

Audit and Assurance Committee



Tue 05 September 2023, 09:00 - 12:00

Agenda

09:00 - 09:10 **1. Welcome and Introductions**
10 min
John Union

09:10 - 09:10 **2. Apologies for Absence**
0 min

09:10 - 09:10 **3. Declarations of Interest**
0 min



09:10 - 09:10 **4. Minutes of the Committee meetings held on 4th July 2023 and 25th July 2023**
0 min
 04 Draft Public Audit Minutes July NS JU.pdf (9 pages)
 04 Draft Special Public Audit Minutes July NS JU.pdf (6 pages)

09:10 - 09:10 **5. Action log following meeting held on 25th July 2023**
0 min
 05 Draft Public Action Log - July.pdf (2 pages)

09:10 - 09:10 **6. Any other urgent business: To agree any additional items of urgent business that may need to be considered during the meeting**
0 min

09:10 - 11:10 **7. Items for Review and Assurance**
120 min

7.1. Internal Audit Progress Report

Ian Virgil
 7.1 CV AC A&A Progress Report September 23 cover.pdf (2 pages)
 7.1a CV AC A&A Progress Report September 23.pdf (14 pages)

7.2. CD&T Clinical Board Update

Paul Bostock

7.3. Audit Wales Update

Wales Audit
 7.3 Audit Wales Update (September 2023).pdf (14 pages)

7.4. Audit Wales Orthopaedic Report and Management Response

Mohamed Saad
29/08/2023 16:40:14

Wales Audit

- 7.4a Orthopaedic_Services_in_Wales_Tackling_the_Waiting_List_Backlog.pdf (43 pages)
- 7.4b Audit Wales Report Organisational Response.pdf (9 pages)

7.5. Declarations of Interest, Gifts and Hospitality Report

Matt Phillips

- 7.5 - Declarations of Interest.pdf (5 pages)
- 7.5a Declarations of Interest Table.pdf (33 pages)

7.6. BREAK – 10 MINS

7.7. Single Tender Actions

Catherine Phillips Claire Salisbury

7.8. Chairs Action Improvement Project

Catherine Phillips Claire Salisbury

7.9. Counter Fraud Progress Report

Catherine Phillips Gareth Lavington

- 7.9 Q2 COUNTER FRAUD PROGRESS _ PUBLIC _ COVER SHEET.pdf (2 pages)
- 7.9a Q2 COUNTER FRAUD PROGRESS REPORT - CAVUHB PUBLIC.pdf (10 pages)

7.10. Overpayment of Health Board Salaries

Rachel Gidman Andrew Crook

- 7.10 Overpayment of Health Board Salaries Report - August 2023.pdf (3 pages)

11:10 - 11:10 8. Items for Approval / Ratification

0 min

No items

11:10 - 11:20 9. Items for Information and Noting

10 min

9.1. Internal Audit reports for information

Ian Virgil

- 9.1 CV AC A&A Internal Audit Reports for Information cover.pdf (2 pages)

9.1.1. Recommendation Tracking - (Substantial Assurance)

- 9.1a CVU-2324-06 Recommendation Tracking Final Report_.pdf (13 pages)

9.2. National Fraud Initiative Self-Appraisal Checklist 2020 – 21 Report

Wales Audit

- 9.2 National_fraud_initiative_self_appraisal_checklistCAVUHB.pdf (18 pages)
- 9.2a NFI 2020 21 management responses (002).pdf (2 pages)

11:20 - 11:20 10. Agenda for Private Audit and Assurance Committee

0 min

Mohamed Sarah
29/08/2023 16:40:14

10.1. Counter Fraud Progress Update (Confidential – ongoing investigations)

11:20 - 11:20 11. Any Other Business

0 min

John Union

11:20 - 11:20 12. Review and Final Closure

0 min

John Union

12.1. Items to be deferred to Board / Committee

12.2. Date, time and venue of the next Committee meeting:

Tuesday 7th November 2023 at 9am via MS Teams

11:20 - 11:20 13. Declaration

0 min

To consider a resolution that representatives of the press and other members of the public be excluded from the remainder of this meeting having regard to the confidential nature of the business to be transacted, publicity on which would be prejudicial to the public interest [Section 1(2) Public Bodies (Admission to Meetings) Act 1960].

Mohamed Sarah
29/08/2023 16:40:14

**Unconfirmed Minutes of the Public Audit & Assurance Committee Meeting
Held On 4th July 2023 at 9:00am
Via MS Teams**

Chair:		
John Union	JU	Independent Member for Finance and Committee Chair
Present:		
David Edwards	DE	Independent Member for ICT and Committee Vice Chair
Mike Jones	MJ	Independent Member for Trade Union
Ceri Phillips	CP	UHB Vice Chair
Rhian Thomas	RT	Independent Member for Capital and Estates
In Attendance:		
Andrew Crook	AC	Head of People Assurance & Experience
Aaron Fowler	AF	Head of Risk and Regulation
Rachel Gidman	RG	Executive Director of People & Culture
Darren Griffiths	DG	Performance Audit Manager - Audit Wales
Sara Jeremiah	SJ	Post Payment Verification Location Manager
Mark Jones	MJ	Audit Manager - Audit Wales
Lucy Jugessur	WW	Interim Deputy Head of Internal Audit
Gareth Lavington	GL	Lead Local Counter Fraud Specialist
Amanda Legge	AL	All Wales Post Payment Verification Manager
Robert Mahoney	RM	Deputy Director of Finance (Operational)
Catherine Phillips	CP	Executive Director of Finance
James Quance	JQ	Director of Corporate Governance
Matt Temby	MT	Managing Director Planned Care
Ian Virgil	IV	Head of Internal Audit
Observers:		
Glynis Mulford	GM	Risk and Regulation Officer
Secretariat:		
Sarah Mohamed	SM	Corporate Governance Officer
Apologies:		
Paul Bostock	PB	Chief Operating Officer

Item No	Agenda Item	Action
AAC 4/7/23/001	Welcome & Introduction The Committee Chair (CC) welcomed everyone to the meeting.	
AAC 4/7/23/002	Apologies for Absence Apologies for absence were received. The Committee resolved that: a) Apologies were noted.	
AAC 4/7/23/003	Declarations of Interest The Committee resolved that:	

	a) No Declarations of Interest were noted.	
AAC 4/7/23/004	Minutes of the Meeting Held on 11th May 2023 The Minutes of the Meeting Held on 11 th May 2023 were received. The Head of Internal Audit (HIA) advised that page 5 should be amended to “the audit should go to the Charitable Funds Committee for information.” Mark Jones (MJ) advised that page 9 should be amended to “... that could affect the annual accounts.” The Committee resolved that: a) Pending the above amendments, the draft minutes of the meeting held on 11th May 2023, were held to be a true and accurate record of the meeting.	
AAC 4/7/23/005	Action Log – Following Meeting held on 11th May 2023 The Action Log was received. AAC 7/2/23 015 – It was noted that there were service provision issues and that the Chief Executive Officer (COO), Executive Medical Director (EMD) and Executive Nurse Director (END) were working to provide a service solution which lessened the Health Boards dependency on high cost locums, when they come through agency or procurement. The EDF and EDPC were supporting that. AAC 7/2/23 007 - The HIA advised that this involved an update from the service in September. Internal Audit would then complete their follow up Audit at a later date. AAC 11/5/23 007 – The Medical Records Tracking Audit would go to the Charitable Funds Committee (CFC) for assurance and then to Board of Trustees (BOT) for noting. The Committee resolved that: a) The Action Log was discussed and noted.	
AAC 4/7/23/006	Any Other Urgent Business The Committee resolved that: a) No other urgent business was noted.	
	Items for Review and Assurance	
AAC 4/7/23/007	Internal Audit Progress Report The Head of Internal Audit (HIA) presented the Internal Audit Progress Report and highlighted the following: It was noted that this was the first progress report for the 2023/24 Internal Audit Plan. Section 2:	

<p>Mohamed, Sarah 29/08/2023 16:40:14</p>	<ul style="list-style-type: none"> Two Audits had now been finalised since the last meeting of the Audit Committee. A slight amendment was required to the wording under Section 2. There had been a delay with the Consultants Job Planning within the Surgery Clinical Board Audit, which would now feed into the 2023/24 opinion instead of the 2022/23 opinion. <p>Section 3</p> <ul style="list-style-type: none"> There was a total of 37 reviews within the 2023/24 Internal Audit Plan. There were six audits that were currently in progress, with a further twelve at the planning stage. <p>Section 4</p> <ul style="list-style-type: none"> The ChemoCare IT System follow-up Audit and the Management of Health Board Policies Follow-up Audit had been added to the 2023/24 Plan. The University Hospital Llandough (UHL) - Endoscopy Unit Development Audit and the University Hospital of Wales (UHW) – Vascular Hybrid Theatre & Major Trauma Centre (MTC) Theatre had been identified for completion during 2023/24. The planned timing of the audit of the ISO Accreditation within the Artificial Limb & Appliance Centre (ALAC) was moved from Q1 to Q2 at the request of the service. <p>Section 5</p> <ul style="list-style-type: none"> Internal Audit reviewed a sample of the entries within the tracker in order to validate the stated position and provide additional assurance to the Audit Committee. The exercise highlighted that the Audit Committee could be reasonably assured that the progress information detailed within the Tracker for 2022/23 was accurate. Further work was required to explore why some recommendations were incorrectly categorised as complete. <p>The Committee Chair (CC) queried whether there were gaps within internal resources which prevented Audits from being completed.</p> <p>The HIA responded that they had gone through the process of mapping resources for the year and were confident that they could reasonably deliver the Audits within the plan.</p> <p>Section 6 6.1 Planned Care Transformation Delivery</p> <ul style="list-style-type: none"> The objective of the Audit was to review the systems and controls in place to deliver the transformation of planned care during 2022/23. Reasonable assurance was issued. One recommendation was made because the Health Board were unable to meet two of the ministerial ambitions for 2022/23. <p>6.2 UHW-Hybrid & Major Trauma Theatres</p>	<p>IV</p>
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	<ul style="list-style-type: none"> • The purpose of the Audit was to review the delivery and management arrangements in place to progress the Hybrid/Major Trauma Theatres at the University Hospital of Wales Cardiff. The review also considered the performance to date against its key delivery objectives i.e. time, cost and quality. • Reasonable assurance was awarded. • Two medium priority recommendations were made. <p>The Executive Director of Finance (EDF) suggested that as part of the follow up audit, they build in-between projects to ensure that they have followed all the right governance. The EDF would go through this with the Director of Capital and Estates.</p> <p>The Committee resolved that:</p> <p>a) The Internal Audit Progress Report was noted.</p>	
AAC 4/7/23/008	<p>Audit Wales Update</p> <p>The Audit Manager for Audit Wales (AMAW) presented the Audit Wales Update and highlighted the following:</p> <ul style="list-style-type: none"> • The statutory audit of the Health Board's 2022-23 Performance Report Accountability Report and Financial Statements, was drawing to a close. • The changes to the Accounts were minimal which reflected the hard work put in by the Finance team. • The performance report and accountability report were also reviewed and comments were fed back to the Corporate Governance team. • The Audit should remain open until the date of certification which is the 28th July 2023. <p>The Performance Audit Manager for Audit Wales (PAMAW) advised the Committee on the following:</p> <ul style="list-style-type: none"> • There were several performance Audits which were at different stages. The team would aim to complete them within the next few months. • This year there was a focus on completing a Structured Assessment on Corporate Governance. • They identified two local projects this year. • A forward work programme had been developed of performance audits for the next three years. <p>The Committee resolved that:</p> <p>a) The Audit Wales Update was noted.</p>	
AAC 4/7/23/009 <div style="transform: rotate(-45deg); transform-origin: left bottom; font-size: small; margin-top: 10px;"> Mohamed, Sarah 29/08/2023 16:40:14 </div>	<p>Audit Wales Orthopaedic Report</p> <p>The PAMAW presented the Audit Wales Orthopaedic Report and highlighted the following:</p> <ul style="list-style-type: none"> • The national report on Orthopaedic Services in Wales was published in March 2023. • The Report found that urgent and sustainable action was required to tackle the long waiting times for Orthopaedic Services. 	

	<ul style="list-style-type: none"> • Whilst there were clear commitments to improve waiting times, it was found that it could take three years or more to return the Orthopaedic waiting list back to pre-pandemic levels. • The national report set out several recommendations for WG and Health Boards to tackle the challenges within Orthopaedic services. • Audit Wales also produced a supplementary report. • The management response had been prepared. It would be brought to the next meeting along with the report. <p>The Committee members agreed that the list of questions contained in the Report were very useful.</p> <p>The UHB Vice Chair commented that the extent to which patients were managed whilst on the waiting list could influence outcomes. This should be factored into the report and considered.</p> <p>The Managing Director for Planned Care (MDPC) responded that they did refer to it in the management response and would bring more details to another session.</p> <p>The Director of Corporate Governance (DCG) advised that a deep dive in the Finance and Performance Committee would be useful.</p> <p>The Committee resolved that:</p> <p>a) The Audit Wales Orthopaedic Report was noted.</p>	<p>Audit Wales/PB</p> <p>PB</p>
<p>AAC 4/7/23/010</p> <p>Mohamed, Sarah 29/08/2023 16:40:14</p>	<p>Declarations of Interest, Gifts and Hospitality Report</p> <p>The Head of Risk and Regulation (HRR) presented the Declarations of Interest, Gifts and Hospitality Report and highlighted the following:</p> <ul style="list-style-type: none"> • There continued to be progress in the number of people updating their declarations on ESR. • There were two high profile risk declarations and the team were working with the individuals. • The Declaration of Interests contained in the attachment were growing. • The HRR would complete a validation exercise to clarify how many declarations should be brought back to future Committees. <p>The Independent Member – Capital & Estates (IMCE) queried whether the senior leadership team were challenged regarding the declarations.</p> <p>The HRR responded that all Board Members had declared their interest and noted that there was a paper-based version available for them because they were not employees of the Health Board.</p> <p>He added that he had reached out to ESR leads within the Health Board to gain access to Power BI which would allow the team to delve further into directorates data.</p> <p>The EDPC advised that there were different ways to weave Declaration of Interests into staff inductions and Values Based Appraisals (VBA).</p> <p>She added that she would look into the educational component with the HRR.</p>	

	<p>The Independent Member for ICT (IMI) advised that it was essential to ensure that the decision makers provided nil returns in order to have assurance of their interests.</p> <p>The Committee resolved that:</p> <ul style="list-style-type: none"> a) The ongoing work being undertaken within Standards of Behaviour was noted. b) The proposals to improve Declaration of Interest reporting across the Health Board were noted. 	RG/AF
AAC 4/7/23/011	<p>Internal Audit Recommendation Tracker Report</p> <p>The DCG presented the Internal Audit Recommendation Tracker Report.</p> <p>It was noted that several reports had been finalised and were finding their way onto the tracker and that there were six “stubborn” audit recommendations from previous years that were being focused on.</p> <p>The HRR commented that the team were working with Internal Audit to look at the recommendations.</p> <p>The HIA advised that a more detailed review of the internal tracking process was being completed. This would come to the September meeting.</p> <p>The Committee resolved that:</p> <ul style="list-style-type: none"> a) The tracking report for tracking audit recommendations made by Internal Audit was noted. b) The progress which had been made since the previous Audit Assurance Committee Meeting in April 2023 was noted. 	IV
AAC 4/7/23/012	<p>Audit Wales Recommendation Tracking Report</p> <p>The HRR presented the Audit Wales Recommendation Tracking Report.</p> <p>The HRR advised the Committee that a small number of recommendations were being tracked. He would continue to work with Audit Wales and Executive Leads to track the aged entries.</p> <p>The Committee resolved that:</p> <ul style="list-style-type: none"> a) The progress which had been made in relation to the completion of Audit Wales recommendations was received and noted. b) The continuing development of the Audit Wales Recommendation Tracker was noted. 	
AAC 4/7/23/013 Mohamed Sarah 29/08/2023 16:40:14	<p>Regulatory Compliance Tracking Report</p> <p>The HRR presented the Regulatory Compliance Tracking Report.</p> <p>It was noted that the report included recommendations which had been made by external regulatory and legislative bodies. It also included commentary on the Health Boards management of Welsh Health Circulars and Patient Safety Solutions.</p>	

	<p>The HRR added that some of the Patient Safety Solutions had been on the tracker for some time and that he would ensure that they were taken to a future Quality, Safety & Experience (QSE) Committee meeting to provide assurance.</p> <p>The UHB Vice Chair stated that it was essential for QSE to get involved as the tube misplacement compliance date was a long time ago.</p> <p>The EDF added that the inspection of estates and facilities was routinely going to the Health and Safety sub-Committee who should oversee the risks and give assurance to the Audit Committee.</p> <p>The HRR responded that there would be a move to link the corporate risks and estate risks which would come from the Health and Safety sub-Committee through to the People and Culture Committee.</p> <p>The Committee resolved that:</p> <p>a) The updates shared were reviewed and assurance was taken from the continuing development and review of the Legislative and Regulatory Compliance Tracker.</p>	AF
<p>AAC 4/7/23/014</p>	<p>Updated Policies Plan</p> <p>The IDCG presented the Updated Policies Plan and highlighted the following:</p> <ul style="list-style-type: none"> • A limited assurance report in relation to policy management was received at the last Committee meeting. • The previous plan was too ambitious to put a fully functioning policy management system into the organisation by the end of May. • The team had a look at where they were, the resources and had updated the plan in accordance. <p>The Head of Corporate Governance (HCG) added that the plan had been drawn up on the basis of dedicated resource.</p> <p>The CC queried who the resource was.</p> <p>The DCG responded that they had an Archivist in the team and he was keen to do this.</p> <p>The CC requested that an update on the plan be brought back to the Committee in September.</p> <p>The Committee resolved that:</p> <p>a) The proposed actions and timescales set out in the updated Policies Plan 2023-2024 (as attached under Appendix 1) were noted.</p>	JQ
<p>AAC 4/7/23/015</p> <p>Mohamed, Sarah 29/08/2023 16:40:14</p>	<p>Procurement Compliance Report</p> <p>The EDF presented the Procurement Compliance Report and highlighted the following:</p> <ul style="list-style-type: none"> • The Report covered the period until the end of June 2023. • They continued to pick up breaches, some of which were retrospective. • The activity between 2021-22 and 2022-23 was consistent. 	

