



AGENDA ITEM

3.2.4 Appendix 4

CTM BOARD

HIGHLIGHT REPORT FROM THE AUDIT AND RISK COMMITTEE

DATE OF MEETING

26 May 2022

PUBLIC OR PRIVATE REPORT

Public

IF PRIVATE PLEASE INDICATE REASON

Not Applicable - Public Report

PREPARED BY

Emma Walters, Corporate Governance Manager

PRESENTED BY

Patsy Roseblade, Independent Member and Chair of the Audit & Risk Committee

EXECUTIVE SPONSOR APPROVED

Georgina Galletly, Director of Corporate Governance
Sally May, Executive Director of Finance

REPORT PURPOSE

NOTING

ACRONYMS

1. INTRODUCTION

1.1 This report had been prepared to provide the Board with details of the key issues considered by the Audit & Risk Committee at its meeting on the 28 April 2022.

1.2 Key highlights from the meeting are reported in section 3.

2. PURPOSE OF THE AUDIT & RISK COMMITTEE

2.1 The Committee will function in accordance with the NHS Audit Committee Handbook as appropriate.

The Committee will also consider issues in respect of the roles and responsibilities

of Committees hosted by the CTMUHB on behalf of NHS Wales as appropriate. These are the Welsh Health Specialised Services Committee and the Emergency Ambulance Services Committee. The meeting will be split into two parts with Cwm Taf Morgannwg CTMUHB business and hosted Committee business discussed and recorded separately.

The purpose of the Committee is to advise and assure the Board on whether effective arrangements are in place – through the design and operation of the Health Board system of risk and assurance – to support it in its decision taking and in discharging the accountabilities for securing the achievement of the Health Board objectives in accordance with the standards of good governance determined for the NHS in Wales.

Where appropriate, the Committee will advise the Board and the Accountable Officer on where, and how, its system of assurance may be strengthened and developed further.

3. HIGHLIGHT REPORT FROM THE LAST COMMITTEE MEETING

ALERT / ESCALATE	
ADVISE	<ul style="list-style-type: none"> • The Committee received the Local Counter Fraud Report. A discussion was held in relation the number of issues that had been reported in relation to overpayment of salaries. Members agreed that there appeared to be a system weakness which needed to be addressed. The Director for People agreed to undertake a further review with the Director of Finance to determine whether there were any system weaknesses in place; • The Procurement and Scheme of Delegation report was received. Members noted that more awareness raising was required amongst staff in relation to procurement processes that needed to be followed; • The Post Payment Verification Report was received. Members requested that a Post Payment Verification Annual Report was presented to a future meeting; • The Audit Recommendations Tracker report was received. Members welcomed the further progress that had been made in developing and strengthening the audit trackers and noted that a number of delays had been reported within the tracker as a result of the work being undertaken regarding the new operating model, which would need to be monitored closely moving forwards; • A Six Monthly Review report on Consultant Job Planning was received and discussed; • The Organisational Risk Register report was received. Members noted that the version presented had already been received and discussed at the March Board;



	<ul style="list-style-type: none"> • The Audit Wales Audit Risk Committee update was received and noted; • The Audit Wales Audit Plan for 2022 was received. Members noted that claims totaling £972k had been received in relation to the personal pension tax arrangements for clinical staff and noted that this would be funded by Welsh Government and would feature within the Health Board’s accounts. Audit Wales indicated that, at present, their view is that the 2019-20 Scheme Pays Reimbursement Scheme for clinicians is an irregular transaction and is material by nature. As such, there is a risk that the UHB accounts will receive a qualified opinion on this issue. This issue will potentially impact on all health boards in Wales; • The Internal Audit Progress Report was received and noted; • The following Internal Audit Reviews were received and noted: <ul style="list-style-type: none"> ○ IT Service Management Follow Up – Reasonable Assurance; ○ Recruitment and Retention – Advisory Review; ○ Digital Strategy – Reasonable Assurance; ○ Innovation and Improvement – Reasonable Assurance; ○ PCH Financial Management Report – Reasonable Assurance; ○ PCH Audit Plan for 2022/2023. • The Annual Internal Audit Plan 2022/23 was received. Members noted that the plan was a risk based plan and had been developed following discussions with Executive Directors and Independent Members. Members noted that there were a number of areas which fell under the remit of the Chief Operating Officer and noted that Internal Audit Officers had tried to balance the plan to ensure that areas were not being overburdened at a particular point in time.
ASSURE	<ul style="list-style-type: none"> • The Counter Fraud Annual Report, Counter Fraud Annual Self Review and the Counter Fraud Workplan for 2022/2023 were received by the Committee.
INFORM	<ul style="list-style-type: none"> • The Amendment to the Standards of Behaviour Framework Policy – Declarations of Interest report was approved • The Risk Management Strategy and Risk Management Policy was approved • The Declaration of Interests and Gifts and Hospitality Report was noted; • The Clinical Audit Annual Plan was noted; • The Audit Wales – Annual Audit Enquiries Letter Response was noted.
APPENDICES	Choose an item.

4. RECCOMENDATION

4.1 The Board is requested to **NOTE** the report.