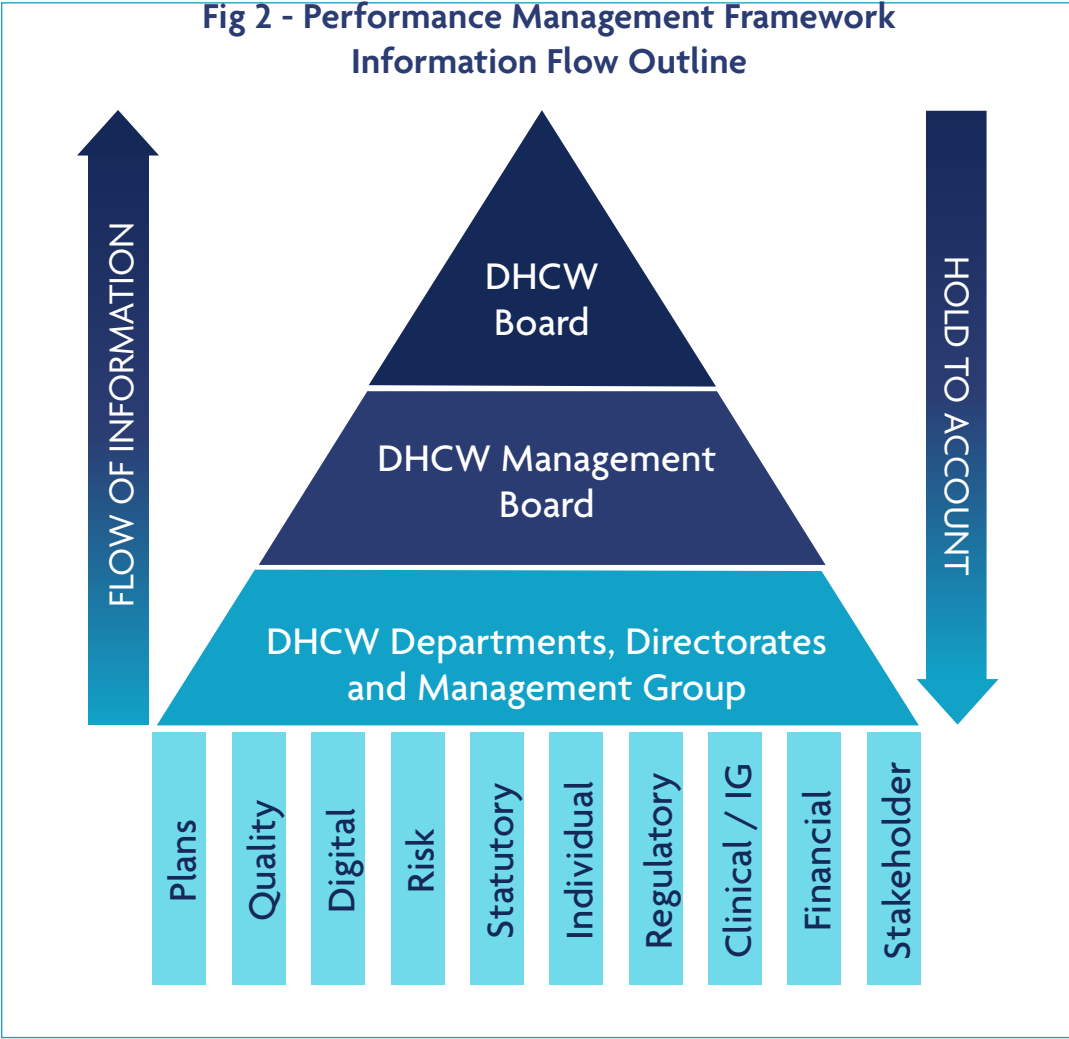
Our Performance Management Framework describes our proportionate approach to making continuous improvements to delivery across the organisation, in line with the principles of compassionate leadership.

Performance is centred on three main areas

**Plans** which clearly articulate the requirements and expected outcomes to which people, teams and departments will deliver

The **resources** required to deliver the plans and achieve the outcomes

The **outcomes** of achieved plans, and how they relate to the development of the individual, team, department or organisation



## WHAT WE ACHIEVED IN 2021-2022

During our first year as a Special Health Authority, we strengthened partnerships with Welsh Government, Local Health Boards, NHS Trusts, Health Education and Improvement Wales, Special Health Authority, NHS Wales Shared Services Partnership, primary care and other organisations including Local Authorities to support the NHS Wales response to the COVID-19 pandemic. At the same time, we continued to maintain and develop core national digital infrastructure and systems. It is this level of collaboration which we take forward into 2022-23.



# PERFORMANCE ANALYSIS

## SUPPORTING THE PANDEMIC RESPONSE

Digital systems were pivotal in delivering Wales vaccine programme.

By the end of March 2022, the world-leading Welsh Immunisation System (WIS), had supported the administration of nearly 7 million vaccines.

The scale and pace of agile delivery work by the WIS development team was described as ‘a game changer’ and critical to the success of the vaccine programme.



In October 2021, Grant Davies, Head of Planning and Performance for the Aneurin Bevan Mass Vaccination Program, gave feedback to the DHCW Board commenting that it was *“a paradigm shift, really, in the ability to deliver such a complex program at such scale and pace.”*

He said: *“In my role and for my counterparts in other health boards, we’re ultimately responsible for ensuring that multiple offers of vaccinations are made to a whole population equitably, within set criteria and set time frames, needing to consider numerous risks and age factors across multiple sites. Integrating four different phases of the vaccination course and ensuring that each vaccination recorded accurately, which enables additional scheduling in line with intervals that are set and sometimes amended by the Joint Committee on Vaccination and Immunisation (JCBI).”*

Continuous development and modification of the system to meet changing requirements allowed it to support Wales’ accelerated booster programme and make data available for the COVID-19 Pass, which provides citizens with a record of their vaccinations.

The WIS system delivers near live vaccine data and intelligence, allows sessions to be configured based on priority group and need and creates a vaccine record. It uses information on patient demographics, occupation groups and agreed vaccination priority levels, to allow healthcare professionals to schedule appointments for patients. It can create appointment slots and record details about each vaccination for every COVID-19 vaccine administered in Wales.

With the need for citizens to provide proof of vaccination, delivery of the Covid-19 Vaccine Pass (Wales solution) and a digital interface with NHS England was a critical development and contributed to the ongoing management of the pandemic.



In September, 2021 [The Financial Times reported \(paywall article\)](#) that Welsh Government saved hundreds of millions of pounds by using public sector programmes and services during the pandemic. One of those services was the Test, Trace, Protect programme developed and delivered by NHS Wales with the digital elements managed by DHCW.

According to the article, the Welsh Government received almost £1.1bn for contact tracing and PPE in 2020/21. Cardiff University's Wales Governance Centre estimated that the government actually spent £533m on those areas. That was £158 per person, 48 per cent lower than in England.

The money saved has been used to support small businesses with the cost of the pandemic.

The digital contact tracing service (Test, Trace, Protect) was a key element in achieving these savings and another of DHCW's rapid developments. The system enabled a robust scalable national response for contract tracing. During the past year it was updated to support person location forms.

Based on a sophisticated Customer Relationship Management database, it contributed to the success of the Test Trace Protect service. Of the 11,889 positive cases referred to contract tracing by 26 February 2022, 92.9% were reached and asked to provide details of their close contacts. Of the 1,407,832 close contacts that were eligible for follow-up, 1,266,909 (90.0%) were successfully contacted and advised accordingly, or had their case otherwise resolved. [Test, Trace, Protect \(contact tracing for coronavirus \(COVID-19\)\): up to 26 February 2022 | GOV.WALES](#)



As part of the pandemic response, we also

- Delivered integration with private laboratories for lab results, ensuring a seamless digital flow for test results
- Delivered performance dashboards to Welsh Government for direct access to lateral flow and contact tracing data
- Provided Covid-19 pass and Welsh vaccination data to NHS Digital for inclusion in the Travel Covid-10 Passport.
- Developed a vaccine Online Re-booking solution for citizens,
- Delivered the Welsh Pandemic Record Certificate Dashboard and the Covid Certification Digital Solution with cross border functionality and data flows

# DIGITAL NURSING

In June 2021 we launched the digital Welsh Nursing Care Record, which marked a pivotal moment in the history of nursing that will change working practices and enable nurses to spend more time caring for patients.

With full roll out due to complete in 2022/23, the WNCR is live in six of the seven Health Boards and it is making a big impact digitising Welsh nursing records improving accuracy, safety and digital literacy.



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Claire Bevan, Senior Responsible Owner of the WNCR project said:

*“Collaboration, engagement and listening to feedback has been the true success of the project, from the Chief Nursing Officer to the registered nurses, health care support workers and the wider multidisciplinary team members, all have worked together to transform nursing by standardising documents and providing a digital solution”*



## Case Study - Inpatient Risk assessments

Between April and August 2021 across the five wards of one hospital the WNCR digital solution released **over 140 hours** to patient care as a result of the reduction in time taken to complete five out of the six core digital assessments.

This means clinicians are able to focus on what’s most important - patient care.



# ENHANCING THE DIGITAL RECORD

We also saw growth in users of the Welsh Clinical Portal to over 30,000 users. The clinical portal shares, delivers and displays patient information from a number of sources using a single log-on. The clinical portal supports clinical workflow with functionality to view patient medical records (including summary GP record), access patient results including radiology images, electronically request tests, prioritise referrals, set watch lists and view medications and communicate key discharge information to primary care.

BETWEEN JANUARY 2021 AND JANUARY 2022, THE NUMBER OF CLINICAL DOCUMENTS STORED DIGITALLY ROSE FROM 35 MILLION TO 39 MILLION AND TESTS RESULTS INCREASED FROM OVER 195 MILLION TO OVER 220 MILLION.

To streamline and reduce unnecessary outpatient appointments in secondary care we introduced GP e-Advice as part of Welsh Patient Referral Service accessible via Welsh Clinical Portal. This allows clinical conversations of advice and guidance to take place between Secondary Care clinicians and GPs to inform care decisions.

We continue to make improvements in the modernisation of outpatients, a core Welsh Government priority and introduced new functionality into our software. Clinical staff can make direct electronic updates into the digital record using a user designed outpatient medical note and electronically record the administrative outcome including new pathways Outpatient attendances are now also collected in NHS Wales' Data Hub which is used to store and present key information to decision makers across NHS Wales and Welsh Government.

With ever growing demand for emergency care we introduced the new national Emergency Department (A&E) System. Neath Port Talbot Minor Injuries Unit was the first to go live, with roll out to other hospitals planned during 2022. The new system replaces paper records and provides healthcare professionals with real-time information on a patient's treatment in the emergency setting. These digital records can be shared safely and quickly with other departments and healthcare professionals to support the patient's treatment plan.

We are also supporting a new national Ophthalmology Electronic Patient Record and associated Referrals Module, an initiative led by Cardiff and Vale Health Board and sponsored by Welsh Government.



Porthol Clinigol Cymru  
Welsh Clinical Portal

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The Eye Care Programme will provide “safe and secure” connectivity enabling 700+ Optometrists access to NHS Wales networks and enable regional working, develop and increase virtual clinic working, deliver “shared care” and enable the development of Ophthalmic Diagnostic Treatment Centres in the community, addressing high volume/low risk patients.

Within Wales’ intensive care units, continuous patient monitoring is essential to detect critical changes in a patient’s condition. When every second counts for health staff who need to make critical decisions for seriously ill patients, information is a vital resource.

DHCW has partnered with the supplier ASCOM to deliver a new digital solution to replace paper charts and the hand-written observations that are used to record vital life signs. The new Grange University Hospital Intensive Care Unit in Aneurin Bevan University Health Board will be the first of all 14 Welsh adult critical care units to adopt the new digital service.

During 2021-2022 extensive work took place to develop standardised processes and assessments integrated with both the architecture and the bedside monitors to improve patient safety.

## HOSPITAL PHARMACY

As part of our contribution to the modernisation of medicines management, we successfully rolled out the new Hospital Pharmacy stock control system. The state of the art medicines stock control facility is now live in twenty four hospitals across all seven health boards and three prison sites with over 1,700 users.

The modern pharmacy system replaced a 35-year-old, “green screen” system, is more efficient to use and offers a more joined up and consistent way of working across hospitals in Wales, linking medication dispensing and usage data by using nationally recognised standards, which ensures that data and information can be better used to improve services in the future.



## LABORATORY SERVICES

To future-proof essential testing services, a new contract (Master Services Agreement) was awarded to Citadel Health to deliver a new Laboratory Information Management System. It will support every health board, hospital and GP practice in Wales and will integrate with NHS Wales core health IT systems. Key benefits include faster turnaround of tests, a reduction in the number of repeat prescriptions, improved clinical safety and ensuring the service can cope with increased demand.



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## PRIMARY AND COMMUNITY CARE

The Primary and Community Care teams facilitates and supports provision of systems and services that enable Primary Care Health Professionals to work across organisational boundaries, enabling continuity of care and avoiding duplication for both patients and professionals.

In 2021/22 a new five year GP IT framework was awarded to supply next generation IT systems and Services for primary care in Wales. There were three successful suppliers:

They are Cegedim Healthcare Solutions, EMIS Health and TPP.

The procurement supported by Digital Health and Care Wales was led by the General Medical Services Information Management & Technology Board and involved GPs, GP Practice Managers, Health Board Directors of Primary Care and the DHCW Primary Care Team.



## COMMUNITY PHARMACY

Our Choose Pharmacy digital platform continues to support community pharmacies as they provide NHS support for people with minor illnesses, including emergency contraception, common ailments and hospital discharge medicine reviews.

The majority (705 out of 713) community pharmacies use the service, which allows pharmacies to create an NHS patient record, transferable between NHS Wales community pharmacies.

During the past 12 months roll out continued of a new module - the Independent Prescribers' Service (IPS), which supports community pharmacists who have qualified as non-medical prescribers to provide patients presenting with certain conditions access to effective advice and treatment.

The Independent Prescribers' Service supports a 'community pharmacy first' model of care. This means patients will have more access to advice and treatment at the right time, in the right place, reducing pressure on GPs for consultations for conditions that can be appropriately managed in the community pharmacy setting.





# WELSH COMMUNITY CARE INFORMATION SYSTEM

The Welsh Community Care Information System (WCCIS) is a digital service for nurses, mental health teams, social workers and therapists to help them work better together. It allows access to relevant information on care provided and shows where a patient is with their treatment and care plan.

An additional two organisations adopted the system during the year. This means 18 of Wales 22 local authorities and seven health boards are live with the system.

Following the 2020 Audit Wales report on the WCCIS programme and an independent review and survey carried out by the Institute of Public Care (IPC), the WCCIS national programme commissioned Channel 3 Consulting to undertake an independent strategic review, in November and December 2021.

The review aimed to take stock and inform the next phase and future of the WCCIS national programme. It included engagement with all involved, and drop-in sessions for regional organisations, attended by more than 100 people.

Recommendations from the review were agreed by Welsh Government and signed off by the WCCIS leadership board in February 2022.

The national WCCIS team is now working with regional partners to develop a plan to take the recommendations forward.

Collaboration with the supplier has addressed the stability of the software platform through a series of software releases, which took place in the latter half of 2021.



# NHS WALES APP

We were very pleased to award contracts to develop the new NHS Wales digital patient platform, known as the NHS Wales App.

The app will be available on smartphones, tablets and computers. It is a key development in the Digital Services for Patients & the Public Programme, which will help people in Wales to access better healthcare and support health providers to deliver care more efficiently.

The goal is for patients and the public to:

- personalise their health journey
- monitor health conditions more easily
- share and receive important health information
- take an active part in their own health and wellbeing

A prototype has been developed and is a significant step forward in being able to deliver the app to the citizens of Wales. User research and design activities with citizens from Wales began in December 2021, informing the design of both the application and the range of services.



**Gwasanaethau Digidol**  
ar gyfer Cleifion a'r Cyhoedd  
**Digital Services**  
for Patients and the Public

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# SUSTAINABLE INFRASTRUCTURE

We believe that public cloud computing services are uniquely positioned to support DHCW’s strategic technology requirements into the future. We will continue to adopt cloud computing services using a cloud-first approach for both new and existing workloads by 2024. This is described in our Cloud Strategy, which underpins our business plans and the ambitions of ‘A Healthier Wales’.

Throughout the year we carried out significant technology improvements. Working with colleagues and suppliers we transitioned NHS Wales’ digital services into a new data centre, opening up greater opportunities for cloud computing, as well as reducing our carbon footprint.



# CYBER SECURITY AND PROTECTING PATIENT DATA

DHCW take a national role in the protection of the network and data across the NHS Wales system. We work closely with the National Cyber Security Centre and our NHS Wales colleagues to ensure our systems are resilient and secure in support of delivering health and care services.

With increasing threats from cyber criminals across the globe, we launched the Cyber Resilience Unit on behalf of Welsh Government. This takes NHS Wales into the next phase of protecting patient information and provides support and guidance to stakeholders across the health system.

Through our Information Governance Strategy we are shaping an effective national governance structure for data protection and information governance issues. Our National Information Governance Framework is in place to provide, maintain and develop external facing services, tools and standards to support NHS Wales organisations and stakeholders, and to underpin our strategic approach.

NHS Wales

Cyber Resilience Unit



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## INFORMATION AVAILABILITY AND FLOW

To open up the technical architecture and enable greater access to and sharing of data, we have been defining our architectural vision.

In collaboration with over 1,000 key stakeholders we have defined NHS Wales' Architectural Building Blocks and developed our National Data Resource (NDR) Data Strategy and delivery plan.

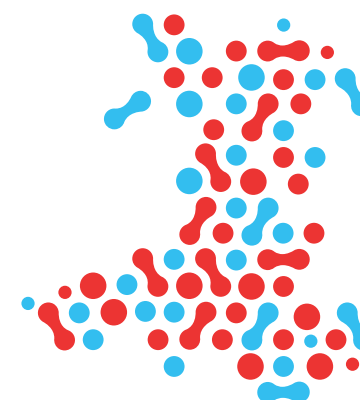
The NDR Data Strategy was developed in collaboration with over 75 stakeholders across health and care in Wales. It describes a proposed architecture for our data platform, identifying the technology capabilities needed to meet our vision, and a target operating model based on an agile, product-centric approach. It also sets out a roadmap and key next steps for the programme to move forward towards its goals.

The data platform will be responsible for the acquisition, movement, transformation, storage, serving and governance of data as well as providing the analytical, data science and machine learning tools needed to extract value from data. Extracting value from data is one of our core portfolio objectives and will enable better patient outcomes.

We have undertaken the first deployment of our Clinical Data Engine in Cwm Taf Morgannwg University Health Board, with the first use of open architecture technology (Open HER) for allergies and patient warnings data, supplementing the data already available in our reports and document repositories.

We made our Operational Terminology Service available, to enable consistent recording of the core components of the patient record using SNOMED-CT – the worldwide standard for capturing and representing digital clinical information as part of a patient record. Standardisation of clinical data improves patient safety and increases opportunities for data sharing with a wider range of health and care providers, as well as supporting evidence-based health care decision making. This work is a key component of better, safer care, and has been deployed to support ten of our most important initiatives over our first year.

We have completed the build of our new Clinical Data Repositories which will enable the digital storage and retrieval of clinical data across geographic boundaries throughout NHS Wales.



# NDR

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National Data Resource

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## VALUE FROM DATA

The pandemic highlighted the value of data and created demand for new data sets and information dashboards to help manage services and build a picture of the virus spread within the population.

To support the work of Public Health Wales (PHW) we developed a consolidated view of testing data bringing together both Polymerase Chain Reaction (PCR) and Lateral Flow (LFT) test data; the view also identifies duplicates, those reported through both the Welsh Laboratory Information Management System (WLIMS) and non-hospital testing. We developed aggregate views containing calculated measures for tests, testing episodes and associated rates per population, which directly feed into PHW's reporting systems.

We also supported PHW by tracing the NHS numbers for people who attended Covid-19 test events, which included football matches in May and June 2021, facilitating follow up to determine whether they subsequently contracted Covid-19.

All COVID-19 data sets have been made available to Health Boards, PHW and other NHS Wales organisations via the DHCW National Data Warehouse, in a format in which records can be easily linked, to create a view of every Welsh resident in terms of Covid-19 tests, results, close contacts, vaccination dates, hospital admissions, Emergency Department attendances, Ambulance calls or deaths.

We also developed a national data collection for COVID-19 rehabilitation services to understand demand and capacity and to help inform the target operating model for delivery.



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# DATA DASHBOARDS AND HUBS

There are now a number of ‘National Data Dashboards’ developed with the Value in Health Programme that combine and visualise a wide range of information relating to clinical outcomes, secondary care activity, case mix variables, mortality, and socio-economic factors for specific clinical areas.

These innovative dashboards are being used by clinical teams, special interest groups, clinical networks, support functions and other stakeholders to inform better decision making.

Working in partnership with Powys County Council we brought health and social care data together in a proof-of-concept data hub to apply visualisations and provide a foundation which underpins the data requirements for A Healthier Wales.

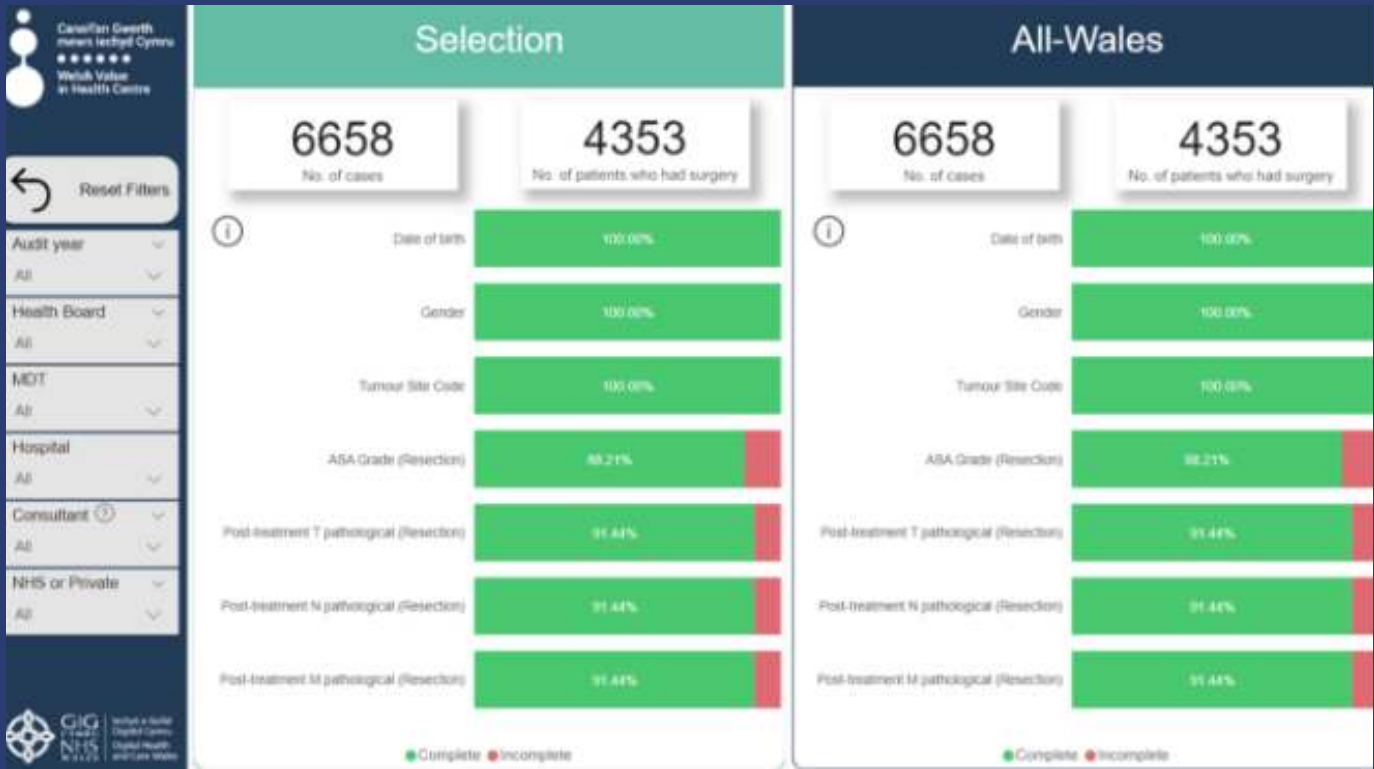
## CASE STUDY - The National Colorectal Cancer dashboard.

The National Colorectal Cancer Dashboard was developed collaboratively between the Value in Health Data Team (DHCW), the NHS Wales Health Collaborative and clinicians from the Bowel Cancer Initiative. It uses PowerBI to present the National Bowel Cancer Audit (NBOCA) data combined with additional data sources to enable users to view the data, identify trends and manage data quality of the audit submission. It is the ninth in a series of information products to be launched by the Welsh Value in Health Centre. The products are designed to help us understand what is happening in a specific system and present opportunities for us to increase value for patients.

Initially, the National Colorectal Cancer Dashboard aims to be a tool which supports clinicians in supplying complete data to the National Bowel Cancer Audit (NBOCA), by highlighting any data gaps within the seven key data fields used for the audit, therefore enabling clinicians to easily identify areas that require additional input.

We’re expecting clinicians using the dashboard to provide feedback on this first iteration in the coming weeks, which will further inform development that is already underway.

The next phase will be to provide live data on Single Cancer Pathway Performance, surgical and oncological quality metrics and survival data. This second phase will be completed in the second half of 2022.





# QUALITY

Quality is at the heart of what we do, in the systems we produce and the data we provide.

We aim to be a trusted partner across the health and care system in Wales. Integral to this is a quality approach in the development of products, systems, and services, demonstrated through the adoption of internationally recognised and trusted standards.

We have maintained certification for the following ISO and BS Standards in 2021/22:

- ISO 9001 - QUALITY MANAGEMENT SYSTEM
- ISO 14001 - ENVIRONMENTAL MANAGEMENT SYSTEM
- ISO 20000 - IT SERVICE MANAGEMENT SYSTEMS
- ISO 27001 - INFORMATION SECURITY MANAGEMENT SYSTEMS
- BS 10008 - EVIDENTIAL WEIGHT & LEGALLY ADMISSIBLE INFORMATION MANAGEMENT SYSTEM
- BS 76000 - VALUING PEOPLE STANDARD
- BS 76005 - DIVERSITY & INCLUSION
- SDI - SERVICE DESK CERTIFICATE

We have presented our quality strategy and plan and have invested in ipassport to support the document management process. The organisation is now preparing for the introduction of new regulation in relation to medical devices.

# INFORMATION GOVERNANCE

Freedom of information requests have a 95% response within target across 21/22. There were no reports that required submission to the Information Commissioners Officer or submission of 'Serious Untoward Incident' or 'No Surprises' reports to Welsh Government in relation to data breaches or lapses for 21/22. For further information about information governance can be found in the [annual governance statement](#).