	<p>The Committee resolved that:</p> <ul style="list-style-type: none"> a) The contents of the Report were noted. b) The contents of the Report were approved and agreed. 	
<p>AAC 4/7/23/016</p>	<p>Counter Fraud Progress Report</p> <p>The Lead Local Counter Fraud Specialist (LLCFS) presented the Counter Fraud Progress Report and highlighted the following:</p> <ul style="list-style-type: none"> • It included the counter fraud activity for the period 1st April to 16th June. • The team had carried out the work in building the infrastructure. • They were also looking to include counter fraud in the corporate induction handbook. • They had carried out fraud pop up events which included going around to different parts of the organisation. • Webinar events had also been carried out. • The E-learning package went live in April 2023. 10 members of staff from the Health Board had completed it and although it was not mandatory training, discussions were being held with the mandatory training steering group to make it mandatory. • There had been 27 referrals so far and 14 formal investigations had been opened this quarter. <p>The Committee resolved that:</p> <ul style="list-style-type: none"> a) The report has been reviewed, discussed and noted. 	
	Items for Approval / Ratification	
<p>AAC 4/7/23/017</p>	<p>Losses and Special Payments Report</p> <p>The Deputy Director of Finance (Operational) (DDFO) presented the Losses and Special Payments Report and highlighted the following:</p> <ul style="list-style-type: none"> • The Losses and Special Payments Panel met twice a year. • They considered the period 1st April 2022 to 31st March 2023. • They also considered the last financial year. • This completed the scrutiny of the Losses and Special Payments Panel for 2022/23. <p>The Committee resolved that:</p> <ul style="list-style-type: none"> a) The write offs for the period outlined in the Opinion and Key Issues Section of this report as recommended by the Losses and Special Payments Panel held on 16th May 2023 were approved. 	
	Items for information and noting	
<p>AAC 4/7/23/018</p>	<p>Internal Audit reports for information:</p> <ul style="list-style-type: none"> i) Planned Care Transformation Delivery - (Reasonable Assurance) ii) UHW-Hybrid & Major Trauma Theatres – (Reasonable Assurance) <p>The Committee resolved that:</p>	

	a) The final Internal Audit reports were considered and noted.	
AAC 4/7/23/019	Forward Work Programme 2023-2026 The Forward Work Programme 2023-2026 was received. The Committee resolved that: a) The Forward Work Programme 2023-2026 was noted.	
AAC 4/7/23/020	Post Payment Verification (PPV) Annual Report 2022/23 The All Wales Post Payment Verification Manager (APPVM) presented the Post Payment Verification (PPV) Annual Report 2022/23 and highlighted the following: <ul style="list-style-type: none"> Based on 2022-23 report there were challenges for post payment verification. There was a new payment system put in place. 5 visits were carried out for the Health Board. On submission of the report these had now been closed with a very low error rate. The payment team were undertaking a separate assurance exercise for the data ranges. The DCG queried whether payments for dental were covered. The APPVM responded that they had never carried out PPV for dental. The DDFO advised that in the past, the Dental Practices Board did the checking. The Committee resolved that: a) The content of this report was noted.	
AAC 4/7/23/021	Agenda for Private Audit and Assurance Committee <ul style="list-style-type: none"> i. Counter Fraud Progress Update (Confidential – ongoing investigations) ii. People and Culture Compliance Report (Confidential – this report contains sensitive information and/or personal data) iii. Overpayment of Health Board Salaries (Confidential) 	
AAC 4/7/23/022	Any Other Business No Other Business was discussed.	
	Review and Final Closure	
AAC 4/7/23/023	Items to be deferred to Board / Committee No items were deferred to Board / Committees.	
	Date and time of next committee meeting Tuesday 25 th July 2023 at 2pm via MS Teams	

**Unconfirmed Minutes of the Special Audit and Assurance Committee Public Meeting
Held on Tuesday 25th July 2023 at 2pm
Via MS Teams**

Chair:		
John Union	JU	Independent Member for Finance
Present:		
Mike Jones	MJ	Independent Member - Trade Union
Ceri Phillips	CP	UHB Vice Chair
David Edwards	DE	Independent Member - ICT and Committee Vice Chair
Rhian Thomas	RT	Independent Member – Capital and Estates
In Attendance:		
Catherine Phillips	CP	Executive Director of Finance
James Quance	JQ	Interim Director of Corporate Governance
Rachel Gidman	RG	Executive Director of People & Culture
Ian Virgil	IV	Head of Internal Audit
Mark Jones	MJ	Audit Manager - Audit Wales
Rhodri Davies	RD	Audit Wales
Robert Mahoney	RM	Interim Deputy Director of Finance
Paul Emmerson	PE	Principle Finance Manager
Observers:		
Secretariat		
Sarah Mohamed	SM	Corporate Governance Officer
Apologies:		
Suzanne Rankin	SR	Chief Executive Officer
Charles Janczewski	CJ	UHB Chair
Lucy Jugessur	LJ	Deputy Head of Internal Audit

Item No	Agenda Item	Action
AAC 25/7/23 001	Welcome & Introduction The Committee Chair (CC) welcomed everyone to the meeting.	
AAC 25/7/23 002	Apologies for Absence Apologies for absence were noted. The Committee resolved that: a) Apologies were noted.	
AAC 25/7/23 003	Declarations of Interest The Committee resolved that: a) No Declarations of Interest were noted.	

Mohamed Sarah
29/08/2023 16:40:14

AAC 25/7/23 004	Any other urgent business There was no other urgent business noted.	
	Items for Approval / Ratification	
AAC 25/7/23 005	The Head of Internal Audit Opinion and Annual Report for 2022-23 The Head of Internal Audit (HIA) presented the Head of Internal Audit Opinion and Annual Report for 2022-23 and highlighted the following: <ul style="list-style-type: none"> • The majority of the final document was the same as the draft presented at the Audit Workshop in May. • The HIA Opinion for 2022/23 was that ‘The Board could take reasonable assurance that arrangements to secure governance, risk management and internal control, within those areas under review, were suitably designed and applied effectively’. • Within the draft opinion there were 4 Audits that had not been completed. One of the audits in relation to planned care had now been completed and included in the 2022/23 opinion. • It was a positive Opinion overall and consistent with the draft report. <p>The CC thanked Internal Audit for all their work.</p> <p>The Committee resolved that:</p> <ol style="list-style-type: none"> a) The Internal Audit Progress Report, including the findings and conclusions from the finalised individual audit reports were considered. b) The proposed adjustments to the 2023/24 plan was approved. 	
AAC 25/7/23 006	Introduction to Annual Report and Accounts 2022-23 The Deputy Director of Finance – Operational (DDFO) presented the Introduction to the Annual Report and Accounts 2022-23 and advised the Committee on the following: <ul style="list-style-type: none"> • The report set out the key changes identified between the draft and final version of the draft Annual Report. • In accordance with the agreed deadlines, the 2022/23 Draft Annual Accounts, Draft Performance Report and Draft Accountability 	

<p>Mohamed Sarah 29/08/2023 16:40:14</p>	<p>Report were completed and forwarded to the Welsh Government (WG) and Audit Wales.</p> <ul style="list-style-type: none"> • With regards to its role in providing advice to the Board, the Audit and Assurance Committee, in accordance with its Terms of Reference, had responsibility to specifically comment upon the 2022/23 Draft Annual Accounts, Draft Performance Report and Draft Accountability Report were completed and forwarded to WG and Audit Wales. • The Audit and Assurance Committee also had a key role in reviewing the accounting policies, the accounts, the annual report of the organisation, the Letter of Representation and ISA 260 Report. • The Annual Report contained the Annual Accounts and the Remuneration Report which were the key financial statements. • The Draft Performance Report, Draft Accountability Report, Draft Annual Accounts and associated documents were reviewed in detail by the Audit and Assurance Committee at its workshop held on 11th May 2023. • Assurance on the accuracy of the Annual Report and Accounts could be taken by: <ul style="list-style-type: none"> - The programme of work and review that the Audit and Assurance Committee had undertaken throughout 2022/23 and the process it followed to verify and sign off the Annual Report and Accounts. - The work completed by Audit Wales and presented to the Audit and Assurance Committee in their ISA 260 Report; - The response given to the Audit Enquiries to those Charged with Governance and Management and the Letter of Representation that would be sent to Audit Wales. • Audit Wales intended to qualify the regularity opinion because the Health Board breached its revenue resource limit :- <ul style="list-style-type: none"> - For the three-year period 2020-21 to 2022-23 the Health Board expended £26.467 million over the three-year revenue limit issued by WG. - The Health Board failed to gain approval from Ministers for its 3 year Integrated Medium Term Plan due to the projected financial deficits contained within it. 	
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	<ul style="list-style-type: none"> • It was noted that Audit Wales had provided an unqualified audit opinion under their 'True and Fair' assessment of the 2022-23 financial statements. <p><u>Changes to the Draft Annual Report and Accounts</u></p> <ul style="list-style-type: none"> • It was noted that Audit Wales had reviewed the Draft Performance Report and Draft Accountability Report and provided feedback on a number of minor narrative changes which were incorporated within the Annual Report. The Remuneration Report had similarly been amended. • There were a small number of changes made to the Draft Accounts. Those were generally of a technical nature and did not impact on the reported financial performance of the Health Board. • The key amendments were set out in Appendix 4 of the ISA 260 Report. <p><u>UHB Performance against its Revenue Resource Limit</u></p> <ul style="list-style-type: none"> • The Integrated Medium Term Plan submitted for the period 2022-2025 did not include a balanced financial position and was not approved, therefore, the Health Board did not meet its statutory duty to have an approved financial plan for the period 2022-23 to 2024-25. <p><u>Performance against its Capital Resource Limit</u></p> <ul style="list-style-type: none"> • The Health Board managed its capital programme during the year and the accounts showed a small surplus of £0.088m against the final Capital Resource Limit of £55.410m. • The Health Board had a surplus of £0.041m in 2021/22 and a surplus of £0.104m in 2020/21 against the Capital Resource Limit. This meant that over the three-year period the aggregated surplus was £0.233m. • Thus, the Health Board had met its financial duty to break-even against its Capital Resource Limit over the three years 2020/21 to 2022/23. 	
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AAC 25/7/23 007	<p>Audit Wales ISA 260 Report</p> <p>The Audit Manager - Audit Wales (AMAW) presented the Audit Wales ISA 260 Report and highlighted the following:</p> <ul style="list-style-type: none"> • The Audit Wales Report discharged responsibility before the accounts were considered for approval and signed. • An unqualified audit opinion was given because there were material concerns about some aspects of the financial statements; otherwise, an unqualified opinion would have been issued. • Some misstatements in the draft financial statements and remuneration report were identified, which management had corrected. The non-trivial corrections were included in Appendix 4 received by the Committee. • The Audit would remain open until the accounts were certified by. The Executive Director of Finance (EDF) would have to state that she would still sign the accounts. • A follow up report would go to a future Audit meeting. <p>The AMAW thanked the Finance and Coprorate Governnane teams and all those involved for their help in completing the work.</p> <p>The Committee resolved that:</p> <p>a) The Audit Wales ISA 260 Report was noted.</p>	
AAC 25/7/23 008	<p>To receive and consider the following for 2022-23:</p> <ul style="list-style-type: none"> a) The Letter of Representation included within the ISA 260 report b) The response to the Audit Enquiries to those charged with Governance and Management c) The CVUHB Annual Report 2022-2023 including the Annual Accountability Report, Performance report and the Financial Statements <p>The Committee returned to the recommendations set out in the report for agenda item 7.2 above.</p> <p>The Committee resolved that:</p>	

	<ul style="list-style-type: none"> a) The reported financial performance contained within the Annual Report and Accounts and that the Health Board had met its statutory financial duties in respect of revenue and capital expenditure, were noted. b) The changes made to the Draft Annual Report and Accounts were noted. c) The ISA 260 Report, the Head of Internal Audit Annual Report, the Letter of Representation, the response to the Audit Enquiries to those charged with Governance and Management, and the Annual Report and Accounts, were reviewed. d) The ISA 260 Report, the Head of Internal Audit Annual Report, the Letter of Representation and the response to the Audit Enquiries to those charged with Governance and management were recommended to the Board to agree and endorse. e) The Annual Report and Accounts for 2022/23 were recommended to the Board for approval. 	
AAC 25/7/23 009	Any Other Business No other business was discussed.	
AAC 25/7/23 010	Items to be deferred to Board / Committee No other items were deferred to Boards or Committees.	
	Date & time of next Meeting Tuesday 5 th September 2023 at 9am via MS Teams	

Mohamed, Sarah
29/08/2023 16:40:14

Public Action Log
Following Audit & Assurance Committee Meeting
4 July 2023
(For the Meeting 5 September 2023)

REF	SUBJECT	AGREED ACTIONS	LEAD	DATE	STATUS/COMMENTS
Completed Actions					
AAC 11/5/23 007	Management of Health Board Policies	To bring an up to date and realistic plan for updating all policies.	James Quance/Marcia Donovan	4/7/2023	Completed Update provided in July 2023.
Actions in Progress					
AAC 7/2/23 007	Internal Audit Progress Report	Follow up audit report in relation to the Medical Records Tracking (CD&T Clinical Board) to be brought to Committee at a later date.	Internal Audit	TBC	TBC
AAC 4/7/23/007	Follow up Audits	To build in-between projects to ensure that they have followed all the right governance.	Ian Virgil	November 2023	Update in November 2023
AAC 4/7/23/009	Audit Wales Orthopaedic Report	The extent to which patients were managed whilst on the waiting list could influence outcomes and should be factored into the report and considered.	Audit Wales	September 2023	Update in September 2023 - Agenda item 7.4
AAC 4/7/23/010	Declarations of Interest, Gifts and Hospitality Report	Essential to ensure that the decision makers provided nil returns in order to have assurance of their interests.	Aaron Fowler	September 2023	Update in November 2023

AAC 4/7/23/011	Internal Audit Recommendation Tracker Report	A detailed review of the internal tracking process was being completed.	Internal Audit	September 2023	Update in September 2023 - Agenda item 7.1
AAC 4/7/23/014	Updated Policies Plan	Update on the Plan be brought to the Committee.	Matt Phillips	November 2023	Update in November 2023
Actions referred to Board / Committees					
AAC 4/7/23/009	Deep Dive Orthopaedics Waiting Lists	Deep dive on how patients are managed whilst on the Orthopaedics Waiting List.	Paul Bostock	September 2023	Added to Finance and Performance Action log
AAC 4/7/23/013	Regulatory Compliance Tracking Report	Some of the Patient Safety Solutions had been on the tracker for some time and should be taken to a future Quality, Safety & Experience (QSE) Committee meeting to provide assurance.	Aaron Fowler	September 2023	Added to QSE Action Log

Mohamed Sarah
29/08/2023 16:40:14

Report Title:	Internal Audit Progress Report			Agenda Item no.	7.1
Meeting:	Audit & Assurance Committee	Public	X	Meeting Date:	05/09/23
Status (please tick one only):	Assurance	X	Approval	X	Information
Lead Executive:	Director of Corporate Governance				
Report Author (Title):	Head of Internal Audit				
Main Report					
Background and current situation:					
<p>The NHS Wales Shared Services Partnership (NWSSP) Audit and Assurance Service provides an Internal Audit service to the Cardiff and Vale University Health Board.</p> <p>The work undertaken by the Audit & Assurance Service is in accordance with its annual plan, which is prepared following a detailed planning process, including consultation with the Executive Directors, and is subject to Audit & Assurance Committee approval. The plan sets out the program of work for the year ahead as well as describing how we deliver that work in accordance with professional standards and the engagement process established with the UHB.</p> <p>The 2023/24 plan was formally approved by the Audit Committee at its April 23 meeting.</p> <p>The progress report provides the Audit & Assurance Committee with information regarding the progress of Internal Audit work in accordance with the agreed plan; including details and outcomes of reports finalised since the previous meeting of the committee and proposed amendments to the plan.</p> <p>Appendix A of the progress report sets out the Internal Audit plan as agreed by the committee, including commentary as to progress with the delivery of assignments.</p>					
Executive Director Opinion and Key Issues to bring to the attention of the Board/Committee:					
<p>The progress report highlights the conclusions and assurance ratings for audits finalised in the current period.</p> <p>The following report from the 2023/24 plan has been finalised since the July 23 meeting:</p> <ul style="list-style-type: none"> Recommendation Tracking - (Substantial Assurance) <p>The progress report also includes details of proposed adjustments to the 2023/24 plan.</p>					
Recommendation:					
<p>The Audit & Assurance Committee are requested to:</p> <ul style="list-style-type: none"> Consider the Internal Audit Progress Report, including the findings and conclusions from the finalised individual audit report. Approve the proposed adjustments to the 2023/24 plan. 					
Link to Strategic Objectives of Shaping our Future Wellbeing:					
Please tick as relevant					
1. Reduce health inequalities		6. Have a planned care system where demand and capacity are in balance	X		
2. Deliver outcomes that matter to people	X	7. Be a great place to work and learn	X		

3. All take responsibility for improving our health and wellbeing	X	8. Work better together with partners to deliver care and support across care sectors, making best use of our people and technology	
4. Offer services that deliver the population health our citizens are entitled to expect	X	9. Reduce harm, waste and variation sustainably making best use of the resources available to us	
5. Have an unplanned (emergency) care system that provides the right care, in the right place, first time		10. Excel at teaching, research, innovation and improvement and provide an environment where innovation thrives	

Five Ways of Working (Sustainable Development Principles) considered

Please tick as relevant

Prevention		Long term	X	Integration	x	Collaboration	x	Involvement	
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Impact Assessment:

Please state yes or no for each category. If yes please provide further details.

