



AGENDA ITEM

3.2.4 Appendix 5

CTM BOARD

HIGHLIGHT REPORT FROM THE CTMUHB AUDIT AND RISK COMMITTEE

DATE OF MEETING

25 May 2023

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

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 19 April 2023.

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	<ul style="list-style-type: none"> There were no matters requiring escalation on this occasion.
ADVISE	<ul style="list-style-type: none"> The Local Counter Fraud Report was received. Members noted the low percentage of staff that had attended awareness sessions and noted that staff who were at higher risk of experiencing fraud would be targeted for awareness training. Members commented on the increase in cases being presented and advised that whilst it was positive that more cases were being detected, it was concerning if this is an indication that there were more incidences of crime. Members noted the increase in the number of referrals and cases which should be seen as a positive step forward as it reflected the wider awareness raising that had been undertaken. Members welcomed the positive news that the plan had been delivered for 2022/2023; The Procurements and Scheme of Delegation report was received and noted. Members requested that a review was undertaken of the narrative provided in relation to the Single Tender Action regarding Pulse Oximeters & Sedline Modules to ensure it was made clearer as to the rationale behind this request. Members APPROVED the Financial Control Procedure for Patient's Property, Income & Allowances; The Post Payment Verification Annual Report was received and noted. Members requested additional information in relation to practices 9 and 10 to be provided to Committee Members outside the meeting so that the Committee could understand what the issues were in relation to the revisits that had been undertaken;

- Members received the **Annual Review: Risk Management Framework**. Members **ENDORSED** the suite of reports for Board **APPROVAL** subject to the suggested amendments that had been made during the meeting;
- The **Organisational Risk Register** was received. Members were provided with feedback from the Operational Management Board, whose Terms of Reference had been amended to clearly articulate the role in Service to Board escalation. Members noted that a focussed discussion was held in relation to risks scoring 20 to ensure that they were consistent in their scoring and noted that focus had also been placed on the stagnant risks. Members received the **Cyber Security Risks** during a separate In Committee session due to the potential vulnerabilities of including the details on these risks in a public session;
- The **Audit Recommendations Tracker** report was received. Members welcomed the positive developments to the report and suggested some further amendments to the cover report and excel trackers which would make the documents easier for Members to navigate;
- The **Consultant Job Planning Progress Report** was received. Members noted that discussions had been held in relation to the British Medical Association (BMA) Rate Card which had been published without consultation being undertaken with Health Board's and noted that a National rate card was now being developed which also had its challenges in relation to being adopted nationally. Members welcomed the engagement that had been undertaken with the workforce by the Medical Workforce Team in relation to the benefits of job plans which appeared to be having an impact
- The **Medical Rostering – Progress Report** was received. Members requested that an update be provided in the next report on progress being made in relation to the Health Roster system and an explanation to be included as to why the Anaesthetics and Emergency Departments were using different rostering systems;
- The **Audit Wales Audit & Risk Committee Update** was received and noted;
- The **Audit Wales – Structured Assessment** was received. Members noted that a discussion would be held between Audit Wales and the Director of Finance in relation to the recommendation to review the delegated upper financial limit for the Chief Executive.
- The **Audit Wales Outline Audit Plan 2023** was received and noted.
- The **Audit Wales National and Local Report Orthopaedic Services** was received. Members noted that the Local Management response was in the process of being finalised and would be presented to the June meeting of the Committee;
- The **Internal Audit Progress Report was received**. Members noted that timeliness of receiving management responses still

	<p>remained as amber and noted that CIPFA had undertaken a review of Internal Audit processes and procedures and concluded that Internal Audit had fully conformed to the public sector Internal Audit Standards</p> <ul style="list-style-type: none"> • The Internal Audit Review – Board Awareness of Digital was received and noted; • The Internal Audit Review – Reasonable Offer was received. Members noted that a Limited Assurance rating had been allocated to the review and noted that Management had accepted all recommendations and felt that the review had identified the issues that they were already concerned about. • The Internal Audit Review – Bridgend Transfer of IT – Follow Up was received. • The Internal Audit Annual Audit Plan 2023/2024 was received and Members agreed to ENDORSE the Internal Audit Plan and Charter for Board APPROVAL; • A discussion was held under Any Other Business in relation to the Temporary Amendment of the Model Standing Orders and noted that the Standing Orders would need to be temporarily amended to reflect that the AGM would need to be held by the end of September and not the end of July. Members agreed to ENDORSE FOR BOARD APPROVAL the temporary amendment, to be dealt with via Chairs Urgent Action.
ASSURE	<ul style="list-style-type: none"> • The Internal Audit Review – Board Assurance Framework was received. Members welcomed the report which confirmed that the development of the Board Assurance Framework was heading in the right direction. A substantial assurance rating was received.
INFORM	<p>The following items were received under the consent agenda for noting/approval:</p> <ul style="list-style-type: none"> • Minutes of the Meeting held on 13 February 2023 • Minutes of the In Committee Meeting held on the 13 February 2023 • Audit & Risk Committee Terms of Reference • Audit & Risk Committee Annual Cycle of Business • Audit & Risk Committee Forward Work Programme • Annual Report Timetable 2022-2023 • Declarations of Interest and Gifts and Hospitality Report • Cwm Taf Morgannwg University Health Board (CTMUHB) National Clinical Audit Programme Update 2022-2023 • Audit Wales Annual Audit Report • PCH Redevelopment Programme Integrated Audit Plan 2023/24
APPENDICES	Choose an item.

4. RECCOMENDATION

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