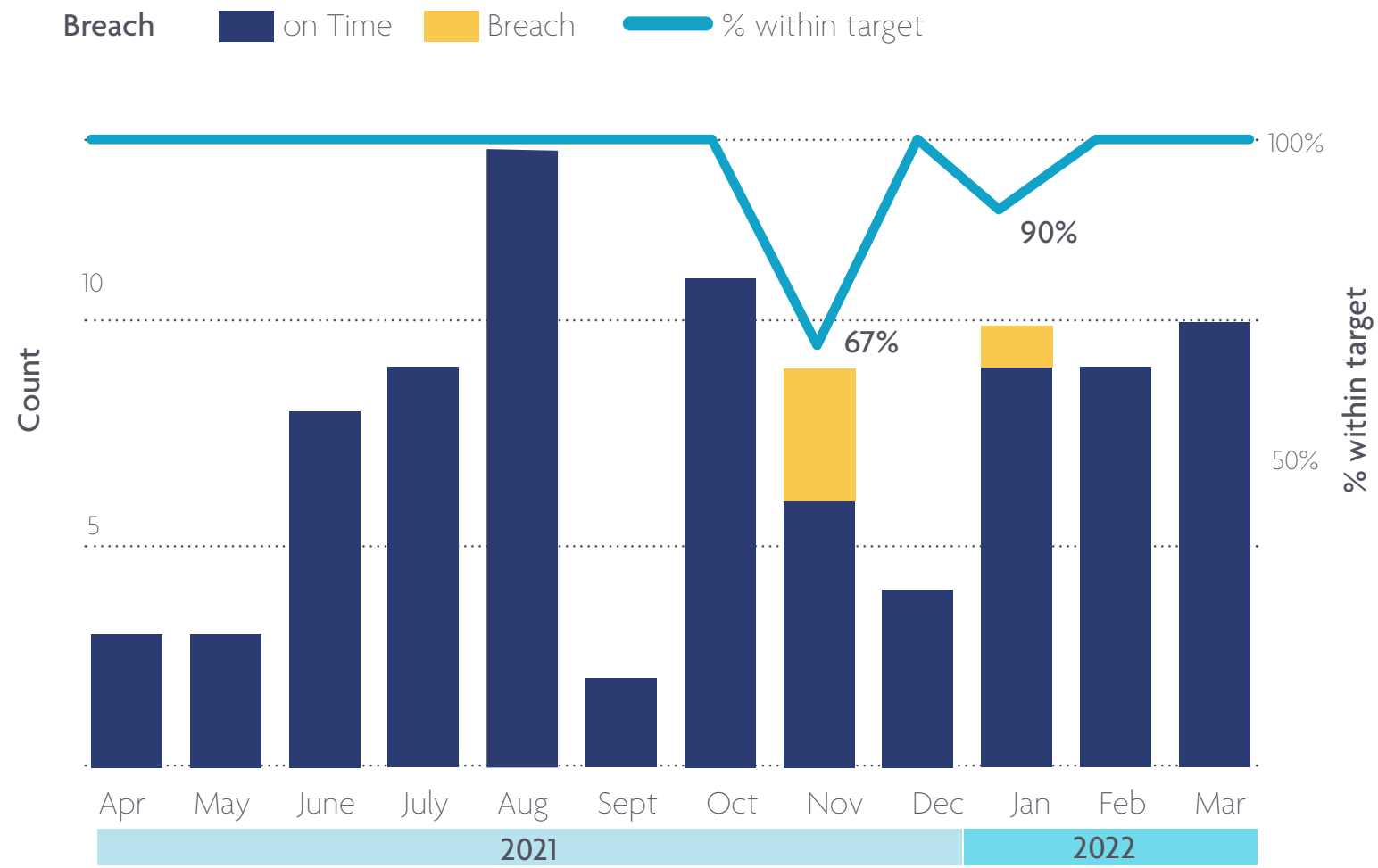


Fig 4 - Freedom of Information Requests Compliance Dashboard

# DEVELOPMENT OF THE ORGANISATION

## ENGAGEMENT WITH STAKEHOLDERS AND FEEDBACK

As a public body it is important that our partners, service users and the people of Wales have confidence in our work. Effective engagement helps translate stakeholder and user needs into our strategy and product and service development.

As a forward-thinking organisation, everything we do is in partnership with our stakeholders including health boards and trusts, primary care, social care, life sciences, industry and academia.

Regular meetings are held with the executive teams of health boards, trusts and SHA & NWSSP throughout the year to discuss organisational priorities at a strategic level. Service level agreement meetings take place with our partner organisations to discuss technical attributes of the specific services in deployment and the wider system can feedback on our systems and seek help via the DHCW Service desk.

In September 2021 the Board approved our first Stakeholder Engagement Strategy, with the implementation plan subsequently approved in December 2021. This document builds on existing systems and avenues for engagement and feedback, going forward we will work towards stakeholders considering us as a trusted strategic partner. This will have to be earned by being an open, listening organisation that engages with the key stakeholders in a planned and timely manner.

## COMMUNICATIONS

As a new organisation, communications played a key role in raising awareness of who we are and what we do. Unique visitors to our website increased by 55% per cent during the course of the year, with traffic from Google up by 183%. Our social media followers increased by 15%.



The communications team effectively raised awareness of DHCW through social media, podcasts and newsletters and supported recruitment through social media campaigns.

A key focus has been the technology and data successes that assist and enable the delivery of frontline care.

Throughout the year we have focused on internal communications to support staff as they continue to work remotely, culminating in a virtual staff conference to celebrate the successes of our first year.

# BUSINESS CHANGE

With significant change in ways of working underpinned by new digital services, our Business Change team provides support across the wider delivery programme.

Working shoulder to shoulder with service users the Business Change team offers a mix of support delivering technical advice on changes to the system, training and eLearning quick reference guides, videos and demonstrations. During the year the team had 4106 individual contacts and held 563 contact events.

Business Change input to the test Trace Protect programme was invaluable providing staff with the confidence to adapt quickly to new digital systems.

DURING 2021/22 **THE BUSINESS CHANGE TEAM TRAINED 2025 NURSES** TO USE THE WELSH NURSING CARE RECORD, VISITING 24 HOSPITALS ACROSS ALL SEVEN HEALTH BOARDS.

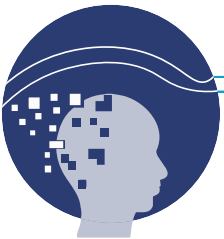
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# CHANGE AMBASSADOR CERTIFICATE

DHCW's Change Ambassador Certificate has been developed by the Business Change Team as a 12-module, interactive course. It helps people with the skills and insights to be able to lead change through understanding the impact of change and finding ways to help people to come to terms with change in ways that suit their needs. It is specifically designed around Change Methodology and standard Change approaches and aims to give each participant on the course a chance to fully explore principles and models, including research from Kurt Lewin, David Kantor, and Toyota Production Principles.

## FEEDBACK

*“The course has helped me understand why individuals react and behave in different situations and how their personalities can influence their behaviours. By understanding this I think it will help me interact and support colleagues, customers, associates and friends in the future. I’m learning how to adapt my own behaviours to get the most from a situation. The highlight for me has been interacting with others from different sectors and learning about how others approach different situations. There have been some really interesting conversations which have certainly made my perceptions change on why we do what we do. The facilitators have created a really safe relaxed environment where I feel confident to express my views and ask questions, with a bit of fun also thrown in”*



Rhaglen  
Cenhadon Newid  
Change Ambassador  
Programme

# OPERATIONAL SERVICE DELIVERY

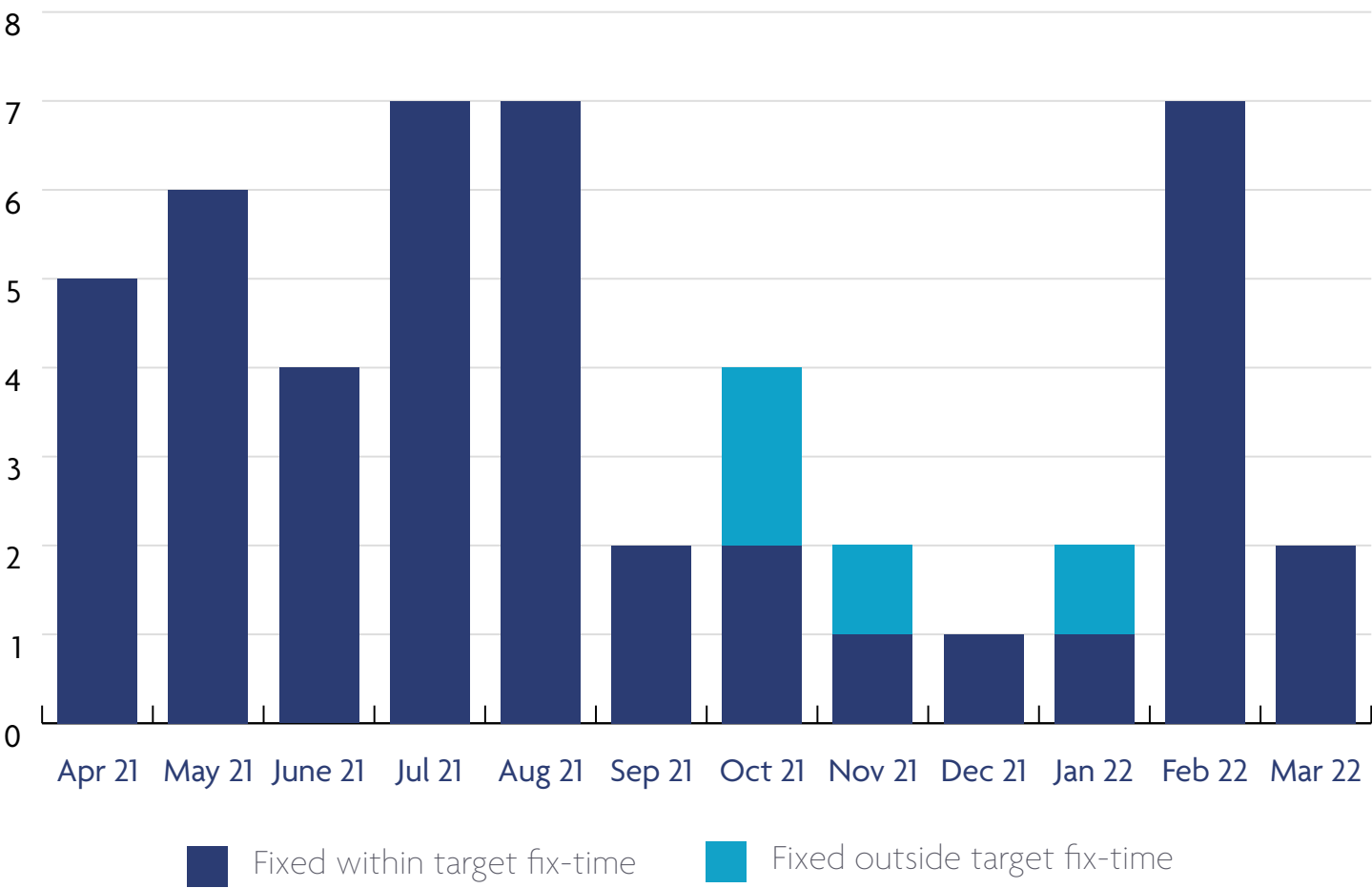
## SERVICE AVAILABILITY

Reliable operational digital services are the means to support health and care across NHS Wales every day. Staff have become dependent on the technology services we provide and expect them to be as available as utility supplies such as gas and electricity. In response we work proactively to maximise our infrastructure and prevent problems.

We are pleased to note that the delivery performance of our operational services during the year was good with an average availability of 99.94% with a total of 49 incidents which we would categorise as significant.

Significant incidents are those that affect a large number of users and may include issues such as delays in processing test results, downtime for a service or partial disruption to a service. Some of these incidents were the result of problems with 3rd party suppliers or problems with infrastructure running in health board premises. Of these significant incidents 92% were fixed within the target fix-time of either 4 hours or 8 hours, depending on the severity/impact of the incident.

Fig 5 - Significant IT Service Incidents



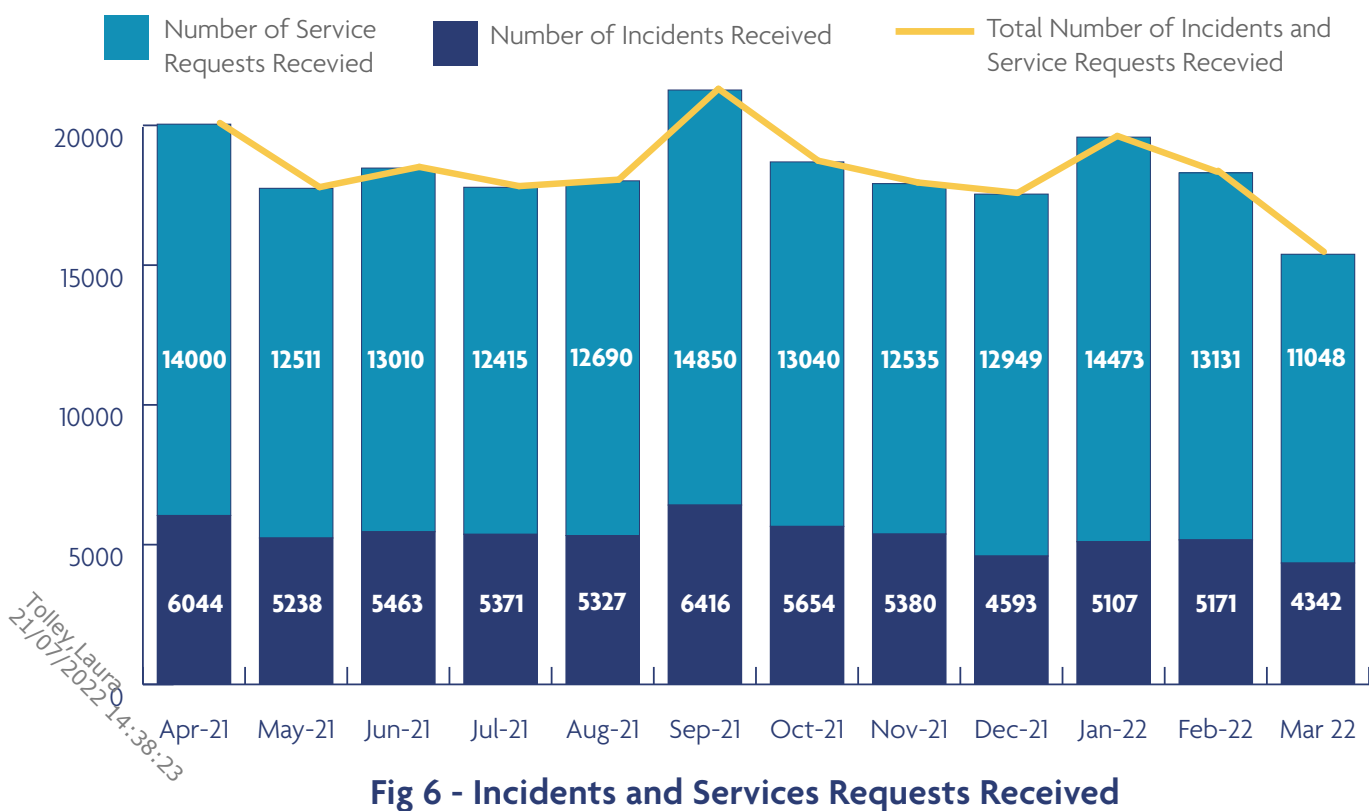
# SERVICE DESK

Our Award Winning 24hr/7 IT Service Desk provides support to DHCW users, NHS Wales Service Desks, GP surgeries and other NHS organisations who do not have their own service desks.

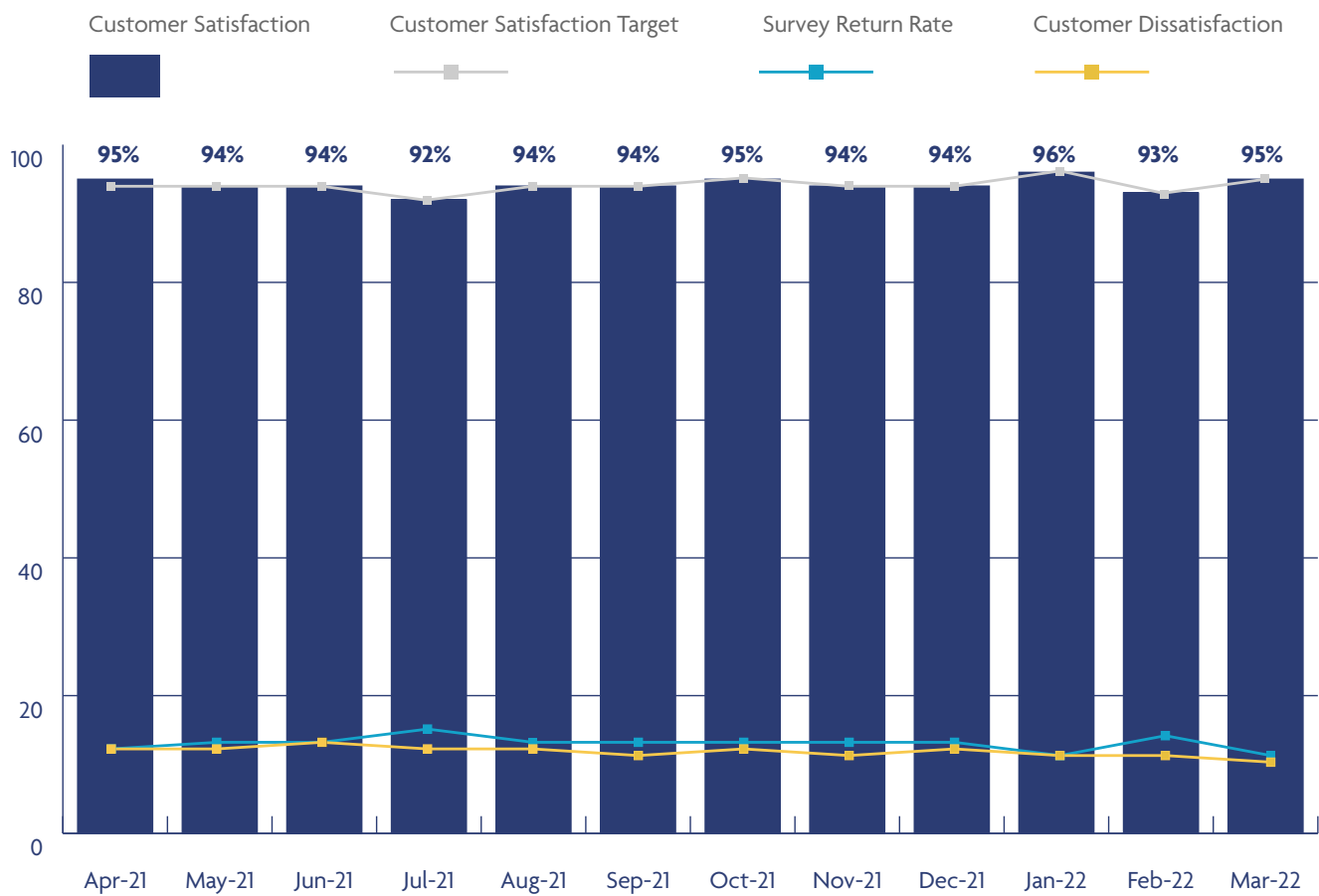
We were pleased that the service desk retained its **Service Desk Institute 3-star** accreditation as a customer led service desk following a successful audit, and also took third place at the national service desk institute awards.

DHCW has also been successfully audited against BS 10008 Evidential Weight & Legal Admissibility.

- This year the Service Desk logged over 205,000 calls from across NHS Wales
- On average, the Service Desk succeeded in answering 98.1% of calls (i.e. abandoned call rate is average 1.9% across the year).



Our Service Desk collects feedback on quality of service and based on the responses received, has maintained a customer satisfaction rate of 92% and over.





## AWARDS AND ACCOLADES

Throughout our first year as DHCW we have received UK recognition for our achievements.



### **‘BEST HEALTHCARE PROJECT’ - UK IT INDUSTRY AWARDS**

The team behind the digital Welsh Nursing Care Record (WNCR) won ‘Best Healthcare Sector IT Project of the Year’ in the prestigious British Computing Society (BCS) UK IT Industry Awards.

The category’s judges were seeking an ‘outstanding’ project that used IT to benefit the organisation and their clients. The WNCR has seen some impressive growth as rapid deployment has been taking place across the country, digitising Wales’ nursing records and bettering patient care for NHS Wales patients and staff.

### **DIGITAL CEO OF THE YEAR**

Helen Thomas, Chief Executive Officer of Digital Health and Care Wales, won ‘Digital CEO of the Year’ at the 2021 Digital Health Awards. The award celebrates the achievements of leaders making the ‘biggest contributions to UK healthcare IT’.

### **WELSH IMMUNISATION SYSTEM WINS NATIONAL DIGITAL IMPACT AWARD**

The digital system behind the COVID-19 vaccination roll out in Wales, the Welsh Immunisation System (WIS), has been presented with the People’s Choice Award for its impact during the pandemic at a ceremony in London.

### **DIGITAL LEADERS IMPACT AWARDS - PEOPLE’S CHOICE AWARDS**

Celebrating the digital technology innovations that improve people’s lives or deliver positive social impact, the People’s Choice Award is presented to the most popular of all finalists in every category and is decided via a public vote.

This year it was awarded to the Welsh Immunisation System, which was built in just 16 weeks by a team of software developers at DHCW. It competed with 36 other national contenders in the category, including NHS Covid Pass, the UK Cabinet Office, Riverford Organic Farmers and the BT Green Tech Innovation Platform.

### **GO AWARDS**

DHCW won the prestigious UK national Outstanding COVID-19 Response Award for NHS organisations at this year’s GO Awards.

The award recognises the outstanding work carried out by DHCW to deliver the Test, Trace, Protect Contact Tracing Solution, which is used by Local Authority staff to contact people who receive a positive Covid-19 test result.

Heralded as a landmark example of innovative procurement, it involved a rapid prototype process and close working with suppliers to build licensing models that reflected the scope and design of the solution. The approach delivered exceptional value within a condensed timeframe while meeting the requirements of procurement legislation.

The Government Opportunities (GO) Excellence in Public Procurement Awards have been celebrating the best in all aspects of public procurement since 2003. The DHCW team was up against strong competition with 15 other NHS organisations nominated, including NHS Supply Chain and NHS National Services Scotland.

### **SERVICE DESK INSTITUTE (SDI) AWARD**

DHCW gained third place in the globally recognised SDI Awards on 22nd March 2022. Our Service Desk were finalists in the Award’s Best Service Desk - Large Enterprise category, alongside Computacenter, NGSD and Capgemini.

The SDI represents thousands of companies and service desk professionals in over 150 countries. SDI’s awards praise IT service and support teams that deliver the highest levels of customer excellence and service to each and every customer.

## AREAS OF CHALLENGE

Recruitment challenges included building up to a full Special Health Authority workforce formation, developing a sustainable workforce model for COVID-19 – an area of uncertain requirements, and bringing in the right skills for key new digital programmes of work.

New recruitment initiatives were instigated, and the organisation kicked off a national digital workforce survey commissioned by Welsh Government to understand future role types needed. External contractors helped us deliver in areas needing specialist skills.

Challenges were also felt in balancing COVID-19 demands with core business, particularly around allocation of staff. However, this was resolved in the second half of the year.

In addition, there were areas of variability and requirements that entailed the use of our change control process to adapt the plan in a flexible manner.

This year saw significant progress in the move away from legacy systems, accelerated by the move to a new data centre, but the position requires close attention from operational teams and significant investment.

Pressures experienced by our commercial partners also impacted on delivery schedules.



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# PERFORMANCE AGAINST THE NHS WALES DELIVERY FRAMEWORK 21-22

## DELIVERY MEASURE 50

Qualitative report providing evidence of implementing actions to deliver the Welsh Language objectives as defined in More Than Just Words Action Plan.

TARGET MTHJW Monitoring Return      DHCW achieved Please see Welsh Language Section

## DELIVERY MEASURE 55

Percentage sickness absence rate of staff

TARGET Annual Improvement      DHCW achieved 2.86%, 2021/22 is the baseline year

## DELIVERY MEASURE 52

Percentage of headcount by organisation who have had a Personal Appraisal and Development Review (PADR) in the previous 12 months.



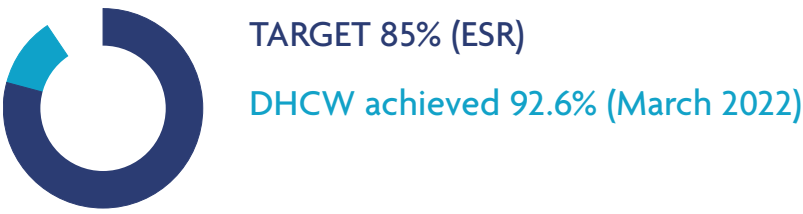
## DELIVERY MEASURE 59

Percentage of complaints that have received a final reply (under regulation 24 or an interim reply (under regulation 26) up to and including 30 working days from the date the complaint was first received by the organisation.



## DELIVERY MEASURE 53

Percentage compliance for all completed level one competencies within the core skills and training framework by organisation



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## WELSH LANGUAGE

The Welsh Language (Wales) Measure established a legal framework to impose duties on certain organisations to comply with standards. NHS Wales is one of these organisations and must comply with Welsh Language Standards (No 7) Regulations 2018. Digital Health and Care Wales as a hosted body of Velindre NHS Trust had a legislative duty to implement these standards up until it became a specialist health authority in April 2021.

During the year we have developed a Welsh Language Scheme and are committed to providing a level of Welsh Language services equivalent to the Welsh Language Standards being adopted by similar public organisations in Wales.

The new Welsh language scheme aims to:

- provide greater clarity to the organisation on its duties in relation to the Welsh Language
- provide guidance for Welsh speakers about the services they can expect to receive in Welsh
- ensure the Welsh Language is embedded into services delivery and development
- The duties which derive from the Standards mean that organisations in Wales should not treat the Welsh Language less favourably than the English language

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## YR IAITH GYMRAEG YN IGDC THE WELSH LANGUAGE AT DHCW

Mae IGDC yn sefydliad dwyieithog - DHCW is a bilingual organisation



94% of staff have updated their Welsh language skills on ESR

95% of staff have completed a Welsh language awareness course

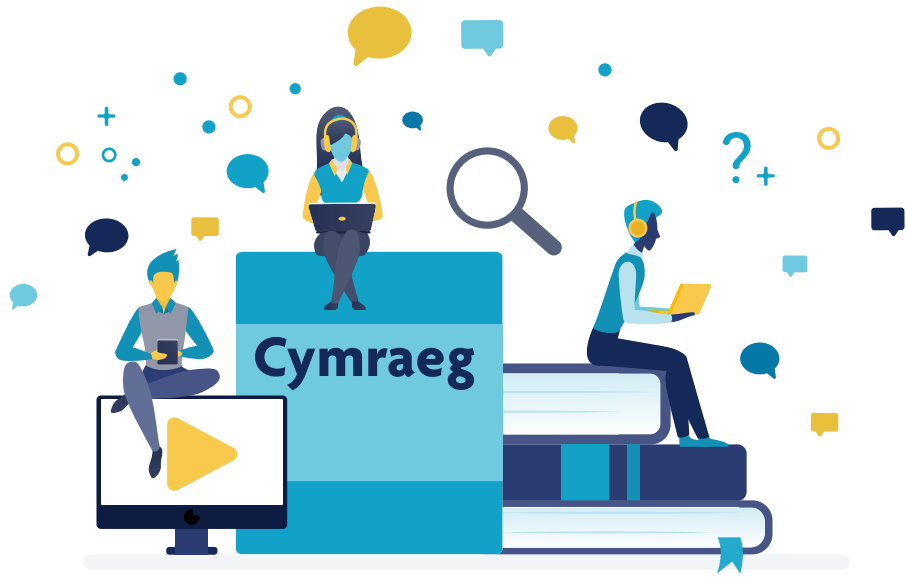


7% staff speak Welsh at level 3 or above

Activities undertaken throughout the organisation to actively promote use of the Welsh Language include:

- Development of a multi-disciplinary team, inclusive of Welsh speakers and representatives of all activities undertaken, to ensure compliance. The team is led by an the Director of ICT and Digital business, and Welsh Language Services Manager (both of whom speak Welsh as a first language), to ensure Welsh language requirements are considered in all existing and new developments.
- Recruitment of a Welsh Language Services Manager to oversee the implementation of the actions set out in the Welsh Language Scheme
- Setting up a service level agreement with NHS Wales Shared Services Partnership for translation services
- Setting up a service level agreement with Trosol translation to provide interpretation at board meetings
- Supporting the Welsh Language Commissioner with investigations
- Welsh language taster courses available to all staff
- A new Welsh speaker and learner Yammer group – ‘Siop Siarad’
- A new Welsh language SharePoint page to provide guidance for staff wishing to understand their legislative duties and explore opportunities to learn and improve Welsh language skills
- Engagement with new developments such as the NHS Wales App
- Collaborative Work with the More Than Just Words Task and Finish Group to develop a new 5-year plan led by the DHCW Audit and Assurance Committee Chair Marian Wyn Jones on behalf of Welsh Government.