Risk: Yes/No

The progress report provides the Committee with a level of assurance around the management of a series of risks covered within the specific audit assignments delivered as part of the Internal Audit Plan. The report also provides information regarding the areas requiring improvement and assigned assurance ratings.

Safety: Yes/No

Financial: Yes/No

Workforce: Yes/No

Legal: Yes/No

Reputational: Yes/No

The progress report provides an update on the delivery of the Internal Audit plan for 2022/23, which includes a final audit which provide assurance around reputational risks.

Socio Economic: Yes/No

Equality and Health: Yes/No

Decarbonisation: Yes/No

Approval/Scrutiny Route:

Committee/Group/Exec	Date:

Mohamed, Sarah
29/08/2023 16:40:14

Cardiff and Vale University Health Board

Internal Audit Progress Report

Audit & Assurance Committee September
2023

NWSSP Audit and Assurance Services



GIG
CYMRU
NHS
WALES

Partneriaeth
Cydwasaethau
Cydwasaethau Archwilio a Sicrwydd
Shared Services
Partnership
Audit and Assurance Services



Contents

1.Introduction 3

2.Assignments with Delayed Delivery 3

3.Outcomes from Completed Audit Reviews 4

4.Delivery of the 2023/24 Internal Audit Plan 4

5.Changes to the 2023/24 Plan 6

6.Final Report Summaries 6

Appendix A Assignment Status Schedule

Appendix B Report Response Times

Appendix C Key Performance Indicators

Appendix D Assurance Ratings

Mohamed Sarah
29/08/2023 16:40:14

1. Introduction

This progress report provides the Audit & Assurance Committee with the current position regarding the work to be undertaken by the Audit & Assurance Service as part of the delivery of the approved 2023/24 Internal Audit plan.

The report includes details of the progress made to date against individual assignments along with details regarding the delivery of the plan and any required updates.

The plan for 2023/24 was agreed by the Audit & Assurance Committee in April 2023 and is delivered as part of the arrangements established for the NHS Wales Shared Service Partnership - Audit and Assurance Services.

2. Assignments with Delayed Delivery

The assignments noted in the table below are those which had been planned to be reported to the September Audit Committee but have not met that deadline.

Audit	Current Position	Draft Rating	Reason
Shaping Our Future Wellbeing – Future Hospitals Programme	Draft Report	Advisory	Delay in agreeing draft report and receiving management responses.
Estates Assurance – Estate Condition	Draft Report	Limited	Delay in issuing draft report and receiving management responses.
Leadership and Management Training and Development (Advisory)	Draft Report	Advisory	Delay in agreeing draft report and receiving management responses.
QS&E Governance (Duty of Quality)	Draft Report	Advisory	Delay in progressing fieldwork.
Refresh of the Health Board's Strategy	Fieldwork		Delay in agreeing scope of the audit and commencing fieldwork.
Mental Health Clinical Board Governance	Fieldwork		Delay in agreeing scope and meeting management to progress fieldwork.

3. Outcomes from Completed Audit Reviews

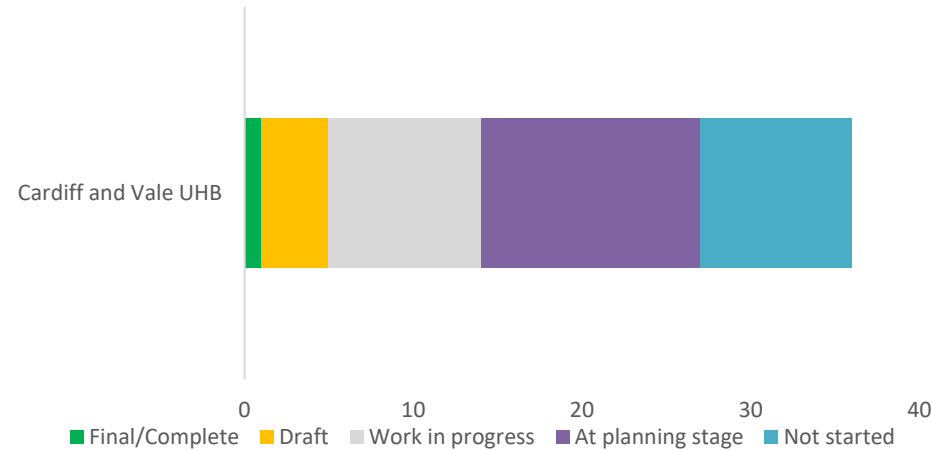
One assignment from the 2023/24 plan has been finalised since the previous meeting of the committee and is highlighted in the table below along with the allocated assurance rating.

The Executive Summary from the final report is provided in Section six. The full report is included separately within the Audit Committee agenda for information.

FINALISED AUDIT REPORTS	ASSURANCE RATING	
Recommendation Tracking	Reasonable	

4. Delivery of the 2023/24 Internal Audit Plan

There are a total of 36 reviews within the 2023/24 Internal Audit Plan (including the changes highlighted below), and overall progress at this stage of the year is summarised below.



The graph above illustrates that one audit from the 2022/23 plan has been finalised so far this year and four others have reached the draft report stage.

In addition, there are eight audits that are currently work in progress with a further thirteen at the planning stage.

Full details of the current year’s audit plan along with progress with delivery and commentary against individual assignments regarding their status is included at Appendix A.

Appendix A also includes details of the three audits from the 2022/23 plan that had not been sufficiently progressed to be included within the Head of Internal Audit Opinion for 2022/23. The outcomes from these audits will feed into the 2023/24 Opinion.

Appendix B highlights the times for responding to Internal Audit reports.

Appendix C shows the current level of performance against the Audit & Assurance Key Performance Indicators (KPI).

5. Changes to the 2023/24 Plan

The following audit has been agreed as an addition to the plan:

- GP Site Evaluation Process – Advisory review requested by the Health Board’s Chief Executive and Chairman.

The following audits have also been identified for removal / deferral from the plan:

- ISO Accreditation within ALAC – Due to delays in commencing the audit, the external accreditation review has now been completed with a positive outcome, so

there would be no value in completing our planned audit. Removal has been agreed with the Director of Therapies and Health Science; and

- Medicine CB Acute Model / Same Day Emergency Care – The COO has requested deferral to Q1 of the 24/25 plan to allow further time for the developments to be embedded.

Mohamed Sarah
29/08/2023 16:40:14

6. Final Report Summaries

6.1 Recommendation Tracking

Purpose

To review the Health Board’s processes for monitoring the implementation of recommendations from internal and external assurance and review bodies and reporting into the Audit and Assurance Committee.

Overview

We have issued substantial assurance on this area.


The matters requiring management attention include:

- It was evidenced that there was a lack of supporting narrative to confirm closure of some Internal Audit and External Audit recommendations.

Other recommendations / advisory points are within the detail of the report.

Report Opinion

Substantial



Few matters require attention and are compliance or advisory in nature.

Low impact on residual risk exposure.

Assurance summary¹

Objectives	Assurance
1 Monitoring and reporting of Internal, External and Review bodies recommendations	Substantial
2 Status of recommendations	Reasonable
3 Audit & Assurance Committee review and scrutinise the recommendation trackers	Substantial

¹The objectives and associated assurance ratings are not necessarily given equal weighting when formulating the overall audit opinion.

Key Matters Arising		Objective	Control Design or Operation	Recommendation Priority
1	Lack of supporting narrative to close Internal & External Audit recommendations	2	Operation	Medium

Mohamed Sarah
29/08/2023 16:40:14

ASSIGNMENT STATUS SCHEDULE

Planned output.	Ref No	Exec Director Lead	Plnd Qtr	Adj Qtr	Current Status	Assurance Rating	Planned / Actual Committee
2022/23 Plan							
<i>Surgery CB - Consultant Job Plans</i>		<i>COO</i>			<i>Draft Report</i>	<i>Limited</i>	<i>November</i>
<i>Shaping Our Future Wellbeing – Future Hospitals Programme</i>		<i>Finance</i>			<i>Draft Report</i>	<i>Advisory</i>	<i>November</i>
<i>Medical Staff Additional Sessions</i>		<i>Medical</i>			<i>Planning (Final brief issued for October start)</i>		<i>February</i>
2023/24 Plan							
Recommendation Tracking	6	Corporate Governance	Q1		Final Report	Substantial	September
Leadership and Management Training and Development (Advisory)	10	People & Culture	Q1		Draft Report	Advisory	November
Estates Assurance – Estate Condition	4	Finance	Q1		Draft Report	Limited	November
QS&E Governance (Duty of Quality) (Advisory)	28	Nursing / Medical	Q1		Draft Report	Advisory	November
ChemoCare IT System Follow-up	36	Digital & Health Intelligence	Q1		Draft Report	Reasonable	November
Refresh of the Health Board's Strategy	18	Strategic Planning	Q1		Work in Progress		November
Mental Health Clinical Board Governance	24	COO	Q1		Work in Progress		November
Paris IT System	12	Digital & Health Intelligence	Q2		Work in Progress		November

Planned output.	Ref No	Exec Director Lead	Plnd Qtr	Adj Qtr	Current Status	Assurance Rating	Planned / Actual Committee
Urgent & Emergency Care – WG 6 Goals Programme	22	COO	Q2		Work in Progress		November
Mortality Reviews	33	Medical	Q2		Work in Progress		November
Implementation of Health Roster System	9	People & Culture	Q2/3		Work in Progress		November
Alcohol Standards	21	Public Health	Q2/3		Work in Progress		November
GP Site Evaluation Process	27	Chief Executive	Q2		Work in Progress		November
Financial Management within Clinical Boards	2	Finance	Q2		Planning (Draft brief issued)		February
Technical Continuity	13	Digital & Health Intelligence	Q2		Planning (Final brief issued)		February
PCIC CB Governance	25	COO	Q2		Planning (Final brief issued)		February
Patient Safety Incident Management	29	Nursing	Q2		Planning (Final brief issued)		February
Core Financial Systems	1	Finance	Q2/3		Planning (Final brief issued)		February
Payroll Costs	7	People & Culture / Finance	Q3		Planning		February
Information Governance	14	Digital & Health Intelligence	Q3		Planning		February
Cyber Security Follow-up	15	Digital & Health Intelligence	Q3		Planning		February

Planned output.	Ref No	Exec Director Lead	Plnd Qtr	Adj Qtr	Current Status	Assurance Rating	Planned / Actual Committee
Business Continuity Planning	17	Strategic Planning	Q3		Planning		February
Medical Records Tracking (CD&T) Follow-up	27	COO	Q3		Planning		February
IMTP Development Process	16	Strategic Planning	Q3		Planning		April
Cancer Services	23	COO	Q3		Planning		April
Infection Prevention & Control	30	Nursing	Q3		Planning		April
Capital Systems	3	Finance	Q4				April
Risk Management / Board Assurance Framework	5	Corporate Governance	Q4				April
Implementation of People & Culture Plan	8	People & Culture	Q4				April
Performance Reporting	11	Digital & Health Intelligence	Q4				April
Maternity Care – Ockenden Review	31	Nursing	Q4				April
Management of Health Board Policies Follow-up	35	Nursing	Q4				April
Decarbonisation	19	Strategic Planning	TBC				TBC
Shaping Our Future Hospitals Programme	20	Strategic Planning	TBC				TBC

Planned output.	Ref No	Exec Director Lead	Plnd Qtr	Adj Qtr	Current Status	Assurance Rating	Planned / Actual Committee
Development of Integrated Audit Plans:							
• UHL - Endoscopy Unit Development	34	Strategic Planning	Q2		Work in Progress		February
• UHW – Vascular Hybrid Theatre & MTC Theatre	37	Strategic Planning	TBC				TBC
Reviews removed from the plan							
ISO Accreditation within ALAC	32	Therapies	Q1	Q2	The external accreditation review has been completed with a positive outcome, so no value in completing our planned audit. Removal agreed with the Director of Therapies and Health Science. To be agreed by September AC.		
Medicine CB – Acute Model / Same Day Emergency Care	26	COO	Q3		The COO requested deferral to Q1 of the 24/25 plan to allow further time for the developments to be embedded. To be agreed by September AC.		

Mohamed Sarah
29/08/2023 16:40:14

REPORT RESPONSE TIMES

Audit	Rating	Status	Draft issued date	Responses & exec sign off required	Responses & Exec sign off received	Final issued	R/A/G
Recommendation Tracking	Substantial	Final	25/07/23	15/08/23	11/08/23	11/08/23	G






Mohamed Sarah
29/08/2023 16:40:14

KEY PERFORMANCE INDICATORS

Indicator Reported to Audit Committee	Status	Actual	Target	Red	Amber	Green
Operational Audit Plan agreed for 2023/24	G	April 2023	By 30 June	Not agreed	Draft plan	Final plan
Total assignments reported (to at least draft report stage) against plan to date for 2023/24	R	71% 5 from 7	100%	v>20%	10%<v<20%	v<10%
Report turnaround: time from fieldwork completion to draft reporting [10 working days]	G	80% 4 from 5	80%	v>20%	10%<v<20%	v<10%
Report turnaround: time taken for management response to draft report [15 working days]	G	50% 1 from 1	80%	v>20%	10%<v<20%	v<10%
Report turnaround: time from management response to issue of final report [10 working days]	G	100% 1 from 1	80%	v>20%	10%<v<20%	v<10%

Mohamed Sarah
29/08/2023 16:40:14

Assurance Ratings

	Substantial assurance	Few matters require attention and are compliance or advisory in nature. Low impact on residual risk exposure.
	Reasonable assurance	Some matters require management attention in control design or compliance. Low to moderate impact on residual risk exposure until resolved.
	Limited assurance	More significant matters require management attention. Moderate impact on residual risk exposure until resolved.
	No assurance	Action is required to address the whole control framework in this area. High impact on residual risk exposure until resolved.
	Assurance not applicable	Given to reviews and support provided to management which form part of the internal audit plan, to which the assurance definitions are not appropriate. These reviews are still relevant to the evidence base upon which the overall opinion is formed.

Mohamed Sarah
29/08/2023 16:40:14



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Mohamed Sarah
29/08/2023 16:40:14

Audit and Assurance Committee Update – Cardiff and Vale University Health Board

Date issued: September 2023

Document reference: 3461A2023

Mohamed, Sarah
29/08/2023 16:40:14

This document has been prepared for the internal use of Cardiff and Vale University Health Board as part of work performed / to be performed in accordance with statutory functions.

The Auditor General has a wide range of audit and related functions, including auditing the accounts of Welsh NHS bodies, and reporting on the economy, efficiency, and effectiveness with which those organisations have used their resources. The Auditor General undertakes his work using staff and other resources provided by the Wales Audit Office, which is a statutory board established for that purpose and to monitor and advise the Auditor General.

Audit Wales is the non-statutory collective name for the Auditor General for Wales and the Wales Audit Office, which are separate legal entities each with their own legal functions as described above. Audit Wales is not a legal entity and itself does not have any functions.

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Mohamed Sarah
29/08/2023 16:40:14

Contents

Audit and Assurance Committee Update

About this document	4
Financial audit update	5
Performance audit update	7
Other relevant publications	12
Additional information	12

Mohamed Sarah
29/08/2023 16:40:14

About this document

- 1 This document provides the Audit and Assurance Committee with an update on our current and planned accounts and performance audit work at Cardiff and Vale University Health Board.
- 2 We also provide additional information on:
 - Other relevant examinations and studies published by the Auditor General.
 - Relevant corporate documents published by Audit Wales (e.g. fee schemes, annual plans, annual reports), as well as details of any consultations underway.
- 3 Details of future and past Good Practice Exchange (GPX) events are available on our [website](#).

Mohamed Sarah
29/08/2023 16:40:14

Financial audit update

4 **Exhibit 1** summarises the status of our current and planned accounts audit work.

