

Audit & Risk Committee

Mon 12 December 2022, 15:00 - 17:00

Virtual Meeting Via Teams

Agenda

15:00 - 15:05 **1. PRELIMINARY MATTERS**

5 min

Information *Patsy Roseblade, IM & Chair of Committee*

1.1. Welcome & Introductions

Information *Patsy Roseblade, IM & Chair of Committee*

1.2. Apologies for Absence

Information *Patsy Roseblade, IM & Chair of Committee*

1.3. Declarations of Interest

Information *Patsy Roseblade, IM & Chair of Committee*

15:05 - 15:10 **2. CONSENT AGENDA**

5 min

2.1. FOR APPROVAL

2.1.1. Unconfirmed Minutes of the Meeting held on 24th October 2022

Patsy Roseblade, IM & Chair of Committee

 2.1.1 Unconfirmed Minutes CTMUHB Audit Risk Committee 24 October 2022 ARC 12 December 2022.pdf (9 pages)

2.1.2. Declarations of Interest and Gifts Hospitality Report

Cally Hamblyn, Assistant Director of Governance & Risk

 2.1.2a Declarations of Interest and GHS Register - Cover Report ARC 12 December 2022 - CH.pdf (4 pages)


 2.1.2b Appendix 1 Board Member Hard Copy Non Board Member DOI Spreadsheet 2022-2023.pdf (3 pages)


 2.1.2c Appendix 2 Register of Gifts Hospitality and Sponsorship 2022-23 ARC 12 December 2022.pdf (1 pages)

2.2. FOR NOTING

2.2.1. Audit & Risk Committee Annual Cycle of Business

Information *Cally Hamblyn, Assistant Director of Governance & Risk*

 2.2.1a Audit & Risk Committee Cycle of Business - Cover Paper ARC 12 December 2022.pdf (2 pages)

 2.2.1b Audit Risk Committee Cycle of Business ARC 12 December 2022.pdf (4 pages)

2.2.2. Audit & Risk Committee Forward Work Programme

Cally Hamblyn, Assistant Director of Governance & Risk

 2.2.2 Audit & Risk Committee Forward Work Plan ARC 12 December 2022.pdf (1 pages)


2.2.3. Audit & Risk Committee Effectiveness Self Assessment

Cally Hamblyn, Assistant Director of Governance & Risk

 2.2.3 ARC Themed Survey Action Plan ARC 12 December 2022.pdf (8 pages)

2.2.4. Clinical Audit Annual Report

Information *Dr Nerys Conway, Assistant Medical Director for Medical Workforce*

 2.2.4a Clinical Audit Quarterly Report - 2022NovVer1_0 ARC 12 December 2022.pdf (7 pages)

 2.2.4b Clinical Audit Annual ReportV1_4 ARC 12 December 2022.pdf (18 pages)

15:10 - 15:15 3. MAIN AGENDA

5 min

3.1. Audit & Risk Committee Action Log

Discussion *Cally Hamblyn, Assistant Director of Governance & Risk*

 3.1 Audit & Risk Committee Action Log ARC 12 December 2022.pdf (6 pages)

3.2. Matters Arising not contained within the Action Log

Discussion *Patsy Roseblade, IM and Committee Chair*

15:15 - 15:45 4. SUSTAINING OUR FUTURE

30 min

4.1. Local Counter Fraud Report

Discussion *Matthew Evans, Local Counter Fraud Specialist*

 4.1a Local Counter Fraud Update Report ARC 12 December 2022.pdf (2 pages)

 4.1b Local Counter Fraud Update Report ARC 12 December 2022.pdf (4 pages)

 4.1c Appendix 1 Counter Fraud Benchmarking Performance Report ARC 12 December 2022.pdf (4 pages)

 4.1d Appendix 2 Proactive Exercise - Temporary Staffing Covid Intake ARC 12 December 2022.pdf (6 pages)


 4.1e Appendix 3 Counter Fraud Investigations Update ARC 12 December 2022.pdf (11 pages)

4.2. The National Fraud Initiative in Wales 2020-21: National Fraud Initiative (NFI) Self-Appraisal Checklist

Matthew Evans, Local Counter Fraud Specialist

 4.2a NFI Self-Appraisal Checklist ARC 12 December 2022.pdf (2 pages)

 4.2b NFI Self-Appraisal Checklist ARC 12 December 2022.pdf (13 pages)

 4.2c The_National_Fraud_Initiative_in_Wales_2020_21 ARC 12 December 2022.pdf (25 pages)