Looking forward we are committed to building on our current provision of Welsh language training and activities to promote the use of Welsh in the workplace.



### NEW AND VACANT POSTS

Number of Jobs were categorised as:

Welsh Language Skills Essential - **2**

Welsh Language Skills needs to be learnt - **0**

Welsh Language Skills skills desirable - **440**

Welsh Language Skills not necessary - **6**

There were no Welsh language complaints during the period 2021 - 2022

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# SUSTAINABILITY

The NHS Wales Decarbonisation Strategic Delivery Plan demonstrates how NHS Wales can contribute to recovery and the Wellbeing of Future Generations (Wales) Act 2015, which addresses long-term persistent challenges such as poverty, health inequity, and climate change.

We recognise the climate emergency and the need for all those in the public sector to contribute to the ambitious net zero carbon by 2050 goal for Wales set by Welsh Government.

In late 2021 we developed the DHCW Decarbonisation Strategic Delivery Plan and have made significant progress in decarbonising our estate. However, we recognise that there is more to do. This delivery plan takes a fresh look at our building and energy needs, as well as procurement, travel, and other emissions sources. Some of these emissions are beyond our direct control; highlighting the challenge we have in working collaboratively to influence the decisions of others.

As an organisation, we are in a unique position to contribute towards reducing carbon emissions across the wider NHS by providing and improving digital solutions, such as those allowing for digital transfer and storing of information and solutions that allow for remote consultation.

While there are a number of activities that can help us lower our carbon emissions, we believe they must be undertaken as part of a comprehensive plan to ensure a complete transformation.

Crucially, our strategy is underpinned by the belief that any steps taken must consider not only how to address generated carbon emissions, but also how we as an organisation can become carbon efficient.

Our positive actions have contributed to embedding a sustainable culture within our organisation, reducing our negative effect on the environment. We will continue to actively work towards achieving our targets in this immensely important area.

# OUR CARBON FOOTPRINT

Our carbon footprint is calculated as the total number of greenhouse gas (GHG) emissions produced as a result of our activities and services, expressed as carbon dioxide equivalent. Carbon emissions are an important part of measuring our environmental impact. There are a number of Emission Reporting Categories (ERCs) that we monitor. We can use this information to target areas for improvement and achieve reductions.

DHCW first measured emissions in 2019-20 (as its predecessor organisation). This is known as our baseline year. Most of our operational carbon footprint during this year was attributed to electricity (80%) and gas (18%). Operational emissions during 2019-20 totalled 2757 MtCO<sub>2</sub>e (Metric Tons of Carbon Dioxide equivalent).

Year 2 (2020-21) saw an overall decrease in emissions of 27% to 2011 MtCO<sub>2</sub>e which is very positive, electricity emissions saw a significant decrease due to a change to a renewable energy supplier. Remote working also contributed to a decrease of building emissions but has been accounted for in a different manner to reflect home working emissions.

During Year 3 (2021-22), our current reporting year, we have seen a further decrease in our emissions

(37% from our baseline year) to 1719 MtCO<sub>2</sub>e due to a range of measures including utility contract reviews, moving to an EV fleet. The majority of staff continued to work remotely throughout this year.

Operational Emissions	Tonnes Co2e
Data Centres	660
Homeworking	601
Building Electricity	292
Commuting	70
Building Gas	58
Fleet	25
Business Travel	11
Water	1
Waste	1
<b>TOTAL</b>	<b>1719</b>

## CONCERNS AND COMPLAINTS HANDLING

In April 2021, the DHCW Board approved our Handling Concerns and Complaints policy. The policy focuses on swift resolution where possible. Where a complaint is made it outlines the timeframes for expected responses and emphasises organisational learning to inform service improvement.

A total of one concern and three complaints were received for 21/22.

Special Health Authorities do not currently sit within legislation relating to the NHS complaints policy 'Putting Things Right', which is aimed at patient facing organisations.

## LESSONS LEARNED

As a new organisation we set ambitious targets and adapted to new challenges in response the pandemic. In addition, our reach and contribution to the transformation of healthcare is extending, which brings with it complexity and a larger workforce.

Keeping priorities on-track and the extension of our work portfolio has required a close formal change management process and engagement with wider programme governance in NHS Wales. Some challenges arose due to ongoing and new COVID-19 requirements, dependence on third party suppliers and stakeholders not being available.

We led a national Digital Workforce Review commissioned by Welsh Government which looked at the roles across our organisations and the new roles we need to embrace to support this. Following the Review and expectations from Integrated Medium Term Plan (IMTP) significant workforce development and training is identified as a must do in order to embrace this challenge, acknowledging we are at the early stages of the journey.

Additions to our future plans will be based on our capacity, balanced with a flexible and agile process .

Over recent years the organisation has moved away from 'waterfall' developments that follow in sequence, such as analysis, design, development, and testing with each phase completely wrapping up before the next phase begins. We are moving towards an agile approach both for in-house development and when using external suppliers. Agile project management involves incremental and iterative steps to completing project, carried out in short-term development cycles. The approach prioritizes quick delivery, adapting to change, and collaboration rather than top-down management and following a set plan. This year will see the organisation build on this by adopting a Product Management approach.

Significant workforce developments and training are needed to embrace this challenge and we are at the start of the journey.

New organisational structures and senior posts have been planned for 2022/23 to reinforce our focus on digital strategy, product structures and workforce.

We also strengthened our collaboration with stakeholders such as Health Education and Improvement Wales, Welsh Government and the Wales Institute of Digital Information, and this will continue, to ensure we are all part of the community for healthcare transformation.



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## CONCLUSION AND FORWARD LOOK

Our first year as a Special Health Authority has been exciting and challenging. What we deliver matters to health professionals and to the people of Wales.

We have felt proud to support our NHS Wales colleagues, providing the digital services now so essential for efficient and effective patient care, and we are looking forward to meeting the challenges and embracing the opportunities of the coming year.

Looking ahead we continue to support NHS Wales staff with modern systems and data solutions to provide insight and to help Welsh citizens manage their own health.

Key areas of focus include, expanding digital services for nurses, new systems for critical care and emergency care and further development of citizen-facing services to transform care pathways.

As a forward-thinking organisation, we will continue to work with our stakeholders and partners to ensure our digital solutions make life easier for all, make a real impact, and place health data and quality at the core of all we do.

Our ambitious plans are set out in our Integrated Medium-Term Plan 2022 -2024.

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# THE ACCOUNTABILITY REPORT AND ACCOUNTS

## CORPORATE GOVERNANCE REPORT

The Corporate Governance Report provides an overview of the governance arrangements and structures that were in place across Digital Health and Care Wales Special Health Authority during 2020/21. It includes:

## THE ANNUAL GOVERNANCE STATEMENT

This is the main document in the Corporate Governance Report. It explains the governance arrangements and structures within the Special Health Authority and brings together how the organisation manages governance, risk and control.

## THE DIRECTORS’ REPORT

This provides details of the Board and Executive Team who have authority or responsibility for directing and controlling the major activities of the Special Health Authority during the year. Some of the information which would normally be shown here is provided in other parts of the Annual Report and Accounts and this is highlighted where applicable.

## THE STATEMENT OF ACCOUNTABLE OFFICER’S RESPONSIBILITIES AND STATEMENT OF DIRECTORS’ RESPONSIBILITIES

This requires the Accountable Officer, Chair and Executive Director of Finance to confirm their responsibilities in preparing the financial statements and that the Annual Report and Accounts, as a whole, is fair, balanced and understandable.



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# ANNUAL GOVERNANCE STATEMENT

## SCOPE OF RESPONSIBILITIES

The Board of Digital Health and Care Wales, established on the 1 April 2021, is accountable for:

- setting the strategic direction
- the governance framework
- organisational tone and culture
- steering the risk appetite and overseeing strategic risks
- developing strong relationships with key stakeholders and partners and
- the successful creation and delivery of the organisations Long Term Strategy.

The Board is accountable for Governance, Risk Management and Internal Control. As Chief Executive of the Board, I have responsibility for maintaining appropriate governance structures and procedures as well as a sound system of internal control that supports the achievement of the organisation’s policies, aims and objectives, whilst safeguarding the public funds and the organisation’s assets for which I am personally responsible. These are carried out in accordance with the responsibilities assigned by the Accountable Officer of NHS Wales.

This annual report outlines the different ways the organisation has had to work both internally and with partners in response to the unprecedented pressure in planning and providing services. It explains arrangements for ensuring standards of governance are maintained, risks are identified and mitigated, and assurance has been sought and provided.

Where necessary additional information is provided in the Governance Statement (GS), however the intention has been to reduce duplication where possible. It is therefore necessary to review other sections in the Annual Report alongside this Governance Statement.

This Governance Statement explains the composition and organisation of DHCW’s governance structures and how they support the achievement of our objectives. The background to DHCW, its functions and plans are set out in the [Performance Report](#).

The Board sits at the top of our internal governance and assurance system. It sets strategic objectives, monitors progress, agrees actions to achieve these objectives and ensures appropriate controls are in place and working properly. The Board also takes assurance from its Committees, assessments against professional standards and regulatory frameworks.

## OPENNESS AND TRANSPARENCY

When DHCW became a Special Health Authority there was an expectation that the Board, Committee meetings and advisory groups would be held in public in accordance with the Public Bodies (Admissions to Meetings) Act 1960. Due to the pandemic the organisation was unable to comply with the requirements of the Act and the organisations Standing Orders, however, we were committed to ensuring as far as possible we were being open and transparent, we achieved this through:

- Live streaming and recording our Public Board meetings and posting them to our website
- Advising stakeholders of our intention to hold Board meetings 10 days before Board meetings
- Sharing papers with members 7 days before, and publishing public papers on [our website](#) 7 days before Board and Committee meetings
- Providing abridged minutes of the Committee meetings held in private (Audit and Assurance and Digital Governance and Safety Committees) and publishing on our website
- Providing a highlight report of all Committee and Advisory Group meetings to the Board and publishing these on our website



Given the significant resource required to hold a live streamed meeting it was decided not to extend this solution to committee meetings. The decision was taken by our Board to share the papers and minutes of all public Committees via the DHCW website.

This approach has been under constant review and the decision has been taken to record all public Committee meetings and post those on our website in addition to the meeting papers from April 2022 onwards.

The Remuneration and Terms of Service Committee is a private Committee of the Board and so details of the meeting remain private. The Board advisory group, the Local Partnership Forum (LPF) is currently private, but in line with our commitment to openness and transparency it was decided that the abridged minutes of LPF meetings would also be published on our website from April 2022. Both the Remuneration and Terms of Service Committee and the Local Partnership Forum are held in private due to the personally identifiable information of a sensitive nature that is received at these meetings.

The reporting period for this Annual Governance Statement is focused on the financial year 1 April 2021 to 31 March 2022.

## OUR GOVERNANCE FRAMEWORK AND ASSURANCE SYSTEM

As a new statutory organisation 2021/22 has been a year of defining new and maturing governance arrangements across the organisation whilst still operating in the context of the pandemic.

DHCW, in line with all Health Bodies in Wales agreed standing orders for the regulation of proceedings and business of the organisation on the 1 April 2021. These standing orders are designed to translate the statutory requirements set out in the DHCW (Establishment and Constitution) Order 2020 into day-to-day operating practice. Together with the adoption of a scheme of matters reserved to the Board; a scheme of delegation to officers and others; and standing financial instructions, they provide the regulatory framework for the

conduct of business in DHCW and define its 'ways of working'. These documents, together with the range of corporate policies, including the Standards of Behaviour Policy set by the Board, make up the Governance Framework.

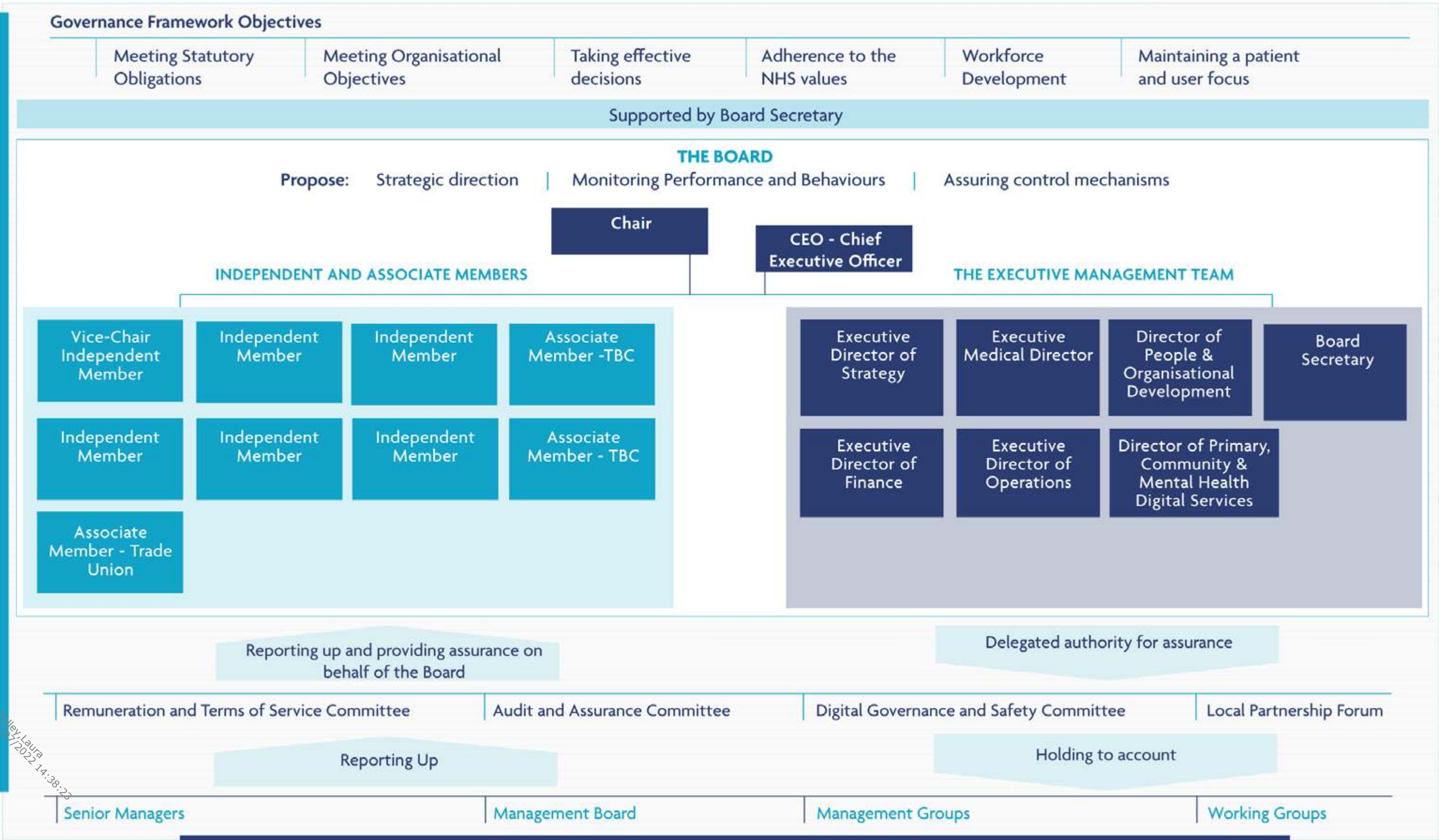
The Board approved the DHCW Governance Assurance Framework in January 2022. The purpose is to provide a working model for the management and oversight of the activity undertaken by DHCW to deliver the requirements for the Board. The framework describes the governance structure and decision-making process applicable to DHCW, it's available to view on our website here.

The policies and procedures approved by the Board on the 1 April 2021 were adopted as part of the transition from a hosted organisation to a statutory body. But as part of the transition to the new organisation, work was undertaken to ensure the rapidly growing workforce were aware and familiar with the policies and procedures adopted by the Board. This includes the standards of behaviour policy which includes information on the declarations of interest and gift, hospitality, sponsorship and honoraria which sets out the commitment by the Special Health Authority to ensuring that its employees and Independent Members practice the highest standards of conduct and behaviour. The policy sets out those expectations and provides supporting guidance so that all employees and Independent Members are supported in delivering that requirement/aim. Standards of behaviour report is received by the Audit and Assurance Committee at every meeting, this includes a declarations of interest register which is published as part of the public papers and separately on the DHCW website under 'Key Documents'.

The DHCW Business Continuity Plan was enacted throughout 2021/22 with the [Command structure](#) utilised in the DHCW response to the Covid-19 Pandemic. The DHCW Covid-19 Command Group SharePoint was established in 2020/21 at the outset of the pandemic, this provides linked decision and action logs for the relevant groups in the structure.

The Board agreed the new ways of working on the 1 April 2021, as Accountable Officer, I ensured these arrangements were monitored through reporting to Management Board and shared with the Local Partnership Forum for staff input and discussion.

FIG 8 - DHCW BOARD STRUCTURE



## THE ROLE OF THE BOARD

The Board has been constituted to comply with the Digital Health and Care Wales (Membership and Procedure) Regulations 2020. In addition to responsibilities and accountabilities set out in terms and conditions of appointment, Independent Members have worked with the Chair to agree their Board Champion roles where they act as advocates in identified issues to take forward in 22/23. These are detailed in [Appendix 1](#). Due to the recruitment activity taking place to ensure the DHCW Executive structure proposed by the Chief Executive Officer is fully realised, work to define and agree the Executive Board Champions will take place in early 22/23.

The unitary Board is made up of Independent Members and Executive Directors.

Throughout the year a number of changes took place to the membership of the Board, the substantive appointment of the Chair of the Board was made with Simon Jones taking post on 1 October 2021 and Robert Hudson the interim Chair stepping down on 30 September 2021. Sian Doyle the Chair of the Digital Governance and Safety Committee and Independent Member of the Board was appointed CEO of S4C and stood down from her post with DHCW on 30 November 2021 leaving a vacancy, which has been progressed in collaboration with the Public Bodies Unit in Welsh Government and the advert for the post went live in March 2022. The appointment is expected in June 2022. Rowan Gardner was appointed Chair of the Digital Governance and Safety Committee with David Selway taking up the Vice Chair position.

DHCW have available to them up to three associate members of the Board who would attend in an ex-officio capacity, one of whom was appointed and started on the 1 August 2021, the associate board member for trade unions. There are two positions remaining for potential recruitment.

At the start of the year there were four vacancies as outlined in the Executive structure proposal presented by the Chief Executive Officer and approved by the Remuneration and Terms of Service Committee in July 2021. The Executive Director of Strategy, Executive Director of Operations both voting members of the Board and the Director of People & Organisational Development and the Director of Primary, Community and Mental Health Digital Services, both attendees of the Board who do not have voting rights..

Ifan Evans was appointed the Executive Director of Strategy in December 2021 and started in April 2022. Gareth Davis was appointed as Interim Executive Director of Operations in March 2022 and started in April 2022 with recruitment to take place for a permanent appointment. Both positions are full members of the Board.

Sarah-Jane Taylor was appointed as the Director of People and Organisational Development in January 2022 and started in May 2022. Recruitment to the remaining post of Director of Primary, Community Care and Mental Health Digital Services will be undertaken in early 2022/23.

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During 2021/22 Board development and briefing sessions took place that included a focus on the following elements of governance:

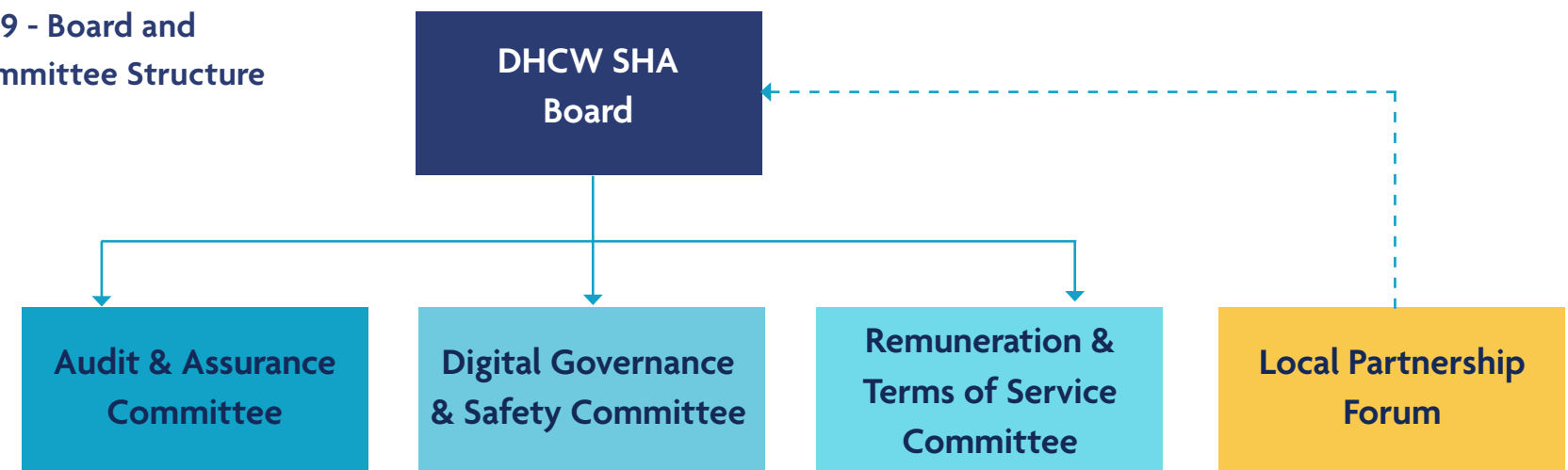
- Risk management and board assurance including risk appetite
- Socio Economic Duty and contributions to the wider foundational economy
- Performance Management Framework
- National Clinical Framework
- Purpose, Mission and Vision
- Baseline Governance Review
- Covid-19 learning and effective scrutiny audit
- Stakeholder Engagement Strategy
- Cloud Strategy
- National Data Resource Data Strategy
- A History of NHS Wales and the philosophy of NHS Wales
- A History to Today: Digital Health and Care in Wales
- An introduction to NHS Wales Governance
- Key Lessons Learnt & Stakeholder Engagement Approach from HEIW
- Development of the IMTP
  - Cluster Development
  - Research and Innovation Strategy

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A number of training and information sessions were undertaken by the Board in 21/22:

- NHS Wales Governance Landscape
- An Introduction to Audit Wales and Internal Audit
- Counter Fraud Awareness Training
- Procurement Training
- Race Equality Action Plan: An Anti-racist Wales
- Cyber Security

**Fig 9 - Board and Committee Structure**



Full membership of the Board is outlined in [Appendix 1](#). Below is a summary of the Board and Committee structure. This is reflective of the proposed structure in the DHCW model standing orders. There were no instructions from the Welsh Government or proposals by the Board to introduce further Committees or advisory groups during 2021/22.

The Board provides leadership and direction to the organisation and has a key role in ensuring the organisation has sound governance arrangements in place. The Board also seeks to ensure the organisation has an open culture and high standards when conducting its work. Together, Board members share corporate responsibility for all decisions and play a key role in monitoring the performance of the organisation. All the meetings of the Board during 2020/21 were appropriately constituted with a quorum. The key business and risk matters considered by the Board during 21/22 are outlined in this statement and further information can be obtained from meeting papers available on our website.



# ROLE OF THE COMMITTEES

The Board has established three committees, the Audit and Assurance Committee, Remuneration and Terms of Service Committee and the Digital Governance and Safety Committee. These committees are chaired by the Chair or Independent Members of the Board and have key roles in relation to the system of governance and assurance, decision making, scrutiny and in assessing current risks. The committees provide assurance and key issue reports to each Board meeting to contribute to the Board’s assessment of assurance and to provide scrutiny on the delivery of objectives.

The Board is responsible for keeping the committee structure under review and reviews its standing orders on an annual basis. The Board will consider whether any changes are needed during 2022/2023 in line with the Board’s governance framework and priorities of the Integrated Medium-Term Plan. DHCW is committed to openness and transparency with regard to the way in which it conducts its committee business. The DHCW Board and its committees aim to undertake the minimum of its business in closed sessions and ensure business wherever possible is considered in public with open session papers published on DHCW’s website. Closed sessions of Board and Committee meetings are only held due to the confidential nature of the business being addressed. Such confidential matters may include commercially sensitive issues, matters relating to personnel issues or discussing plans in their early and formative stages. In addition, the Annual Committee and Advisory Group Annual Reports give an overview of the activity undertaken across the year and can be found here:

- [Audit & Assurance Committee](#)
- [Digital Governance & Safety Committee](#)
- [Remuneration & Terms of Service Committee](#)
- [Local Partnership Forum](#)

# AUDIT AND ASSURANCE COMMITTEE

An important Committee of the Board in relation to this Annual Governance Statement is the Audit and Assurance Committee. The Committee keeps under review the design and adequacy of DHCW’s governance and assurance arrangements and its system of internal control. During 21/22, key issues considered by the Audit and Assurance Committee relating to the overall governance of the organisation included:

- Revisiting its terms of reference, which will be kept under regular review
- Approving the Internal Audit Plan for 2021/22 and keeping under review the resulting Internal Audit Reports. Noting key areas of risk and tracking the management responses made to improve systems and organisational policies
- Ensuring effective financial systems and controls procedures are in place
- Monitoring the risk management systems
- Developing arrangements to work with Audit Wales (AW), and considering, the 2020 Structured Assessment and AW’s 2021 Audit Plan
- Monitoring progress on the development of the Welsh Language Scheme for DHCW
- Developing and endorsing new policies, strategies and framework in support of good governance and appropriate control.

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## REMUNERATION AND TERMS OF SERVICE COMMITTEE

The Remuneration and Terms of Service Committee has the purpose of providing advice to the Board on remuneration and terms of service for the Chief Executive, Executive Directors and other senior staff within the framework set by the Welsh Government and provide assurance to the Board in relation to DHCW's arrangements for the remuneration and terms of service, including contractual arrangements, for all staff, in accordance with the requirements and standards determined for the NHS in Wales.

During 2020/21 key issues considered by the Remuneration and Terms of Service Committee included:

- Performance of Executive Directors against individual objectives
- Executive Team structure
- National pay award for members of staff
- Ratification of Executive Team posts including remuneration
- Secondment agreements

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## DIGITAL GOVERNANCE AND SAFETY COMMITTEE

The Digital Governance and Safety Committee advises and assures the Board with regard to the quality and integrity; safety, security and appropriate use of information and data to support health and care delivery and service improvement and the provision of high-quality digital health and care. Key issues considered by the Committee in 21/22 relating to their remit included:

- Revisiting its terms of reference, which will be kept under regular review
- Cyber Security arrangements
- Incident review and organisational learning
- Information Governance
- Information Services Assurance
- Informatics Assurance
- Major national digital Programmes and Projects Assurance Dashboard
- Health and Care Standards relevant to the Committee

## EFFECTIVENESS SELF-ASSESSMENT

All Committees of the Board undertook a self-assessment for 2021/22 between January and March 2022 and provided a report to the Board on the finding including an identified action plan.

The Audit and Assurance Committee questionnaire was based on the Audit Committee Handbook and circulated to Committee members and attendees. Respondents included representatives from AW and Internal Audit.

The Digital Governance and Safety Committee and Remuneration and Terms of Service Committee questionnaires were based on the composition, establishment and duties, then Committee leadership and support questions of the Audit and Assurance Committee.

The findings overall found the atmosphere of the Committees and Board meetings to be conducive to open and productive debate and the behaviour courteous and professional. Meeting were found to be well run and supported by the Corporate Governance team effectively.

There were several education and awareness raising items identified to take forward:

- Digital Governance and Safety Committee identified Information Governance and Cyber security training.
- Remuneration and Terms of Service Committee members have asked for an overview of the skills strategy section from the People and OD strategy once approved

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21/07/2022 14:38:23

## MEMBERSHIP OF THE BOARD AND IT'S COMMITTEES

[Appendix 1](#) outlines the membership and attendance of the Board and its Committees for the period 1 April 2021 to 31 March 2022. Members undertake a range of other activities on behalf of the Board including Board Development and Briefing Session, internal and external meetings.