Exhibit 1 – Accounts audit work

Area of work	Executive Lead	Focus of the work	Current status	Planned date for consideration
Audit of the 2022-23 Accountability Report and Financial Statements	Executive Director of Finance	The Auditor General certified the 2022-23 Performance Report, Accountability Report, and Financial Statements on 28 July. He issued an unqualified true and fair audit opinion, except for a qualified regularity opinion because the Health Board did not meet its revenue resource allocation over the three-year period ending 2022-23. Members of the Audit and Assurance Committee	Complete	Complete - considered by the committee in July 2023

Mohamed Sarah
29/08/2023 16:40:14

Area of work	Executive Lead	Focus of the work	Current status	Planned date for consideration
		considered our Audit of Accounts Report on 25 July and are therefore aware of the audit findings.		
Audit of Accounts Report Addendum – recommendations	Executive Director of Finance	To set out recommendations arising from our 2022-23 audit of accounts work.	In progress	To be confirmed
Audit of the 2022-23 Charitable Funds Accounts	Executive Director of Finance	To provide an audit opinion on the Health Board's Charitable Funds Accounts.	Planned to start in November 2023	To be confirmed

Mohamed Sarah
29/08/2023 16:40:14

Performance audit update

5 Exhibit 2 summarises the status of our current and planned performance audit work.

Exhibit 2 – Performance audit work

Area of work	Executive Lead	Focus of the work	Current status	Planned date for consideration
Orthopaedic Services: Follow-up	Chief Operating Officer	This review examined the progress made in response to our 2015 recommendations. The reports take stock of the significant elective backlog challenges and considers the impact of the pandemic and orthopaedic service recovery.	Complete All Wales summary report and CVUHB local report published on 2 March 2023. Links to reports at Exhibit 3.	Reports considered by the Committee at meeting held on 4 July and completed management response in today's papers.

Mohamed Sarah
29/08/2023 16:40:14

Area of work	Executive Lead	Focus of the work	Current status	Planned date for consideration
Review of Unscheduled Care	Chief Operating Officer	This work examines different aspects of the unscheduled care system and will include analysis of national data sets to present a high-level picture of how the unscheduled care system is currently working. The work includes an examination of the actions being taken by NHS bodies, local government, and Regional Partnership Boards to secure timely and safe discharge of patients from hospital to help improve patient flow. We also plan to review progress being made in managing unscheduled care demand by helping patients access services which are most appropriate for their unscheduled care needs.	Report drafting	To be confirmed
All-Wales thematic on workforce planning arrangements	Executive Director of People and Culture	This work will examine the workforce risks that NHS bodies are experiencing currently and are likely to experience in the future. It will examine how local and national workforce planning activities are being taken forward to manage those risks and address short-, medium- and longer-term workforce needs.	In the latter stages of reporting	To be confirmed

Mohamed Sarah
29/08/2023 16:40:14

Area of work	Executive Lead	Focus of the work	Current status	Planned date for consideration
Primary Care Services - Follow-up Review (2022 Local Work)	Chief Operating Officer	In 2018, we conducted a review of primary care services, specifically considering whether the Health Board was well placed to deliver the national vision for primary care as set out in the national plan. We made a number of recommendations to the Health Board. This work will follow-up progress against these recommendations.	In the latter stages of fieldwork	To be confirmed
Structured Assessment 2023 – Core	Director of Corporate Governance	<p>Our structured assessment work is designed to examine the existence of proper arrangements for the efficient, effective, and economical use of resources. Our 2023 Structured Assessment work will review:</p> <ul style="list-style-type: none"> • Board and committee cohesion and effectiveness; • Corporate systems of assurance; • Corporate planning arrangements; and • Corporate financial planning and management arrangements. 	Fieldwork	To be confirmed

Mohamed Sarah
29/08/2023 16:40:14

Area of work	Executive Lead	Focus of the work	Current status	Planned date for consideration
Structured Assessment 2023 – Deep Dive	To be confirmed	In addition to the core structured assessment work described above, we will also review certain arrangements at NHS bodies in more depth. This year, we will examine digital arrangements, with a particular focus on how NHS bodies are investing in digital technologies, solutions, and capabilities to support the workforce, transform patient care, meet demand, and improve productivity and efficiency.	Planning	To be confirmed
All-Wales thematic review of planned care	Chief Operating Officer	This work will follow on from our 2022 review. The specific focus of this work is to be confirmed.	Planning	To be confirmed
Examination of the Setting of Well-being Objectives (2023 Local Work)	Executive Director of Strategic Planning and Executive Director of Public Health	This work will assess the extent to which the Health Board has acted in accordance with the sustainable development principle when setting its well-being objectives as part of its arrangements for refreshing the organisation's long-term strategy.	Fieldwork stage – we are conducting this work as part of this year's Structured Assessment	To be confirmed

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29/08/2023 16:40:14

Area of work	Executive Lead	Focus of the work	Current status	Planned date for consideration
Follow-up of 2019 Clinical Coding follow-up review (2023 Local Work)	To be confirmed	This work will review the Health Board's progress in addressing the recommendations made in our 2019 clinical coding follow-up review.	Planning	To be confirmed

Mohamed Sarah
29/08/2023 16:40:14

Other relevant publications

- 6 **Exhibit 3** provides information on other relevant examinations and studies published by the Auditor General in the last six months. The links to the reports on our website are provided. We have not published any new reports since the last committee update.

Exhibit 3 – Relevant examinations and studies published by the Auditor General

Title	Publication Date
Orthopaedic Services in Wales – Tackling the Waiting List Backlog (National Report) Cardiff and Vale University Health Board – Tackling the Orthopaedic Services' Waiting List Backlog (Local Report)	March 2023
Digital inclusion in Wales and Key questions for public bodies	March 2023

Additional information

- 7 **Exhibit 4** provides information on corporate documents published by Audit Wales since the last committee update. Links to the documents on our website are provided.

Exhibit 4 – Audit Wales corporate documents

Title	Publication Date
Annual Report and Accounts 2022-2023	June 2023

- 8 There are no relevant Audit Wales consultations currently underway.

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29/08/2023 16:40:14



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telephone calls in Welsh and English.
Rydym yn croesawu gohebiaeth a
galwadau ffôn yn Gymraeg a Saesneg.

Orthopaedic Services in Wales – Tackling the Waiting List Backlog

Report of the Auditor General for Wales

March 2023



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29/08/2023 16:40:14

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Mae'r ddogfen hon hefyd ar gael yn Gymraeg.

Contents

Summary report

Context	4
Key messages	4
Key facts	9
Recommendations	10

Detailed report

1	What is the scale of the challenge?	13
2	What is impacting the recovery of orthopaedic services?	20
3	What action is being taken?	29
4	What else needs to be done?	34

Appendices

1	Our approach	39
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29/08/2023 16:40:14

Summary report

Context

- 1 Orthopaedics is the branch of surgery that relates to musculoskeletal conditions. Common surgical procedures include hip and knee joint replacement, and diagnostic intervention such as arthroscopy. Orthopaedic surgeons tend to sub-specialise focussing on areas such as major joints, or foot and ankle, shoulder, or wrist.
- 2 NHS Wales orthopaedic spend had grown year on year to 2019-20 peaking at nearly £396 million. The pandemic saw reduction in activity and spend the following year. But even with the increases in spend pre-pandemic, the size of orthopaedic waiting lists was one of the biggest challenges facing the NHS in Wales. This challenging pre-pandemic position has further deteriorated because of the impact of COVID-19 on planned care activity. In November 2022, of the 748,271 people on the NHS waiting list in Wales, 101,014 were waiting for orthopaedic services.
- 3 At the time the UK went into lockdown in March 2020, we were concluding our work to follow up progress against our 2015 reports on waiting times for elective care and orthopaedic services. Across both reviews we had found the same story: many patients still face long waiting times. Some progress has been made in specific areas, but we had not seen the sorts of whole system change that is needed to make the planned care system sustainable.
- 4 In September 2020, we published a report setting out Ten Opportunities for Resetting and Restarting the NHS Planned Care System. We then prepared a broader commentary on Tackling the Planned Care Backlog in May 2022.
- 5 This report provides a commentary on orthopaedic services. It describes the scale of orthopaedic waits, changes in demand, aspects of service capacity and some of the recent nationally coordinated work to modernise services. The report also sets out key actions NHS Wales needs to take to tackle the challenges in orthopaedic services. In some instances, we use long term trends to help illustrate change over time.

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Key messages

A note on patients and pathways

Throughout this report we talk about patients waiting for treatment. Our figures are based on NHS Wales's 'open' referral to treatment measure. The measure counts the number of pathways which have started but not yet completed treatment, rather than people. Each pathway represents a patient waiting but patients may have more than one health condition and therefore be on the waiting list more than once. As a result, the total number of people waiting for treatment will be lower than the total number of pathways.



- 6 Meeting demand for planned orthopaedic services has been a significant challenge for the NHS in Wales over the last 20 years. The impact of COVID-19 has elongated what was already a lengthy waiting list, such that patients are now facing exceptionally long waits to be seen and treated. For many people this means living in pain and discomfort, with a life-limiting condition.
- 7 Proportionately, there are more than twice as many people waiting in Wales for orthopaedic services as there are in England. In fact, proportionately, there are more people waiting over 36 weeks in Wales than are waiting in England in total¹. Month on month, the orthopaedic waiting list has been increasing, peaking with 102,699 patients on the waiting list in September 2022. Referral rates dropped during the pandemic, and we estimate that there are around 135,000 potentially 'missing' referrals that could come back into the system, putting further pressure on the waiting list.

Mohamed, Sarah
29/08/2023 16:40:14

¹ [Statement by the British Orthopaedic Association](#), on England and Wales Trauma & Orthopaedics Waiting Times Data for March 2022. Direct comparisons are not available with Northern Ireland and Scotland due to differences in the way in which waiting lists are reported.

- 8 Services have been slow to restart as the immediate impact of the pandemic has lessened, operating on average at around 60% of pre-pandemic activity levels. There is unexplained variation of orthopaedic waits across Wales depending on where you live and the type of procedure you are having. Necessary infection control regimes will continue to have an impact on patient throughput in settings such as operating theatres, but there is scope for current capacity to be used more efficiently by making appropriate use of day case procedures and looking to safely reduce lengths of stay.
- 9 In the past, the Welsh Government has allocated temporary additional monies to health boards to try and fill the gap between capacity and demand. Whilst this resulted in short term improvements, it did not achieve the sustainable changes to services that were necessary and referral to treatment time waiting list targets² for orthopaedics have never been met since the targets were first established in 2009. There needs to be a realistic assessment of capacity. Funding for orthopaedic services has not reflected growing demand and with a predicted 27% growth in over 75s between now and 2030, services need to be sustainably designed to meet that need.
- 10 We have repeated the wider modelling exercise presented in our Tackling the Planned Care Backlog report in May 2022 for orthopaedic services in order to estimate how long it will take to recover these services. Our optimistic scenario modelling suggests that it could take three years to return orthopaedic waits to pre-pandemic levels. This is based on both a significant drive on community-based prevention, which has shown to have a positive impact on demand, and a 5% increase in orthopaedic surgical capacity and activity compared to pre-pandemic levels, noting that current activity is below pre-pandemic levels. Our more realistic scenario indicates that it could be nearer to five years, and our pessimistic scenario indicates that services may never return to pre-pandemic waiting list levels. The scenarios highlight the scale of the challenge facing orthopaedic services in respect of managing demand and building additional capacity.
- 11 There is some hope, however. NHS Wales has commissioned an in-depth review of orthopaedic services with the Getting It Right First Time team³ outlining numerous service efficiency, effectiveness, and productivity improvements for acute orthopaedic services. They set out a comprehensive suite of recommendations in their national report and have also provided reports and recommendations to each of the health boards in Wales. Their work sets out the immediacy and urgency needed.

2 95% of patients waiting no more than 26 weeks from referral to treatment, and no one waiting over 36 weeks.

3 Getting It Right First Time is a national programme designed to improve the treatment and care of patients through review and benchmarking.

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29/08/2023 16:40:17

- 12 Aligned to this, the Welsh Government commissioned the Welsh National Orthopaedic Society to prepare a National Clinical Strategy for Orthopaedics. This thorough and honest appraisal of the current position and service options for the future sets out in the strongest terms the perilous state of services and gives a clear clinical voice on what needs to be done. It will require brave and bold leadership at a ministerial level all the way through to operational and clinical leaders in hospitals to deliver it.
- 13 From our discussions, the Welsh Government and NHS Wales recognise the scale of the challenge, but lessons must be learnt from previous initiatives. The national strategy developed by the Welsh Orthopaedics Board must be accompanied by buy-in from local clinical teams to ensure that changes are embedded and sustained.
- 14 A renewed focus on driving efficiencies is needed to maximise already stretched resources but this cannot be done in isolation. A whole system focus is needed to ensure that other services that support the orthopaedic pathway are also working effectively, including primary, community and diagnostic services. New technology and improved estate need to be prioritised and health boards must work together to develop regional solutions to help tackle the backlog. In the context of many patients having to wait a very long time for their treatment, information on experience and outcomes also needs to be at the heart of decision making.

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29/08/2023 16:40:14



Securing timely treatment for people with orthopaedic problems has been a challenge for the NHS in Wales for many years, with COVID-19 making this significantly worse. It is positive to see that there is a clear commitment to improve orthopaedic services, but urgent action is needed to secure short-term improvements in waiting times to minimise how long people wait in pain and discomfort, as well as creating more sustainable longer-term improvements.

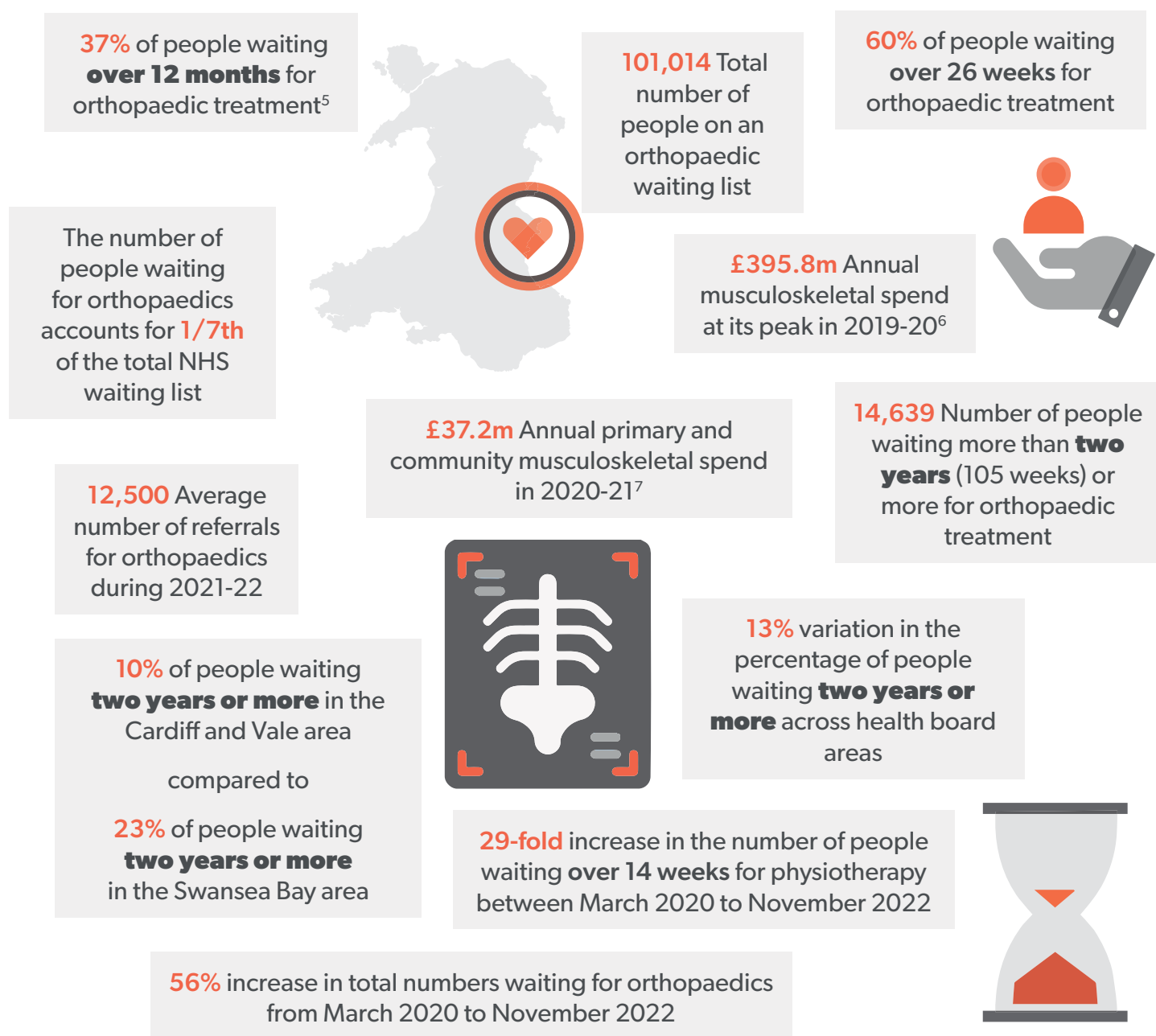
Adrian Crompton

Auditor General for Wales



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29/08/2023 16:40:14

Key facts⁴



⁴ Data as of November 2022 unless otherwise stated. Data is all-Wales.

⁵ Welsh Government data used is over 53-week data. The true 12-month position will be marginally higher.

⁶ The following year (2020-21) spend decreased to £308.2 million. The reduction in expenditure is a direct consequence of reduction in orthopaedic activity during the pandemic. Source: Stats Wales NHS Programme Budget for Musculoskeletal system problems (excluding Trauma)

⁷ Primary and community musculoskeletal spend forms part of the total annual musculoskeletal spend.



