

2021-2022 – CWM TAF MORGANNWG UNIVERSITY HEALTH BOARD (CTMUHB) SELF ASSESSMENT AGAINST THE CORPORATE GOVERNANCE – CODE OF PRACTICE 2017

REF	Corporate Governance Code Principles	Evidence of Internal Assurance / Supporting Narrative	External Assurance	Comply or Explain	Supporting documentation
CGC 1	Each organisation should have an effective board, which provides leadership for the business, helping it to operate in a business-like manner. The board should operate collectively, concentrating on advising on strategic and operational issues affecting the department's performance, as well as scrutinising and challenging departmental policies and performance, with a view to the long-term health and success of the Trust. (2.1 and 2.2)	<p>The Health Board meets every other month.</p> <p>A Board Cycle of Business was introduced in November 2020 and will be developed and approved on an annual basis.</p> <p>The Board routinely receives information on strategic activity, risk and performance matters as set agenda items.</p> <p>The Integrated Medium Term plan is scrutinised by the Board.</p> <p>The Board collaborates with partners and key stakeholders as described in the Integrated Medium Term Plan.</p> <p>At the end of each Board and Board Committee meeting the following questions are included on each agenda to support reflective feedback:</p> <p>“How did we do in this meeting?”</p> <ul style="list-style-type: none"> • Is there anything we should do more or less of? • Have we managed our time well and allowed open and balanced discussion? • Have we considered our values and acted in a way that supports embedding our values across CTM? • Have we maintained a strategic focus? • Have we received sufficient assurance from a range of sources? • Has our discussion allowed us to better understand the risks that we are managing that may affect the achievement of our strategic goals? 	<p>Title: Audit Wales Structured Assessment</p> <p>Reference Point: Conducting Business Effectively – Paragraph 19.</p>	Comply	<p>Board and Committee Minutes – demonstrate scrutiny and support.</p> <p>Audit Wales Structured Assessment report 2021 – Phase 2.</p>

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CGC 2	<p>The Board does not decide policy or exercise the powers of the ministers. The department's policy is decided by ministers alone on advice from officials. The board advises on the operational implications and effectiveness of policy proposals. The Board will operate according to recognised precepts of good corporate governance in business:</p> <ul style="list-style-type: none"> Leadership – articulating a clear vision for the department and giving clarity about how policy activities contribute to achieving this vision, including setting risk appetite and managing risk Effectiveness – bringing a wide range of relevant experience to bear, including through offering rigorous challenge and scrutinising performance Accountability – promoting transparency through clear and fair reporting. Sustainability – taking a long-term view about what the department is trying to achieve and what it is doing to get there. <p>(2.3)</p>	<p>The completion of a three-year IMTP is a statutory requirement for CTMHB. As the IMTP process was suspended for 2020/23, this issue was formally addressed via a letter from Welsh Government confirming that CTMUHB's approved plan for 2019/22 remained extant. A draft Annual Plan 2021-2022 has been developed in line with the Welsh Government guidance setting out the requirement for an Annual Plan in place of the usual requirement for a three-year Integrated Medium Term Plan (IMTP). The Annual Plan was submitted to Welsh Government by the end of March 2021. Following approval, the Annual Plan will be monitored on a quarterly basis with the Health Board's Planning, Performance and Finance Committee overseeing this monitoring.</p> <p>The Health Board adopted the revised Model Standing Orders in May 2021, the Health Board's Standing Orders and Standing Financial Instructions are designed to translate the statutory requirements into day to day operating practice, and, together with the adoption of a Schedule of decisions reserved to the Board of Directors; a Scheme of Decisions to Officers and Others; and Standing Financial Instructions (SFIs), they provide the regulatory framework for the business conduct of the Health Board. These documents form the basis upon which the Health Board's governance and accountability framework is developed and, together with the adoption of the Health Board's Values Framework and Standards of Behaviour framework, is designed to ensure the achievement of the standards of good governance set for the NHS in Wales.</p> <p>IMTP which outlines how the Health Board engages and ensures that it considers the principles of citizen engagement, the Wellbeing of Future Generations Act and also the Health Board's Wellbeing Statement.</p> <p>Via a Board Development Session in December 2020, the Health Board has received an awareness session on the following legal duties:</p> <ul style="list-style-type: none"> - Duty of Quality - Duty of Candour - Socio Economic Duty 	<p>Title: Audit Wales Structured Assessment</p> <p>Reference Point: Conducting Business Effectively – Paragraph 19.</p>	Comply	<p>Standing Orders and Standing Financial Instructions.</p> <p>Audit Wales Structured Assessment report 2021</p> <p>Annual Plan.</p> <p>Board Development Programme.</p>