Any proposed changes to the structure and membership of Board committees requires Board approval. The Audit and Assurance Committee, together with the Digital Governance and Safety Committee, has considered its own terms of reference and recommended changes to the Board. The Board will ensure that terms of reference for each committee are reviewed annually to ensure the work of Committees clearly reflects any governance requirements, changes to delegation arrangements or areas of responsibility. All Committees and Advisory Groups of the Board have developed annual reports of their business and activities which were received and noted in March 2022. The lead officers are included in [Appendix 2](#) and the schedule of Board and Committee meetings 21/22 is included at table [Appendix 3](#).

## LOCAL PARTNERSHIP FORUM

The DHCW Local Partnership Forum (LPF) provides the formal mechanism for social partnership within DHCW as well as providing a vehicle for engagement, consultation, negotiation and communication between trade unions and DHCW management. During 2020/21 the LPF has met bi-monthly and focussed on both strategic and practical issues including culture and organisational development, employment policies, equality and diversity, staff wellbeing and welfare.

# THE PURPOSE OF THE SYSTEM OF INTERNAL CONTROL

DHCW’s Board system of internal control is designed to manage risk to a reasonable level rather than to eliminate all risks. It can therefore only provide reasonable and not absolute assurances of effectiveness.

The system of internal control is based on an ongoing process designed to identify and prioritise the risks to the achievement of the policies, aims and objectives. It also evaluates the likelihood of those risks being realised and the impact should they be realised, and to manage them efficiently, effectively, and economically. The system of internal control has been in place for the year ended 31 March 2022 and up to the date of approval of the annual report and accounts.

A system of internal control was in place as a hosted organisation, the work undertaken in 21/22 has focused on consolidating that and developing the Risk and Board Assurance Framework Strategy and associated implementation. The Strategy was approved by the Board in May 2021 and work began to draft a Board Assurance Framework and identify all the key controls and lines of assurance to be reported to the Board. This work has been completed and is planned for inclusion in the Board Assurance Framework work at the May 2022 Board meeting. We will use the BAF system and process to monitor, seek assurance and ensure that shortfalls are addressed through the scrutiny of the Board and its Committees. Oversight of our Corporate Risk Register system is provided through the scrutiny and monitoring of the Board and its Committees.

Key controls are defined as those controls and systems in place to assist in securing the delivery of the Board’s strategic objective. The effectiveness of the system of internal control is assessed by our internal and external auditors.

Fig 10 - Board Control Framework



## CAPACITY TO HANDLE RISK

As previously highlighted the need to plan and respond to the COVID-19 pandemic presented a number of challenges to the organisation. A number of new and emerging risks were identified. Whilst the organisation did have a major incident and business continuity plan in place, as required by the Civil Contingencies Act 2004, the scale and impact of the pandemic has been unprecedented. Significant action has been taken at a national and local level to prepare and respond to the likely impact on the organisation and population. This has also involved working in partnership on the multi-agency response as a key member of the Covid-19 Digital Cell. There does remain a level of uncertainty about the overall impact this will have on the immediate and longer-term delivery of services by the organisation, although I am confident that all appropriate action is being taken.

The organisation continues to work closely with a wide range of partners, including the Welsh Government as it continues with its response, and planning into the recovery phase. It will be necessary to ensure this is underpinned by robust risk management arrangements and the ability to identify, assess and mitigate risks which may impact on the ability of the organisation to achieve their strategic objectives.

The Chief Executive/Accountable Officer has overall responsibility for the management of risk for DHCW but the SHA's lead for risk is the Board Secretary. This means leading on the design, development and implementation of the Risks Management and Board Assurance Framework Strategy. Internal Audit have identified the need for the development and approval of a Board Assurance Framework and associated report to the Board, the work to complete this has been ongoing across the year.

The first step in this journey was the approval of the Risk and Board Assurance Framework Strategy in May 2021 which will be reviewed on a 3-year basis. Work by the Board continued throughout the year to define the principal risks to the strategic objectives,

the organisational risk domains, risk appetite and tolerances which will be reviewed on an annual basis. Our Risk Management Policy was part of the suite of policies adopted by the Board from our hosted body on the 1 April 2021, this has been reviewed in line with the new Risk and BAF Strategy to ensure consistency in approach and both documents were published in April 2022 and made available to the DHCW website. DHCW's risk appetite statement, set out below, describes DHCW's approach to risk management and the risks it is prepared to accept or tolerate in the pursuit of its strategic goals:

- DHCW must take risks to achieve its strategic aims and deliver beneficial outcomes to stakeholders
- Risks will be taken in a considered and controlled manner
- Exposure to risks will be kept to a level of impact deemed acceptable by the Board
- The acceptable level may vary from time to time and will therefore be subject to at least annual review and revision
- Any risk outside our agreed appetite may be accepted and will be subject to a governance process to ensure visibility and management
- Some particular risks above the agreed risk appetite may be accepted because:
  - the likelihood of them occurring is deemed to be sufficiently low
  - they have the potential to enable realisation of considerable reward/benefit
  - they are considered too costly to control given other priorities
  - the cost of controlling them would be greater than the cost of the impact should they materialise
- there is only a short period of exposure to them
- mitigating action is required by an external party

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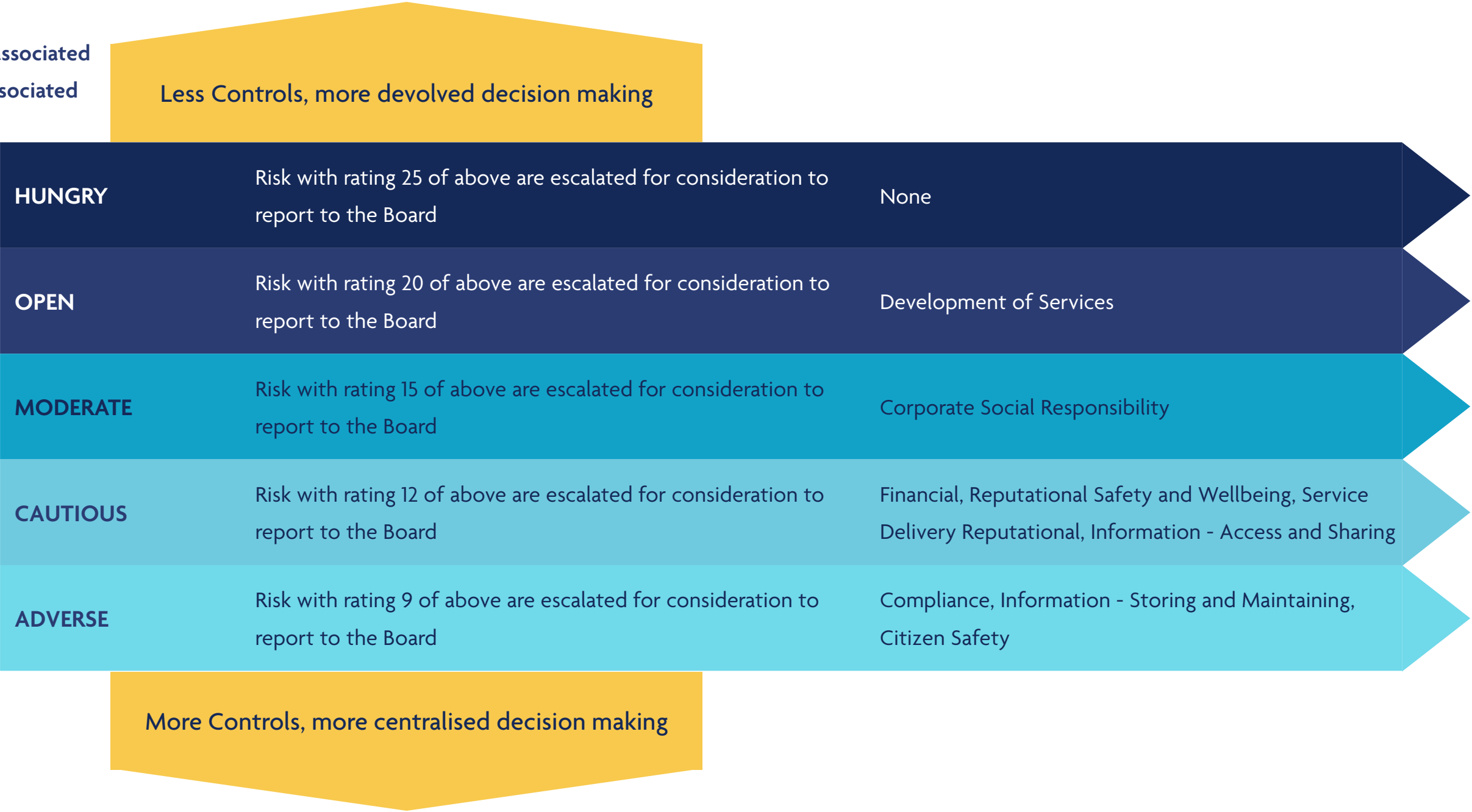


DHCW’s risk appetite takes into account its capacity for risk, which is the amount of risk it is willing to accept in pursuit of its objectives having regard to its financial and other resources, before a breach in statutory obligations and duties occurs.

The risk tolerance gives guidance regarding escalation for risks across its activities, the below infographic provides details on the risk domains identified and agreed by the DHCW Board, associate appetite, tolerance levels and sets the expectation of the Board regarding the number of key controls when reviewing Corporate Risks in those categories in the Board Assurance Report.

All risks will be clearly linked to organisational objectives with a line of sight to the BAF. As a part of the development of our BAF, which included full engagement with the Board, five strategic risks were identified and signed off at the first Board meeting of 2022/23 in May 2022.

**Fig 11 - Risk Impact Domain, associated risk appetites and level of associated control**



Tolley, Laura  
21/07/2022 14:38:23

# CURRENT PRINCIPAL RISKS AGAINST OUR STRATEGIC OBJECTIVES

Principal risks have been identified that link back to the five strategic objectives, the Board Assurance dash board will be reported to the SHA Board and will detail how DHCW are mitigating these principal risks to ensure the delivery of our strategic objectives.

STRATEGIC OBJECTIVE	PRINCIPAL RISKS
1. Enabling digital transformation supporting joined up, consistent care	IF we do not co-design services with users supported by common standards and collaborative ways of working THEN our development may not meet user needs and there will be complexity and silos across our systems RESULTING IN not being able to transform at pace
2. Delivering high quality technology, data products and services to support efficiencies and improvements in care processes	IF we do not deliver secure, accessible, resilient products and services of high quality THEN the ability of health and care partners to deliver and modernise services is compromised RESULTING IN less effective, less sustainable care that could cause harm and would not meet the expectations of patients or professionals.
3. Expanding the content, availability and functionality of the digital health and care record so that care and treatment quality is improved	IF we fail to expand the content, availability and functionality of the Digital Health and Care Record at the required pace THEN information could be incomplete, inconsistent, or held in different places RESULTING IN a reduced ability to use information to inform care and empower citizens, leading to better outcomes.
4. Driving Value and innovation for better outcomes and value-based care	IF we do not focus making use of data and innovation to improve outcomes THEN we may not be optimising value for citizens RESULTING IN less sustainable health and care services and reduced or delayed benefit for the public and patients.
5. Becoming the trusted strategic partner and a high performing, inclusive, ambitious organisation supporting our workforce and stakeholders	IF we do not become a trusted partner and a high performing inclusive organisation THEN people will not want to work with and for us RESULTING IN a failure to achieve our strategic ambition of delivering world leading digital services.

# RISK MANAGEMENT FRAMEWORK

The Board sees active and integrated risk management as key elements of all aspects of our functions and responsibilities especially in order to support the successful delivery of our business. The Board and its Committees identify and monitor risks.



Fig 12 - Corporate Risk Register Review Flow Chart

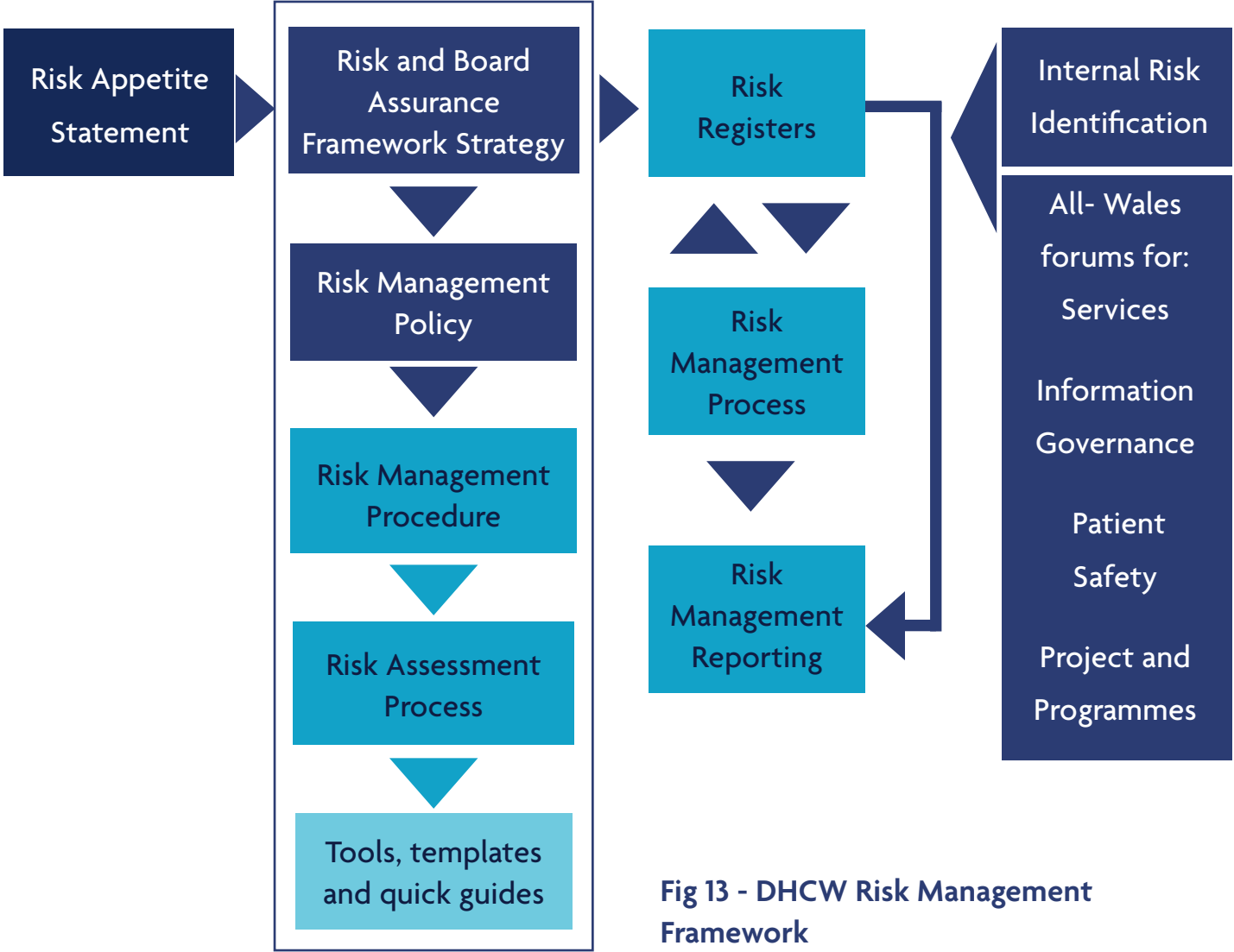


Fig 13 - DHCW Risk Management Framework

The framework includes strategy to operational tools and provides the working context for the staff in the organisation with regard to the management of risk from identification and scoring through to monitoring.

DHCW engages in collaborative risk management through a number of fora with regard to service development and management, project and programmes, information governance and patient safety. These groups involve health board, trust and SHA colleagues as well as Welsh Government and citizens. The risks identified in the fora are managed in the same organisational system which allows for escalation and management to the required level with work currently underway to define a national risk approach for national or systems digital risks.

# EMBEDDING EFFECTIVE RISK MANAGEMENT

Members of DHCW’s corporate governance team provide training, support and advice to the organisation with regard to effective risk management these include:

<p><b>INTRODUCTION TO RISK MANAGEMENT</b></p> <p>This training provides an overview of how to identify, score, write, monitor, and escalate a risk.</p>	<p><b>RISK MANAGEMENT FOR RISK OWNERS AND HANDLERS</b></p> <p>This training provides detailed information regarding how to use the organisations risk management system and re-validates the risk assessment and management process with a focus on the control and assurance elements of risk.</p>	<p><b>RISK AND BOARD ASSURANCE FRAMEWORK</b></p> <p>This training targets expanding the knowledge of strategic risk and the approach outlined in the Risk and Board Assurance Framework Strategy. It focuses on the difference between the BAF and the Corporate Risk Register.</p>
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## THE CONTROL FRAMEWORK

NHS Wales organisations are not required to comply with all elements of the [corporate governance code](#) for central government departments.

The information provided in this governance statement provides an assessment of how we comply with the main principles of the code as they relate to DHCW as an NHS public sector organisation. DHCW is following the spirit of the code to good effect and is conducting its business openly and in line with the code. As this was DHCW’s first year of operation and responding to the Covid-19 pandemic a Self-assessment has not been undertaken.

However, work is planned for quarter 3 of 2022/23 for DHCW to undertake a full self-assessment against the principles of the code as they relate to NHS public sector organisations in Wales and the governance, leadership and accountability standard.

DHCW’s Board recognises that not all reporting elements of the code are outlined in this governance statement but that a self-assessment against the criteria has been undertaken through the various reviews and audits during 2021/22. These are covered in this annual report with activity such as the [baseline governance review](#) and [internal audit](#) report into governance part 1, the [annual assessment of effectiveness](#), the [Board development work on risk and board assurance](#) and the validation of the strategic objectives. There have been no reported departures from the corporate governance code.

DHCW’s risk management framework complies materially with the Orange Book Management of Risk principles taking into account the organisation’s size, structure and needs.

There have been no reported departures from the orange book. The orange book can be accessed at [gov.uk](#).

## HEALTH AND CARE STANDARDS

The health and care standards set out the requirement for the delivery of health care in Wales. As a health organisation with no direct delivery of care, our focus in respect of the health care standards relate to staff and resources. Improvements to these areas are captured in our performance report. An annual review against the standards is undertaken by the relevant senior leaders in the organisation and the finding reported to the Audit and Assurance Committee and the Digital Governance and Safety Committee to ensure oversight and scrutiny in the relevant areas.

## OTHER CONTROL FRAMEWORK ELEMENTS

### QUALITY AND DUTY OF CANDOUR

The new Duty of Quality and the new Duty of Candour are due to come into legal force in April 2023, in line with the Health and Social Care (Quality and Engagement) (Wales)(Act) 2020. The new Duties will require the Special Health Authority to report annually on compliance with those duties and to publish their reports in the annual accounts and performance report. These new reporting requirements will therefore be captured in the reporting period 2023/24

In the interim it is anticipated that there will be:-

- A non-statutory implementation of the Duty of Quality in Autumn/Winter 2022.

This will allow for testing the quality reporting indicators, measures and narrative framework concepts being developed during the duty of quality implementation phase as a hybrid reporting process for 2022/23. In the meantime, quality reporting requirements are embedded in the [Performance Section](#) of this Annual Report.

- A non-statutory implementation period during the Autumn/Winter 2022 regarding the Duty of Candour.

This to allow NHS bodies, including primary care providers to prepare for the new reporting requirements under the Duty of Candour and also undertake and roll out training and awareness sessions.

### COUNTER FRAUD

In line with the NHS Protect Fraud, Bribery and Corruption Standards for NHS Bodies (Wales), the Local Counter Fraud Specialist (LCFS) and Executive Director of Finance agreed at the beginning of the financial year a work plan for 2021/22 which was approved by the Audit and Assurance Committee in May 2021. Updates on delivering against this work plan have been provided to the Audit and Assurance Committee during 2021/22.

### COMPLIANCE WITH EQUALITY, DIVERSITY, AND HUMAN RIGHTS LEGISLATION

DHCW retained the external accreditations BS76000 Valuing People and BS76005 Valuing People through Diversity and Inclusion which shows our ongoing commitment and compliance with equality, diversity, and human rights legislation. DHCW is committed to putting people at the centre of everything it does. The vision is to create an accessible and inclusive organisational culture and environment for everyone that also complies with the provision of the Equality Act 2010. Our Equality and Diversity policy is published on our website and is based on the following guiding principles:

- Digital Health and Care Wales will seek to employ a workforce that reflects all sections of society within the communities of Wales for which it serves.
- Every employee should feel respected and able to be their authentic self and give their best to their roles.
- Employees will be supported and encouraged to develop their full potential and their talents and resources of the workforce will be fully utilised to maximise the efficiency of the organisation. Individual differences will be recognised and valued and no form of intimidation, bullying or harassment will be tolerated.
- Staff will be supported where they feel they are being unfairly treated and encouraged to report any incidents of hate crimes against them or people around them.
- All of the Digital Health and Care Wales employment policies and practices and service developments will be equality impact assessed to avoid discrimination and to ensure mitigation where protected groups could be adversely affected under the Equality Act 2010.

An overview of actions in relation to equality and diversity can be seen in our [staff and remuneration report](#). DHCW will be producing an Annual Equality Report for 2022/23.



## MODERN SLAVERY ACT 2015 – TRANSPARENCY IN SUPPLY CHAINS

The Welsh Government's Code of Practice: Ethical Employment in Supply Chains was introduced to highlight the need, at every stage of the supply chain, to ensure good employment practices exist for all employees, both in the United Kingdom and overseas.

DHCW is committed to embedding the principles and requirements of the Code and the Modern Slavery Act 2015. In doing so it is demonstrating the Commitment to our role as a public sector employer, to eradicate unlawful and unethical employment practices, such as:

- Modern Slavery and Human rights abuses
- False self-employment
- Unfair use of umbrella schemes and zero hours contracts; and
- Not paying the Living Wage.

During 21/22 DHCW took the following actions:

- It paid the governments living wage rate on its lowest pay scale, which is at Agenda for change band 3
- It has a Raising Concerns (Whistle blowing) Policy, which provides the workforce with a fair and transparent process, to empower and enable them to raise suspicions of any form of malpractice, by either our staff or suppliers / contractors working on DHCW premises

- It has a target in place to pay our suppliers within 30 days of receipt of a valid invoice
- It has robust IR35 processes, which ensures that there is no unfair use of false self-employed workers or workers being engaged under umbrella schemes. These processes also ensure the fair and appropriate engagement of all workers and prevents individuals from avoiding paying Tax and National Insurance contributions. It also ensures that no worker is unduly disadvantaged in terms of pay, rights or substantive employment opportunities.
- It does not engage or employ staff or workers on Zero Hours Contracts
- It has a robust Recruitment and Selection Policy and Procedure, which ensures a fair and transparent process
- It has a robust Equality and Diversity Policy, which ensures that no potential applicant, employee or worker engaged by DHCW is in any way unduly disadvantaged, in terms of pay, employment rights, employment, training and development or career opportunities
- In accordance with the Transfer of Undertaking (Protection of Employment) Regulations any DHCW staff that may be required to transfer to a third-party organisation, will retain their NHS pay and Terms and Conditions of Service.

## PENSION SCHEME

As an employer with staff entitled to membership of the NHS pension scheme, control measures are in place to ensure all employer obligations contained within the scheme regulations are complied with. This includes ensuring that deductions from salary, employer's contributions and payments into the scheme are in accordance with the scheme rules, and that member pension scheme records are accurately updated in accordance with the timescales detailed in the regulations.

## WELSH RISK POOL

The Welsh Risk Pool Services (WRPS) is a risk sharing mechanism, akin to an insurance arrangement, which provides indemnity to NHS Wales's organisations against negligence claims and losses. Individual NHS organisations must meet the first £25,000 of a claim or loss, which is similar to an insurance policy excess charge. The Board along with its internal sources of assurance, which includes its internal audit function provided by NHS Shared Services, also uses sources of external assurance and reviews from auditors, regulators and inspectors to inform and guide our development. The outcomes of these assessments are being used by the Board to further inform our planning and the embedding of good governance across a range of the organisation's responsibilities.

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## CARBON REDUCTION DELIVERY PLAN

The DHCW Board approved the Decarbonisation Strategic Delivery Plan 2021-2030 at the March 2022 Board, details on the delivery plan can be found in the [Performance Report](#). The plan has been developed to support the ambitions set out within the NHS Wales Decarbonisation Strategic Delivery Plan which outlines how NHS Wales can contribute to the recovery and its commitment to the Wellbeing of Future Generations (Wales) Act 2015, which addresses long-term persistent challenges such as poverty, health inequity, and climate change. DHCW has liaised with Welsh Government on the emissions reporting which are fully compliant with the Welsh Government requirements as set out in the NHS Wales strategic Decarbonisation Strategic Delivery Plan and no significant issues have been identified This is reported through the Audit and Assurance Committee.

## INFORMATION GOVERNANCE AND DATA BREACHES

DHCW reports on information governance a quarterly basis to the Digital Governance and Safety Committee and undertakes an annual review of Information Governance arrangements using the national information governance toolkit. This report is received by the Digital Governance and Safety Committee and actions are monitored through the ongoing quarterly reporting.

Incidents resulting in a data breach are reported in accordance with DHCWs statutory requirements. Under the Data Protection Act 2018 (DPA) personal data breaches (as defined by the Act) are considered a breach of security leading to the accidental or unlawful destruction, loss, alteration, unauthorised disclosure of, or access to, personal data.

Personal data breaches (as defined in the DPA) are required to be risk assessed to determine the risk to living individuals and the risks to the rights and freedoms of living individuals. Personal data breaches resulting in likely risk to living individuals and a high risk to individuals rights and freedoms must be reported to the Information Commissioners Office (ICO), and to relevant parties where the breach is likely to result in a high risk to the rights and freedoms of individuals.

All data breaches are appropriately investigated by our Information Governance team and are reported to the Digital Governance and Safety Committee. Where appropriate or mandated, data breaches are reported to Welsh Government.

During 2021/22, we recorded a total of six incidents resulting in potential personal data breaches. Of these incidents, none met the assessment criteria for reporting to the ICO. None of the six incidents met the required threshold for notification to Welsh Government.

## MINISTERIAL DIRECTIONS

Whilst Ministerial Directions are received by NHS Wales organisations, these are not always applicable to DHCW. Ministerial Directions issued throughout the year are listed on the Health and Social Care pages of the Welsh Government website. Details of the Ministerial Direction received and their applicability to DHCW as at year end 31 March 2021 are included at [Appendix 4](#).

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# PLANNING ARRANGEMENTS

The Welsh Government provided alternative instructions for the planning cycle 21/22, organisations were required to produce an Annual Plan for 2021/22 rather than a full three year Integrated Medium Term plan due to the uncertain environment responding to the Covid-19 pandemic. This was submitted in March 2021; feedback was provided by the WG requesting areas for further consideration:

- Further engagement needed with stakeholders, including social care, to ensure alignment across the system and ensure social care is a key part of DHCW's digital strategy and portfolio roadmaps.
- The plan indicates that workforce capacity gaps are considered in planning assumptions. Further assurance is required on risks and mitigations relating to potential shortfall in recruitment, including any impacts on the capacity and deliverability of the plan including leveraging all commercial mechanisms to maintain pace of delivery.
- Clearly demonstrate how the organisation will support the system with the ongoing COVID response alongside delivering core activity and addressing any backlog in activity. This should triangulate with workforce and financial plans and take account of emerging recommendations falling out of the strategic reviews being undertaken by Welsh Government (e.g. Workforce, infrastructure etc.).

An addendum was drafted and submitted after Board approval, the WG subsequently approved the Annual Plan.

# REVIEW OF EFFECTIVENESS

As Accountable Officer, I have responsibility for reviewing the effectiveness of the system of internal control. My review of the system of internal control is informed by the work of the internal auditors and the executive officers within the organisation who have responsibility for the development and maintenance of the internal control framework and comments made by external auditors in their audit letter and other reports.

