### TERMS OF REFERENCE COMPLIANCE – COMMITTEE WORK PLAN
KHSC PEOPLE, FINANCE & AUDIT COMMITTEE
2020-21

<table>
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<tr>
<th>Month</th>
<th>Terms of Reference Requirements</th>
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<td>28</td>
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**General Responsibilities**

1. **Recommend an annual work plan to the Board based on following terms of reference:**
   - Bansal: Review draft work plan & recommend to Board including review of committee TOR

2. **Present a year-end report to the Board:**
   - Bansal

3. **Annually review, confirm and recommend revisions to the Board policies for which they have oversight responsibilities:**
   - Bansal: Review People, Finance & Audit oversight policies at committee orientation

4. **Ensure principle based decision-making guides all committee discussions and decision-making:**
   - Bardon: ASSIST education module refresh at November KHSC Board Committee Meetings – decision making in an COVID environment

5. **Other duties as assigned by the Board:**
   - Multiple: Ontario Health Team Update – Presentation of FL&A-OHT submission with a focus on people & financial
     - Ensure orientation briefing at first meeting focusing on role to provide oversight and advice to Board on financial performance of hospital, capital, info mgmt, enterprise risk & redevelopment.
     - To provide oversight for human resources and occ health/wellness for employees, credentialed staff, learners and volunteers

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**Month**

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**Reviewed by Committee at September 2020 Meeting**

**Approved by KHSC Board – October 26, 2020**

**Revised:**

1. **General Responsibilities**
   - Bansal: Review draft work plan & recommend to Board including review of committee TOR
   - Bansal
   - Bansal: Review People, Finance & Audit oversight policies at committee orientation
   - Bansal
   - Bansal: Review People, Finance & Audit oversight policies at committee orientation
   - Bansal
   - Bansal: Review People, Finance & Audit oversight policies at committee orientation
   - Bansal

2. **Other duties as assigned by the Board:**
   - Multiple: Ontario Health Team Update – Presentation of FL&A-OHT submission with a focus on people & financial
   - To provide oversight for human resources and occ health/wellness for employees, credentialed staff, learners and volunteers
   - Ontario Health Team Update as required
   - Ontario Health Team Update as required
   - Ontario Health Team Update as required
   - Ontario Health Team Update as required

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**Overview of KHSC’s Reporting of Inappropriate Behaviour Policy and alignment with KHSC Board Policy**

**Final bylaw and policy revisions**

**Review compliance attestation(s) and recommend to Board**
### Terms of Reference – Committee Work Plan

**KhSC People, Finance & Audit Committee**

**2020-21**

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### Terms of Reference Requirements

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<tr>
<td>review the hospital’s talent management and leadership development plan annually</td>
<td>Carlton</td>
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<td>Update on HHR Planning (including talent management &amp; leadership development)</td>
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<td>review health human resource plan and labour relations reports bi-annually</td>
<td>Carlton</td>
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<td>Annual Labour &amp; Employee Relations Update</td>
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<td>review and recommend to the Board the approval of the annual occupational health and safety report</td>
<td>Carlton</td>
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<td>Update on workplace violence</td>
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<td>review staff and physician engagement strategy and related results</td>
<td>Carlton/Gillies Fitzpatrick</td>
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<td></td>
<td></td>
<td></td>
<td>Update on staff and physician engagement initiatives</td>
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<tr>
<td>review medical staff resource plan</td>
<td>Fitzpatrick/Gillies</td>
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<td></td>
<td></td>
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<td>Update from November SEAMO Retreat including status on SEAMO 3-year HHR plan + reaffirm alignment with KHSC Strategy</td>
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<tr>
<td>ensure the integrity and completeness of the appointing and credentialing process for medical, dental, midwifery, and extended class nursing staff</td>
<td>Gillies Fitzpatrick</td>
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<td>Update on KHSC’s credentialing processes</td>
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<td>ensure the integrity and completeness of the appointment and hiring process for employees and volunteers</td>
<td>Carlton</td>
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<td>Update on HHR Planning (including recruitment process &amp; strategy)</td>
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### 3.0 Finance

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<td>ensure policies are in place to provide a framework for the management of hospital investment assets;</td>
<td>Bansal</td>
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<td>Discuss Investment Policy and review Investment Guidelines and compliance reporting</td>
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### TERMS OF REFERENCE COMPLIANCE – COMMITTEE WORK PLAN
**KHSC PEOPLE, FINANCE & AUDIT COMMITTEE**

**2020-21**

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**Terms of Reference Requirements**

