

Audit & Risk Committee Part 1

Tue 13 April 2021, 09:30 - 11:30

Virtually via Microsoft Teams

Agenda

09:30 - 09:30
0 min

1. PRELIMINARY MATTERS

Information

Patsy Roseblade

1.1. Welcome & Introductions

Information

Patsy Roseblade

1.2. Apologies for Absence

Information

Patsy Roseblade

1.3. Declarations of Interest

Information

Patsy Roseblade

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2. CONSENT AGENDA

2.1. FOR APPROVAL

2.1.1. Unconfirmed Minutes of the meeting held on 8 February 2021

Decision

Patsy Roseblade

 2.1.1 Part 1 Audit Risk Committee Minutes 8 February 2021 - Final ARC 13 April 2021.pdf (14 pages)

2.1.2. Unconfirmed In Committee Minutes of the meeting held on 8 February 2021

Decision

Patsy Roseblade

 2.1.2 In Committee Audit Risk Committee Minutes 8 February 2021 ARC 13 April 2021.pdf (2 pages)

2.1.3. Clinical Audit Forward Plan 2020/2021

Decision

Nick Lyons

 2.1.3a NationalClinicalAuditAnnualPlanCTMUHB ARC 13 April 2021.pdf (6 pages)

 2.1.3b National Clinical Audit Annual Plan CTMUHB 2020 ARC 13 April 2021.pdf (11 pages)

2.2. FOR NOTING

2.2.1. Action Log

Information

Patsy Roseblade

 2.2.1 Part 1 Audit & Risk Committee Action Log ARC 13 April 2021.pdf (3 pages)

2.2.2. Forward Work Programme

Information

Georgina Galletly

 2.2.2 Forward work plan ARC 13 April 2021.pdf (7 pages)

2.2.3. Declarations of Interest/Gifts & Hospitality Update Report

Information *Georgina Galletly*

- 📄 2.2.3a Declarations of Interest Update Report 280221 -ARC 13 April 20.....pdf (3 pages)
- 📄 2.2.3b Appendix 1 Declarations 010120 280221.pdf (7 pages)

2.2.4. Losses and Special Payments Report

Information *Steve Webster*

- 📄 2.2.4a Losses Special Payments Report ARC 13 April 2021.pdf (8 pages)
- 📄 2.2.4b Losses & Special Payments Report Appendices ARC 13 April 2021.pdf (8 pages)

2.2.5. Audit Enquiries Letter to those Charged with Governance

Information *Georgina Galletly*

Questions Raised by Independent Members

Question: 2.2.5b Audit Enquires letter - page 15 Question 1 - States all Board Members have returned a Declaration of Interest form 2020/21. In the previous report re Declaration of Interest 2.22 page 2, it states All returns except 2 new members have been received. Board Member Compliance 92.59%. Which is correct?

Answer: All Board Members have returned a Declaration of Interest for for the period 2020-2021. The reason for the discrepancy between the two reports is due to the timing of when they were written, the Declaration of Interests report had an earlier cut-off date for return entries to be included.

- 📄 2.2.5a Cover Report - Audit Enquiries Letter ARC 13 April 2021.pdf (3 pages)
- 📄 2.2.5b Audit Enquiries Letter TCWG 2021 - Final Draft 8.3.2021 ARC 13 February 2021.pdf (17 pages)

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3. MAIN AGENDA

3.1. Matters Arising not contained within the Action Log

Discussion *Patsy Roseblade*

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4. INTERNAL AUDIT

4.1. Internal Audit Progress Report

Discussion *Paul Dalton*

- 📄 4.1 IA progress report April 2021 ARC 13 April 2021.pdf (8 pages)

4.2. Internal Audit Review - IT Service Management

Discussion *Paul Dalton*

- 📄 4.2 IA IT serv management management final ARC 13 April 2021.pdf (31 pages)

4.3. Internal Audit Review Estates directorate management arrangements;

Discussion *Paul Dalton*

- 📄 4.3 IA Estates Management Arrangements - Final report ARC 13 April 2021.pdf (38 pages)

4.4. Internal Audit Review Estates directorate compliance

Discussion *Paul Dalton*

- 📄 4.4 IA Estates Compliance review - Final report ARC 13 April 2021.pdf (10 pages)