The Board and its Committees rely on several sources of internal and external assurance which assess the effectiveness of the Special Health Authority's system of internal control and advise where there are areas for improvement. These elements are detailed above in the diagram of the [DHCW Board Control Framework.](#)

The processes in place to maintain and review the effectiveness of the system of internal control include:

- Board and committee oversight of internal and external sources of assurance and holding to account Executive Directors and Senior Managers
- Executive Directors and Senior Managers who have responsibility for development, implementation and maintenance of the internal control framework and the continuing improvement in effectiveness within the organisation
- The oversight of operational risk through the Board and its Committees
- Oversight of fraud risk through the Cardiff and Vale Local Counter Fraud team
- The monitoring of the implementation of recommendations through the audit tracker overseen by the Audit and Assurance Committee
- Audit and Assurance Committee oversight of audit, risk management and assurance arrangements

All Committees of the Board provided an annual report to the March 2022 Board detailing the work undertaken by the relevant Committee within the year and the key decisions taken.

I am satisfied that generally the mechanisms in place to assess the effectiveness of the system of internal control are working well and that the Special Health Authority has the right balance between the level of assurance I receive from my Executives, Board and Board Committee arrangements and DHCW Internal Audit Services.

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# INTERNAL AUDIT INCLUDING HEAD OF INTERNAL AUDIT CONCLUSION

Internal Audit provide me as Accountable Officer and the Board through the Audit and Assurance Committee with a flow of assurance on the systems of internal control. I have commissioned a programme of audit work which has been delivered in accordance with public sector internal audit standards by the NHS Wales Shared Services Partnership. The scope of this work is agreed with the Audit and Assurance Committee and is focussed on significant risk areas and local improvement priorities.

The overall opinion by the Head of Internal Audit on governance, risk management and control is a function of this risk-based audit programme and contributes to the picture of assurance available to the Board in reviewing effectiveness and supporting our drive for continuous improvement.

The programme has been impacted by the need to respond to the COVID-19 pandemic with audits carried out in a virtual manner. The Head of Internal Audit is satisfied that there has been sufficient internal audit coverage during the reporting period in order to provide the Head of Internal Audit Annual Opinion. In forming the Opinion the Head of Internal Audit has considered the impact of all the audits carried out, summarised in the table below:

Name of Audit	Date received by the Audit Committee	Assurance Rating
Supplier Management Follow-up	May 2021	Reasonable
Cyber Security	May 2021	Substantial
SHA Transition	October 2021	Reasonable
Data Analytics	October 2021	Reasonable
Welsh Radiology Information System	January 2022	Reasonable
GP System Procurement	January 2022	Substantial
General Governance Part 1	January 2022	Substantial


Specifically, the SHA transition and general governance part 1 found that the transition to a new organisation was managed to a suitable standard and the implementation of the standing orders was generally good across the organisation.

# HEAD OF INTERNAL AUDIT CONCLUSION 2021-22

Digital Health and Care Wales’ (DHCW) Board is accountable for maintaining a sound system of internal control that supports the achievement of the organisation’s objectives and is also responsible for putting in place arrangements for gaining assurance about the effectiveness of that overall system. A key element in that flow of assurance is the overall assurance opinion from the Head of Internal Audit.

This report sets out the Head of Internal Audit Opinion together with the summarised results of the internal audit work performed during the year. The report also includes a summary of audit performance and an assessment of conformance with the Public Sector Internal Audit Standards.

The purpose of the annual Head of Internal Audit opinion is 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. The approved Internal Audit plan is focused on risk and therefore the Board will need to integrate these results with other sources of assurance when making a rounded assessment of control for the purposes of the Annual Governance Statement. The overall opinion for 2021/22 is that:

<b>Reasonable Assurance</b>		The Board can take <b>Reasonable Assurance</b> (detail on the rating can be found in <a href="#">appendix 6</a> ) that arrangements to secure governance, risk management and internal control, within those areas under review, are suitably designed and applied effectively. Some matters require management attention in control design or compliance with low to moderate impact on residual risk exposure until resolved.
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## SCOPE OF OPINION

The scope of my opinion is confined to those areas examined in the risk-based audit plan which has been agreed with senior management and approved by the Audit and Assurance Committee. The Head of Internal Audit assessment should be interpreted in this context when reviewing the effectiveness of the system of internal control and be seen as an internal driver for continuous improvement. The Head of Internal Audit opinion on the overall adequacy and effectiveness of the organisation’s framework of governance, risk management, and control is set out below.

<b>Reasonable Assurance</b>		The Board can take <b>Reasonable Assurance</b> that arrangements to secure governance, risk management and internal control, within those areas under review, are suitably designed and applied effectively. Some matters require management attention in control design or compliance with low to moderate impact on residual risk exposure until resolved.
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The audit work undertaken during 2021/22 and reported to the Audit and Assurance Committee has been aggregated at Section 5.

The evidence base upon which the overall opinion is formed is as follows:

- An assessment of the range of individual opinions and outputs arising from risk-based audit assignments contained within the Internal Audit plan that have been reported to the Audit and Assurance Committee throughout the year. In addition, and where appropriate, work at either draft report stage or in progress but substantially complete has also been considered, and where this is the case then it is identified in the report. This assessment has taken account of the relative materiality of these areas and the results of any follow-up audits in progressing control improvements (see section 2.4.3).
- The results of any audit work related to the Health & Care Standards including, if appropriate, the evidence available by which the Board has arrived at its declaration in respect of the self-assessment for the Governance, Leadership and Accountability module.
- Other assurance reviews which impact on the Head of Internal Audit opinion including audit work performed at other organisations (see Section 3).
- Other knowledge and information that the Head of Internal Audit has obtained during the year including cumulative information and knowledge over time; observation of Board and other key committee meetings; meetings with Executive Directors, senior managers and Independent Members; the results of ad hoc work and support provided; liaison with other assurance providers and inspectors; research; and cumulative audit knowledge of the organisation that the Head of Internal Audit considers relevant to the Opinion for this year.

As stated above, these detailed results have been aggregated to build a picture of assurance across the organisation.

In reaching this opinion we have identified that the majority of reviews during the year concluded positively with robust control arrangements operating in some areas.

From the opinions issued during the year, three were allocated Substantial Assurance, seven were allocated Reasonable Assurance. No reports were allocated a 'no assurance' opinion.

In addition, the Head of Internal Audit has considered residual risk exposure across those assignments where limited assurance was reported. Further, the Head of Internal Audit has considered the impact where audit assignments planned this year did not proceed to full audits following preliminary planning work and these were either: removed from the plan; removed from the plan and replaced with another audit; or deferred until a future audit year. The reasons for changes to the audit plan were presented to the Audit and Assurance Committee for consideration and approval. Notwithstanding that the opinion is restricted to those areas which were subject to audit review, the Head of Internal Audit has considered the impact of changes made to the plan when forming their overall opinion.

Tolley, Laura  
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# A SUMMARY OF THE FINDINGS.

We have reported the findings using the eight areas of the Special Health Authority’s activities that we use to structure both our 3-year strategic and 1-year operational plans.

## CORPORATE GOVERNANCE, RISK MANAGEMENT AND REGULATORY COMPLIANCE

We have undertaken **two** reviews in this area.

We completed a review of the establishment of the governance arrangements to support DHCW and in particular whether the requirements of the Standing Orders had been adhered to. This was reported in the audit titled, **Governance Arrangements Part One** audit (substantial assurance). We found no significant matters, but recognised that work was still underway to develop the risk management process. We raised a recommendation to support this process and another recommendation to monitor the implementation of the Standing Orders.

The second audit in relation to the governance arrangements was titled, **Governance Arrangements Part Two** audit (reasonable assurance). Whilst Part One focussed on the Standing Orders, Part Two was a more focussed review of the risk management, performance monitoring and strategic planning governance arrangements.

Overall, the matters requiring management attention included:

- the finalisation of revised vision and mission statements, and linkage to existing strategic objectives and their supporting strategies, frameworks and programmes;
- improvement in the reporting to the Board of performance management;
- improvement in the planning and reporting of compliance with Health and Care Standards; and
- greater Board engagement in the process steps required to deliver Board Assurance Framework reporting from March 2022.

## STRATEGIC PLANNING, PERFORMANCE MANAGEMENT & REPORTING

We have undertaken **one** reviews in this area.

The **Transitional Plan** audit (reasonable assurance) reviewed the risks associated with the transition from hosted a body (NHS Wales Informatics Service) to a Special Health Authority (Digital Health & Care Wales) and whether this was effectively managed.

We did not raise any significant findings, but did recommend that the project actions were tracked to closure.

## FINANCIAL GOVERNANCE AND MANAGEMENT

We have undertaken **one** reviews in this area.

The review of Core Financial Systems audit (reasonable assurance) tested key financial processes (budgetary control, banking arrangements, procurement and use of agency staff).

We raised recommendations regarding:

- the Standing Financial Instructions and the Financial Control Procedure, to ensure they are fully met for budgetary control purposes;
- budget virements and formally authorised; and
- confirmation of pre-employment checks is obtained from suppliers, prior to agency staff commencing work.

## QUALITY & SAFETY

We have not undertaken any reviews in this area.

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## INFORMATION GOVERNANCE & SECURITY

We have undertaken **four** reviews in this area.

The **Data Centre Transition** audit (substantial assurance) reviewed the project process for the transition of the data centre from the Blaenavon Data Centre to the new data location. We did not raise any recommendations.

The **Information** audit (reasonable assurance) reviewed the arrangements for maximising the use of data analytics, in an appropriate and secure manner. We raised recommendations regarding the:

- sign off of the user agreement and that the information specification is not always formally retained;
- future needs of the department and the associated tools and infrastructure are not fully defined;
- data extracts from the primary care systems are not subject to formal procedures;
- quality assurance and privacy assessment stages are not always formally retained; and
- uptake and user feedback on the information products is not included within formal reporting.

The **Welsh Radiology Information System (WRIS)** audit (reasonable assurance) tested the adequacy of the processes for the management of WRIS and data held. We raised the following recommendations:

- the performance monitoring process does not review and report on the system performance;
- the control of the database lies with local user organisations and as such DHCW cannot be assured of the controls over them;
- the level of resource within the WRIS team is not sufficient to allow for the development and implementation of all the required changes; and
- the setting of specific password controls has been devolved to user organisations.

The **System Development** audit (reasonable assurance) assessed the arrangements in place for securely developing and maintaining applications for NHS Wales.

We raised a recommendation that there is no structured training provision, changes to the stored procedures and local code are managed by the Support Team for WRIS and not the Development Team and there are regular security checks on code being developed.

## OPERATIONAL SERVICE AND FUNCTIONAL MANAGEMENT

We have undertaken **one** review in this area.

The **GP System Procurement Project** audit (substantial assurance) was a review of the project arrangements in place. There were no significant findings raised, but we did recommend that the risk register is regularly reviewed.

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## WORKFORCE MANAGEMENT

We have undertaken **two** reviews in this area.

The **Workforce** audit (reasonable assurance) reviewed the process for recruiting staff. Overall, we have found that checks for substantive staff are undertaken, roles are adequately scrutinised before funding is approved and each role is appropriately banded.

However, we did recommend that the resource plan for DHCW is updated and a review of the Pre-employment Checks Register for agency staff is completed, to determine if it is still required or serving its intended function.

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## CAPITAL & ESTATES MANAGEMENT

We have not undertaken any reviews in this area.

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# AUDIT WALES BASELINE GOVERNANCE REVIEW

The Auditor General for Wales is the SHA's statutory External Auditor, and the Wales Audit Office undertakes audits on his behalf. Since 1 April 2020 the Auditor General for Wales and the Wales Audit Office are known collectively as Audit Wales. The Auditor General for Wales is required under the Public Audit (Wales) Act (2004) to:

- examine and certify the accounts submitted to him by the SHA, and to lay them before the Senedd;
- satisfy himself that expenditure and income have been applied to the purposes intended and are in accordance with authorities; and
- satisfy himself that the SHA has made proper arrangements for securing economy, efficiency, and effectiveness in its use of resources.

To help in the discharge of this responsibility, the AG undertakes annual Structured Assessment work at each NHS body that examines arrangements relating to corporate governance, financial management, strategic planning, and other factors affecting the way in which NHS bodies use their resources.

As Digital Health and Care Wales is a newly established statutory organisation, and in discussion with the Audit and Assurance Committee Chair, it was identified that an initial baseline assessment via a Baseline Governance Review would be undertaken for 2021/22. This will be followed up with a Structured Assessment in 2022/23.

The aim of undertaking a Baseline Governance Review is to aid organisational learning and development. The work undertaken by Audit Wales aims to answer the overall question: is DHCW making good progress in putting arrangements in place to support good governance and the efficient, effective, and economical use of resources?

The overall conclusion found: **“DHCW is making positive progress in putting arrangements in place to support good governance and the efficient, effective, and economical use of resources under challenging operating circumstances”.**

Tolley, Laura  
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No formal recommendations were made as part of the review, however, a small number of opportunities for innovation and improvement for the Board to consider were made along with several observations the Board will want to reflect on and keep under review, these have been summarised below:

- DHCW has an opportunity to extend its brand as a Trusted Digital Partner; capitalising on a diverse range of experienced public and commercial sector independent members to bring new thinking and a fresh leadership approach.
- The Board could exploit the opportunities to lead innovation in new areas, for example:
  - Communication and engagement;
  - Digitally enabling health and care; and
  - Decision support tools
- DHCW is developing a distinctive house style for digestible, easy read reports and documents. This could be further tested and extended.
- DHCW may want to consider opportunities to further enhance public transparency of Board business by making recordings of Committee meetings available on its website.
- Keep under review the fact that there isn't a qualified accountant amongst the Independent Members.
- DHCW needs to progress work on the organisation's strategy to provide further clarity on its long-term vision and objectives.
- As DHCW develops its external partnerships there is an opportunity for systematic capture and use of narrative data to support programme co-design and delivery; increasing value creation and benefits realisation as a 'trusted digital partner' and leader of the new digital culture in Wales.

The recommendations from both Internal Audit and Audit Wales together with management's response were implemented and are recorded within the Audit Tracker, this is reviewed at every Audit and Assurance Committee meeting.

Tony Lau  
21/07/2022 14:38:23

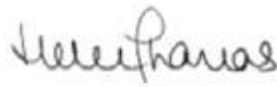
## DATA QUALITY

The quality and effectiveness of the information and data provided to the Board is continually reviewed at each meeting of the Board and some revisions have been made to the Integrated Performance Report during the year to provide further clarity.

## CONCLUSION

As indicated throughout this statement and the Annual Report the need to plan and respond to the COVID-19 pandemic has had a significant impact on the organisation, wider NHS and society as a whole. It has required a dynamic response which has presented a number of opportunities in addition to a number of risks. The need to respond and recover from the pandemic was with the organisation and wider society throughout 2021/22 and will be into the future. I will continue to ensure our Governance Framework considers and responds to this need. During the period 1 April 2021–20 May 2022 there have been no significant internal control or governance issues identified. This is due to the establishment of sound systems of internal control in place. It is recognised that further work will be necessary in 2022/23 to further develop these arrangements. It will be important to communicate widely with staff to further embed these arrangements as the organisation develops.

Signed by Helen Thomas



Chief Executive and Accountable Officer:

Date



# DIRECTOR’S REPORT FOR THE PERIOD ENDED 31 MARCH 2022

The information required for this report can be found in the tables and pages of the annual report detailed below:

## THE COMPOSITION OF THE BOARD AND MEMBERSHIP

Composition of Board: Appendix 1 provides detailed information in relation to the composition of the Board including executive directors and independent members, who have authority or responsibility for directing or controlling the major activities of DHCW during the financial year 2021/22. This includes the names of the Chair and Chief Executive. Table 1 also includes the names of the directors forming the Audit and Assurance Committee. Appendix 1 also details the meetings attended during the year and the champion roles agreed by Board Members for the forthcoming year. In addition, short biographies of all Board Members can be found on the Special Health Authority’s website.

## REGISTER OF INTERESTS

To ensure fair and equitable decision making members of the Board are required to declare any interests which may conflict with the organisation’s responsibilities. This is updated on a regular basis and received by the Audit and Assurance Committee on behalf of the Board, it is published to the DHCW website under [key documents](#). A hard copy can be obtained from the Board Secretary on request.

## PERSONAL DATA RELATED INCIDENTS

Information on personal data related incidents formally reported to the Information Commissioner’s office and “serious untoward incidents” involving data loss or confidentiality breaches are detailed in the Annual Governance Statement.

## ENVIRONMENTAL, SOCIAL AND COMMUNITY ISSUES

Details of DHCW decarbonisation strategy and progress are in the [Performance Report](#).

## STATEMENT FOR PUBLIC SECTOR INFORMATION HOLDERS

DHCW confirms it has complied with cost allocation and the charging requirements set out in HM Treasury guidance during the year.

Tolson Laura  
21/07/2022 14:23

# THE STATEMENT OF ACCOUNTING OFFICER’S RESPONSIBILITIES

The Welsh Ministers have directed that the Chief Executive should be the Accountable Officer to the SHA.

The relevant responsibilities of Accountable Officers, including their responsibility for the propriety and regularity of the public finances for which they are answerable, and for the keeping of proper records, are set out in the Accountable Officer’s Memorandum issued by the Welsh Government.

I can confirm that:

- To the best of my knowledge there is no relevant audit information of which the entity’s auditors are unaware, and I as the Accountable Officer have taken all the steps that ought to have taken to make myself aware of any relevant audit information and have established that the entity’s auditors are aware of that information.
- The DHCW annual report and accounts as a whole is fair, balanced and understandable and that I take personal responsibility for the annual report and accounts and the judgments required for determining that it is fair, balanced and understandable.

To the best of my knowledge and belief, I have properly discharged the responsibilities set out in my letter of appointment as an Accountable Officer.

Chief Executive and Accountable Officer: 

Date

Tolley, Laura  
21/07/2022 14:38:23

# STATEMENT OF DIRECTORS' RESPONSIBILITIES

The directors are required under the National Health Service Act (Wales) 2006 to prepare accounts for each financial year. The Welsh Ministers, with the approval of the Treasury, direct that these accounts give a true and fair view of the state of affairs of the Special Health Authority and of the income and expenditure of the Special Health Authority for that period.

In preparing those accounts, the directors are required to:


- apply on a consistent basis accounting principles laid down by the Welsh Ministers with the approval of the Treasury
- make judgements and estimates which are responsible and prudent
- state whether applicable accounting standards have been followed, subject to any material departures disclosed and explained in the account.

The directors confirm that they have complied with the above requirements in preparing the accounts.

The directors are responsible for keeping proper accounting records which disclose with reasonable accuracy at any time the financial position of the authority and to enable them to ensure that the accounts comply with the requirements outlined in the above-mentioned direction by the Welsh Ministers.

By Order of the

Signed:

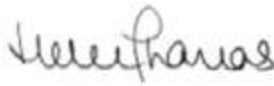


Chair:



Date

Chief Executive and Accountable Officer:



Date

Director of Finance:

Date

To:   
Tolley, Laura  
21/07/2022 14:38:23

# REMUNERATION AND STAFF REPORT

## REMUNERATION REPORT

The information contained in this report relates to the remuneration of the senior managers employed by Digital Health and Care Wales (DHCW). The definition of “Senior Manager” is: ‘those persons in senior positions having authority or responsibility for directing or controlling the major activities of the NHS body. This means those who influence the decisions of the entity as a whole rather than the decisions of individual directorates or departments.’ For DHCW, the senior managers are considered to be the regular attendees of Board meetings, i.e. Members of the Executive Team and the Independent Members.

Existing public sector pay arrangements apply to all staff including members of the Executive Team.

All members of the Executive Team are on pay points and not pay scales.

The performance of members of the Executive Team is assessed against personal objectives and against the overall performance of the SHA. The SHA does not operate a performance related pay scheme.

The Chief Executive and Executive Directors are employed on permanent or fixed term contracts, which can be terminated by giving due notice unless for reasons of misconduct.

There have been no payments to former Executives or other former senior managers during the year.

The totals in some of the following tables may differ from those in the Annual Accounts as they represent staff in post at 31 March 2022 whilst the Annual Accounts (note 9.2) shows the average number of employees during the year.

Transparency of senior remuneration in the devolved Welsh Public Sector – a guide to Tackling Unfair Employment Practices and False Self-Employment can be found on [gov.wales](https://gov.wales).

## REMUNERATION AND TERMS OF SERVICE COMMITTEE

The pay and terms and conditions of employment for the Executive Team and senior managers have been and will be determined by the Remuneration and Terms of Service Committee, within the framework set by the Welsh Government. The SHA Remuneration Committee members are all the Independent Members of the Board. The Committee is chaired by the SHA Chair. The Terms of Reference for the Committee are reviewed on an annual basis. Details of the membership of the Remuneration & Terms of Service Committee are captured in [Appendix 1](#).

Tolley Laura  
21/03/2022 14:23

# SALARY AND PENSION DISCLOSURES

## SALARY AND PENSION DISCLOSURE TABLES (UNAUDITED) – SINGLE TOTAL FIGURE OF REMUNERATION

This Remuneration Report includes a single total figure of remuneration. The amount of pension benefits for the year which contributes to the single total figure is calculated based on guidance provided by the NHS Business Services Authority Pensions Agency.

The amount included in the table for pension benefit is based on the increase in accrued pension adjusted for inflation. This will generally take into account an additional year of service together with any changes in pensionable pay. This is not an amount which has been paid to an individual by the SHA during the year; it is a calculation which uses information from the pension benefit table. These figures can be influenced by many factors e.g. changes in a person’s salary, whether or not they choose to make additional contributions to the pension scheme from their pay, and other valuation factors affecting the pension scheme as a whole.

The salary and pension disclosures reflect the senior managers’ information. In 2021/21 the senior management team consists of the Chief Executive, the Executive Directors and the Independent Members (Non-Executive Directors), the Director of Information Communications Technology, Director of Application Development & Support, the Chief Operating Officer and the Board Secretary.

TABLE 1 - SINGLE TOTAL FIGURE OF REMUNERATION

Name	(a) Salary (£'000) £5k bands	(b) Bonus payments (£'000) £5k bands	(c) Benefits in kind £ (to the nearest £100)	(d) Pension benefits £'000 ( to the nearest £1000)	(e) Total £'000 £5k bands
Executive and Senior Management					
Helen Thomas	150 - 155	-	-	***	150 - 155
Claire Osmundsen-Little	120 - 125	-	-	***	120 - 125
Chris Darling	75 - 80	-	-	***	75 - 80
Rhidian Hurle	155 - 160	-	-	***	155 - 160
Michelle Sell	90 - 95	-	-	***	90 - 95
Carwyn Lloyd-Jones	105 - 110	-	-	***	105 - 110
Gary Bullock (1)	25 - 30	-	-	***	25 - 30
Meirion George (2)	95 - 100	-	-	***	95 - 100

(1) Gary Bullock retired 30th June 2021 - Full year equivalent salary is £105K-£110K  
(2) Meirion George commenced 5th May 2021 - Full year equivalent salary is £90K-£95K

\*\*\* As DHCW only became fully operational on 1st April 2021 it is not possible to include prior year pension benefit figures for Senior Management. A full disclosure will be made in the 2022-23 Remuneration Report

[Continued on next page]



[Continued from previous page]

Name	(a) Salary (£'000) £5k bands	(b) Bonus payments (£'000) £5k bands	(c) Benefits in kind £ (to the nearest £100)	(d) Pension benefits £'000 ( to the nearest £1000)	(e) Total £'000 £5k bands
Non-Executive Directors					
Simon Jones (3)	20 - 25	-	-	-	20 - 25
Robert Hudson (4)	20 - 25	-	-	-	20 - 25
Marian Jones	5 - 10	-	-	-	5 - 10
Sian Doyle (5)	5 - 10	-	-	-	5 - 10
Ruth Glazzard	20 - 25	-	-	-	20 - 25
David Selway	5 - 10	-	-	-	5 - 10
Rowan Gardener	5 - 10	-	-	-	5 - 10
Grace Quantock	5 - 10	-	-	-	5 - 10

(3) Simon Jones commenced 1st October 2021 - Full year equivalent salary is £40K-£45K

(4) Robert Hudson left 30th September 2021 - Full year equivalent salary is £40K-£45K

(5) Sian Doyle left 30th November 2021 - Full year equivalent salary is £5K-£10K

## SALARY AND PENSION DISCLOSURE CASH EQUIVALENT TRANSFER VALUES

A Cash Equivalent Transfer Value (CETV) is the actuarially assessed capital value of the pension scheme benefits accrued by a member at a particular point in time. The benefits valued are the member’s accrued benefits and any contingent spouse’s pension payable from the scheme.

A CETV is a payment made by a pension scheme or an arrangement to secure pension benefits in another pension scheme or an arrangement when the member leaves a scheme and chooses to transfer the benefits accrued in their former scheme. The pension figures shown relate to the benefits that the individual has accrued as a consequence of their total membership of the pension scheme, not just their service in a senior capacity to which disclosure applies.

The CETV figures and the other pension details include the value of any pension benefits in another scheme or arrangement which the individual has transferred to the NHS pension scheme. They also include any additional pension benefit accrued to the member as a result of their purchasing additional years of pension service in the scheme at their own cost.

CETVs are calculated within the guidelines and framework prescribed by the Institute and Faculty of Actuaries. REAL INCREASE IN CETV This reflects the increase in CETV effectively funded by the employer. It takes account of the increase in accrued pension due to inflation, contributions paid by the employee (including the value of any benefits transferred from another scheme or arrangement) and uses common market valuation factors for the start and end of the period.

TABLE 2 - SALARY AND PENSION DISCLOSURE TABLES (AUDITED) – SINGLE TOTAL FIGURE OF REMUNERATION Pension Benefits 2021-22

Name and Title	(a) Real increase in pension at pension age (bands of £2,500) £000	(b) Real increase in pension lump sum at pension age (bands of £2,500) £000	(c) Total accrued pension at pension age at 31 March 2022 (bands of £5,000) £000	(d) Lump sum at pension age related to accrued pension at 31 March 2022 (bands of £5,000) £000	(e) Cash Equivalent Transfer Value at 1 April 2021 £000	(f) Cash Equivalent Transfer Value at 31 March 2022 £000	(g) Real increase in Cash Equivalent Transfer Value £000	(h) Employer's contribution to stakeholder pension £000
Ms Helen Thomas Chief Executive Officer	***	***	55 - 60	125 - 130	***	1,052	***	***
Ms Claire Osmundsen-Little Executive Director of Finance	***	***	10 - 15	-	***	132	***	***
Mr Chris Darling Board Secretary	***	***	20 - 25	30 - 35	***	625	***	***
Mr Rhidian Hurle Executive Medical Director	***	***	50 - 55	105 - 110	***	989	***	***
Ms Michelle Sell Chief Operating Officer	***	***	30 - 35	60 - 65	***	564	***	***
Dr Carwyn Lloyd-Jones Director of ICT	***	***	25 -30	45 - 50	***	465	***	***
Mr Gary Bullock Director of ADS	***	***	45 - 50	135 - 140	***	-	***	***
Mr Meirion George Assistant Director of ADS	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A

\*\*\* As DHCW only became fully operational on 1st April 2021 it is not possible to include prior year pension benefit figures for Senior Management. A full disclosure will be made in the 2022-23 Remuneration Report

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21/07/2022 14:38:23

# REMUNERATION RELATIONSHIP

The details of the Remuneration Relationship are reported later in the Accountability Report and note 9.6.1 of the Annual Accounts.

Reporting bodies are required to disclose the relationship between the remuneration of the highest-paid director/employee in their organisation and the 25th percentile, median and 75th percentile remuneration of the organisation's workforce. The 2021-22 financial year is the first year disclosures in respect of the 25th percentile pay ratio and 75th percentile pay ratio are required.

In the 2021-22, operational period 0 employees received remuneration in excess of the highest-paid director.

Remuneration for all staff ranged from £20,330 to £155,403.