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CGC 4	<p>The Board should meet on at least a quarterly basis; however, best practice is that boards should meet more frequently.</p> <p>The Board advises on five main areas:</p> <ul style="list-style-type: none"> • Strategic Clarity • Commercial Sense • Talented People • Results focus • Management information <p>(2.4 and 3.10)</p>	<p>The Health Board meets every other month.</p> <p>The Board and Board Committees all have an Annual Cycle of Business.</p> <p>The Board routinely receives information on strategic activity, risk and performance, workforce planning matters as set agenda items.</p> <p>The Annual Plan 2021.</p> <p>The Board are engaged in the development of the Health Boards Strategy - CTM: 2030: Our Health Our Future.</p> <p>The Board approved the four strategic goals of Creating Health, Improving Care, Sustaining Our Future and Inspiring People and their aligned priorities for action at its Board meeting in January 2022.</p>	<p>Title: Audit Wales Structured Assessment</p> <p>Reference Point: Conducting Business Effectively – Paragraph 19.</p>	Comply	<p>Standing Orders and Standing Financial Instructions.</p> <p>Audit Wales Structured Assessment report 2021</p> <p>Annual Plan.</p> <p>Board and Committee meeting Agendas and Papers.</p>
CGC 5	<p>The Board also supports the accounting officer in the discharge of obligations set out in <i>Managing Public Money</i>¹ for the proper conduct of business and maintenance of ethical standards. (2.7)</p>	<p>The Board approves the Accountability Report on annual basis which includes the Statement by the Accountable Officer assuring the Board on the System of Internal Control.</p> <p>A Governance Statement is also received by the Health Board's hosted organisations (Welsh Health Specialised Services Committee (WHSSC) and Emergency Ambulance Services Committee (EASC). An Annual Compliance Statement will also be received from the National Imaging Academy, all of which inform and support the Accountable Officer in providing assurance to the Board.</p>	<p>Title: Audit Wales Structured Assessment</p> <p>Reference Point: Conducting Business Effectively – Paragraph 19.</p>	Comply	<p>Accountability Report and Hosted Organisations Annual Governance Statements and Compliance Statements.</p> <p>Audit Wales Structured Assessment report 20214.</p> <p>Annual Plan.</p>
CGC 6	<p>Where Board members have concerns, which cannot be resolved, about the running of the department or a proposed action, they should ensure that their concerns are recorded in the minutes. (2.12)</p>	<p>Any concerns raised at Board and Committee meetings are formally recorded in the minutes.</p> <p>The role of the Director of Corporate Governance/Board Secretary is responsible for ensuring these matters are effectively managed, recorded and resolved where possible.</p>	<p>Title: Audit Wales Structured Assessment.</p> <p>Reference Point: Conducting Business Effectively – Paragraph 19.</p>	Comply	<p>Role of the Board Secretary</p> <p>Audit Wales Structured Assessment report 2021.</p> <p>Board and Committee meeting Agendas and Papers.</p>