Recommendations

- 15 The box below sets out recommendations that we think are needed to strengthen the delivery of orthopaedic services. These recommendations are meant to complement those already made in the Getting It Right First Time reports and the new National Clinical Orthopaedics Strategy.

Recommendations

For the Welsh Government

- R1 Actions previously taken to tackle orthopaedic performance have had a short-term focus, not delivered sustainable services, and lacked 'buy-in' from local clinical teams. The new national clinical strategy for orthopaedics sets out clinical solutions to deliver sustainable services. We recommend that the Welsh Government now needs to:
- a prepare a clear national delivery plan which sets out the priority actions to be taken over the next three to five years to achieve the clinical strategy. The plan needs to include key deliverables and milestones, and clearly defined roles and responsibilities at a local and national level.
 - b ensure that the national delivery plan includes a clear direction for regional models to recognise the opportunities that exist to maximise available capacity and provide centres of excellence that deliver better outcomes.
 - c ensure that the national delivery plan encompasses the wider service input needed to deliver effective orthopaedic services. This should include but not be limited to primary and community care capacity, diagnostic capacity, capital and estates, and digital services.
 - d ensure that the national delivery plan is reflected in NHS planning guidance and health boards are held to account for implementation through routine performance management arrangements.

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29/08/2023 16:40:14

Recommendations

- R2 The Getting It Right First Time reports at a national and health board level set out clearly a range of recommendations which will help drive improvements in the hospital element of the orthopaedic pathway across Wales, but many of the areas of focus are not new. We recommend that the Welsh Government needs to:
- a ensure mechanisms are in place to obtain assurance from health boards that the Getting It Right First Time recommendations are being implemented.
 - b place a significant and constant focus on improving efficiencies and productivity in orthopaedics through its challenge and scrutiny of health boards. This needs to be supported by regular benchmark reporting, and an agreed set of orthopaedic procedures that have been shown to have limited clinical value.

For Health Boards

- R3 The Getting It Right First Time reports set out clearly a range of recommendations which will help drive improvements in efficiencies and productivity in orthopaedics at a local level. We recommend that health boards need to:
- a ensure they maintain oversight and scrutiny of implementation of the Getting It Right First Time recommendations as part of their governance arrangements; and
 - b ensure that clear action plans are in place to address the things that get in the way of improvement.

Mohamed Sarah
29/08/2023 16:40:14

Recommendations

R4 Clinical Musculoskeletal Assessment and Triage Services (CMATS) are having a positive impact on managing demand and providing support. But services are struggling with capacity and are inconsistent in their delivery with examples of duplication of effort where First Contact Practitioners (FCPs) exist. We recommend that health boards need to:

- a ensure that local CMATS are appropriately staffed, and at a minimum, reflect previous Welsh Government guidance; and
- b ensure that where First Contact Practitioners (FCP) exist, there are clear pathways between FCPs and CMATS to reduce duplication and minimise waits.

R5 There needs to be a greater focus on outcomes across health boards and while people are deteriorating on orthopaedic waiting lists, limited progress has been made by health boards to provide ongoing support and monitor and report harms. We recommend that health boards need to:

- a ensure that Patient Reported Outcome Measures (PROMS) and Patient Reported Experience Measures (PREMS) are fully rolled out in all orthopaedic services and used to inform decision making both at a service and patient level;
- b ensure that local clinical leadership arrangements and performance information are used to identify opportunities for minimising interventions that are unlikely to result in improved outcomes; and
- c put arrangements in place to monitor people waiting, provide communication, support and advice when needed, and report openly and honestly, through their existing governance arrangements, the extent to which people are coming to harm whilst waiting for orthopaedic treatment.

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What is the scale of the challenge?

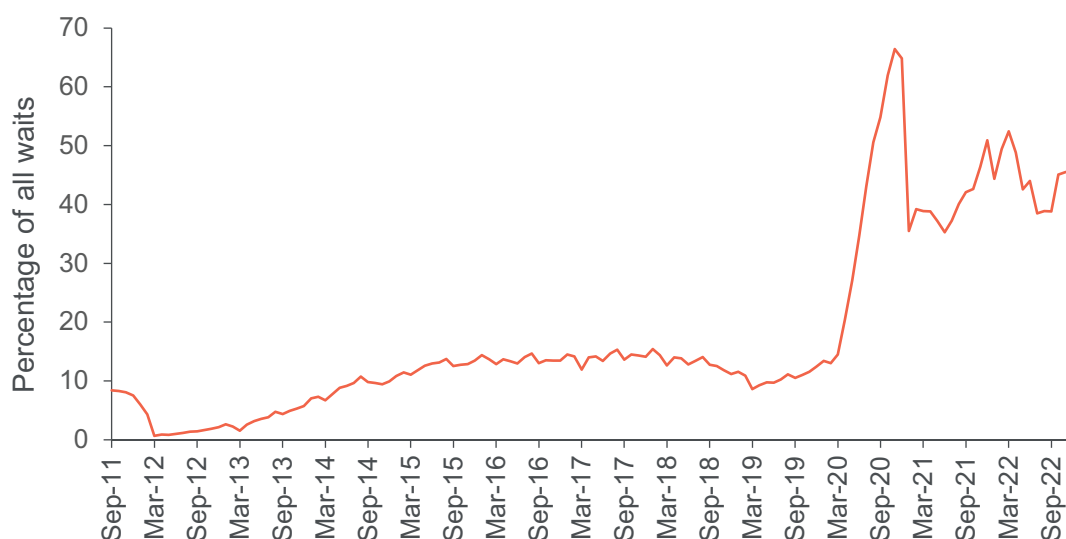
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29/08/2023 16:40:14

Orthopaedic waits have dramatically deteriorated from an already poor position prior to the pandemic

- 16 Orthopaedic services have not been in a position where they have been able to see and treat people within target timescales since well before the onset of the pandemic. National data show a long-term trend in deteriorating performance against waiting time targets. Since 2011, the national targets of 95% of patients waiting no more than 26 weeks from referral to treatment, and no one waiting over 36 weeks have never been met. At its best, in 2012, 88% of orthopaedic patients were waiting no more than 26 weeks, and 11% waiting over 36 weeks across Wales⁸.
- 17 Immediately before the pandemic, in March 2020, 14% of patients were waiting over 36 weeks. But the pandemic has made a bad position worse. The latest (November 2022) data shows that for those waiting to receive orthopaedic treatment, 46% were waiting over 36 weeks (**Exhibit 2**). This position peaked at 66% in November 2020.

Exhibit 2: Percentage of patients waiting over 36 weeks for orthopaedic treatment by month across Wales, September 2011 – November 2022



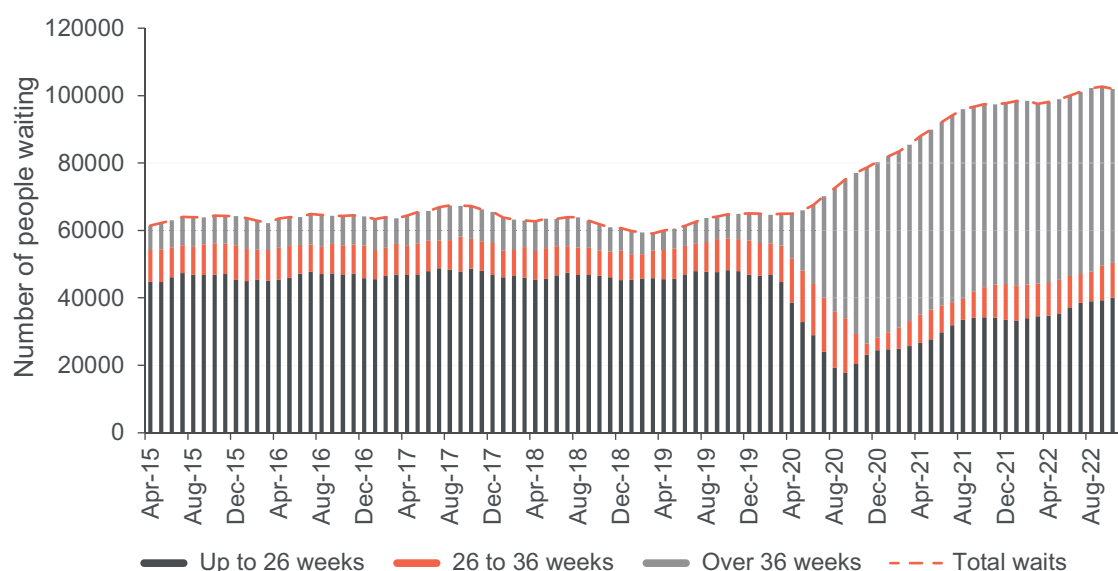
Source: Audit Wales analysis of StatsWales data

Mohamed, Sarah
29/08/2023 16:40:14

8 Data source: Stats Wales, Referral to treatment open pathway data for Trauma and Orthopaedics

- 18 In March 2020, there were 64,942 people on the orthopaedic waiting list. By September 2022, this had increased to 102,699 people (**Exhibit 3**). This position had slightly improved to 101,014 patients in November 2022. Of those, 50,024 (45.5%) have been waiting more than 36 weeks. More concerning is that of those waiting more than 36 weeks, 37,396 have been waiting over 12 months, and 14,639 have been waiting two years or more.

Exhibit 3: Number of patients waiting for orthopaedic treatment across Wales, April 2015 – November 2022



Source: Audit Wales analysis of StatsWales data

- 19 To give a broader perspective of the extent of the challenge, in March 2022, 1.3% of the population in England were on an orthopaedic waiting list. In Wales, 3% of the population were on an orthopaedic waiting list⁹. In November 2022 proportionately, there were more people waiting for orthopaedic treatment in Wales over 36 weeks (1.6% of the population) than there were waiting in total in England. These figures do however not take account for the health and age of the respective populations, with the Welsh population generally older and sicker than those in England.

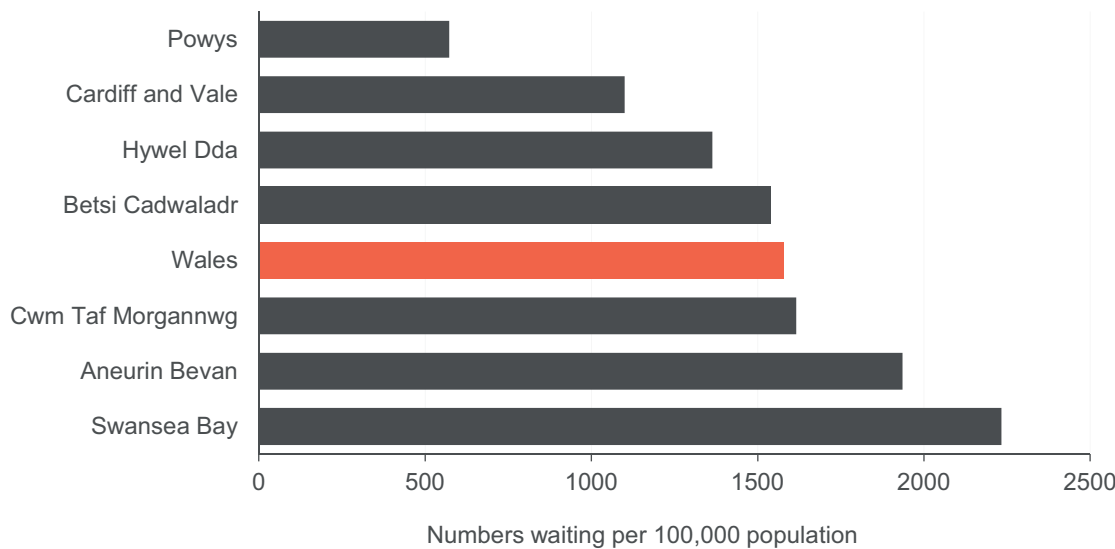
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29/08/2023 16:40:14

⁹ Statement by the British Orthopaedic Association, on England and Wales Trauma & Orthopaedics Waiting Times Data for March 2022

The extent of the orthopaedic waiting list shows significant geographical variation across Wales

20 A comparison across health board areas of the total numbers of patients waiting over 36 weeks per 100,000 population shows some stark geographical variations (Exhibit 4).

Exhibit 4: Number of patients waiting over 36 weeks for orthopaedic treatment per 100,000 population, by Health Board of residence (November 2022)



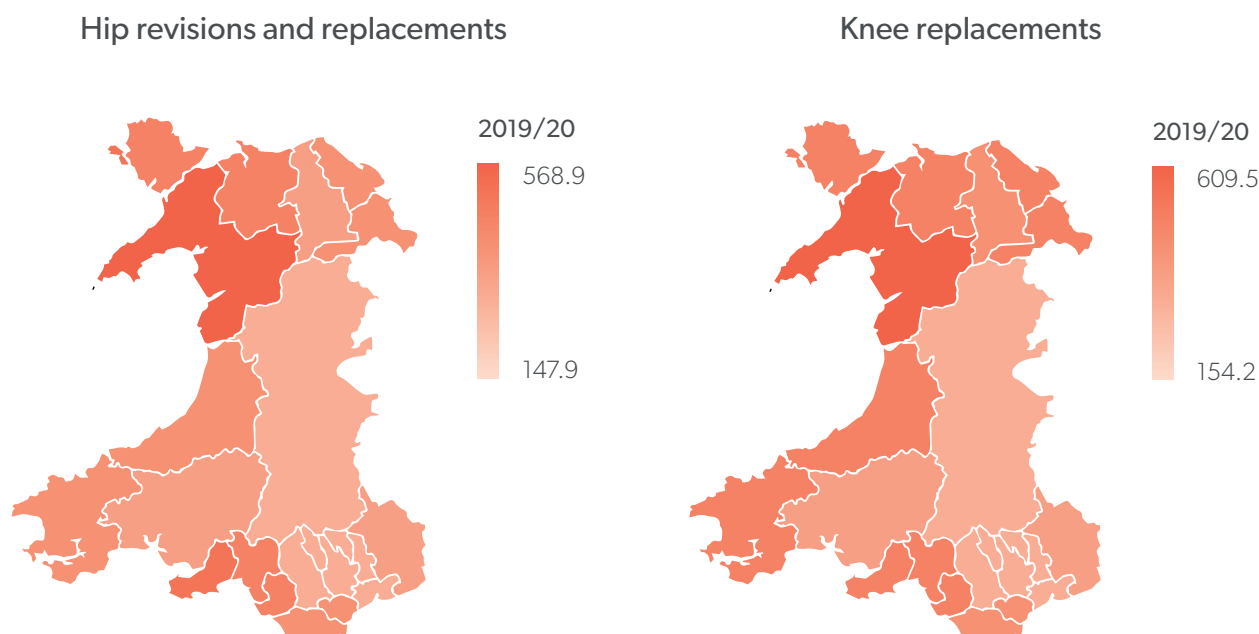
Source: Audit Wales analysis of StatsWales data

21 This geographical variation is equally as noticeable when considering specific orthopaedic procedures such as hip or knee replacement surgery. Exhibit 5 shows average waits in Wales for hip replacement in 2019-20¹⁰ varied from around 148 days for Powys residents¹¹ to almost 567 days for Gwynedd residents. A similar, though slightly worse position is observed for patients receiving knee replacement procedures with waits varying from 154 days for Powys residents to almost 610 days for Isle of Anglesey residents in 2019-20.

10 2020-21 procedure level wait data is currently incomplete. We have therefore used the most recent pre-pandemic dataset.

11 Note that some Powys residents will receive treatment from English providers where waiting times are shorter than in Wales.

Exhibit 5: Mean waiting times in days for hip revisions and replacements, and knee replacements for 2019-20, by local authority area



Source: Health Maps Wales, Common Procedure dataset

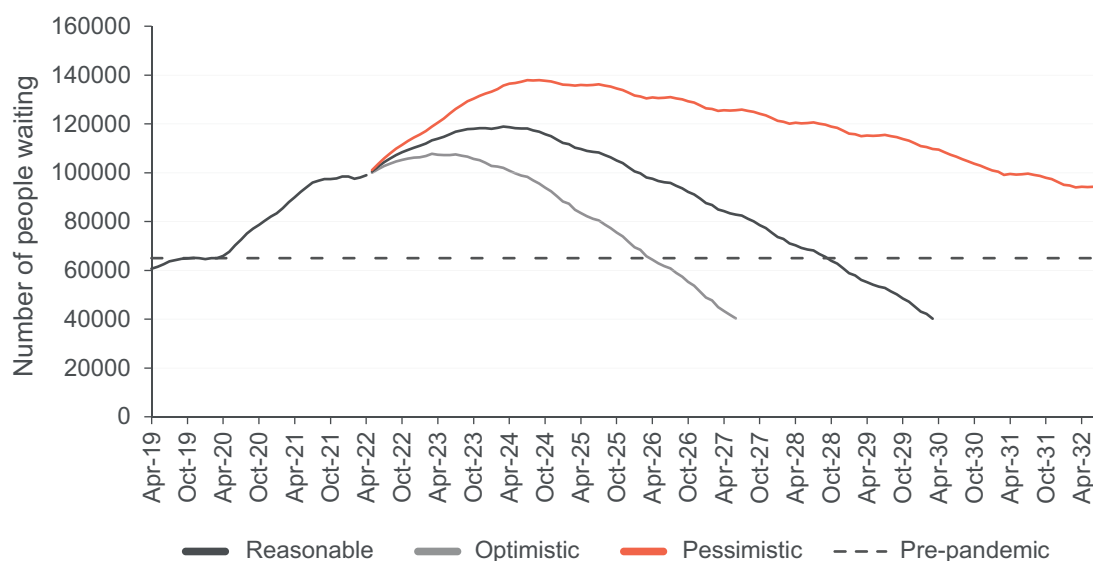
- 22 Health Boards are using all possible means to try to reduce the waiting lists. This includes outsourcing, where Health Boards are seeking third-party organisations to provide services on their behalf, such as private healthcare providers or NHS Trusts in England. Outsourcing provides a short-term solution, but this potentially could further widen inequalities of access to care. People living in deprived communities may not be able to travel further to receive their care and those with complex comorbidities may require their procedure in a hospital with intensive care facilities. This may mean those groups of patients face potentially longer waits for their treatment.