TABLE 3 - THE ALL STAFF RANGE INCLUDES DIRECTORS (including the highest paid director) and excludes pension benefits of all employees.

	2021 -2022	2021 -2022	2021 -2022
	£000	£000	£000
Total pay and benefits	Chief Executive	Employee	Ratio
25th percentile pay ratio	152.5	28.9	5.3:1
Median pay	152.5	38.5	4.0:1
75th percentile pay ratio	152.5	46.9	3.3:1
Salary component of total pay and benefits			
25th percentile pay ratio	152.5	27.8	5.5:1
Median pay	152.5	34.2	4.5:1
75th percentile pay ratio	152.5	45.8	3.3:1

Total pay and benefits	Highest Paid Director	Employee	Ratio
25th percentile pay ratio	157.5	28.9	5.4:1
Median pay	157.5	38.5	4.1:1
75th percentile pay ratio	157.5	46.9	3.4:1
Salary component of total pay and benefits			
25th percentile pay ratio	157.5	27.8	5.7:1
Median pay	157.5	34.2	4.6:1
75th percentile pay ratio	157.5	45.8	3.4:1

The median pay ratio for the relevant financial year is consistent with the pay, reward and progression policies for the entity's employees taken as a whole.

Prior year ratios are not available to enable any comparison.

STAFF REPORT

NUMBER OF SENIOR STAFF

As of 31 March 2022, there were 6 senior staff that made up the Executive Team; they were also members of the Board or regular attendees. There was movement within the year which is detailed in Appendix 1.

STAFF NUMBERS AND COMPOSITION

TABLE 4 - BREAKDOWN OF NUMBER OF STAFF BY GROUP

The following table shows the **average** number of staff employed by DHCW by group from 1 April 2021 to 31 March 2022. The only staff group in DHCW is Administrative and Clerical and Board Members.

Staff Group	Permanently and Fixed Term Employed WTE	Agency WTE	Staff on Inward secondment WTE	2021/22 Total WTE
Administrative, Clerical and Board Members	878	8	4	890

TABLE 5 - GENDER BREAKDOWN OF THE BOARD

The following table shows the total WTE breakdown of the Board as at 31 March 2022.

Position	Gender	
	Female	Male
Board Secretary		1
Chair		1
Chief Executive Officer	1	
Chief Operating Officer	1	
Director of ICT		1
Executive Director of Finance	1	
Executive Medical Director		1
Independent Member	3	1
Independent Member – Vice Chair	1	
Grand Total	7	5
% of total	58%	42%

TABLE 6 -GENDER BREAKDOWN OF EXECUTIVE TEAM VS OTHER EMPLOYEES

The following table shows the total WTE of the executive vs other employees as at 31 March 2022

Staff Composition at 31/3/22 (headcount)	Female	Male
Senior Staff (Executive Team)	3	3
Other Employees	375	563
All Staff	378	566
% All Staff	40%	60%

Tolley, Laura  
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# SICKNESS ABSENCE DATA

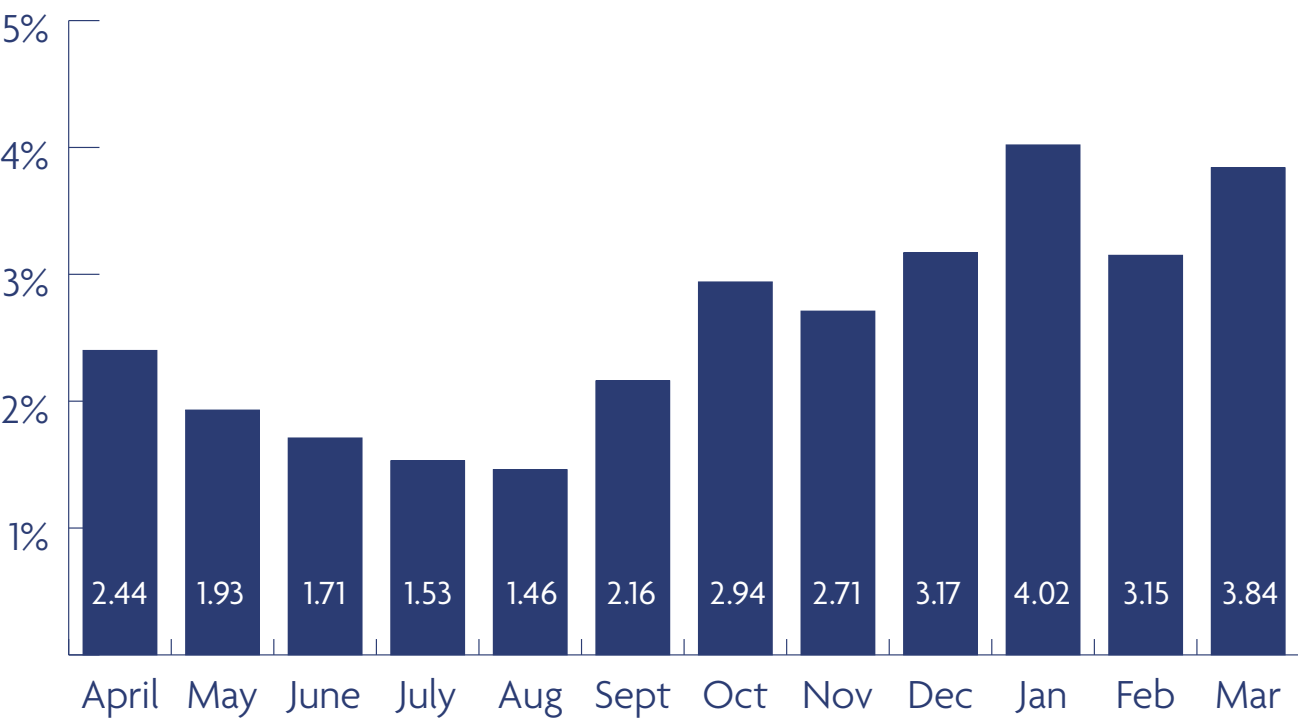
The Workforce team works with Directorates to support and manage the wellbeing of staff and sickness absence. Monthly performance reports are developed for Directorates and Executive colleagues to monitor sickness and COVID sickness absence. Interventions to support managers are aligned to reasons for sickness to ensure effective interventions that support staff.

DHCW also offers and provides staff with access to an Occupational Health Service and access to an Employee Assistance Programme, which family members can also access for free. The top reasons for sickness absence across the organisation during 2021/2022 was Stress/Anxiety & Depression and COVID. DHCW’s Health and well-Being Group meet on a bi-monthly basis to ensure that we are continuously reviewing our well-being support offering for our staff.

The data shows the sickness absence levels during 2021/22. The current rate as at 31 March 2022 is 3.84%.

TABLE 7 - ANNUAL SICKNESS ABSENCE BREAKDOWN

The following table shows % of WTE sickness absence by month



Percentage Sickness Absence 2021/2022

TABLE 8 - NUMBER OF DAYS LOST TO SICKNESS

Description	As at 31st March 22	WTE
Days lost Long Term	5426	5325.3
Days lost Short Term	3258	3182.4
Total Days lost	8684	8507.68
Average Working days lost	9 days	9 days
Total Staff employed in the period	969	944
Total staff employed with No absence	502	509.3
% no sick leave	53%	

Tolley, Laura  
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## POLICIES APPLIED DURING THE FINANCIAL YEAR

On the 1 April 2021 DHCW adopted the existing All-Wales policies and under Transfer of Undertakings (Protection of Employment) Regulations (TUPE) the policies in place at Velindre University NHS Trust. These can be found in the SHA Board papers on our website [here](#).

All SHA policies and procedures are equality impact assessed against the nine protected characteristics, to ensure that they do not discriminate against people who apply to work in the SHA or are employed by the SHA. All policies and procedures are available to access via the DHCW website.

Additional policies were adopted and implemented throughout the year, they are as follows:

- All Wales Secondment Policy
- All Wales Respect and Resolution Policy
- All Wales Reserve Forces Training and Mobilisation
- Communications and Media Management Policy
- Anti-Malware Policy
- Capital Management Procedure
- Security and Counter Terrorism Policy
- Water Safety Policy

Working in a remote and hybrid way across the year meant ways of working evolved across the organisation, there was continued focus on ensuring staff felt engaged and their views were considered. Staff briefings with the CEO and varied guests took place every six weeks to share information. Views were sought via a homeworking and wellbeing survey undertaken midway through the year to ensure the New ways of working group were able to make informed decisions on actions that responded to the views expressed in the survey.

Tolley, Laura  
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# HEALTH & WELLBEING, EQUALITY, DIVERSITY AND INCLUSION

Staff health and wellbeing was a significant priority for the organisation throughout 2021-22. We successfully retained our Gold Corporate Health Standard in January 2022 as well recertification of the BS76000 Valuing People and BS76005 Valuing People through Diversity and Inclusion Standards.

Workforce colleagues continue to support a variety of ISO Standards and is committed to being an exemplar in this area. For the future, the organisation will support the new ISO30415 for Diversity and Inclusion and will build on the good foundations and achievements already in place as equality, fairness and diversity of the workforce is a key commitment of the DHCW Board.

As an organisation we undertook and signposted a wide range of activities throughout the year to support Health and Wellbeing, Equality, Diversity and Inclusion championed by the Health and Wellbeing group and detailed on our group SharePoint page. We undertook and supported activities in support of the following:

- International Women’s Day
- LGBTQ+ & Menopause
- LGBTQ+ History Month
- NHS Wales Equality Week
- St David’s Day
- PRIDE
- International Men’s Day
- Dyslexia Awareness Day
- Black History Month
- Black Lives Matter internal webinar

A range of local and national resources were provided to support staff on a variety of topics:

- Home working advice
- Virtual Wellbeing Room
- Alcohol Awareness
- Domestic Abuse
- Leisure and Fitness information
- Substance misuse awareness
- Quit Smoking
- Yammer communities (Social networking forums)
- Bereavement support
- Support for those experiencing isolation and loneliness
- Information and Resources specific to BAME staff
- Links to Trade Unions and other Professional Organisations
- General Health and Wellbeing
- Helplines

Across Digital Health and Care Wales there are trained Mental Health First Aiders who are available to talk to staff in confidence when they are in need of support. There is a dedicated area on SharePoint and Microsoft Teams (Virtual Wellbeing room) to provide information on how to access the service and other mental health and wellbeing resources.

DHCW is committed to inclusion and work led by staff to define what this looks like and how the organisation can become a truly inclusive organisation both internally and in the services it provides took place in 2021.

# REPORTING OF OTHER COMPENSATION SCHEMES – EXIT PACKAGES

During 2021/2022 an exit package was approved for 1 member of staff with a value of £14,442. The exit costs were paid in 2021/2022, the year of departure. This package was paid in accordance with recognised NHS terms and conditions of service/SHA Policy. This package did not relate to a senior officer.

# SELLING OF ANNUAL LEAVE SCHEME

NHS organisations and Trade Union colleagues have worked in partnership to develop a scheme to allow individuals to sell unused annual leave within the 2021/22 leave year.

The scheme enabled individuals to sell up to 10 days annual leave from their 2021/22 annual leave entitlement inclusive of any leave carried over from previous annual leave years. For Medical and Dental staff this applied to the leave year which commenced on or after 1 January 2021.

The total paid in respect of unused annual leave amounted to £0.230m for the financial year, with £0.082m paid during the financial year and the balance of £0.148m scheduled for payment in 2022/23.

# EXPENDITURE ON CONSULTANCY SERVICES

During 2021/2022 the SHA spent £0.903m of its revenue funding on external consultancy services.

For the purpose of the statutory accounts, consultancy is defined as time limited/ad-hoc assignments related to the provision of professional and strategic advice and not directly attributable to activities delivering digital products.

Examples include:

- Accountancy & Commercial fees
- Legal fees
- Design fees
- IT consultancy and advice

Tolley, Laura  
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# TAX ASSURANCE FOR OFF-PAYROLL ENGAGEMENTS

Following the Review of Tax Arrangements of Public Sector Appointees published by the Chief Secretary to the Treasury on 23 May 2012, departments must publish information on their highly paid and/or senior off-payroll engagements. The information, contained in the three tables below, includes all off-payroll engagements as at 31 March 2021 for those earning more than £245 per day for the core SHA and any hosted organisations.

**TABLE 9 - ALL OFF-PAYROLL ENGAGEMENTS AS OF 31 MARCH 2022, FOR MORE THAN £245 PER DAY**

No. of existing engagements as of 31 March 2022	32
Of which, the number that have existed :	
for less than one year at time of reporting.	16
for between one and two years at time of reporting.	15
for between two and three years at time of reporting.	1
for between three and four years at time of reporting.	0
for four or more years at time of reporting.	0

Within the total number of off-payroll engagements disclosed, eleven engagements related to staff seconded from other NHS Wales Organisations.

All the off-payroll engagements, outlined above, have at some point been subject to a risk based assessment as to whether assurance is required that the individual is paying the right amount of tax, and where necessary, that assurance has been sought.

**TABLE 10 - ALL NEW OFF-PAYROLL ENGAGEMENTS BETWEEN 1 APRIL 2021 AND 31 MARCH 2022, FOR MORE THAN £245 PER DAY**

Number. of new engagements between 1 April 2021 and 31 March 2022	15
Of which...	
No. assessed as caught by IR 35	15
No. assessed as not caught by IR 35	0
No. engaged directly (via PSC contracted to department) and are on the departmental payroll.	0
No. of engagements reassessed for consistency/assurance purposes during the year	0
No. of engagements that saw a change to IR35 status following the consistency review	0

Within the total number of new off-payroll engagements disclosed, 15 engagements related to staff seconded from other NHS Wales Organisations.

**TABLE 11- ANY OFF-PAYROLL ENGAGEMENTS OF BOARD MEMBERS, AND/OR, SENIOR OFFICIALS WITH SIGNIFICANT FINANCIAL RESPONSIBILITY, BETWEEN 1 APRIL 2020 AND 31 MARCH 2021**

Number of off-payroll engagements of board members, and/or, senior officials with significant financial responsibility, during the financial year.	0
Number of individuals that have been deemed “board members, and/or, senior officials with significant financial responsibility”, during the financial year. This figure should include both off-payroll and on-payroll engagements.	0

# STATEMENT OF ASSURANCE

I confirm that there is no relevant audit information in the Annual Report of which the Audit Wales is unaware. As Chief Executive, I have taken all the steps in order to make myself aware of any relevant information and ensure the Audit Wales is aware of that information.



Helen Thomas

Chief Executive and Accountable Officer, Digital Health and Care Wales

14 June 2022



Tolley, Laura  
21/07/2022 14:38:23



# THE WELSH PARLIAMENTARY ACCOUNTABILITY & AUDIT REPORT

FOR THE YEAR ENDED 31 MARCH 2022

## REGULARITY OF EXPENDITURE

Regularity is the requirement for all items of expenditure and receipts to be dealt with in accordance with the legislation authorising them, any applicable delegated authority and the rules of Government Accounting. The Digital Health and Care Wales (DHCW) Board ensures the funding provided by Welsh Ministers has been expended for the purposes intended by Welsh Ministers and that the resources authorised by Welsh Ministers to be used have been used for the purposes for which the use was authorised. The Chief Executive is the Accountable Officer and ensures that the financial statements are prepared in accordance with legislative requirements and the Treasury’s Financial Reporting Manual. In preparing the financial statements, the Chief Executive is required to:

- observe the accounts directions issued by Welsh Ministers, including the relevant accounting and disclosure requirements and apply appropriate accounting policies on a consistent basis
- make judgements and estimates on a reasonable basis
- state whether applicable accounting standards have been followed and disclosed and explain any material departures from them; and
- prepare them on a going concern basis on the presumption that the services of the Special Health Authority will continue in operation.

## FEES AND CHARGES

Where DHCW undertakes an activity which is not funded directly by the Welsh Government, DHCW receives income to cover its costs. Further detail of income received is published in the annual accounts. DHCW confirms it has complied with cost allocation and the charging requirements set out in HM Treasury guidance during the year.

Tolley/Kaura  
21/07/2022 14:38:10

## REMOTE CONTINGENT LIABILITIES

Remote contingent liabilities are those liabilities that due to the unlikelihood of a resultant charge against DHCW are therefore not recognised as an expense nor as a contingent liability. Detailed below are the remote contingent liabilities as at 31 March 2022.

	2021 - 2022
Guarantees	Nil
Indemnities	Nil

# THE CERTIFICATE AND INDEPENDENT AUDITOR'S REPORT OF THE AUDITOR GENERAL FOR WALES TO THE SENEDD

## OPINION ON FINANCIAL STATEMENTS

I certify that I have audited the financial statements of Digital Health and Care Wales Special Health Authority for the period ended 31 March 2022 under Section 61 of the Public Audit (Wales) Act 2004. These comprise the Statement of Comprehensive Net Expenditure, the Statement of Financial Position, the Cash Flow Statement and Statement of Changes in Taxpayers' Equity and related notes, including a summary of

significant accounting policies. The financial reporting framework that has been applied in their preparation is applicable law and UK adopted international accounting standards as interpreted and adapted by HM Treasury's Financial Reporting Manual.

In my opinion the financial statements:

- give a true and fair view of the state of affairs of Digital Health and Care Wales Special Health Authority as at 31 March 2022 and of its net operating costs for the period then ended;
- have been properly prepared in accordance with UK adopted international accounting standards as interpreted and adapted by HM Treasury's Financial Reporting Manual; and
- have been properly prepared in accordance with the National Health Service (Wales) Act 2006 and directions made there under by Welsh Ministers.

## OPINION ON REGULARITY

In my opinion, in all material respects, the expenditure and income in the financial statements have been applied to the purposes intended by the Senedd and the financial transactions recorded in the financial statements conform to the authorities which govern them.

## BASIS OF OPINION

I conducted my audit in accordance with applicable law and International Standards on Auditing in the UK (ISAs (UK)) and Practice Note 10 'Audit of Financial Statements of Public Sector Entities in the United Kingdom'. My responsibilities under those standards are further described in the auditor's responsibilities for the audit of the financial statements section of my report. I am independent of the Board in accordance with the ethical requirements that are relevant to my audit of the financial statements in the UK including the Financial Reporting Council's Ethical Standard, and I have fulfilled my other ethical responsibilities in accordance with these requirements. I believe that the audit evidence I have obtained is sufficient and appropriate to provide a basis for my opinions.

## CONCLUSIONS RELATING TO GOING CONCERN

In auditing the financial statements, I have concluded that the use of the going concern basis of accounting in the preparation of the financial statements is appropriate. Based on the work I have performed, I have not identified any material uncertainties relating to events or conditions that, individually or collectively, may cast significant doubt on the body's ability to continue to adopt the going concern basis of accounting for a period of at least twelve months from when the financial statements are authorised for issue.

My responsibilities and the responsibilities of the directors with respect to going concern are described in the relevant sections of this report.

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21/07/2022 14:08:23

# OTHER INFORMATION

The other information comprises the information included in the annual report other than the financial statements and my auditor’s report thereon. The Chief Executive is responsible for the other information contained within the annual report. My opinion on the financial statements does not cover the other information and, except to the extent otherwise explicitly stated in my report, I do not express any form of assurance conclusion thereon. My responsibility is to read the other information and, in doing so, consider whether the other information is materially inconsistent with the financial statements or knowledge obtained in the course of the audit, or otherwise appears to be materially misstated. If I identify such material inconsistencies or apparent material misstatements, I am required to determine whether this gives rise to a material misstatement in the financial statements themselves. If, based on the work I have performed, I conclude that there is a material misstatement of this other information, I am required to report that fact.

I have nothing to report in this regard.

# REPORT ON OTHER REQUIREMENTS

Opinion on other matters

In my opinion, the part of the remuneration report to be audited has been properly prepared in accordance with the National Health Service (Wales) Act 2006 and directions made there under by Welsh Ministers.

In my opinion, based on the work undertaken in the course of my audit:

- the information given in the Annual Governance Statement for the financial year for which the financial statements are prepared is consistent with the financial statements and the Annual Governance Statement has been prepared in accordance with Welsh Ministers’ guidance;
- the information given in the Performance Report and Accountability Report for the financial year for which the financial statements are prepared is consistent with the financial statements and the Performance Report and Accountability Report has been prepared in accordance with Welsh Ministers’ guidance.

# RESPONSIBILITIES

Responsibilities of Directors and the Chief Executive for the financial statements

As explained more fully in the Statements of Directors’ and Chief Executive’s Responsibilities, the Directors and the Chief Executive are responsible for the preparation of financial statements which give a true and fair view and for such internal control as the Directors and Chief Executive determine is necessary to enable the preparation of financial statements that are free from material misstatement, whether due to fraud or error.

In preparing the financial statements, the Directors and Chief Executive are responsible for assessing the board’s ability to continue as a going concern, disclosing as applicable, matters related to going concern and using the going concern basis of accounting unless deemed inappropriate.

Auditor’s responsibilities for the audit of the financial statements

My objectives are to obtain reasonable assurance about whether the financial statements as a whole are free from material misstatement, whether due to fraud or error, and to issue an auditor’s report that includes my opinion. Reasonable assurance is a high level of assurance but is not a guarantee that an audit conducted in accordance with ISAs (UK) will always detect a material misstatement when it exists. Misstatements can arise from fraud or error and are considered material if, individually or in the aggregate, they could reasonably be expected to influence the economic decisions of users taken on the basis of these financial statements.

Irregularities, including fraud, are instances of non-compliance with laws and regulations. I design procedures in line with my responsibilities, outlined above, to detect material misstatements in respect of irregularities, including fraud.

My procedures included the following:

- Enquiring of management, the audited entity’s head of internal audit and those charged with governance, including obtaining and reviewing supporting documentation relating to the Digital Health and Care Wales Special Health Authority’s policies and procedures concerned with:
  - identifying, evaluating and complying with laws and regulations and whether they were aware of any instances of non-compliance;
  - detecting and responding to the risks of fraud and whether they have knowledge of any actual, suspected or alleged fraud; and
  - the internal controls established to mitigate risks related to fraud or non[1]compliance with laws and regulations.
- Considering as an audit team how and where fraud might occur in the financial statements and any potential indicators of fraud. As part of this discussion, I identified potential for fraud in the following area: management override;
- Obtaining an understanding of Digital Health and Care Wales Special Health Authority’s framework of authority as well as other legal and regulatory frameworks that Digital Health and Care Wales Special Health Authority operates in, focusing on those laws and regulations that had a direct effect on the financial statements or that had a fundamental effect on the operations of the Digital Health and Care Wales Special Health Authority.

In addition to the above, my procedures to respond to identified risks included the following:

- reviewing the financial statement disclosures and testing to supporting documentation to assess compliance with relevant laws and regulations discussed above;
- enquiring of management, the Audit and Assurance Committee and legal advisors about actual and potential litigation and claims;
- reading minutes of meetings of those charged with governance and the Board;

In addressing the risk of fraud through management override of controls, testing the appropriateness of journal entries and other adjustments; assessing whether the judgements made in making accounting estimates are indicative of a potential bias; and evaluating the business rationale of any significant transactions that are unusual or outside the normal course of business.

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I also communicated relevant identified laws and regulations and potential fraud risks to all audit team members and remained alert to any indications of fraud or non-compliance with laws and regulations throughout the audit.

The extent to which my procedures are capable of detecting irregularities, including fraud, is affected by the inherent difficulty in detecting irregularities, the effectiveness of Digital Health and Health Care Wales’s controls, and the nature, timing and extent of the audit procedures performed.

A further description of the auditor’s responsibilities for the audit of the financial statements is located on the Financial Reporting Council’s website [www.frc.org.uk/auditorsresponsibilities](http://www.frc.org.uk/auditorsresponsibilities). This description forms part of my auditor’s report.

# RESPONSIBILITIES FOR REGULARITY

The Chief Executive is responsible for ensuring the regularity of financial transactions. I am required to obtain sufficient evidence to give reasonable assurance that the expenditure and income have been applied to the purposes intended by the Senedd and the financial transactions conform to the authorities which govern them.

# REPORT

I have no observations to make on these financial statements.

Adrian Crompton

Auditor General for Wales

15 June 2022

24 Cathedral Road

Cardiff

CF11 9LJ

Tolley, Laura  
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# FINANCIAL STATEMENTS AND NOTES 2021/22

## FOREWORD

These accounts have been prepared by Digital Health & Care Wales, a Welsh Special Health Authority under schedule 9 section 178 Para 3(1) of the National Health Service (Wales) Act 2006 (c.42) in the form in which the Welsh Ministers have, with the approval of the Treasury, directed.

## STATUTORY BACKGROUND

DHCW was established by establishment order 2020 No 1451 (W313) under section 22 of the National Health Service (Wales) Act 2006 (“the Act”), which was made on 7th December 2020 and came into force on the 30th December 2020.

DHCW operated in a shadow form until 1 April 2021 with all establishment and set up costs being borne by the Welsh Government, and Public Health Wales NHS Trust. The predecessor body NHS Wales Informatics Services (NWIS) hosted by Velindre University NHS Trust delivered operational activity to 31st March 2021.

On 1st April staff were transferred into DHCW and the organisation became fully operational.

These accounts, whilst covering the period 30th December 2020 to 31st March 2022, present the accounting transactions only for the period of live operation from 1st April 2021 to 31st March 2022.

DHCW is the second Special Health Authority within Wales created to take forward the digital transformation needed for better health and care in Wales, making services more accessible and sustainable while supporting personal health and well-being.

## PERFORMANCE MANAGEMENT AND FINANCIAL RESULTS

DHCW must comply fully with the Treasury’s Financial Reporting Manual to the extent that it is applicable to them. As a result, the Primary Statement of in-year income and expenditure is the Statement of Comprehensive Net Expenditure, which shows the net operating cost incurred by DHCW which is funded by the Welsh Government. This funding is allocated on receipt directly to the General Fund in the Statement of Financial Position.

DHCW has an annual requirement to achieve a balanced year end position against the Resource and Capital limits set for the year.

Performance against these limits is reported in Note 2 to the financial statements.

Tolley, Laura  
21/07/2022 14:38:23

## FINANCIAL ACCOUNTABILITY REPORT

The SHA has completed its first full year of operation since transitioning from being a hosted body within Velindre NHS Trust to its own statutory Special Health Authority status and consequently is now required to prepare accounts for the financial period 30 December 2020 to 31 March 2022 and subsequent financial years.

During this time, the organisation has embedded the financial systems, controls, governance and reporting required to meet both statutory requirements and business need within the challenging context of the COVID-19 pandemic.

Digital solutions supporting the pandemic response (Test, Trace & Protect and Mass Immunisation scheduling systems) resulted in an additional requirement of £11.492m revenue and capital £0.865m capital investment. Funding from Welsh Government was secured in order to ensure that there was no additional organisational financial impact upon its ability to break even.

DHCW also leads the delivery of a number of digital initiatives supported by the Welsh Governments Digital Priority Investment Fund. For 2021/22 the SHA received £14.421m in revenue funding and £7.129 in capital.

The future focus will remain on providing first class digital information and solutions to support effective patient care and citizen services, some will require shifts in technology (such as transition to cloud first services) which will require additional revenue funding for the organisation to meet its financial targets.

## FINANCIAL TARGETS

DHCW was established as a Special Health Authority. The statutory financial duties of Special Health Authorities are set out in section 172 of the National Health Service (Wales) Act 2006.

- Statutory Financial Duties – First Financial Duty

Section 172(1) sets out what is referred to as the ‘First Financial Duty’ -a duty to secure that DHCW expenditure does not exceed the aggregate of the funding allotted to it for a financial year. Under the powers of direction in the National Health Service (Wales) Act section 172(6) WHC/2019/004 clarified that the annual statutory financial duty is set separately for revenue and capital resource allocations. DHCW was in shadow form for the period 30 December 2020 to 1 April 2021, no resource allocations were made to DHCW for this period. The entity was dormant for the purposes of accounting, with expenditure incurred by predecessor entities for service provision to the date of transfer, or by Welsh Government for establishment costs. Revenue and Capital resource allocations were issued to DHCW for the period 1 April 2021 to 31 March 2022 and will form the basis of assessment of the First Financial Duty in the first statutory accounts.