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CGC 7	<p>The Board should have a balance of skills and experience appropriate to fulfilling its responsibilities. The membership of the board should be balanced, diverse and manageable in size. (3.1, 3.11, 3.12 and 3.13)</p>	<p>Constitution is set out in the Health Board's Establishment Orders and the Health Board abides by this composition.</p> <p>The Health Board's Standing Orders also outlines the composition of the Board.</p> <p>Executive Director Skill mix is considered prior to recruitment to align with Strategic Objectives and required Executive Portfolios, and this is considered prior to new appointments.</p> <p>Workforce Planning is supported by the Workforce & Organisational Development Function.</p> <p>The Independent Member roles are appointed in areas of expertise to ensure appropriate Skill Mix.</p> <p>Public Appointments Unit support the process – set criteria within an IM Role.</p> <p>Independent Member membership on Board Committees are rotated at appropriate times to ensure there is mix and balance of experience across all meetings.</p> <p>The Health Board took an opportunity to review the skill mix of its Independent Members in 2021, and having undertaken a skills matrix analysis to identify current gaps appointed a "Corporate Business / Commercially focussed" Independent Member appointment rather than a like for like replacement as originally planned.</p>	<p>Title: Audit Wales Structured Assessment</p> <p>Reference Point: Conducting Business Effectively – Paragraph 19.</p>	Comply	<p>Health Board's Establishment Orders.</p> <p>Health Board's Standing Orders.</p> <p>Table of Board and Committee Membership.</p>
CGC 8	<p>The roles and responsibilities of all board members should be defined clearly in the department's board operating framework. (3.2)</p>	<p>Constitution is set out in the Organisations Establishment Orders and the Trust abides by this composition.</p> <p>Standing Orders also captures the Composition of the Board.</p>	<p>Title: Audit Wales Structured Assessment</p> <p>Reference Point: Conducting Business Effectively – Paragraph 19.</p>	Comply	<p>Health Board's Establishment Orders.</p> <p>Health Board's Standing Orders.</p>
CGC 9	<p>The Finance Director should be professionally qualified. (3.3)</p>	<p>The Executive Director of Finance & Procurement is professionally qualified.</p>	N/A	Comply	<p>Recruitment and appointment documentation for the Executive Director of Finance & Procurement.</p>

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<p>CGC 10</p>	<p>Independent Members will exercise their role through influence and advice, supporting as well as challenging the executive. (3.5)</p>	<p>Annual Committee Self-Assessment surveys address the effectiveness of how Committees operate and conduct meetings allowing debate and constructive challenge.</p> <p>Meeting principles adopted that support this constructive challenge.</p> <p>Independent Member Scrutiny Toolkit developed and launched in December 2021.</p> <p>Reflective exercise held at the end of each Board and Committee meeting (Introduced in November 2021).</p> <p>The introduction of questions on consent items in advance of Board and Committee meetings has also highlighted the level of scrutiny and challenge members exercise.</p> <p>The compulsory Welsh Government new Independent Member Training captures effective challenge and scrutiny role on the Board.</p> <p>The Health Board's Standing Orders outline the role of the Board Members.</p> <p>Health Board Independent Member induction programme and pack established.</p>	<p>Title: Audit Wales Structured Assessment.</p> <p>Reference Point: Conducting Business Effectively – Paragraph 19</p>	<p>Comply</p>	<p>Audit Wales Structured Assessment 2021.</p> <p>Independent Member Scrutiny Toolkit.</p> <p>Independent Member Induction Pack.</p> <p>Cross – reference to 2.4.</p>
<p>CGC 11</p>	<p>The board should agree and document in its board operating framework a <i>de minimis</i> threshold and mechanism for board advice on the operation and delivery of policy proposals.</p>	<p>A Board Cycle of Business is approved on an annual basis.</p> <p>The Terms of Reference Operating Arrangements for the Board Committees articulate the remit information that should be received.</p> <p>The Scheme of Delegation outlines the information that should flow through to Board and its Committees as appropriate.</p> <p>Board Committee Cycles of Business reviewed annually which support the flow of required information through the Board Committees.</p>	<p>Title: Audit Wales Structured Assessment</p> <p>Reference Point: Conducting Business Effectively – Paragraph 19</p>	<p>Comply</p>	<p>Audit Wales Structured Assessment 2021.</p> <p>Terms of Reference and Operating Arrangements for Board Committees.</p> <p>Board and Committee Cycles of Business.</p> <p>Standing Orders and Scheme of delegation.</p> <p>Board and Committee meeting papers outlining the questions received in advance.</p>