4.3. Procurement and Scheme of Delegation Report

Discussion *Sally May, Executive Director of Finance*

 4.3 Scheme of Delegation Report ARC 12 December 2022.pdf (6 pages)

4.4. Losses & Special Payments Report

Discussion *Sally May, Executive Director of Finance*

 4.4a Losses Special Payments Report ARC 12 December 2022.pdf (11 pages)

 4.4b Report Appendices Sept 22 ARC 12 December 2022.pdf (10 pages)

4.5. Consultant Job Planning

Nerys Conway, Assistant Medical Director

 4.5 Consultant Job Planning ARC 12 December 2022.pdf (4 pages)

4.6. Medical Rostering

Nerys Conway, Assistant Medical Director

📄 4.6 Medical Rostering audit update Nov22 ARC 12 December 2022.pdf (4 pages)

15:45 - 16:20
35 min

5. IMPROVING CARE

5.1. Organisational Risk Register

Discussion *Cally Hamblyn, Assistant Director of Governance & Risk*

📄 5.1a Organisational Risk Register Review November 2022 - ARC 12.12.2022.pdf (5 pages)

📄 5.1b Appendix 1 - Master Organisational Risk Register -Final November 2022 - Post ELG update of D&D Risks - 18.11.2022.pdf (14 pages)

5.2. Audit Recommendations Tracker

Discussion *Cally Hamblyn, Assistant Director of Governance & Risk*

📄 5.2a Audit Recommendations Tracker Update Report ARC 12 December 2022.pdf (6 pages)

📄 5.2b Appendix 1 Internal Audit Recommendations Tracker 2 ARC 12 December 2022.pdf (25 pages)

📄 5.2c Appendix 2 External Audit Recommendations Tracker (2) ARC 12 December 2022.pdf (5 pages)

5.3. INTERNAL AUDIT

5.3.1. Internal Audit Progress Report

Discussion *Paul Dalton, Head of Internal Audit*

📄 5.3.1 IA CTM -Progress report - December 2022.pdf (9 pages)

5.3.2. Internal Audit Review Decarbonisation

Discussion *Internal Audit*

📄 5.3.2 IA FINAL All-Wales Decarbonisation report CTMUHB (1) ARC 12 December 2022.pdf (13 pages)

5.3.3. Internal Audit Review iCTM - Improvement team

Discussion *Internal Audit*

📄 5.3.3 IA iCTM - Quality Improvement ARC 12 December 2022.pdf (23 pages)

5.3.4. Internal Audit Review Clinical Service Group – Radiology

Discussion *Internal Audit*

📄 5.3.4 IA CTMUHB 22.23 03 Radiology CSG Final report ARC 12 December 2022.pdf (46 pages)

5.3.5. Internal Audit Review Wellbeing

Discussion *Internal Audit*

📄 5.3.5 IA CTMU2223.09 Staff Wellbeing Final Internal Audit Report.pdf (16 pages)

5.4. AUDIT WALES

5.4.1. Audit Wales Audit & Risk Committee Update

Discussion *Audit Wales*

📄 5.4.1 AW CTM AC Update December 2022 (1) ARC 12 December 2022.pdf (12 pages)

5.4.2. Making Equality Impact Assessments more than just a tick box exercise

Discussion *Audit Wales*

 5.4.2a AW Equality Impact Assessments ARC 12 December 2022.pdf (44 pages)

 5.4.2b CTM EIA Management Response ARC 12 December 2022.pdf (2 pages)

5.4.3. Review of Commissioning and Contracting Arrangements (CTM & Swansea Bay)

Discussion *Audit Wales*

 5.4.3 AW CTMSB SLA Review 1 ARC 12 December 2022.pdf (20 pages)

5.4.4. Transforming Leadership Partnership Board Baseline Governance Review

Discussion *Audit Wales*

 5.4.4 AW TLPB Baseline Governance Review ARC 12 December 2022.pdf (24 pages)

16:20 - 16:25 6. ANY OTHER BUSINESS

5 min

Information *Patsy Roseblade, IM and Committee Chair*

16:25 - 16:25 7. Committee Highlight Report to Board

0 min

Patsy Roseblade, IM and Committee Chair

16:25 - 16:30 8. HOW DID WE DO IN THIS MEETING

5 min

Discussion *Patsy Roseblade, IM and Committee Chair*

16:30 - 16:30 9. DATE AND TIME OF NEXT MEETING

0 min

Information *Patsy Roseblade, IM and Committee Chair*