## ADMINISTRATIVE FINANCIAL DUTIES – SECOND FINANCIAL DUTY

The ‘Second Financial Duty’ for NHS bodies in Wales is the duty to prepare a plan and for that plan to be submitted to and approved by the Welsh Ministers.

Due to the pandemic, the process for the 2020-23 integrated plan was paused in spring 2020 and temporary planning arrangements were implemented.

The NHS Wales Annual Planning Framework 2021-22 set out an expectation that all health bodies in Wales would submit a board approved annual plan by 31 March 2021. As DHCW was not in full operation until 31 March 2021 it was not feasible to achieve this, however the DHCW board approved the 2021-22 annual plan on 27 May 2021.

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21/07/2022 14:38:23

## FINANCIAL PERFORMANCE

DHCW is reporting the achievement all financial targets set

- Break even duty - DHCW has an annual requirement to achieve a balanced year end position against the Resource and Capital limits set for the year. The SHA reported a revenue surplus of £0.366m and capital underspend of £0.010m for the financial year therefore achieving its statutory financial duty to achieve financial break even.
- The SHA produced an Annual Plan for the period 2021/2022 which submitted in accordance with the NHS Wales Planning Framework, however it should be noted that due to the pandemic, the process for the 2020-23 integrated plan was paused in spring 2020 and temporary planning arrangements were implemented. As a result, DHCW did not have a formal administrative duty to have an approved plan for 2021-22.
- As DHCW only had an annual duty to report, there is no extant formal planning duty to report against which was subsequently approved by the DHCW Board. Therefore, the SHA met its statutory duty
- Creditor payments - The SHA is required to pay 95% of the number of non- NHS bills within 30 days of the receipt of goods or a valid invoice (whichever is the later). The SHA has met this target, paying 97% of invoices within the required timeframe.

## FEES AND CHARGES – AUDITOR REMUNERATION

Fees paid to the Audit Wales for their statutory audit and performance audit work were £215,522.

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# APPENDIX 1 - BOARD AND COMMITTEE MEMBERSHIP AND ATTENDANCE 1 APRIL 2021 TO 31 MARCH 2022

Name	Position	Area of Expertise/Interest Role	Board/Committee Membership	Meeting Attendance	Champion Roles
Simon Jones (*)	Chair	Board cohesion and oversight Partnership working across the system	Board RATS Committee (Chair)	4/4 3/3	N/A
Robert Hudson (*)	Interim Chair	N/A	Board RATS Committee (Interim Chair)	4/4 2/2	N/A
Ruth Glazzard	Vice-Chair	Stakeholder engagement strategy with focus on patient and citizen experience Champion primary, community and mental health digital services National strategic primary care programme Advice and advocacy to the decarbonisation and quality and regulatory agendas	Board RATS Committee (Vice Chair) Audit and Assurance Committee	8/8 5/5 3/4	Mental health Children and Young People Older Persons
Rowan Gardner	Independent Member	Research and Innovation strategy Population health and Value-Based healthcare agenda Cyber Security	Board RATS Committee Digital Governance and Safety Committee (Chair)	8/8 5/5 4/4	Infection prevention and control Research Armed forces and veterans
David Selway	Independent Member	National Data Resource programme Stakeholder engagement strategy with focus on patient and citizen experience DHCW product approach	Board RATS Committee (Vice Chair) Audit and Assurance Committee Digital Governance and Safety Committee (Vice Chair)	8/8 5/5 4/4 4/4	Putting Things Right
Grace Quantock	Independent Member	Workforce and professional development	Board RATS Committee Audit and Assurance Committee (Vice Chair)	7/8 5/5 4/4	Equality
Marian Wyn Jones	Independent Member	DHCW Communications function review DHCW Communications and public relations approach	Board RATS Committee Audit and Assurance Committee (Chair)	8/8 5/5 4/4	Raising concerns(staff) Welsh Language

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Name	Position	Area of Expertise/Interest Role	Board/Committee Membership	Meeting Attendance	Champion Roles
Siân Doyle	Independent Member	N/A	Board RATS Committee Digital Governance and Safety Committee (Previous Chair)	6/6 3/3 3/3	N/A
Helen Thomas	Chief Executive	N/A	Board	8/8	N/A
Claire Osmundsen-Little	Deputy Chief Executive/ Director of Finance	N/A	Board	8/8	N/A
Rhidian Hurle	Executive Medical Director	N/A	Board	8/8	N/A
Chris Darling	Board Secretary	N/A	Board	8/8	N/A
Carwyn Lloyd Jones	Director of Information Communication Technology and Digital Business	N/A	Board	8/8	N/A
Michelle Sell	Chief Operating Officer	N/A	Board	8/8	N/A
Rachael Powell**	Associate Director of Research, Information and Innovation	N/A	Board	5/5	N/A
Ifan Evans ***	Executive Director of Digital Strategy	N/A	Board	0/0	N/A
Gareth Davis***	Executive Director of Operations (Interim)	N/A	Board	0/0	N/A
Sarah-Jane Taylor***	Director of People and OD	N/A	Board	0/0	N/A

(\*) Denotes a member who left or joined part way through the year, attendance reflects the number of Board and Committee meetings before the exit or after the start date.

(\*\*) Denotes a change to the organisational structure with the Medical Director becoming the Executive accountable in this area, hence the non-attendance at the last two Board meetings of the year.

(\*\*\*) Denotes Directors appointed within the year with start dates after the 31 March 2022.

# APPENDIX 2 – LEAD OFFICERS

Committee	Officer
Audit and Assurance Committee	Director of Finance
Remuneration and Terms of Service	Chief Executive Officer supported by the Head of Workforce and OD
Digital Governance and Safety Committee	Medical Director



# APPENDIX 3 - SCHEDULE OF BOARD, COMMITTEE AND ADVISORY GROUP MEETINGS 2021/22

Board/ Committee	April	May	June	July	August	September	October	November	December	January	February	March
DHCW SHA Board	01/04/2021	27/05/2021	N/A	29/07/2021	N/A	30/09/2021	14/10/2021	25/11/2021	N/A	27/01/2022	N/A	31/03/2022
Audit and Assurance Committee	N/A	11/05/2021	N/A	06/07/2021	N/A	N/A	05/10/2021	N/A	N/A	18/01/2022	N/A	N/A
Remuneration and Terms of Service		N/A	N/A	01/07/2021	N/A	N/A	29/10/2021	N/A	N/A	20/01/2022	N/A	10/03/2022
Digital Governance and Safety Committee	N/A		N/A	N/A	11/08/2021	N/A	N/A	15/11/2021	N/A	N/A	18/02/2022	N/A
Local Partnership Forum	N/A	N/A	N/A	N/A	10/08/2021	N/A	12/10/2021	N/A	07/12/2021	N/A	08/02/2022	N/A

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21/07/2022 14:38:23

# APPENDIX 4 – MINISTERIAL DIRECTIONS

Ministerial Directions (MDs)	Date/Year of Adoption	Action to demonstrate implementation/response
2021. No.41 – Directions to Local Health Boards as to the Statement of Financial Entitlements (Amendment) Directions 2021	April 2021	N/A
2021. No.59 – The Directions to Local Health Boards and NHS Trusts in Wales on the Delivery of Autism Services 2021	July 2021	N/A
2021. No.65 – The Primary Care (PfizerBioNTech Vaccine COVID-19 Immunisation Scheme) Directions 2021	July 2021	N/A
2021. No.70 – The Primary Care (Contracted Services: Immunisations) Directions 2021	August 2021	N/A
2021. No.75 – Directions to Local Health Boards as to the Statement of Financial Entitlements (Amendment) (No. 2) Directions 2021	September 2021	N/A
2021. No.77 – The National Health Service (General Medical Services – Recurring Premises Costs during the COVID-19 Pandemic) (Wales) (Revocation) Directions 2021	September 2021	N/A
2021. No.83 – The Pharmaceutical Services (Fees for Applications) (Wales) Directions 2021	October 2021	N/A
2021. No.84 – The Directions to Local Health Boards as to the Personal Dental Services Statement of Financial Entitlements (Amendment) Directions 2021	October 2021	N/A
2021. No.85 – The Directions to Local Health Boards as to the General Dental Services Statement of Financial Entitlements (Amendment) (No.2) Directions 2021	October 2021	N/A
2021. No.88 – The Directions to Local Health Boards as to the General Dental Services Statement of Financial Entitlements (Amendment) (No. 3) Directions 2021	October 2021	N/A
2021. No.89 – The Directions to Local Health Boards as to the Personal Dental Services Statement of Financial Entitlements (Amendment) (No. 3) Directions 2021	October 2021	N/A

Ministerial Directions (MDs)	Date/Year of Adoption	Action to demonstrate implementation/response
2021. No.90 – The Primary Medical Services (Influenza and Pneumococcal Immunisation Scheme) (Directed Enhanced Service) (Wales) (No. 2) (Amendment) Directions 2021	November 2021	N/A
2021. No.93 – Directions to Local Health Boards as to the Statement of Financial Entitlements (Amendment) (No.3) Directions 2021	December 2021	N/A
2021. No.97 – The Primary Care (Contracted Services: Immunisations) (Amendment) Directions 2021	December 2021	N/A
2022. No.06 – The Pharmaceutical Services (Clinical Services) (Wales) Directions 2022	March 2022	N/A
2022. No.13 – The Wales Infected Blood Support Scheme (Amendment) Directions 2022	March 2022	N/A

## HEALTH CIRCULARS | GOV.WALES

Name	Date Issued	Applicable/ Not applicable	Date/Year of Adoption if relevant	Action to demonstrate implementation/response
The NHS (Cross Border Healthcare) (Wales) Amendment Directions 2021 and NHS (Reimbursement of the Cost of EEA Treatment) (Wales) (Amendment) Directive 2021 (WHC/2021/005)	06/04/2021	N/A at this stage	N/A	Reviewed by Executive Directors at their weekly meeting and forwarded to the Information Governance Officer who confirmed that it had little reference to DHCW's current responsibilities and there was no requirement for any further action at this stage
Revised National Steroid Treatment Card (WHC/2021/008)	01/05/2021	N/A	N/A	Reviewed by Executive Directors at their weekly meeting where it was agreed there were no implications for DHCW and closed.
School Entry Hearing Screening Pathway (WHC/2021/009)	25/03/2021	N/A	N/A	Reviewed by Executive Directors at their weekly meeting where it was agreed there were no implications for DHCW and closed.
Amendments to Model Standing Orders, Reservation and Delegation of Powers and Model Standing Financial Instructions – NHS Wales (WHC/2021/010)	16/09/2021	N/A	N/A	Reviewed by Executive Directors at their weekly meeting where it was agreed there was no action for DHCW due to the model standing orders and standing financial instructions being issued at the start of 21/22 as a new organisation but any further WHC of this type would sit with the Board Secretary.

Name	Date Issued	Applicable/ Not applicable	Date/Year of Adoption if relevant	Action to demonstrate implementation/response
2021/22 LHB, SHA & Trust Monthly Financial Monitoring Return Guidance (WHC/2021/011)	23/04/2021	N/A	N/A	Reviewed by the Executive Directors at their weekly meeting and confirmed no action required.
Implementing the Agreed Approach to Preventing Violence and Aggression Towards NHS Staff in Wales (WHC/2021/012)	22/04/2021	Applicable	TBC	Reviewed by the Executive Directors at their weekly meeting and cascaded to Workforce for action by DHCW. Planned deployment for Q1 22/23.
List of Welsh Health Circulars - (WHC/2021/014)	18/05/2021	For information	N/A	N/A
NHS Pay Bonus for Primary Care (WHC/2021/015)	28/05/2021	Applicable	N/A	Reviewed by the Executive Directors at their weekly meeting. Further discussions with Workforce confirmed the action was closed.
Publication of the Quality Safety Framework (WHC/2021/022)	17/09/2021	Applicable	April 2023	Reviewed by the Executive Directors at their weekly meeting. Agreed that the Medical Director would provide oversight and the document was circulated to all staff on 04/10/2021.
NHS Wales' contribution towards a net-zero Public Sector by 2030: NHS Wales Decarbonisation Strategic Delivery Plan (WHC/2021/024)	08/09/2021	Applicable	18/01/2021	Reviewed by the Executive Directors at their weekly meeting. Agreed this sits with the Head of Corporate Services for oversight and implementation. The Head of Corporate Services continues to work on this, and a presentation was provided to the Audit and Assurance Committee on 18/01/2022
Carpal Tunnel Syndrome Pathway (WHC/2021/025)	15/09/2021	N/A	N/A	Reviewed by the Executive Directors at their weekly meeting and confirmed no action required for DHCW.
Overseas Visitors' Eligibility to receive free primary care (WHC/2021/026)	06/10/2021	N/A	N/A	Reviewed by the Executive Directors at their weekly meeting and agreed there were no implications for DHCW.
NHS Wales Blood Health Plan (WHC/2021/027)	27/09/2021	N/A	N/A	Sent to the Medical Director for review who confirmed no action required for DHCW.
AMR & HCAI Improvement Goals for 2021-22 (WHC/2021/028)	27/09/2021	Applicable	N/A	The Medical Director confirmed there was no further action for DHCW.
NHS Wales Planning Framework 2022-2025 (WHC/2021/031)	09/11/2021	Applicable	31/03/2022	The IMTP was signed off and submitted to Welsh Government within the time frame.
Role and Provision of Dental Public Health in Wales (WHC/2021/032)	16/11/2021	N/A	N/A	Reviewed by the Executive Directors at their weekly meeting and confirmed no action required for DHCW.
Role and Provision of Oral Surgery in Wales (WHC/2021/033)	14/12/2021	N/A	N/A	Reviewed by the Medical Director and confirmed no implications for DHCW

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Name	Date Issued	Applicable/ Not applicable	Date/Year of Adoption if relevant	Action to demonstrate implementation/response
Welsh Value in Health Care – Data Requirements (WHC/2022/005)	24/03/2022	Applicable	TBC	Reviewed by the Executive Directors at their weekly meeting and assigned to the Medical Director.
The Recording of Dementia READ Codes	15/02/2022	N/A	N/A	Reviewed by the Executive Directors at their weekly meeting and confirmed there were no implications for DHCW. The Medical Director confirmed that data requirements will be supported through the appropriate governance.
Reimbursable vaccines and eligible cohorts	29/03/2022	N/A	N/A	To be reviewed by the Executive Directors at their meeting on 13/04/2022. It was agreed at the meeting there were no implications for DHCW relating to this WHC.
Patient Testing Framework – updated guidance	24/03/2022	N/A	N/A	Reviewed by the Executive Directors and confirmed there was no action to be taken by DHCW.



## APPENDIX 5 - DHCW SYSTEM MAP AND ACRONYM BUSTER





	Adult Screening Services encompasses the development, support and maintenance of the following products, Abdominal Aortic Aneurysm Screening Information Management (ASIMS), Bowel Screening Information Management (BSIMS for both Wales and Northern Ireland) and Cervical Screening.		A digitised pharmacy system that improves computerised dispensing and medicines stock management, producing usage data for a comprehensive real time view of this information across Wales.		A collection of services in Wales to test, track and help prevent the spread of COVID-19; enhance health surveillance, undertake effective and extensive contact tracing and support people to self-isolate.		The primary source of administration data for patients in secondary care, this includes referral management, waiting lists, outpatient and ED attendances, clinics and admissions as well as supporting Maternity services and Pathway management including cancer tracking systems.
	A system that ensures that each child in Wales has an active care record. CYPriS provides information about individual children's health (useful for child immunisation programs during disease outbreaks) and also a population perspective to enable effective targeting of services and supports Clinicians in decision making by providing them with a real time view of a patient record.		This system enables electronic hospital referrals between secondary care facilities; users can record patient medical information, history and also attach images and WCP documents.		This system allows Health Record Users to electronically process GP Referrals received from WCCG and then send them electronically to WCP for Clinician prioritisation.		The fully-managed digital solution collects real-time information automatically from the monitoring devices, pumps and respiratory equipment used for each patient's care, providing frontline staff with an overview of the status of patients and devices across the ward.
	An application used by Community Pharmacies to support the effective delivery of a number of advanced and enhanced services across Wales, such as advice and treatment for a range of common ailments.		These are some of the forms and workflows within the Welsh Clinical Portal digital patient record which allow users to digitally capture Inpatient and Outpatient assessments and consultations.		This service responds to emergency 999 calls, provides a 24-hour telephone and internet health advice service and offers both inter-hospital and between-home-and-healthcare-facility transfers.		An information system that provides a full range of functionality to manage priority group cohorts, booking and call/recall for multi doses, auto-scheduling, collection of vaccine outcomes and pharmacy and consumable data records for operational and management purposes.
	An application which enables patients to access the health and care services and information they need and more easily make changes to things like correspondence type and healthcare appointments online.		Online access to GP Practice services for patients, allowing them to book appointments, request repeat prescriptions and view medical information. Individual practices can customise which particular MHOL services they have enabled to best suit their patients' needs.		A Primary Care messaging service for referrals, clinical letters, discharge advice letters and other secure electronic messages between Primary and Secondary Care; replacing the paper equivalent of these document types.		An ICT capability to support the clinical management of patients with diabetes which allows hospital staff to store and share patient assessment and care information such as diagnoses, medication, complex insulin regimens, blood glucose levels, clinical assessments and clinical notes; accessible by healthcare professionals across Wales.
	Home to NHS Wales' largest source of evidence and digital information. Provides all NHS Wales employees and contract holders access to digital resources and systems including: 7,000+ e-journals, 1,300+ e-books, 20+ databases, 3 Evidence Summaries, 2 Guideline collections, 1 Medicines Information system, 1 e-Learning platform.		This system enables patient medicines to be electronically reconciled on patient admission to hospital and for electronic discharge advice letters to be sent to GP practices, summarising their inpatient stay (including changes to medicines).		A full case management system, providing diary/clinic, waiting list, bed and case planning management, referrals, assessments and discharge planning functionality. Used by Social Care staff, community nurses, health visitors, school nurses and mental health practitioners.		The primary Pathology system for NHS Wales; it is responsible for the receipt of samples from Primary and Secondary Care and the delivery of Pathology results to secondary systems.
	A service for Wales that provides Consultant and Critical Care Practitioner-delivered pre-hospital critical care across Wales; a working partnership between Welsh Air Ambulance, NHS Wales and the Welsh Government.		A Content Management System hosted centrally and supported by DMCW; enables the creation of websites that are then largely controlled by local organisations.		Allows client applications such as the WCP to record, retrieve and update structured clinical data (such as allergies or blood pressure readings etc) against a patient's electronic healthcare record.		Inpatient nursing care application which allows hospital staff to store and share patient assessment and care information; accessible by health care professionals across Wales.
	Examples of third party GP clinical system suppliers on the market; GP practices can choose their own from an approved list.		An application which provides clinicians with the ability to see medical images from the associated Radiology Report regardless of where the image was taken or held in Wales. By using a web based image viewer that supports multiple modes (including 3D), users can view images across health board boundaries.		An application that shares, delivers and displays patient information from a number of sources with a single log-on, even if that information is spread across health boards. Currently GPs, out of hours centres and WAST have read-only access to WCP.		A software that supports testing performed by healthcare professionals at the patient location by cutting out laboratory processes. Results are captured from POCT devices throughout Wales, such as Blood Glucose meters, and transferred to the national WLIMS which in turn forwards this information to results repositories (primarily the WCP) to form part of the patient record.
	A repository bringing demographic data together from across Primary and Secondary Care (including WDS). Holds additional patient data such as Ethnicity, Preferred Language, Phone numbers and email address.		This system helps protect patient data; it monitors access to clinical solutions containing patient information and thereby reduces privacy breaches.		Allows users to access the WCP application on hand-held devices, to view patient information across organisational boundaries. It notifies clinicians when a Test Result has returned for a patient in their Watch List.		The Covid Testing Dashboard allows testing sites to view citizens who have booked via the UK Booking Platform. The Vaccination Dashboard allows users to search for citizen vaccination records and request that a physical vaccination certificate be sent to the citizen's address.
	This system enables Pathology and Radiology tests to be requested electronically; users can create test sets, bulk order tests and view patient Pathology results in table and graph format.		A medical imaging technology used to securely store and digitally transmit electronic images and clinically-relevant reports.		The national patient care records repository for digitally created documents. These include GP e-referrals, clinic letters, A&E attendances, operation notes and discharge advice letters. These can be accessed through WCP irrespective of organisational boundaries.		A safe and secure way to manage electronic referrals from Primary to Secondary Care. WPRS is made up of four national systems – WCCG, WAP, WPAS and WCP.
	Provides a message based integration between secondary care applications and GP practices in Wales. Pathology, Radiology, ePost and Screening message types are received from different systems for delivery to Primary Care Locations.		The digital recording of Adverse Reactions and Patient Warnings using SNOMED clinical terminology. These will be stored in the WCDR as a single source of truth for storing and retrieving Adverse Reactions and Patient Warnings which can be viewed in clinical applications.		The data in this repository provides the demographic characteristics of people registered with GP practices in Wales, such as Name, Address, Date of Birth and Sex.		This system manages the workflow for all types of radiology requests (e.g. X-Rays, CT scans, MRIs and ultrasound) for the hospitals in Wales. This includes the receipt of electronic requests, justification of requests, scheduling of appointments and reporting templates.
	Allows GP Practice staff to send electronic pathology requests to hospital laboratories and to view pathology and radiology test results from across Wales.		This feature electronically notifies the clinician of newly available test results and sorts them into Inpatient and Outpatient lists which can be signed-off digitally, overcoming the need to use paper result notifications.		A national emergency department (A&E) system which enables the exchange of electronic patient information between Symphony (the system) and the all Wales systems (eMPI, WCCG, WCP). WEDS will also integrate with the local PAS at each of the health boards as well as their pharmacy dispensing cabinets.		A national diagnostic repository providing health professionals with the ability to view diagnostic reports and requests, regardless of where in Wales they were produced.



# APPENDIX 6 - AUDIT ASSURANCE RATINGS

We define the following levels of assurance that governance, risk management and internal control within the area under review are suitable designed and applied effectively:

Substantial Assurance		Few matters require attention and are compliance or advisory in nature.  <b>Low impact</b> on residual risk exposure.
Reasonable Assurance		Some matters require management attention in control design or compliance.  <b>Low to moderate impact</b> on residual risk exposure until resolved.
Limited Assurance		More significant matters require management attention.  <b>Moderate impact</b> on residual risk exposure until resolved.
No Assurance		Action is required to address the whole control framework in this area.  <b>High impact</b> on residual risk exposure until resolved.
Assurance not applicable		Given to reviews and support provided to management which form part of the internal audit plan, to which the assurance definitions are not appropriate. These reviews are still relevant to the evidence base upon which the overall opinion is formed

Tolley, Laura  
21/01/2022 14:38:23



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**IGDC**

# CYFARFOD CYFFREDINOL BLYNYDDOL

28 Gorffennaf 2022

**DHCW**

# ANNUAL GENERAL MEETING

28 July 2022

Tolley, Laura  
21/07/2022 14:38:23

# Agenda

Pwy ydym ni a beth rydym yn ei wneud

Ein cynnydd a'n cyflawniadau

Ein pobl

Ein cyllid

Edrych i'r dyfodol

Cwestiynau ac Atebion

Crynodeb a Chloi

Tolley, Laura  
21/07/2022 14:38:23

# Agenda

Who we are and what we do

Our progress and achievements

Our people

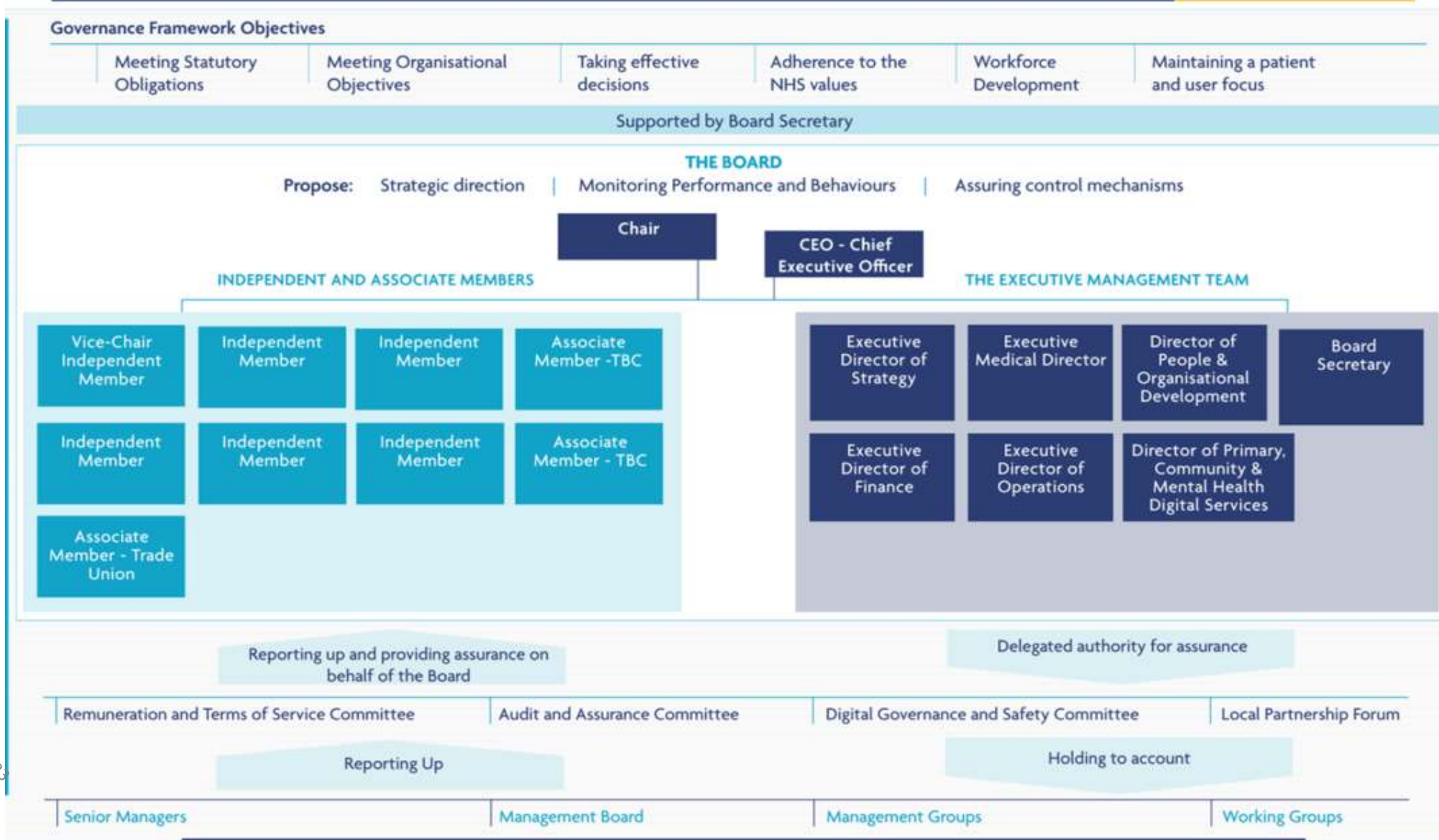
Our finances

Looking forward

Questions & Answers

Summary and Close

# Y Sefydliad Newydd Y Bwrdd



The New Organisation **The Board**



AELODAU'R BWRDD a Rolau

BOARD MEMBERS and Roles



**Simon Jones**  
Cadeirydd/ Chair



**Helen Thomas**  
Prif Swyddog Gweithredol/  
Chief Executive Officer



**Chris Darling**  
Ysgrifenydd Y Bwrdd/  
Board Secretary



**Ruth Glazzard**  
Is-gadeirydd/ Vice Chair



**Gareth Davis**  
Cyfarwyddwr Gweithredol Dros Dro  
Gweithrediadau/ Interim Executive  
Director of Operations



**Ifan Evans**  
Cyfarwyddwr Gweithredol Strategaeth/  
Executive Director of Strategy



**Andrew Fletcher**  
Aelod Cyswllt O'r Bwrdd/  
Associate Board Member



**Rowen Gardner**  
Aelod Annibynnol/  
Independent Member



**Rhidian Hurle**  
Cyfarwyddwr Meddygol Gweithredol/  
Executive Medical Director




**Marian Wyn Jones**  
Aelod Annibynnol/  
Independent Member



**Claire Osmundsen-Little**  
Cyfarwyddwr Gweithredol Cyllid/  
Executive Director of Finance



**David Selway**  
Aelod Annibynnol/  
Independent Member



**Sarah Jane Taylor**  
Cyfarwyddwr Pobl a Datblygu Sefydliadol/  
Director of People and Organisational  
Development

Tolley, Laura  
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Swyddi Gweigion  
Vacancies