Mohamed, Sarah
29/08/2023 16:40:14

Without significant intervention, orthopaedic waits may never return to pre-pandemic levels

- 23 We have used national data to work out how long it could take NHS Wales to get orthopaedic waiting lists back to March 2020 levels¹². We developed three illustrative scenarios: **reasonable**, **pessimistic**, and **optimistic**. The modelling (**Exhibit 6**) for our optimistic scenario suggests that the orthopaedic waiting list could peak in 2023 but return to pre-pandemic levels by 2026. The reasonable model would see waiting lists return to pre-pandemic levels by 2028, noting that pre-pandemic performance was itself not meeting Welsh Government targets. The pessimistic scenario may never see a return to pre-pandemic waiting list levels.

Exhibit 6: Illustrative scenarios of waiting list numbers for orthopaedic services across Wales



Source: Audit Wales analysis of StatsWales data

Mohamed, Sarah
29/08/2023 16:40:14

¹² Appendix 1 sets out how we modelled the scenarios.

- 24 The key variables in our modelling cover the rate at which patients are added to the orthopaedic waiting list over time, the rate at which patients are removed from the list, the potential growth in demand, and the extent to which potentially 'missing' referrals or latent demand returns (discussed later in this report). Our optimistic modelling is also based on assumptions around increasing current activity through increased capacity by 25% by 2025 and reducing the referral demand through prevention and early treatment (such as increased use of CMATS). Our modelling does not consider possible new or more complex demand because of changes in population health.

Long waits for treatment are affecting many people's physical and mental health

- 25 While orthopaedic and musculoskeletal problems are not, in themselves, life threatening, they can be debilitating and can significantly affect people's quality of life. Many patients waiting for treatment will be experiencing discomfort and pain daily which can lead to a loss in mobility and independence, which in turn can cause wider deterioration in physical and mental health. For some patients this can impact on their ability to work and for many patients there will be an increased need for ongoing support from GPs to help manage their condition. Prolonged waits for joint related problems can also result in further deterioration which could make the required surgery more problematic and potentially less effective.
- 26 In its submission to the Senedd's Health and Social Care Committee inquiry into the impact of the waiting list backlogs on people in Wales, the Board of Community Health Council's (CHCs)¹³ highlighted that orthopaedic services were one of the most common services that the local CHCs were hearing about. In a report by the Swansea Bay Community Health Council on the lived experiences of people waiting for elective orthopaedic surgery, 92% of patients reported a deterioration in their condition. Nearly three-quarters agreed the length of time they had been waiting for surgery had affected their mental health and wellbeing.

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13 Inquiry into the impact of the waiting times backlog on people who are waiting for diagnosis or treatment in Wales: Board of Community Health Councils



What is impacting the recovery of orthopaedic services?

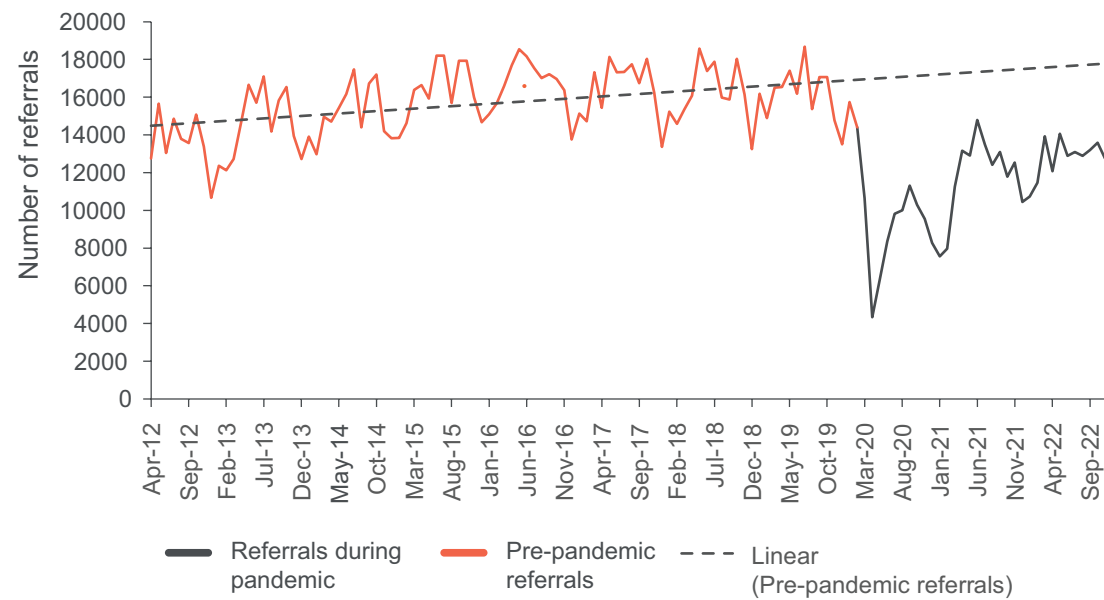
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Referral rates are not yet back to pre-pandemic levels

27 The change in the pattern of orthopaedic referrals during the pandemic is like that experienced across planned care services more generally, with a sharp decline in referrals at the onset of the pandemic¹⁴ (**Exhibit 7**). Referrals have not yet returned to pre-pandemic levels. When comparing the level of referrals between March 2020 and March 2022, against 2019-20 referral levels, around 135,000 referrals are ‘potentially missing’.

Exhibit 7: Number of orthopaedic referrals across Wales, April 2012 – November 2022



Source: Audit Wales analysis of StatsWales data

28 NHS Wales is currently benefitting from rates of orthopaedic referrals continuing to be lower than pre-pandemic levels. The waiting list position would otherwise be substantially worse. Some of the missing referrals or latent demand may never appear due to, for example, people choosing to seek private treatment, but it is expected that a proportion of the unmet demand will appear and further exacerbate the challenges being faced by orthopaedic services.

Mohamed Sarah
29/08/2023 16:40:14

14 Note that referral patterns vary significantly by Health Board.

Although radiology and physiotherapy services are recovering, increased demand is adding to delays in orthopaedic pathways

- 29 Timeliness of orthopaedic treatment is dependent on the timeliness of each stage of the orthopaedic pathway¹⁵ which will include other services such as radiology services and physiotherapy. Since the beginning of the pandemic, the total number of patients across Wales waiting for a consultant referred radiology test increased from 23,979 in March 2020 to 33,121 in November 2022. The total number of people across Wales waiting for a GP referred radiology test increased from 18,703 in March 2020 to 30,175 in November 2022.
- 30 Of particular interest to orthopaedic services are waits for diagnostic magnetic resonance imaging (MRI) and ultrasound scans. While the number of people waiting has increased, positively the number of people waiting less than the target wait of eight weeks is now at, or marginally better, than levels experienced pre-pandemic, suggesting good progress had been made to recover services. The number and proportion of people waiting over 14 weeks however has grown substantially across both diagnostic tests due to the increased demand (**Exhibit 8**).

Mohamed, Sarah
29/08/2023 16:40:14

15 A pathway is an agreed common approach for a course of care. For orthopaedic patients, this would typically include some or all the following: GP referral, first outpatient appointment, diagnostic test and/or therapy intervention, preoperative assessment, MRSA and COVID-19 screening, consenting, surgery and follow-up outpatient appointment.

Exhibit 8: Number and proportion of patients waiting over 14 weeks for diagnostic tests across Wales in March 2020 and November 2022

	March 2020		November 2022	
	Number	%	Number	%
MRI – Consultant referred	34	3.6%	1,344	10.4%
MRI – GP referred	1	0.04%	478	14.6%
Ultrasound Scan – Consultant referred	55	0.7%	2,361	19.5%
Ultrasound Scan – GP referred	18	0.1%	6,611	26.7%

Source: Audit Wales analysis of StatsWales data

- 31 Access to physiotherapy presents a similar but more concerning picture. The number of adults waiting for physiotherapy increased from 16,253 in March 2020 to over 32,269 in November 2022. Although more patients are now being seen by a physiotherapist within eight weeks compared to pre-pandemic levels, the number of patients waiting over 14 weeks for physiotherapy has increased 29-fold from 148 in March 2020 to 4,202 in November 2022. Numbers waiting however are gradually reducing. Long therapy waits will not only have an impact on the timeliness of orthopaedic pathways but can also undermine preventative efforts to reduce people's need for surgery.

Capacity and efficiency were already problematic prior to the pandemic, and a slow restart of orthopaedic services has exacerbated the backlog

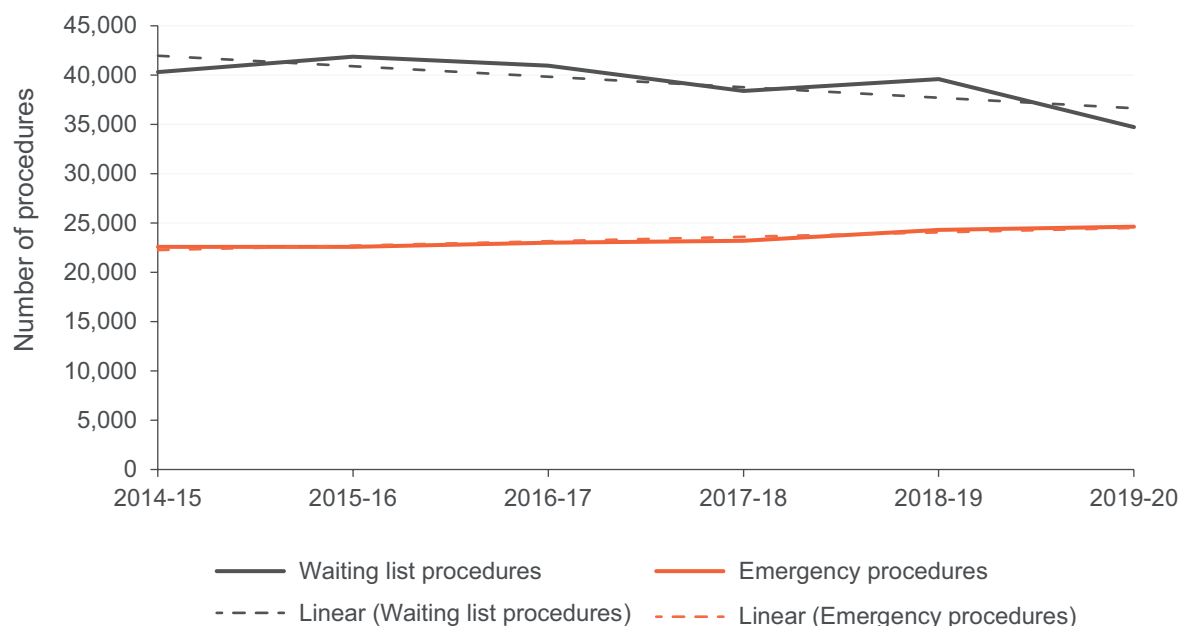
- 32 For several years there has been insufficient NHS orthopaedic capacity to meet demand. Prior to the pandemic, NHS Wales typically commissioned around 45,000 procedures for the Welsh population, with around 40,000 procedures provided through 'core' activity and waiting list initiatives¹⁶. The remainder was commissioned from other non-NHS Wales providers¹⁷. Outsourcing and waiting list initiatives have been short-term measures to improve waiting lists and provide capacity but had done nothing to ensure the sustainability of orthopaedic services.

¹⁶ Waiting list initiatives are used by NHS bodies to tackle waiting lists and meet national targets. They involve a short-term increase in capacity such as extra clinics at nights and at weekends, and the use of private healthcare provision.

¹⁷ Audit Wales analysis of Patient Episode Data Wales orthopaedic waiting list procedure data, NHS Wales provider versus total commissioned.

- 33 Over the six years leading up to the onset of the pandemic, the deployment of trauma and orthopaedic capacity changed. National data shows a 10% increase in emergency trauma activity between 2014-15 and 2019-20 which has placed pressure on capacity for planned care. For the same period, there was a 14% decrease in orthopaedic waiting list activity¹⁸ (**Exhibit 9**). The shift between orthopaedic waiting list activity to trauma may not have been readily noticed over such a long period of time but will have had an impact on the capacity to tackle the already existing waiting list backlog. Changes to pension rules for NHS consultants have also impacted on waiting list activity due to a reduction in the willingness of consultants to take on waiting list initiatives.

Exhibit 9: Trend in emergency trauma and orthopaedic waiting list activity, based on the number of procedures, 2014-15 and 2019-20



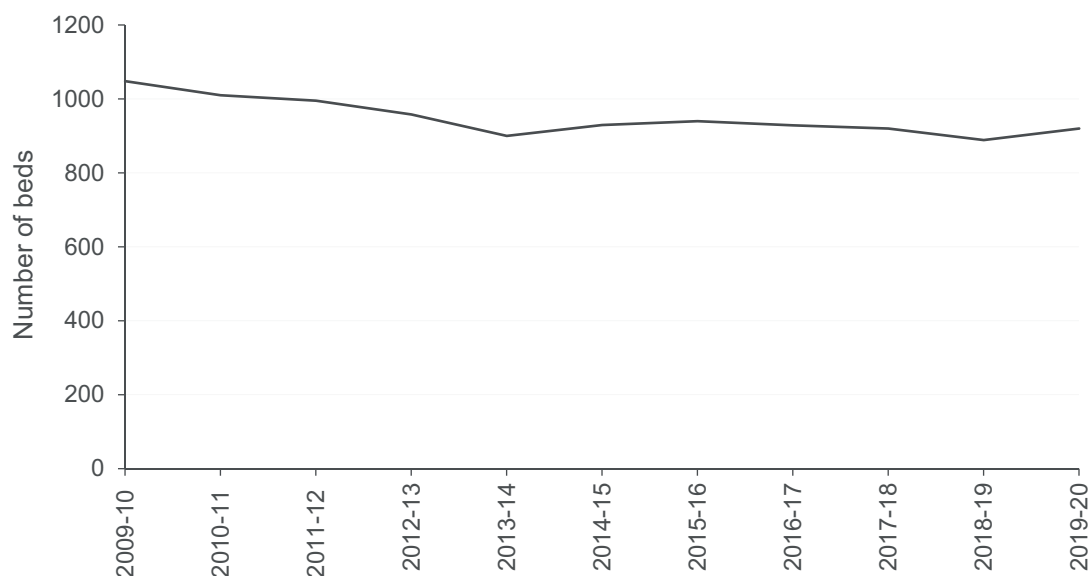
Source: Audit Wales analysis of Patient Episode Database for Wales

- 34 Capacity constraints also occurred because of a reduction of beds and wider urgent and emergency care pressures resulting in cancellations of orthopaedic activity. **Exhibit 10** shows the total number of orthopaedic beds declined by 12% from 1,048 in 2009-10 to 920 in 2019-20¹⁹.

¹⁸ The numbers of waiting list procedures reduced disproportionately in 2019-20. We have assumed this is because of the onset of the pandemic.

¹⁹ 2020-21 Bed data cannot be compared to previous years because it is based on a different source, definitions, and hospital types.

Exhibit 10: Trend in number of trauma and orthopaedic beds, 2009-10 to 2019-20



Source: Audit Wales analysis of StatsWales data

- 35 Bed capacity has also further reduced over the last two years with the continual need for health boards to respond to COVID-19 cases and retain infection control measures.
- 36 Orthopaedic services can operate models with fewer beds if the surgical element of the pathway is well planned, patients are prepared and educated, and processes enable effective and timely discharge. Enhanced recovery approaches also help to reduce length of stay. However, our data analysis indicates lengths of stay have not reduced for many years. Average combined trauma and orthopaedic lengths of stay have stayed at around seven days between 2014-15 and 2019-20²⁰, with substantial variability in lengths of stay by health board. Our data analysis also indicates around a 25% reduction in day case activity between 2014-15 and 2019-20.