- **Review and recommend to the Board the Hospital & Community Annual Planning Submissions (HAPS/CAPS) and internal operating and capital budgets;**
  - **Bansal**
  - 2021-22 Hospital / Community Annual Planning Submissions – COVID impacts
  - Receive draft 2020-21 hospital internal operating and capital budgets

- **Review and recommend to the Board the Hospital Services Accountability Agreement (H-SAA) and Multi-Sector Service Accountability Agreement (M-SAA); ensure oversight of performance, compliance with annual operating/capital budgets and other financial targets and annually confirm and recommend to the Board a set of key performance indicators relative to the financial position;**
  - **Multiple**
  - Q1 report H-SAA / M-SAA financial indicators
  - Update on outstanding one-time funding requests
  - Fiscal 2019/20 operating & capital budget reduction from prior year to accommodate inflationary cost pressures – update on cost savings – COVID impacts
  - Q2 report H-SAA / M-SAA financial indicators
  - Update on H-SAA / M-SAA agreements (subject to SE LHIN timeframes)
  - Fiscal 2020-21 operating & capital budgets - integration savings update on progress business systems projects – COVID impacts
  - Q3 report H-SAA / M-SAA financial indicators
  - Recommend H-SAA / M-SAA to Board (subject to SE LHIN timeframes)
  - Q4 report H-SAA / M-SAA financial indicators

- **Regularly review the hospital’s financial statements;**
  - **Bansal**
  - Review & discuss financial results including COVID impacts
  - Review & discuss financial results including COVID impacts
  - Review & discuss financial results including COVID impacts
  - Review & discuss financial results including COVID impacts

- **Review related elements of bargaining mandates as brought forward by management;**
  - **Carlton**
  - Update on collective bargaining activities for fiscal 2020-21 including recent arbitration awards
  - Update on implementation of pandemic pay plan for KHSC
  - Review & discuss financial results including COVID impacts
  - Update on collective bargaining impacting current fiscal year including recent arbitration awards

- **Review impact of sick, vacation and WSIB;**
  - **Carlton**
  - Update on financial impact of non-worked compensation related items

- **Monitor debt obligations and repayment planning;**
  - **Bansal**
  - Receive report on debt obligations and repayment planning

- **Recommend according to board policy capital and operating expenditures that exceed management’s spending authority;**
  - **Multiple**
  - As required
  - As required
  - As required
  - As required
  - As required

**Reviewed by Committee at September 2020 Meeting**
**Approved by KHSC Board – October 26, 2020**
**Revised:**
# TERMS OF REFERENCE COMPLIANCE – COMMITTEE WORK PLAN

## KHSC PEOPLE, FINANCE & AUDIT COMMITTEE

### 2020-21

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<tr>
<td>as prescribed by Board policy, approve/recommend the financial aspects of proposed business cases, contracts and transactions related to operations;</td>
<td>As required</td>
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<tr>
<td>recommend the signing authority &amp; banking resolution, and signing officers and approval of the Board authorized trust accounts;</td>
<td>Bansal</td>
</tr>
<tr>
<td>as required</td>
<td>Review status of prior year external audit recommendations</td>
</tr>
<tr>
<td>Discuss performance of external auditors on interim audit activities</td>
<td>Review and endorse the proposed fiscal 2020-21 external audit plan</td>
</tr>
<tr>
<td>Receive results of interim external audit activities</td>
<td>Review draft format for audited financial statements and note disclosures</td>
</tr>
<tr>
<td>Review draft audited financial statements, note disclosures and audit findings and special audit reports with external auditors and recommend to Board</td>
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### 4.0 Audit

| Review scope of the external annual audit and recommend the annual audited financial statements and the external auditors’ report; | Bansal |
| Review status of prior year external audit recommendations | Review and endorse the proposed fiscal 2020-21 external audit plan |
| Receive results of interim external audit activities | Review draft format for audited financial statements and note disclosures |
| Review draft audited financial statements, note disclosures and audit findings and special audit reports with external auditors and recommend to Board | |

### 5.0 Property, Facilities & Development

| Review capital redevelopment and infrastructure project proposals, including funding strategies, which require approval by the Local Health Integration Network and the Ministry of Health and Long-term Care; | Wells Pearce |
| Receive Redevelopment reports as required | Receive Redevelopment reports as required |
| Receive Redevelopment reports as required | Receive Redevelopment reports as required |
| Receive Redevelopment reports as required | Receive Redevelopment reports as required |
| Receive Redevelopment reports as required | Receive Redevelopment reports as required |