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<p>CGC 12</p>	<p>The Board Should ensure that arrangements are in place to enable it to discharge its responsibilities effectively, including:</p> <ol style="list-style-type: none"> 1. formal procedures for the appointment of new board members, tenure and succession planning for both board members and senior officials 2. allowing sufficient time for the board to discharge its collective responsibilities effectively 3. induction on joining the board, supplemented by regular updates to keep board members' skills and knowledge up-to-date 4. timely provision of information in a form and of a quality that enables the board to discharge its duties effectively 5. a mechanism for learning from past successes and failures within the departmental family and relevant external organisations 6. a formal and rigorous annual evaluation of the board's performance and that of its committees, and of individual board members 7. a dedicated secretariat with appropriate skills and experience (4.1) 	<p>The Independent Member Terms of office are monitored by the Director of Corporate Governance to ensure succession planning is timely and managed in conjunction with the Public Appointments Unit in Welsh Government.</p> <p>Agenda planning is managed by the Director of Corporate Governance in conjunction with the Chair and CEO to ensure adequate time is spent on the right things at Board meetings. The use of the Consent Agenda and Questions in advance support this process.</p> <p>There is a Board Induction Programme to support the appointment of all Board Members (IM's and Executive Directors). There is a robust induction pack that is shared on appointment.</p> <p>For Independent Members specifically, the induction programme consists of the following areas to ensure that a robust and supportive induction plan is in place for all new Board appointments:</p> <ul style="list-style-type: none"> • Attendance at the Mandatory Welsh Government Induction Training. • Provision of a detailed induction Pack which includes information about the role of each Board Committee, their role as a Charity Trustee as well as an Independent Member • Core Induction Programme – planned within the first month, three months and six months. This includes meeting with Executives, Divisional Directors, and site visits where appropriate. • A buddy and/or shadow arrangement with an existing/experienced Independent Member. • To further support Independent Members ongoing Development the Chair undertakes regular and robust Personal Appraisal and Development reviews in accordance with Welsh Government guidance. • The Health Board has a schedule of Board Development Sessions throughout the year to discuss topical issues. <p>Report templates are continually reviewed to ensure they support effective reports being received at the Board. A training programme has been designed and will be rolled out to support Health Board Officers in preparing for and writing reports for Board and Committees at an appropriate time (Delayed due to the response to the Covid-19 Pandemic).</p> <p>Shared Listening and Learning Forum established in January 2021.</p> <p>The Corporate Governance Function support Board and Committee Business overseen by the Head of Corporate Governance & Board Business, Assistant Director of Governance & Risk and the Director of Corporate Governance.</p> <p>The Director of Corporate Governance seeks feedback on the effectiveness of the support from the Corporate Governance</p>	<p>Title: Audit Wales Structured Assessment</p> <p>Reference Point: Conducting Business Effectively – Paragraph 19</p>	<p>Comply</p>	<p>Audit Wales Structured Assessment 2021.</p> <p>Terms of Reference and Operating Arrangements for Board and Committees.</p> <p>Board and Committee Cycles of Business.</p> <p>Standing Orders and Scheme of delegation.</p>

		function to Independent Members in each of their appraisals to ensure that the function is meeting their requirements.			
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CGC 13	The terms of reference for the nominations committee will include at least the following three central elements: <ul style="list-style-type: none"> • scrutinising systems for identifying and developing leadership and high potential • scrutinising plans for orderly succession of appointments to the board and of senior management, in order to maintain an appropriate balance of skills and experience • scrutinising incentives and rewards for executive board members and senior officials, and advising on the extent to which these arrangements are effective at improving performance (4.5) 	The Terms of Reference and Operating arrangements are based on the model Standing Orders and ensure that roles and responsibilities of Board Committee capture scrutiny and assurance roles.	Title: Audit Wales Structured Assessment Reference Point: Conducting Business Effectively – Paragraph 19	Comply	Audit Wales Structured Assessment 2021. Terms of Reference and Operating Arrangements for Board and Committees. Board and Committee Cycles of Business. Standing Orders and Scheme of delegation.
CGC 14	The attendance record of individual board members should be disclosed in the governance statement and cover meetings of the board and its committees held in the period to which the resource accounts relate. (4.6)	Board Members attendance records for Health Board and Board Committee meetings are captured in the Accountability Report on annual basis.	Reference Point: Conducting Business Effectively – Paragraph 19	Comply	Accountability Report.
CGC 15	Where necessary, board members should seek clarification or amplification on board issues or board papers through the board secretary. The board secretary will consider how officials can best support the work of board members; this may include providing board members with direct access to officials where appropriate. (4.10)	This is the relationship between the Director of Corporate Governance / Board Secretary and the Board Members. The role of the Director of Corporate Governance/Board Secretary is to act as principal advisor to the Board and the organisation as a whole on all aspects of governance....and ensure that it meets the standards of good governance set for the NHS in Wales.	Reference Point: Conducting Business Effectively – Paragraph 19	Comply	Board Secretary role description. Standing Orders.