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29/08/2023 16:40:14

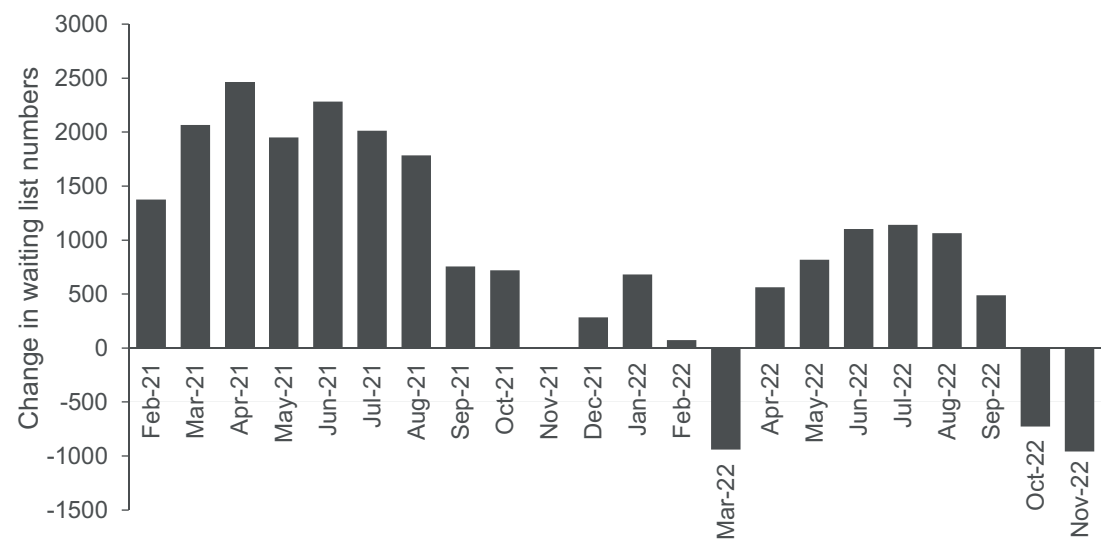
²⁰ Audit Wales analysis of Patient Episode Database for Wales

- 37 Orthopaedic services have been slow to restart since the lessening in the impact of the pandemic in 2021 and since the last major (omicron) COVID-19 wave in early 2022. Services are currently still far off the levels of activity seen prior to the pandemic. Current inpatient and day case orthopaedic activity across Wales is around 60% of pre-pandemic levels²¹. Most health boards are also only achieving around 20% to 30% of their orthopaedic procedures as day cases. NHS Wales is targeting around 60% in future. Day case (and very short stay) provides a significant opportunity for utilising existing capacity better.
- 38 Based on changes to waiting lists on a month-by-month basis, orthopaedic capacity is currently not meeting demand, resulting in monthly increases in the number of patients waiting (**Exhibit 11**). In 2021-22, the Welsh Government provided extra funding to health boards to buy additional short and medium-term capacity to support the recovery of planned care services, including orthopaedics. Historically NHS Wales would have looked to NHS England for additional capacity, but they too are struggling to recover their own waiting lists. Consequently, requests for additional capacity through private providers have been greater than the supply available and the ability of health boards to secure the additional capacity needed has been limited. This is particularly the case for orthopaedics. Some medium-term additional capacity has been secured using temporary expansions to health boards' existing clinical estate, such as using demountable units to create operating theatres.
- 39 Funding has also supported administrative and clinical validation of waiting lists to ensure that only those who need treatment are waiting. However, these have tended to be undertaken as one-off exercises to cleanse waiting lists at year end, resulting in a temporary reduction in waiting lists in March. Funding to support the ongoing recovery of planned care has continued and will be available to health bodies for a further three years.

Mohamed, Sarah
29/08/2023 16:40:14

21 Audit Wales analysis of Welsh Government, unvalidated orthopaedic statistics

Exhibit 11: Month-by-month change in waiting lists numbers across Wales, February 2021 – November 2022



Source: Audit Wales analysis of StatsWales data

Orthopaedic services have not kept up with demand and previous national funding initiatives have failed to secure sustainable service improvements

40 Basic analysis of trend data indicates that demand for orthopaedic services is growing. Furthermore, forecasts by the Office of National Statistics indicate a 27% growth of over 75-year-olds (from around 307,000 to 390,000) living in Wales between 2020 and 2032. While positive, this will likely drive further growth in demand for orthopaedic services as more people will be living with age-related orthopaedic and musculoskeletal conditions. This additional demand needs to be planned for and funded.

Mohamed, Sarah
29/08/2023 16:40:14

- 41 Given that orthopaedic waiting lists pre-COVID-19 were deteriorating, it is unrealistic to think that without significant changes, current capacity will ever result in sustainable service recovery. Indeed our 'optimistic' scenario modelling (**Exhibit 6**) is based on a gradual increase of commissioned orthopaedic capacity (whether provided by NHS Wales or externally commissioned) and/or productivity levels to 5% above pre-pandemic levels noting that services are currently only running at about 80% of pre-pandemic levels. Our model also assumes that services can curtail any growing demand.
- 42 There has been a history of short-term funded national initiatives for orthopaedic services in Wales. In June 2001, the then Minister for Health and Social Services announced a £12 million package to reduce orthopaedic waits to 36 weeks. Much of this was non-recurrent and consequently had limited ongoing impact. In 2005, the Welsh Government launched its orthopaedic plan for Wales. This initially brought down waits but again did not result in sustainable service improvements. In 2011, the national orthopaedic programme began its aim to eliminate over-36-week waits. At the same time, the then Minister for Health and Social Services announced £65 million over three years to make orthopaedics best in class. Our 2015 report²² considered the £65 million investment. We reported that orthopaedic services have become more efficient in the past decade, but NHS Wales was not well placed to meet future demand. Whilst there had been a focus on securing immediate reductions in waiting times, less attention had been paid to developing more sustainable, long-term solutions to meet demand. Since then, NHS Wales has struggled to meet its orthopaedic waiting list targets.
- 43 Planning for elective orthopaedic services needs to have a clear focus on the short, medium, and longer term, and be supported by realistic assessments of capacity and demand. The short-term focus must be on speeding up recovery of services and addressing existing inefficiencies in the system, the medium-term on building sustainable service models which will start to tackle the backlog; whilst the longer-term view needs to take account of population demographics in forecasting future demand on services, and what is needed to meet that demand.
- 44 While NHS Wales needs to focus on getting services back up and running to meet the demands being placed on them, there is also a duty on health boards to be maintaining a focus on keeping people safe while they are waiting for treatment. Lack of communication from health boards whilst waiting was identified as an issue in the CHC reports. Very few health boards have put arrangements in place to monitor patients on waiting lists and provide the contact needed to reassure patients and provide advice and support as necessary.

22 [Audit Wales Review of Orthopaedic Services, 2015](#)



What action is being taken?

03

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29/08/2023 16:40:14

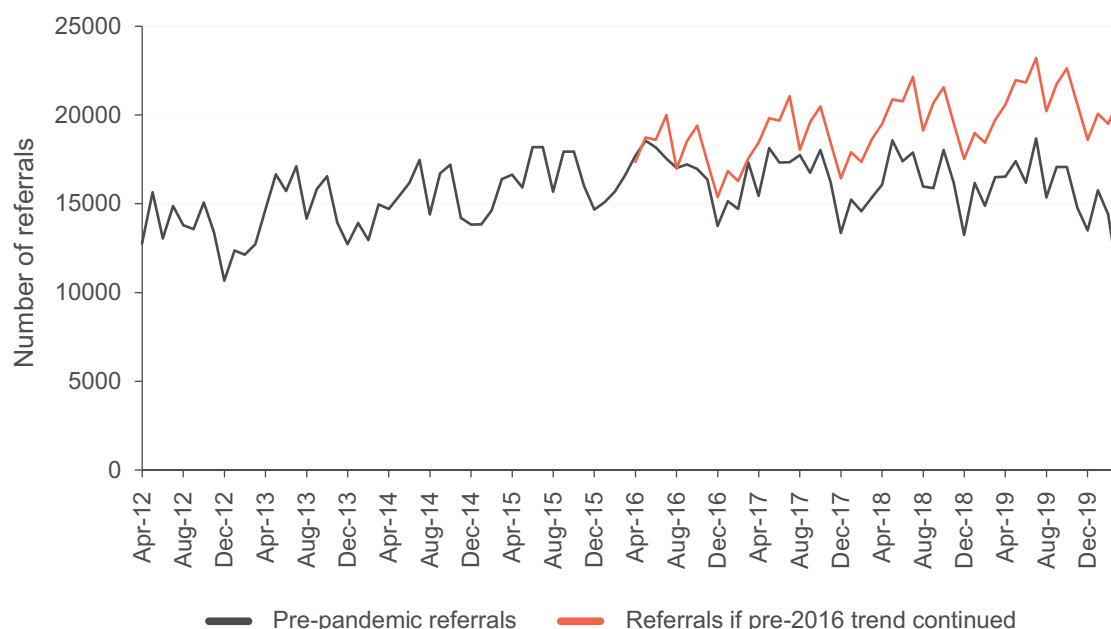
Community-based prevention and treatment are having a positive impact on reducing demand, but capacity is an issue

- 45 For several years, the Welsh Orthopaedic Board has helped to influence developments in orthopaedic services. The Board has overseen the rolling out of preventative approaches such as Community Musculoskeletal Assessment and Treatment Services (CMATS)²³, and more recently First Contact Practitioners (FCPs)²⁴. While community-based musculoskeletal services began far earlier in some health boards, for most they started to be rolled out more comprehensively from 2016.
- 46 While it is difficult to attribute cause and effect directly to the achievements of the community-based prevention, national data suggests that efforts between 2016 and 2020 helped stem the growth in referrals. **Exhibit 12** shows referral trends, and a change in the referral trajectory had community-based prevention not been in place. We have applied a forecast trendline to highlight how the referrals may have increased if the pattern of demand seen between 2012-2016 continued into 2016-2020. With an aging population over this time, we would have expected to see a continued growth in referrals. But this has not been the case.

23 CMATS were developed to provide a community-based service for the assessment and treatment of musculoskeletal-related pain and conditions.

24 First contact practitioner is a new model evolving across the UK which involves placing physiotherapists directly into GP practices to see and treat patients who come into the practice with musculoskeletal problems.

Exhibit 12: Actual orthopaedic referrals compared with predicted referrals from 2016 onwards had community-based schemes not been in place, April 2012- December 2019



Source: Audit Wales analysis of StatsWales data

- 47 But capacity for CMATS has been an issue. Although waits for CMATS are not included as part of the standard waiting times, our recent work on orthopaedic services identified that CMATS waits could be up to four months. All referrals for orthopaedic services are made via CMATS, and only at the point in which it is considered that CMATS intervention is not appropriate, are referrals passed on to orthopaedic services. For many patients, this will be at the point the referral is triaged by the CMATS which can typically take up to a week. But for some, onward referral to orthopaedic services may not happen until they have waited and been seen by the CMATS.
- 48 Our recent work also identified inconsistencies in the CMATS model across Wales, with differences in the range of multidisciplinary professionals that make up the team, and differences in the ability for CMATS to refer directly for diagnostic tests. We also found potential duplication of effort between CMATS which include physiotherapists and FCPs and a risk that overall waits for treatment are elongated because of the need to access both FCPs and CMATS before onward referral to orthopaedic services.

Mohammed Sarah
29/08/2023 16:40:14

- 49 One scheme to support people is the National Exercise Referral Scheme (NERS). Funded by the Welsh Government and run by the 22 local authorities, the scheme provides opportunities for people with long term conditions to make and maintain healthier lifestyle choices. This is provided through physical activity and behaviour change with the aim to improve health and wellbeing. One intervention is focused on low back pain²⁵, with another focused on weight management. Although numbers are small, the shift to virtual working in response to the pandemic has provided an opportunity to increase capacity and support people on waiting lists. In its latest report²⁶, over 25,000 participants attended one of the virtual, outdoor, or indoor activities put in place to support the wider NERS programme. However, due to the pandemic, the NERS was unable to take new referrals. This has now been changed, but services are heavily reliant on the short-term funding available from the Welsh Government and the support of local authority facilities such as leisure centres to run activities.

There is a clear commitment to improve and transform orthopaedic services nationally, although this may take time to achieve

- 50 Service efficiency, clinical productivity and effectiveness of hospital based orthopaedic services has been an aim in Wales for a long time. NHS Wales has developed clinical pathways based on best practice. But in the past, these clinical pathways have not always been well implemented and there continues to be variation in approaches across health boards.

Mohamed, Sarah
29/08/2023 16:40:14

25 [NERS Low Back Pain Intervention](#)

26 [All Wales NERS Infographic Quarter Two, 2021-22](#)

- 51 More recently NHS Wales has commissioned the Getting It Right First Time (GIRFT) team to review acute orthopaedic services. The reviews started in early 2022 and covered all seven health boards and 21 hospital sites that provide orthopaedic services in Wales, comparing clinical practice with England. Recommendations to health boards focussed on:
- strengthening leadership, through health board specific orthopaedic steering groups;
 - reducing unwarranted and inappropriate variation in clinical practice, performance, and efficiency;
 - engaging staff in change and improvements to orthopaedics and understanding the drivers that are affecting morale;
 - implementing waiting list recovery at pace;
 - better arrangements to support patients prior to admission, and better discharge planning;
 - improving the consistency of collection and use of patient reported outcome measures;
 - improving surgical site infection data recording and reducing deep infection rates to 0.5% or lower;
 - creating short, medium, and long-term multi-disciplinary workforce plans; and
 - building elective orthopaedic recovery plans, including capacity and demand planning on a health board and broader regional footing, multi-disciplinary workforce planning, ring-fencing elective capacity and boosting short-term theatre capacity.
- 52 The GIRFT team's national report to the Welsh Government includes 28 recommendations spanning but not limited to leadership, safety, workforce, efficiency and clinical practice. The recommendations from both the national and local reports need implementing swiftly and effectively.
- 53 At the same time as the GIRFT work, the Welsh Government, through the Welsh Orthopaedic Board, commissioned the Welsh Orthopaedic Society to prepare a clinical strategy for Wales. This strategy provides a thorough and honest appraisal of the current position of orthopaedic services. It sets out the need for new leadership through a Welsh Orthopaedic Network and a requirement for the development of orthopaedic hub sites to better protect waiting list activity from unscheduled care pressures, and to enable efficient high volume low complexity centres of excellence.
- 54 Regional treatment centre hubs offer a good solution to provide protected orthopaedic capacity and deliver best in class levels of efficiency in the medium and longer term. But these will take time, investment, and cooperation across health boards to implement. As an immediate action, some health boards are creating additional operating theatre capacity in the short term, as mentioned in **paragraph 38**.



What else needs to be done?

04

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29/08/2023 16:40:14

Several challenges need to be addressed if services are not just going to tackle the orthopaedic backlog, but be sustainable for the future

- 55 This report sets out the huge scale of challenge that is faced in Wales. The extent of the numbers of patients waiting, limited capacity available and potential for further growth in demand provide a concerning landscape not just in the short term but also the medium term. All that can be done must be done within the current operating environment, but there remain several risks to longer-term improvement.
- 56 From our discussions, the Welsh Government and NHS Wales recognise the scale of the challenge, but lessons must be learnt from previous initiatives. The national strategy developed by the Welsh Orthopaedics Board must be accompanied by buy-in from local clinical teams to ensure that changes are embedded and sustained.
- 57 A renewed focus on driving efficiencies is needed to maximise already stretched resources but this cannot be done in isolation. A whole system focus is needed to ensure that other services that support the orthopaedic pathway are also working effectively. New technology and improved estate need to be prioritised and regional solutions need to be much more at the core of delivery plans.
- 58 In the context of many patients having to wait a very long time for their treatment, information on experience and outcomes also needs to be at the heart of decision making.
- 59 These key actions are explored further in the exhibit below.

Mohamed, Sarah
29/08/2023 16:40:14

Exhibit 13: Key actions for NHS Wales to tackle the challenges in orthopaedic services

Lessons must be learnt from previous initiatives which have failed to secure service transformation



Together the new clinical strategy and the GIRFT reports provide the most comprehensive assessment on the position of orthopaedic services in Wales. It is positive that the Welsh Government and NHS Wales are recognising the scale of the challenge. But the response to these cannot be the same as we have seen in response to previous orthopaedics plans; fundamental embedded change is needed.

National plans must be accompanied by buy-in from local clinical teams



Our recent work in orthopaedics, whilst recognising good intent from the Welsh Orthopaedics Board to improve and transform services, highlighted the variability in which that intent translated into practice across health boards. Where national directives to implement service changes have been set in the past, implementation has often been slow, inconsistent, and without the 'buy-in' of local clinical teams. The strategy needs to be underpinned by clear and defined programmes of activity and bold leadership will be needed at all levels to ensure that the new clinical strategy delivers a consistent service across Wales.

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A renewed focus on efficiencies is needed



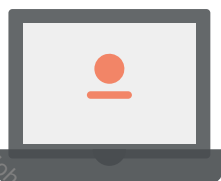
The GIRFT reports have a clear focus on improving efficiency and productivity in orthopaedics, and ultimately delivering better outcomes for the people of Wales. But this focus is not new. NHS Wales has been focusing on reducing length of stay, improving theatre productivity, reducing follow-up rates, and minimising cancellations for some time, but inefficiencies still exist. There needs to be a significant and constant focus in this area. Regular benchmarking reporting needs to be in place to enable challenge and scrutiny to happen locally and nationally, supported by clear action plans to address the things that get in the way of improvement.

A whole system and wider patient pathway focus is needed



The GIRFT reports and clinical strategy quite rightly focus on orthopaedic services, but effective delivery is reliant on wider services across the NHS. Capacity of enabling clinical services such as diagnostics and therapies to support timely diagnosis, prevention and treatment in the community and effective discharge needs to be available.

Investment in new technologies and improved estate needs to be prioritised



Digital solutions offer further opportunities for efficiencies but need to be effectively piloted and evaluated to ensure wider investment delivers value. Capital and revenue investment needs to be carefully prioritised to get most impact, considering where opportunities exist to make better use of digital initiatives and estate development.

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29/08/2023 16:40:14

Regional solutions to meet current and future demand need to be pursued with much more rigour



Developing regional service models has been notoriously difficult in the past but regional working provides opportunity to maximise available capacity and provide centres of excellence that deliver better outcomes. Some health boards are starting to work together to look at regional solutions, but these are limited and often as a reactive response to short-term capacity issues. Regional models need to be at the core of orthopaedic delivery plans, and not around the margins with small scale low impact initiatives, which has been the case previously.