Cyfarwyddwr Gwasanaethau Digidol Gofal Sylfaenol, Cymunedol ac Iechyd Meddwl  
/ Director of Primary, Community and Mental Health Digital Services  
2x Aelod Annibynnol/ Independent Member

<https://igdc.gig.cymru/amdanom-ni/cyfarfod-ar-bwrdd/>  
<https://dhcw.nhs.wales/about-us/meet-the-board/>

**Pwy ydym ni** a beth rydym yn ei wneud?



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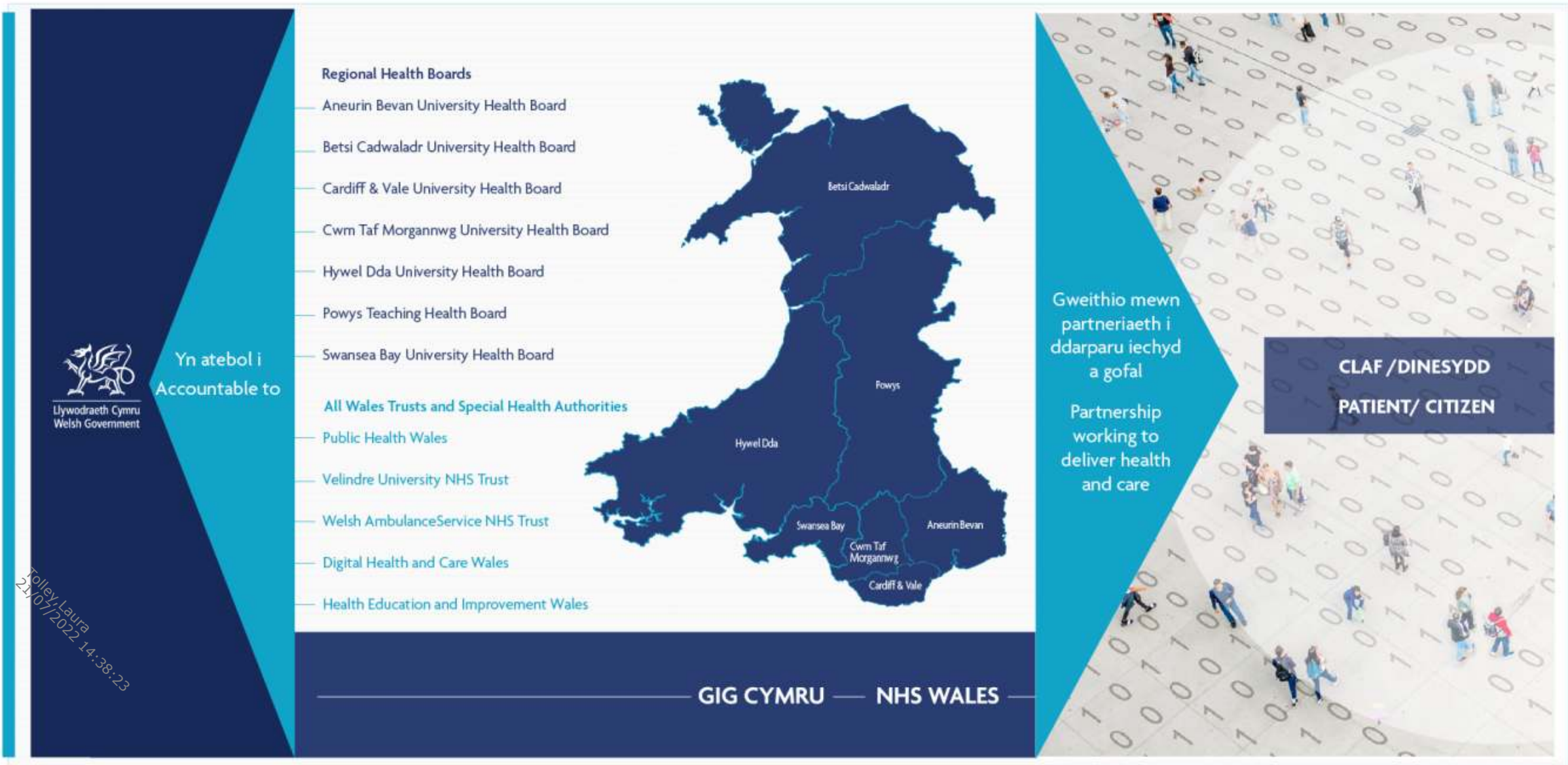
Iechyd a Gofal  
Digidol Cymru  
Digital Health  
and Care Wales

**Who are we** and what do we do?

Tolley, Laura  
21/07/2022 14:38:23

Mae **IGDC** yn rhan o GIG Cymru

**DHCW** is part of NHS Wales



Tolley, Laura  
21/07/2022 14:38:23



## Ein Gweledigaeth

Darparu **gwasanaethau digidol**  
**o'r radd flaenaf**, gan rymuso  
pobl i **fyw bywydau iachach**



## Our Vision

To **provide world leading digital**  
**services**, empowering people to  
**live healthier lives**



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Digital Health  
and Care Wales

# Beth rydym yn ei wneud a pham?

Systemau Modern

Yn seiliedig ar Ddata

Hyrwyddo Hunanofal

Diogelwch a Chefnogaeth

Canolbwyntio ar wasanaeth  
Service focused



# What we do and why?

Modern systems

Data driven

Promote self care

Security and support

Canolbwyntio ar atal  
Prevention focused





# EICH Cofnod Iechyd a Gofal Digidol YOUR Digital Health and Care Record



Porthol Clinigol Cymru  
Welsh Clinical Portal



Gwasanaethau Digidol  
ar gyfer Cleifion a'r Cyhoedd  
Digital Services  
for Patients and the Public



WCP.Moblie



Tolley, Laura  
21/01/2022 14:38:23



# Ymateb Brys



SYSTEM WYBODAETH  
GOFAL DWYS CYMRU  
WELSH INTENSIVE CARE  
INFORMATION SYSTEM



Darparu Uned Gofal Dwys Ddigidol  
Delivering a Digital Intensive Care Unit



# Emergency Response



Tolley, Laura  
21/07/2022 14:38:23



SYSTEMAU RHEOLI  
GWYBODAETH LABORDAI

RADIOLEG

ENDOSGOPI

PATHOLEG CELLOEDD DDIGIDOL



LABORATORY INFORMATION  
MANAGEMENT SYSTEMS



RADIOLOGY



ENDOSCOPY



DIGITAL CELLULAR PATHOLOGY

Tolley, Laura  
21/07/2022 14:38:23





Portffolio Trawsnewid Gweinyddu  
**Meddyginiaethau'n** Ddigidol  
Digital **Medicines** Transformation  
Portfolio

FFERYLLIAETH YN Y GYMUNED COMMUNITY PHARMACY

# Ein cynnydd a'n cyflawniadau



GIG  
CYMRU  
NHS  
WALES

lechyd a Gofal  
Digidol Cymru  
Digital Health  
and Care Wales

## Our progress and achievements

Tolley, Laura  
21/07/2022 14:38:23

I'w gweld yn llawn, ewch i wefan IGDC:

<https://igdc.gig.cymru/amdanom-ni/dogfennau-allweddol/>

See them in full at the DHCW website:

<https://dhcw.nhs.wales/about-us/key-documents/>





Tolley, Laura  
21/07/2022 14:38:23

Blwyddyn o Iechyd a Gofal Digidol Cymru – YouTube

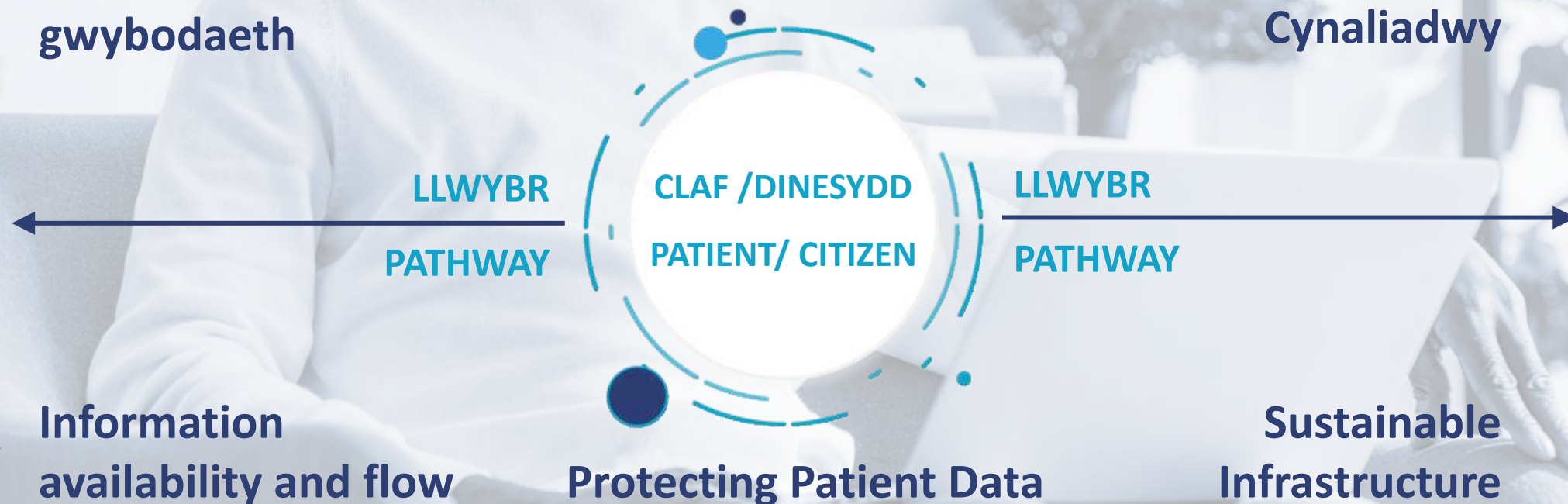
Celebrating One Year of Digital Health and Care Wales - YouTube

# Cefnogi'r **SYSTEM** Supporting the **SYSTEM**

Argaeledd a llif  
gwybodaeth

Diogelu Data Cleifion

Seilwaith  
Cynaliadwy



Tolley, Laura  
21/07/2022 14:38:23



Rhyddhau oriau i ofal cleifion



Mae dros **4,000** o nyrsys yn defnyddio WNCR

Releases hours to patient care



Over **4,000** nurses use WNCR

Cofnod Gofal Nyrsio Cymru

Welsh Nursing Care Record

Tolley, Laura  
21/07/2022 14:38:23





SYSTEM  
FFERYLLIAETH  
YSBYTAI  
CYMRU

WELSH  
HOSPITAL  
PHARMACY  
SYSTEM

**7** Bwrdd Iechyd ac Ymddiriedolaeth Felindre

**24** HSBYTY **1,700** O DDEFNYDDWYR



**7** Health Boards and Velindre Trust

**24** HOSPITALS **1,700** USERS

System Rheoli Stoc  
Fferylliaeth Ysbytai Cymraeg

Welsh Hospital Pharmacy  
Stock Management System



Mae **98.8% o Fferyllfeydd** yng Nghymru yn defnyddio 'Dewis Fferyllfa'

Mae **WCCIS yn fyw mewn 18** o 22 awdurdod lleol a saith bwrdd iechyd Cymru

**98.8% of Pharmacies** in Wales use 'Choose Pharmacy'

Of Wales' 22 local authorities and seven health boards, **18 are live with the WCCIS**

Gofal Sylfaenol  
a Chymunedol

Primary and  
Community Care

Tolley, Laura  
21/07/2022 14:38:23





**7 MILIWN** o frechiadau COVID-19 wedi'u galluogi gan System Imiwneiddio Cymru (SIC)

**7 MILLION** COVID-19 vaccinations enabled by the Welsh Immunisation System (WIS)

Tolley, Laura  
21/07/2022 14:38:26

**Ymateb i'r Pandemig yn  
21/22**

**Response to the Pandemic  
in 21/22**



Porthol **Clinigol** Cymru  
Welsh **Clinical** Portal

**39** miliwn



**35** miliwn



**Dogfennau clinigol**

**220** miliwn



**195** miliwn



**Canlyniadau profion**

**39** million



**35** million



**Clinical Documents**

**220** million



**195** million



**Test results**

**Porth Clinigol Cymru**

**Welsh Clinical Portal**

# Ein **Pobl**



GIG  
CYMRU  
NHS  
WALES

lechyd a Gofal  
Digidol Cymru  
Digital Health  
and Care Wales

# Our **People**

Tolley, Laura  
21/07/2022 14:38:23

# Trosolwg o'r gweithlu

# Our People Overview

## Denu a Recriwtio

## Attraction and Recruitment

## Proffil Rhyw

## Gender Profile

## Cyfradd Absenoldeb

## Absence Rate

## Dargadwedd a Datblygu

## Retention and Development

## Cyfradd Trosiant

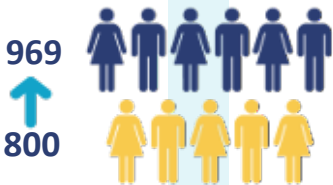
## Turnover Rate

## Gweithio mewn Partneriaeth Ardderchog gyda

## Excellent Partnership Working with

Chydweithwyr Undebau Llafur a Sefydliadau Academaidd

Trade Union Colleagues and Academic Institutions



Tolley Jane  
21/07/2022 14:33:23



# Diwylliant a Datblygiad Sefydliadol

# Culture and Organisational Development

Ffyrdd Newydd o Weithio

Swyddogion Cymorth Cyntaf  
Iechyd Meddwl

Safon Brydeinig ar gyfer  
Gwerthfawrogi Pobl ac  
Amrywiaeth

Safon Aur Iechyd Corfforaethol

Cynllun Cydnabod Staff

Tyfu ein Hunain



New Ways of Working

Mental Health First Aiders

Gold Corporate Health  
Standard

British Standard for  
Valuing People and  
Diversity

Staff Recognition Scheme

Growing our Own

Tolley, L.  
21/04/2022 14:38:23



# Y Gymraeg

Adolygiad o 2021-22

Ymrwymiad i ddwyieithrwydd

Datblygu ein gweithlu

Cydymffurfiaeth

Edrych i'r dyfodol

# Welsh Language

Review of 2021-22

Commitment to bilingualism

Developing our workforce

Compliance

Forward look



## YR IAITH GYMRAEG YN IGDC THE WELSH LANGUAGE AT DHCW

Mae IGDC yn sefydliad dwyieithog - DHCW is a bilingual organisation

Tolley, Laura  
21/07/2022 14:38:23

# Ein **Cyllid**



GIG  
CYMRU  
NHS  
WALES

lechyd a Gofal  
Digidol Cymru  
Digital Health  
and Care Wales

## Our **Finances**

Tolley, Laura  
21/07/2022 14:38:23

# Ein cyllid 2021/22

**Gwariant o £169.9m am y flwyddyn**

Cyllid refeniw o **£131.1m**

Gwariant Cyfalaf Digidol o **£38.8m** (gan gynnwys trosglwyddiad o **£27.9m** o Velindre)

Gwariwyd cyfanswm o **£136.1m** (**£31.0m** Cyflaf a **£105.1m** Refeniw) ar wasanaethau craidd gan gynnwys sefydlu SHA a throsglwyddo asedau.

Gwariwyd cyfanswm o **£12.5m** (**£0.9m** Cyfalaf a **£11.6m** Refeniw) ar Ymateb i COVID -19.

Gwariwyd cyfanswm o **£21.5m** (**£7.1m** Cyflaf a **£14.4m** Refeniw) drwy'r Gronfa Blaenoriaethau Buddsoddiad Digidol

# Our finances 2021/22

**Expenditure of £169.9m for the year**

Revenue Funding of **£131.1m**

Digital Capital Spend of **£38.8m** (including **£27.9m** transfer from Velindre)

A total of **£136.1m** (**£31.0m** Capital & **£105.1m** Revenue) spent on core services including the establishment of the SHA and transfer of assets.

A total of **£12.5m** (**£0.9m** Capital & **£11.6m** Revenue) expended on COVID-19 Response

A total of **£21.5m** (**£7.1m** Capital & **£14.4m** Revenue) expended via Digital Investment Priorities Fund

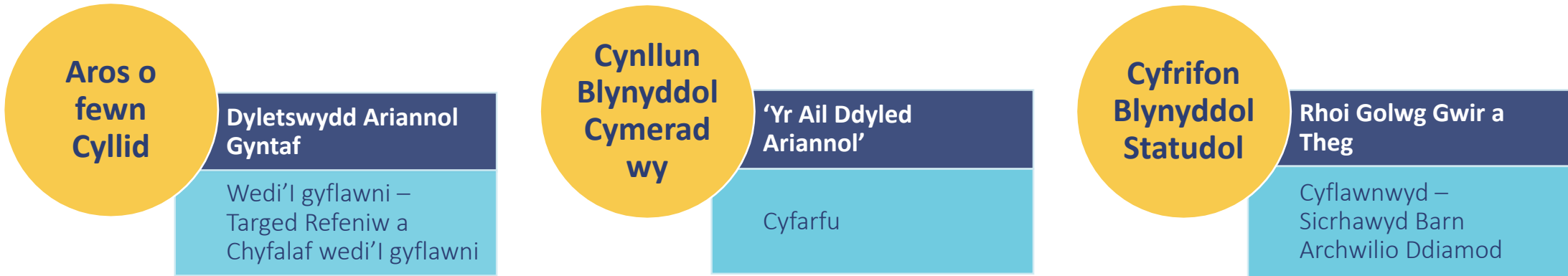
**Cyflawnwyd yr holl Dargedau Ariannol**

**All Financial Targets met**

Tolley, Laura  
21/07/2022 14:38

# Ein Cyllid 2021/22

Perfformiad Ariannol yn Erbyn Targedau Statudol



# Our Finances 2021/22

Financial Performance Against Statutory Targets



Tolley Laura  
21/07/2022 14:38:23

# Ein Cyllid 2021/22

Perfformiad Ariannol yn erbyn Targedau Gweinyddol

**Cwrdd a tharged PSPP**

**Polisi Taliadau'r Sector Cyhoeddus (PSPP)**  
Cyflawnwyd – Talwyd 98% o'r anfonebau a dderbyniwyd

**Rheoli Arian Parod yn Effeithiol**

**Balans arian a ddelir gan yr AIS heb for yn fwy na £2m.**  
Cyflawnwyd – Balans diwedd blwyddyn o £1.5m.

# Our Finances 2021/22

Financial Performance Against Administrative Targets

**Meet PSPP Target**

**Public Sector Payment Policy (PSPP)**  
Achieved - 98% of invoices received paid

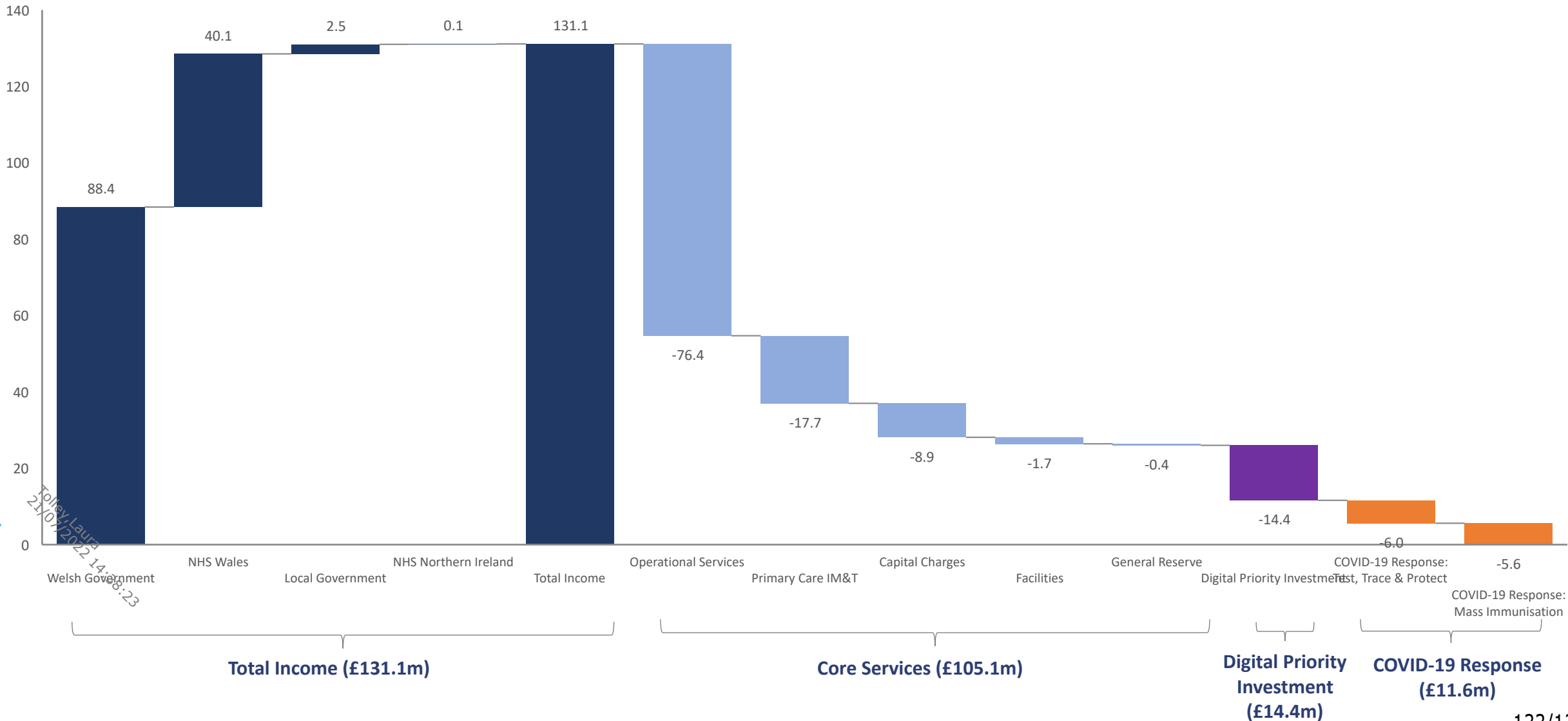
**Effective Cash Management**

**Cash balance held by the SH A not to exceed £2m.**  
Achieved - End of year balance of £1.5m.

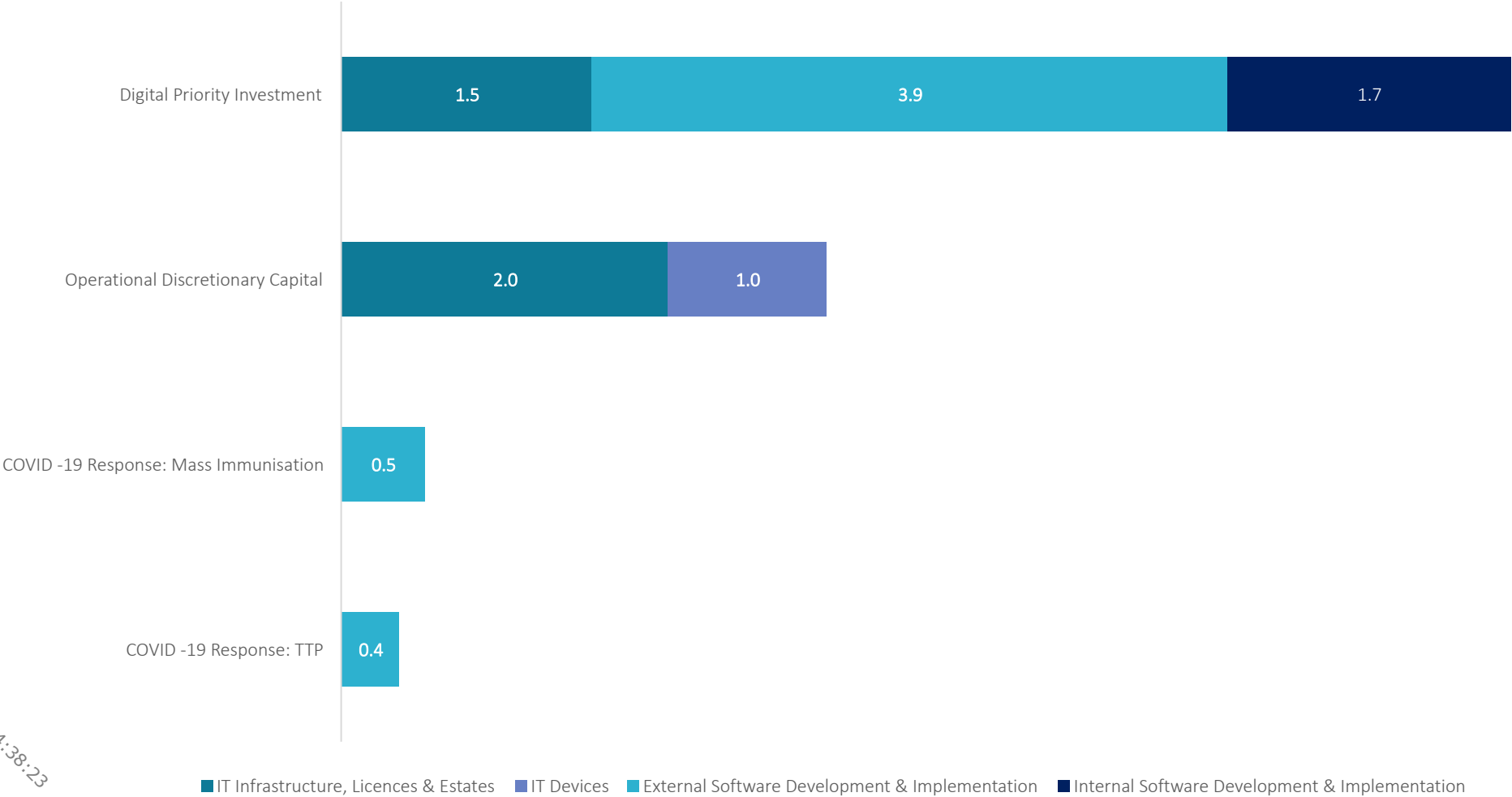
Tolley, Laura  
21/07/2022 14:38:23



2021/22 Revenue Funding & Spend



2021/22 Capital Investment (£m)



Tolley, Laura  
21/07/2022 14:38:23

# Ein Cyllid 2021/22

## Casgliad

- Adeiladu ar berfformiad 2021/2022 mewn partneriaeth â staff, rhanddeiliaid a'r cyhoedd.
- Ffocws ymlaen llaw ar sefyllfa ariannol gynaliadwy i gefnogi heriau a newid technolegol yn y dyfodol.
- Parhau i greu system werth gyfan yn maes Caffael Digidol Cymru Gyfan.

# Our Finances in 2021/22

## Conclusion

- Build upon 2021/22 performance in partnership with staff, stakeholders & public.
- Forward focus on sustainable financial position to support future challenges & technological change.
- Continue to create value system wide in All Wales Digital Procurements.

Tolley, Laura  
21/07/2022 14:38:23



Edrych i'r **DYFODOL**

Looking **FORWARD**

# Cwestiynau ac Atebion



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NHS  
WALES

lechyd a Gofal  
Digidol Cymru  
Digital Health  
and Care Wales

# Questions and Answers

Tolley, Laura  
21/07/2022 14:38:23



# DIOLCH

<https://igdc.gig.cymru>

<https://dhcw.nhs.wales>