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<p>CGC 16</p>	<p>An effective board secretary is essential for an effective board. Under the direction of the permanent secretary, the board secretary's responsibilities should include:</p> <ul style="list-style-type: none"> developing and agreeing the agenda for board meetings with the chair and lead non-executive board member, ensuring all relevant items are brought to the board's attention ensuring good information flows within the board and its committees and between senior management and non-executive board members, including: <ul style="list-style-type: none"> challenging and ensuring the quality of board papers and board information ensuring board papers are received by board members according to a timetable agreed by the board providing advice and support on governance matters and helping to implement improvements in the governance structure and arrangements ensuring the board follows due process providing assurance to the board that the department: <ul style="list-style-type: none"> complies with government policy, as set out in the code adheres to the code's principles and supporting provisions on a comply or explain basis (which should form part of the report accompanying the resource accounts) acting as the focal point for interaction between non-executive board members and the department, including arranging detailed briefing for non-executive board members and meetings between non-executive board members and officials, as requested or appropriate recording board decisions accurately and ensuring action points are followed up arranging induction and professional development of board members (including ministers) <p>4.11</p>	<p>The Director of Corporate Governance undertakes these roles as Board Secretary for the Health Board.</p>	<p>Reference Point: Conducting Business Effectively – Paragraph 19</p>	<p>Comply</p>	<p>Board Secretary role description. Standing Orders.</p>

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CGC 17	Evaluations of the performance of individual board members should show whether each continues to contribute effectively and corporately and demonstrates commitment to the role (including commitment of time for board and committee meetings and other duties). 4.14	Independent Member appraisal process in place with the Chair and Executive appraisal process in place with the Chief Executive; the latter reported through the Remuneration and Terms of Service Committee. Annual Committee Effectiveness surveys. Attendance record reported in Accountability Report.	Reference Point: Conducting Business Effectively – Paragraph 19	Comply	Accountability Report Appraisal Documentation and Process.
CGC 18	All potential conflicts of interest for non-executive board members should be considered on a case by case basis. Where necessary, measures should be put in place to manage or resolve potential conflicts. The board should agree and document an appropriate system to record and manage conflicts and potential conflicts of interest of board members. The board should publish, in its governance statement, all relevant interests of individual board members and how any identified conflicts, and potential conflicts, of interest of board members have been managed. 4.15	The Health Board has an agreed process in place for managing Declarations of Interest which was reviewed and improved during 2020. All Board Members are asked to formally declare on annual basis and advised of their responsibility to notify of any changes in year. Declarations of interest are captured on a register which is available for public inspection. A report on Declarations of Interest is received by the Audit & Risk Committee and Management Board. Declarations of Interest are captured at the start of each agenda. The Standards of Behaviour Policy details the responsibility under Declarations of Interest. Standing Orders also outlines the responsibilities for Declarations of Interest. The new Declarations of Interest Form introduced in 2020 includes how Declarations and potential conflicts are managed and these are recorded on the register.	Title: Audit Wales Structured Assessment Captured in the Internal Audit Programme of Work. Reference Point: Conducting Business Effectively – Paragraph 19	Comply	Standards of Behaviour Framework Policy. Standing Orders. Declarations of Interest Process and Register.
CGC 19	The board should ensure that there are effective arrangements for governance, risk management and internal control for the whole departmental family. Advice about and scrutiny of key risks is a matter for the board, not a committee. The board should be supported by: <ul style="list-style-type: none"> an audit and risk assurance committee, chaired by a suitably experienced non-executive board member an internal audit service operating to <i>Public Sector Internal Audit Standards</i>¹ sponsor teams of the department's key ALBs (5.1 and 5.8) 	The Health Board's Audit & Risk Committee is chaired by the Independent Member Finance/Audit Lead. NWSSP Internal Audit Services are appointed as the Trust Internal Auditors. The Health Board's Hosted Organisations report into the Audit & Risk Committee and the Annual Accountability Report. The Organisational Risk Register is considered at agenda planning meetings for the Board and Board Committees. The Annual Internal Audit Plan is informed by the Organisational Risk Register and previous audit work as appropriate.	Title: Audit Wales Structured Assessment Internal Audit Report – Review of Risk Management – January 2021 – <i>Reasonable Assurance Rating</i> . Reference Point: Conducting Business Effectively – Paragraph 19	Comply	Terms of Reference & Operating Arrangements for the Health Board's Audit & Risk Committee. Accountability Report. Audit Wales Structured Assessment 2021.