### Q1 Update on major capital development & infrastructure projects; Q2 Update on major capital development & infrastructure projects; Q3 Update on major capital development & infrastructure projects; Q4 Update on Financial Strategy for Capital Projects provided to committee in 2018-19

| Bardon / Wells Pearce / Bansal | Q1 Update on major capital development & infrastructure projects |
| Q2 Update on major capital development & infrastructure projects |
| Q3 Update on major capital development & infrastructure projects |
| Q4 Update on major capital development & infrastructure projects | |

### Revised:
- as prescribed by Board policy, approve/recommend the financial aspects of proposed business cases, contracts and transactions related to operations;
- Report to committee that adjustments will be made to Banking Resolution/Officer succession post June Board meeting/AGM/Special Meeting.

### Approved by KHSC Board – October 26, 2020

### Reviewed by Committee at September 2020 Meeting

### Multiple
- As required
- As required
- As required
- As required
- As required

### As required
- Briefing on Updated Signing Authority and Banking Resolution (approved by Board in July 2020)
- Discuss performance of external auditors on interim audit activities
- Review draft format for audited financial statements and note disclosures
- Receive results of interim external audit activities
- Review draft audited financial statements, note disclosures and audit findings and special audit reports with external auditors and recommend to Board

### As required
- Update from UHKF on local share funding to support redevelopment
- Receive from UHKF on local share funding to support redevelopment
## TERMS OF REFERENCE COMPLIANCE – COMMITTEE WORK PLAN
### KHSC PEOPLE, FINANCE & AUDIT COMMITTEE
#### 2020-21

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### Terms of Reference Requirements

**6.0 Information Technology**
- Review periodic reports from management related to major projects of information management technology functions, including regular financial reporting;
- Review processes in place to safeguard information sources including patient confidentiality;

Gamache O’Leary

- Q1 Update on major IT projects including regional HIS project with focus on financial deliverables
- Receive overview of processes in place to safeguard information
- Ensure FOI compliance

**7.0 Strategy Performance Targets**
- Ensure progress on KHSC strategy and annual corporate plan by reviewing assigned performance indicators;

Multiple

- Receive Q1 Strategy Performance Report
- Receive Q2 Strategy Performance Report
- Receive Q3 Strategy Performance Report
- Review 2021-22 IACP & QIP and associated indicators for recommendation to May 10 KHSC Board Session on ACP & SPI
- Receive Q4 Strategy Performance Report

**8.0 Integrated Risk Management Domains**
- Ensure robust process for integrated risk management framework at KHSC;
- Receive the internal control reports and monitor management’s resulting action plans;
- Review and confirm the appropriateness and effectiveness of the internal control processes including key policies;

Carter

- Ensure alignment of IRM framework with strategic / corporate planning – annual corporate plan and indicators for 2020-21 (following January 2020 Board session) – People & Finance Focus
- Review status update of prior year internal control review recommendations
- Discuss proposed internal control framework

Multiple

- As required
- Discuss & obtain approval for current year internal control review activities
- Receive current year internal control report and discuss management’s response to recommendations

Bansal

- As required
- As required
- As required

Reviewed by Committee at September 2020 Meeting
Approved by KHSC Board – October 26, 2020
Revised:

Reviewed by Committee at September 2020 Meeting
Approved by KHSC Board – October 26, 2020
Revised:
## Terms of Reference Requirements

### Confirm the type and amounts of insurance carried by the hospital:
- Carter

### Monitor and report on the integrated risk management domains assigned to this committee:
- Financial
- Human Resources
- Facilities
- Information Systems/Technology
- Overall IRM program
  - Carter + Bansal, Carlton, Bardon, Gamache, O’Leary

### Board Reporting Requirements
- Board reports due at CEO’s office: Hennessey
  - October 12
  - October 19
  - October 26

- Board mailing date: October 3
- Board meeting date: October 15

## Work Plan

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<tr>
<td>Focus</td>
<td>Receive annual update on all insurance claims (post HIROC annual visit in October)</td>
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<td>Monitor and report on the integrated risk management domains assigned to this committee:</td>
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<td>Financial</td>
<td>Carter + Bansal, Carlton, Bardon, Gamache, O’Leary</td>
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<td>Human Resources</td>
<td>Ensure alignment of IRM framework with strategic / corporate planning – annual corporate plan and indicators for 2020-21 (following January 2020 Board session) – Focusing on Financial, HR, Facilities, IT</td>
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