

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

Reviewed by Committee at September 2020 Meeting Approved by KHSC Board – October 26, 2020 Revised:
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Month	MRP	September	November	March	April	May
Date		28	30	01	19	31
Focus		Q1	Q2	Q3	ACP & Indicators	Q4
Terms of Reference Requirements						

1.0 General Responsibilities	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				
	present a year-end report to the Board;	Bansal					Review draft year-end committee report and recommend to Board
	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	Overview of KHSC's Reporting of Inappropriate Behaviour Policy and alignment with KHSC Board Policy			Final bylaw and policy revisions
	ensure principle based decision-making guides all committee discussions and decision-making; and	Bardon		ASSIST education module refresh at November KHSC Board Committee Meetings – decision making in an COVID environment			
	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 mmgt, enterprise risk & redevelopment. 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 Review compliance attestation(s) and recommend to Board

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2.0 People	review the hospital's talent management and leadership development plan annually	Carlton				Update on HHR Planning (including talent management & leadership development)	
	review health human resource plan and labour relations reports bi-annually	Carlton		Update on HHR Planning			Annual Labour & Employee Relations Update
	review and recommend to the Board the approval of the annual occupational health and safety report	Carlton	Annual occupational health and safety report covering 2019-20 and update on staff resilience going forward	Update on workplace violence			
	review staff and physician engagement strategy and related results	Carlton/Gillies Fitzpatrick	Update on staff and physician engagement initiatives				
	review medical staff resource plan	Fitzpatrick/Gillies		Update from November SEAMO Retreat including status on SEAMO 3-year HHR plan + reaffirm alignment with KHSC Strategy			
	ensure the integrity and completeness of the appointing and credentialing process for medical, dental, midwifery, and extended class nursing staff	Gillies Fitzpatrick	Update on KHSC's credentialing processes				
	ensure the integrity and completeness of the appointment and hiring process for employees and volunteers	Carlton				Update on HHR Planning (including recruitment process & strategy)	
3.0 Finance	ensure policies are in place to provide a framework for the management of hospital investment assets;	Bansal			Discuss Investment Policy and review Investment Guidelines and compliance reporting		

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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 Annual attestation – MSAA 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 & 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			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

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	as prescribed by Board policy, approve/recommend the financial aspects of proposed business cases, contracts and transactions related to operations;	Multiple	As required	As required	As required	As required	As required
	recommend the signing authority & banking resolution, and signing officers and approval of the Board authorized trust accounts;	Bansal	Briefing on Updated Signing Authority and Banking Resolution (approved by Board in July 2020)				Report to committee that adjustments will be made to Banking Resolution/Officer succession post June Board meeting/AGM/Special
4.0 Audit	assess and review all aspects of the relationship with external auditors and recommend reappointment, or replacement of the auditors including remuneration;	Bansal			Discuss performance of external auditors on interim audit activities		Recommend to Board reappointment or replacement of external auditors
	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 Update from UHKF on local share funding to support redevelopment	Receive Redevelopment reports as required	Receive Redevelopment reports as required Update from UHKF on local share funding to support redevelopment	Receive Redevelopment reports as required
	review quarterly reports from management on the status of capital development and infrastructure projects;	Bardon / Wells Pearce / Bansal	Q1 Update on major capital development & infrastructure projects	Q2 Update on major capital development & infrastructure projects Update on 10 Year Infrastructure Plan Report from 2018-19	Q3 Update on major capital development & infrastructure projects	Update on Financial Strategy for Capital Projects provided to committee in 2018-19	Q4 Update on major capital development & infrastructure projects

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6.0 Information Technology	review periodic reports from management related to major projects of information management technology functions, including regular financial reporting;	Gamache O'Leary	Q1 Update on major IT projects including regional HIS project with focus on financial deliverables	Q2 Update on major IT projects including regional HIS project with focus on financial deliverables	Q3 Update on major IT projects including regional HIS project with focus on financial deliverables		Q4 Update on major IT Projects including regional HIS project with focus on financial deliverables
	review processes in place to safeguard information sources including patient confidentiality;	Gamache O'Leary				Receive overview of processes in place to safeguard information 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;	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	As required	As required	Ensure alignment of IRM framework with strategic / corporate planning – annual corporate plan and indicators for 2021-22 (following January 2020 Board session) – People & Finance Focus	As required
	receive the internal control reports and monitor management's resulting action plans;	Multiple	Review status update of prior year internal control review recommendations	Discuss & obtain approval for current year internal control review activities		Receive current year internal control report and discuss management's response to recommendations	
	review and confirm the appropriateness and effectiveness of the internal control processes including key policies;	Bansal			Discuss proposed internal control framework		

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	confirm the type and amounts of insurance carried by the hospital;	Carter		Receive annual update on all insurance claims (post HIROC annual visit in October)			
	monitor and report on the integrated risk management domains assigned to this committee: <ul style="list-style-type: none"> ○ Financial ○ Human Resources ○ Facilities ○ Information Systems/Technology ○ Overall IRM program 	Carter + Bansal, Carlton, Bardon, Gamache-O'Leary	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	As required	As required	Ensure alignment of IRM framework with strategic / corporate planning – annual corporate plan and indicators for 2021-22 (following January 2020 Board session) - Focusing on Financial, HR, Facilities, IT	As required
9.0 Board Reporting Requirements	Board reports due at CEO's office Board mailing date Board meeting date	Hennessey	October 12 October 19 October 26	December 3 December 7 December 14	March 15 March 22 March 29	April 26 May 3 May 10	June 7 June 14 June 21