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<p>CGC 20</p>	<p>The board should take the lead on, and oversee the preparation of, the department's governance statement for publication with its resource accounts each year.</p> <p>The annual governance statement (which includes areas formerly covered by the statement on internal control) is published with the resource accounts each year. In preparing it, the board should assess the risks facing the department and ensure that the department's risk management and internal control systems are effective. The audit and risk assurance committee should normally lead this assessment for the board (5.2 and 5.13)</p>	<p>The Governance Statement is included within the Accountability Report which is received by the Audit & Risk Committee to endorse approval formally by the Health Board each year.</p>	<p>Title: Audit Wales and Internal Audit receive the Accountability Report for comment and ensuring compliance with the Manual for Accounts.</p> <p>Reference Point: Conducting Business Effectively – Paragraph 19</p>	<p>Comply</p>	<p>Accountability Report</p> <p>Board and Committee minutes.</p> <p>Annual Report Timetable.</p>
<p>CGC 21</p>	<p>The board's regular agenda should include scrutinising and advising on risk management (5.3 and 5.10)</p>	<p>The Health Board approve the following key documents within the Health Board:</p> <ul style="list-style-type: none"> - Risk Management Strategy (Including Risk Appetite and the Board Assurance Framework). - Risk Management Policy <p>The Organisational Risk Register is a standing agenda item for scrutiny and assurance on the Health Board and Board Committee agendas.</p> <p>The Audit & Risk Committee provide assurance to the Board on the Risk Framework.</p>	<p>Title: Audit Wales Structured Assessment</p> <p>Internal Audit Report – Review of Risk Management – January 2021 – <i>Reasonable Assurance Rating</i>.</p> <p>Reference Point: Conducting Business Effectively – Paragraph 19</p>	<p>Comply</p>	<p>Board and Committee meeting Agendas and Papers.</p> <p>Risk Management Strategy.</p> <p>Risk Management Policy.</p> <p>Internal Audit Review Report on Risk Management – January 2021.</p> <p>Organisational Risk Register.</p>