4.5. Internal Audit Review Welsh Risk Pool

Discussion Paul Dalton

 4.5 IA Review Welsh Risk Pool Claim Process Final ARC 13 April 2021.pdf (13 pages)

4.6. Internal Audit Review Financial systems

Discussion Paul Dalton

 4.6 IA Financial Systems - Final Internal Audit Report ARC 13 April 2021.pdf (25 pages)


4.7. Internal Audit Review Covid-19 Follow Up

Discussion Paul Dalton

 4.7 IA Final Covid Governance Advisory Report Follow up ARC 13 April 2021.pdf (15 pages)

4.8. Internal Audit Review PCH redevelopment – Governance

Discussion Paul Dalton

 4.8 IA Review CTM PCH Governance Review final report issued ARC 13 April 2021.pdf (24 pages)

4.9. Internal Audit Review - PCH redevelopment – financial management

Discussion Paul Dalton

 4.9 IA Review CTM PCH Financial Final Report issued ARC 13 April 2021.pdf (20 pages)

4.10. Internal Audit Review - PCH Redevelopment - Covid-19 Site Safety

Discussion Paul Dalton

 4.10 IA Review CTM PCH Site Safety Final Report issued ARC 13 April 2021.pdf (10 pages)

4.11. Internal Audit Review - PCH Redevelopment - Technical Compliance

Discussion Paul Dalton

 4.11 CTM PCH Technical Final Report issued ARC 13 April 2021.pdf (13 pages)

4.12. PCH Development - Agreed Internal Audit Plan 2021/2022

Discussion Paul Dalton

 4.12 IA PCH Audit Plan 2021 22 - Final ARC 13 April 2021.pdf (5 pages)

4.13. Internal Audit Annual plan 2021/22

Discussion Paul Dalton

 4.13 IA CTM Internal Audit Plan 2021.22 - Final ARC 13 April 2021.pdf (36 pages)

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5. EXTERNAL AUDIT

5.1. Audit Wales - Audit & Risk Committee Update

Discussion Sara Utley

 5.1 AW CTM AC Update April 2021 ARC 13 April 2021.pdf (10 pages)

5.2. Audit Fee Outturn Letter

Discussion Audit Wales

 5.2 PA310 - CTMUHB outturn and fee letter 080321 ARC 13 April 2021.pdf (3 pages)

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6. INTERNAL CONTROL AND RISK MANAGEMENT

6.1. Post Payment Verification Annual Report

Discussion *Amanda Legge*

- 📄 6.1a Post Payment Verification Annual Report.pdf (4 pages)
- 📄 6.1b Appendix 1 - Post Payment Verification Annual Report.pdf (5 pages)

6.2. Audit Recommendations Tracker Report

Discussion *Georgina Galletly*

- 📄 6.2a Audit Recommendations Tracker Update Report ARC 13 April 2021.pdf (7 pages)
- 📄 6.2b Appendix 1 Internal Audit Tracker ARC 13 April 2021.pdf (39 pages)
- 📄 6.2c Appendix 2 External Audit Tracker ARC 13 April 2021.pdf (16 pages)

6.3. Organisational Risk Register

Discussion *Georgina Galletly*

- 📄 6.3a Organisational Risk Register ARC 13 April 2021.pdf (6 pages)
- 📄 6.3b - Appendix 1- Organisational Risk Register - Risks Rated 15 and Abo..._.pdf (16 pages)
- 📄 6.3c - Appendix 2 - Risk Management Improvement Plan - Updated March 20....pdf (3 pages)

6.4. Counter Fraud Update

Discussion *Matthew Evans*

- 📄 6.4a Counter Fraud Committee Report ARC 13 April 2021.pdf (3 pages)
- 📄 6.4b Appendix 1 CTM Counter Fraud Annual Report 2020-21 FINAL ARC 13 April 2021.pdf (13 pages)
- 📄 6.4c Appendix 2 CTM Review of NHS Requirements Government Functional Standard 013 Counter Fraud ARC 13 April 2021.pdf (17 pages)
- 📄 6.4d Appendix 3 CTM Counter Fraud Work Plan 2021-22 ARC 13 April 2021.pdf (13 pages)

6.5. Procurements and Scheme of Delegation Report

Discussion *Steve Webster*

- 📄 6.5a Scheme of Delegation Report ARC 13 April 2021.pdf (7 pages)
- 📄 6.5b Appendix A - FP1 Capital Monitoring ARC 13 April 2021.pdf (32 pages)
- 📄 6.5c Appendix B - FP3 Capital Assets Register ARC 13 April 2021.pdf (13 pages)
- 📄 6.5d Appendix C - Report to ECMG - Update to Capital FCPs ARC 13 April 2021.pdf (11 pages)

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7. ANY OTHER BUSINESS

Information *Patsy Roseblade*

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8. DATE AND TIME OF NEXT MEETING

Information *Patsy Roseblade*

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9. CLOSE OF PART 1