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<p>CGC 22</p>	<p>The key responsibilities of non-executive board members include forming an audit and risk assurance committee. The board and accounting officer should be supported by an audit and risk assurance committee, comprising at least three members. An audit and risk assurance committee should not have any executive responsibilities or be charged with making or endorsing any decisions. It should take care to maintain its independence. The audit and risk assurance committee should be established and function in accordance with the <i>Audit and risk assurance committee handbook</i>. The board should ensure that there is adequate support for the audit and risk assurance committee, including a secretariat function.</p> <p>The terms of reference of the audit and risk assurance committee, including its role and the authority delegated to it by the board, should be made available publicly. The department should report annually on the work of the committee in discharging those responsibilities</p> <p>Boards should ensure the scrutiny of governance arrangements, whether at the board or at one of its subcommittees (such as the audit and risk assurance committee or a nominations committee). This will include advising on, and scrutinising the department's implementation of, corporate governance policy. (5.4 and 5.9, 5.11, 5.12 and 5.14 and 5.15)</p>	<p>The Standing orders are explicit that the Health Board as a minimum must establish Committees that cover certain aspects, one of which is Audit.</p> <p>Audit & Risk Committee established.</p> <p>The Terms of Reference and Operating Arrangements in respect of the Audit & Risk Committee are clear in relation to its authority and delegated responsibilities.</p> <p>Full secretariat function in place supporting the Audit & Risk Committee.</p> <p>The Audit & Risk Committee Terms of Reference are published as a schedule to the Standing Orders on the Health Board's website.</p> <p>The Board Assurance Framework is scrutinised by the Board and Audit & Risk Committee through the consideration of the Risk Management Strategy.</p> <p>Audit Wales and Internal Audit have a routine invite to all Board meetings.</p>	<p>Reference Point: Conducting Business Effectively – Paragraph 19</p>	<p>Comply</p>	<p>Standing Orders.</p> <p>Terms of Reference for the Audit & Risk Committee.</p> <p>Health Board's Internet Site: Key Publications.</p> <p>Board Assurance Framework – contained within the Risk Management Strategy.</p>

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CGC 22	<p>The head of internal audit (HIA) should periodically be invited to attend board meetings, where key issues are discussed relating to governance, risk management processes or controls across the department and its ALBs (5.5)</p>	<p>The role of the Head of Internal Audit (HIA) is clearly set out in the Health Board Standing Orders.</p> <p>The HIA attends all Audit & Risk Committee meetings which report to Board.</p> <p>If there was anything specifically escalated to the Board then the HIA would be invited to attend.</p>	<p>Reference Point: Conducting Business Effectively – Paragraph 19</p>	<p>Comply</p>	<p>Standing Orders.</p> <p>Terms of Reference for the Audit Committee.</p> <p>Health Board’s Internet Site: Key Publications.</p>
CGC 23	<p>The board should assure itself of the effectiveness of the department’s risk management system and procedures and its internal controls. The board should give a clear steer on the desired risk appetite for the department² and ensure that:</p> <ul style="list-style-type: none"> • there is a proper framework of prudent and effective controls, so that risks can be assessed, managed and taken prudently • there is clear accountability for managing risks • Departmental officials are equipped with the relevant skills and guidance to perform their assigned roles effectively and efficiently. <p>The board should also ensure that the department’s ALBs have appropriate and effective risk management processes through the department’s sponsor teams. Advising on key risks is a role for the board. The audit and risk assurance committee should support the board in this role. (5.6, 5.7 and 5.10)</p>	<p>The Health Board has an agreed Risk Management Strategy – <i>approved by the Health Board in January 2021</i>. The Risk Management Strategy outlines the Health Board’s Risk Appetite and Board Assurance Framework.</p> <p>There is an agreed Risk Management Improvement plan in place identifying the areas where further work in relation to risk is required e.g. training.</p> <p>The Risk Management Strategy articulates a clear Service to Board Risk Escalation pathway.</p> <p>Regular monthly training dates have been established with the Integrated Locality Groups to cover the Risk Management Strategy, Risk Assessment Process and Datix Risk Entry.</p> <p>The Assistant Director of Governance Risk has risk as dedicated responsibility within their portfolio.</p> <p>The Hosted Organisations are aligned to the Health Board’s Risk Management Strategy.</p> <p>The Board Assurance Framework is being revised with the support of the Good Governance Institute for implementation in early 2022.</p>	<p>Title: Audit Wales Structured Assessment</p> <p>Internal Audit Report – Review of Risk Management – January 2021 – <i>Reasonable Assurance Rating</i>.</p> <p>Reference Point: Conducting Business Effectively – Paragraph 19</p>	<p>Comply</p>	<p>Risk Management Strategy.</p> <p>Risk Management Policy.</p> <p>Internal Audit Review Report on Risk Management – January 2021.</p> <p>Organisational Risk Register.</p>