Information on patient experience and outcomes must be used extensively to shape clinical decisions and advice to patients



A greater focus needs to be given to patient experience and outcomes. The roll out of Patient Reported Outcome Measures (PROMS) and Patient Reported Experience Measures (PREMS) for orthopaedic services is still variable across Wales. These have been an ambition for a long time but are not well used to inform future investment and more importantly dis-investment and value-based decisions. At a patient level, outcomes should inform choice and ‘what matters’ discussions. More also needs to be done to support consistent clinical decision making. For example, establishing a common list of procedures not normally undertaken and setting criteria such as BMI thresholds, if surgery for some patient groups would not result in positive outcomes. Our earlier audit work found health boards were working to different lists of procedures considered ineffective.

Mohamed Sarah
29/08/2023 16:40:14



Appendices

1 Our approach

Mohamed Sarah
29/08/2023 16:40:14

Our approach

The evidence base for our work comes from reviews of documents on orthopaedic and musculoskeletal services, data analysis, observation of the Welsh Orthopaedic Board and more recently the Orthopaedic Summit in August 2022, and interviews with Welsh Government and NHS officials. We also build on evidence captured prior to the pandemic from health boards.

Our data analysis is based on Welsh Government data on StatsWales, Health Maps Wales, Patient Episode Dataset Wales, and bespoke data requests to NHS officials.

Our scenario modelling in **Exhibit 6** draws on some initial modelling work carried out by the NHS Delivery Unit. The calculation we used, following the work of the Delivery Unit, was:

- removals are calculated by taking the number of patients waiting over four weeks (ie they are not new patients that month) and subtracting that from the total waiting list in the previous month. This gives a proxy for the numbers of patients removed from one month to the next.
- additions are the people reported in the monthly figures who have been waiting less than four weeks – indicating they have been added to the waiting list in the last month. Whilst monthly additions give a reasonable measure of additions, some of those included may have already been waiting but had their 'clock' reset for some reason, for example not turning up for multiple appointments. It is also possible that some people may not be counted if they were added and removed before the data was captured at the end of each month.

Our modelling provides scenarios for the length of time it could take NHS Wales to bring orthopaedic waiting lists back to March 2020 levels using three scenarios: reasonable, pessimistic, and optimistic (**Exhibit 6**). We accounted for the possible pent-up demand (see **paragraph 26**) by evenly spreading differing proportions of the potential missing 135,000 referrals over 2022 to 2024. Those proportions varied depending on a reasonable, pessimistic, or optimistic scenario, with the optimistic scenario assuming that no pent-up demand returns. **Exhibit 14** sets out our modelling assumptions.

Mohamed, Sarah
29/08/2023 16:40:14

Exhibit 14: Waiting list modelling assumptions

Assumptions	Reasonable	Pessimistic	Optimistic
Additions 2022-2025 compared to 2019-20	87.5%	90.0%	85.0%
Annual increase in additions 2025 onwards	-0.1%	0.0%	-0.2%
Latent 'missing' referral demand presenting	5.0%	10.0%	0.0%
Activity/removals compared to 2019-20 levels during:			
2022-23	80.0%	80.0%	80.0%
2023-24	90.0%	85.0%	95.0%
2024-25	100.0%	95.0%	105.0%
2025 onwards	102.5%	100.0%	105.0%

Source: Audit Wales

Our analysis highlights the scale of the possible challenge and the length of time it could take to clear the backlog of people waiting for treatment. The scenarios we have presented in the report are based on assumptions which may alter over the coming years.

Mohamed, Sarah
29/08/2023 16:40:14

Mohamed, Sarah
29/08/2023 16:40:14



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Organisational response – Cardiff and Vale University Health Board

Report title: Orthopaedic Services in Wales – Tackling the Waiting List Backlog

Completion date: 20/04/2023

Document reference: National Report and 3291A2022

Author: Ryan Trickett – Consultant Orthopaedic Surgeon, UHL Surgical Site Lead, CVUHB

SRO: Tina Bayliss – Director of Operations, Surgery Clinical Board, CVUHB

Ref ¹	Recommendation	Organisational response Please set out here relevant commentary on the planned actions in response to the recommendations	Completion date Please set out by when the planned actions will be complete	Responsible officer (title)
R3	<p>The Getting It Right First Time reports set out clearly a range of recommendations which will help drive improvements in efficiencies and productivity in orthopaedics at a local level. We recommend that health boards need to:</p> <p>a) ensure they maintain oversight and scrutiny of implementation of the Getting It Right First Time</p>	<p>a) We are delivering on all GIRFT recommendations, and monitoring results of all actions in each subspecialty. From a service perspective, all key infrastructural changes to deliver GIRFT are being implemented:</p>	<p>I. Fracture clinic relocation to UHW: complete on 3/07/2023</p> <p>II. DC Elective</p>	<p>Antonio Riccioli (GM T&O, Spines and Breast)</p> <p>Ryan Trickett (UHL Surgical Site Lead)</p>

	<p>recommendations as part of their governance arrangements; and</p> <p>b) ensure that clear action plans are in place to address the things that get in the way of improvement.</p>	<p>I. Fracture clinic relocation to UHW</p> <p>II. Reconfiguration of Gilbert Bay as DC Elective Orthopaedics Unit</p> <p>III. Ring-fenced Elective Orthopaedics footprint, CAVOC Ward</p> <p>IV. Presence of level 1.5 bed capacity on site, future development of PACU</p> <p>b) At present, all risks have been mitigated. With regards to point IV, the HB is developing a plan to set up a PACU in UHL for elective surgery.</p>	<p>Orthopaedics Unit: complete</p> <p>III. Completed</p> <p>IV. PACU: September 2023</p>	<p>Alun John (CD)</p> <p>Laura Hodges (Lead Nurse T&O, Spines and Breast)</p>
<p>R4</p> <p>Mohamed Sarah 29/08/2023 16:40:14</p>	<p>Clinical Musculoskeletal Assessment and Triage Services (CMATS) are having a positive impact on managing demand and providing support. But services are struggling with capacity and are inconsistent in their delivery with examples of duplication of effort where First Contact Practitioners (FCPs) exist. We recommend that health boards need to:</p> <p>a) ensure that local CMATS are appropriately staffed, and at a minimum, reflect previous Welsh Government guidance; and</p> <p>b) ensure that where First Contact Practitioners (FCP) exist, there are clear pathways between FCPs and CMATS to reduce duplication and minimise waits.</p>	<p>a) There is an MSK workstream being setup to re-discuss the model for therapies, streaming to conservative or pain therapy, referral pathways. The physiotherapy service has seen an increase in demand over the last two years, due to changes in decision-making in Primary Care.</p> <p>b) At present, all hip, knee and shoulder referrals are being triaged by a GP interface, and the department referral rejection rate has increased as the quality of the referrals coming in has improved.</p> <p>c) We will review the community physiotherapy model under the remit of</p>	<p>I. MSK Steering Group: June 2023</p> <p>II. Review of MSK clinical and operating model for T&O, under the wider Therapies programme in CVUHB: September 2023</p> <p>III. Further development</p>	<p>Robert Letchford (National MSK Lead, Consultant Physiotherapist)</p> <p>Alun John (CD)</p> <p>Simon Davies (GP Interface Programme Director, GP and Sports Medicine Consultant)</p>

		<p>the MSK Steering Group. We feel that rather than a triage service, community physiotherapy should be embedded within the Health Pathways, and work alongside, and intertwined with, the referral pathway for orthopaedic surgery.</p>	<p>of Health Pathways and the GP interface service, with particular focus on community and primary care therapy model: September 2023</p>	
<p>R5</p>	<p>There needs to be a greater focus on outcomes across health boards and while people are deteriorating on orthopaedic waiting lists, limited progress has been made by health boards to provide ongoing support and monitor and report harms. We recommend that health boards need to:</p> <ul style="list-style-type: none"> a) ensure that Patient Reported Outcome Measures (PROMS) and Patient Reported Experience Measures (PREMS) are fully rolled out in all orthopaedic services and used to inform decision making both at a service and patient level; b) ensure that local clinical leadership arrangements and performance information are used to identify opportunities for minimising interventions that are unlikely to result in improved outcomes; and c) put arrangements in place to monitor people waiting, provide 	<ul style="list-style-type: none"> a) Hip and knee arthroplasty Oxford Pain Scores (PROMS) is fully in use, as per NJR requirement. We are planning to start exploring PREMS, and other quality/outcome measures across all subspecialties. From a technological perspective, at present the T&O department is funding and utilising a dedicated patient management system (Bluespider) linked to a clinical outcomes platform to collect outcome data in a structured and consistent manner (Amplitude). This integration is feeding the PROMS Hip and Knee Arthroplasty dashboard b) MDT by subspecialty, infection MDT, Orthopaedic Infection Lead in post, National Arthroplasty PROMS Lead in post. We are following the BOA recommendations on MDT work, review and regular meetings, and have 	<p>Ongoing work that has been setup in the past. Will continue as standard practice.</p> <p>The only exception is the BRC workstream, which is funded non-recurrently for another year only.</p>	<p>Phil Thomas (Hip Consultant Surgeon and PROMS Lead)</p> <p>Steve Jones (Hip Consultant Surgeon and Orthopaedic Infection Lead)</p> <p>Alun John (CD)</p> <p>Georgina Hooper (Orthopaedic Physiotherapy Lead, Prehab-to-Rehab Lead)</p> <p>Laura Hodges (Lead Nurse)</p>

	<p>communication, support and advice when needed, and report openly and honestly, through their existing governance arrangements, the extent to which people are coming to harm whilst waiting for orthopaedic treatment.</p>	<p>developed admin support for these functions within the department.</p> <p>c) Keeping Patients Well, in collaboration with British Red Cross is a programme of work aimed at supporting patients whilst waiting for their surgical treatment. The objective needs to identify the people who are most in need and provide them with community and social care support through charitable services and referrals to community or primary care services.</p> <p>d) Inpatient Wait List validation and review: as the wait time decreases, there will be less need to routinely validate and review our wait list, however this is a recurring process, and there is dedicated team sending hip and knee pain score surveys to longest waiter periodically. Also, we are aiming at cohorting patients for surgery between 3 and 6 months before their treat-in-turn date, and all patients waiting for a knee or hip arthroplasty will be scheduled for prehab-to-rehab programme and Joint School classes. In these classes, patients are also assessed for frailty and possible OT specific requirements before their surgery.</p>		<p>T&O, Spines and Breast)</p>
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Page **Board member question**

Organisational response

Please set out here relevant commentary on the planned actions in response to the recommendations

6	<p>What factors are contributing to the Health Board's comparative performance on overall orthopaedic waits relative to population?</p>	<p>The UHB is comparatively in a good position when considering orthopaedic waits per 100,000 population. This is largely due to the improved efficiency and flexibility demonstrated by all staff in the period exiting COVID restrictions.</p>
8	<p>Is the Health Board likely to meet the targets set out in the Welsh Government's national recovery plan for planned care?</p> <p>If not, when does it anticipate achieving the key milestones set out in the plan?</p> <p>How is the Health Board communicating with patients to tell them how long their wait is likely to be and what to do if their condition deteriorates?</p> <p>What is the Health Board doing to prioritise those most at risk of coming to harm because of a delay?</p> <p>Does the Health Board have information to indicate whether orthopaedic patients are coming to harm because of delays in their diagnosis and treatment? If so, what does this show and what action is being done to minimise the harm?</p>	<p>The UHB has successfully met the out-patient wait target of 2 years. There are currently (at end March 2023) no patients waiting over 2 years for their first out-patient appointment. The UHB will be unable to meet the target of no in-patient waits longer than 2 years by March 2023. There are currently 213 patients waiting longer than 2 years for in-patient care. However, there has been a considerable improvement in this wait position since the data informing the Audit report was collected and the position is 82.9% more favourable than predicted in April 2022.</p> <p>Patients continue to be prioritised using the RCS guidance for urgency. However, the overall playing field has been largely levelled, with many of the urgent cases already treated, or continuing to be treated in a timely fashion, leaving the less clinically urgent cases waiting. Previous work with the British Red Cross has kept patients informed and monitored for deterioration. The Keeping Patient Well initiative is similarly aimed at ensuring this cohort of patients remained cared for whilst waiting.</p> <p>We anticipate a greater utility of outcomes assessment in both the monitoring of patients waiting, the assessment of urgency and post-operative care, once remote PROMs monitoring systems become more mature across Wales.</p>
9	<p>Has the Health Board undertaken any recent analysis of variation in waiting times by type of surgery and hospital site? If so, what does the analysis show? What action is the Health Board taking to reduce variations in lengths of wait for the same treatment across different hospital sites?</p>	<p>Excluding spinal surgery, general elective orthopaedic care is delivered mainly through a single elective hub site. There is no variation across sites, nor any variation in the wait profiles by patient home region (Vale of Glamorgan versus Cardiff).</p>

Mohamed Sarah
29/08/2023 16:40:14

12

To what extent is the Health Board seeing, or expecting to see, the latent demand return? If not expected to return, does the Health Board know where the demand has gone?

Does the Health Board have a good understanding of the current and future demand for orthopaedic services?

How is the Health Board ensuring that only appropriate referrals are made into secondary care services?

Are community-based prevention and treatment approaches such as Clinical Musculoskeletal Assessment and Treatment Services operating effectively, and are there opportunities to exploit community-based services further?

The “latent referrals” have not been clearly demonstrated in the data and modelling performed to date. Whilst there has been some increase in referral rate as the Health Service opened up following the pandemic, we hypothesise this lack of the expected surge in “latent referrals” to be secondary to 2 factors.

Firstly, there remains reduced access to primary care. This in turn will mean that patients who may require referral have yet to be seen and referred. We predict this has a minor impact on the lack of observed referrals to date. Secondly, and likely more significantly, patients who previously would have been referred early or unnecessarily are no longer being referred. We have a mature set of Health Pathways and predict that this is mitigating some of the referrals.

The department routinely and regularly models OPWL and IPWL with a complex model built in house. This model has proven accurate when compared to National and HB level data, and is constantly interrogated to inform decisions.

We have robust referral triage processes in place for hand and wrist, spines and foot and ankle. These make routine use of Hand Therapists and Podiatrists respectively in managing the referral demand.

In other elective sub-specialties, the referrals are triaged by an interface GP with an in-depth knowledge of the Health Pathways. This has led to a greater increase in returned or redirected referrals. However, due to the latency between establishing the service, it remains unclear whether this service will increase the conversion rate, which we are using as the proxy measure of “referral appropriateness”.

We have previously found the use of a CMATs service to give poor value in terms of redirected and preventing secondary care review. Indeed, our experience would suggest that these non-specialised services often result in additional and unnecessary investigations. The Health Pathways initiative will ensure that all appropriate community-based interventions or investigations have been completed prior to review in secondary care.

13
Mohamed Sarraf
29/08/2023 16:40:14

What is the Health Board doing to stem the growth in the numbers of people waiting?

To what extent has list validation been the main factor in reducing waiting lists? To what extent are

Since the reinstatement of some more of our elective theatre capacity, there has been a month-on-month improvement in our wait list position. Modelling suggests that this will continue to improve as further theatre resource is released and out-patient capacity returns to pre-COVID levels.

removals because of validation due to administrative issues? If so, what lessons are being learnt?

How is the Health Board ensuring the elective orthopaedic capacity is protected from unscheduled care and wider pressures?

The only ongoing constraint on throughput is theatre availability, which is currently limited by theatre staffing levels. This has been appropriately escalated and being addressed by the SCB.

All elective orthopaedic beds are ring-fenced. As capacity increases, we will require additional beds, and this has been documented in our models for return to activity.

14

Has the Health Board undertaken any analysis to understand whether there is a higher or lower rate of procedures, such as hip and knee replacements, than would be expected for the local population? If so, what does it show and are there opportunities for improving productivity and efficiency?

Does the Health Board understand whether the procedures are delivering positive outcomes for patients?

The department has not specifically modelled the rate of major joint arthroplasty against the population, nor compared this to adjacent HBs. The data provided by the Welsh Audit office suggests that CAVUHB compare with adjacent HBs in terms of rate of hip arthroplasty.

It is important to remember that approximately 13% of our elective workload is tertiary level referrals from outside the HB catchment, and this is likely to skew any comparative data concerning conversion rates.

All major joint arthroplasty patients are monitored with PROMs using our Amplitude/Bluespier interface. This is invaluable in remote monitoring and ensures that outcomes (Oxford hip and knee scores) are collected and analysed in line with the recommendations of the BOA.

16

If the older population continues to grow, but real terms spend on orthopaedics does not keep pace, can the Health Board ensure that future service models will be sustainable?

We anticipate that as the population ages, the requirement for orthopaedic surgery will increase. This is confirmed by the year-on-year increase in referral rate and maintenance (slight increase) in conversion rate for surgery. Without increased investment in delivering orthopaedic care, the service will be unsustainable.

18

To what extent does the Health Board currently have the capacity to meet orthopaedic service demand? Where are there capacity gaps?

What are the workforce risks and challenges?

There are 2 capacity gaps currently impeding return to full capacity. Firstly, the location of fracture clinic within the elective footprint in CAVOC. This has restricted our ability to uplift elective out-patient activity. Mitigation is in place with the relocation of fracture clinic to the UHW Lakeside site in Summer 2023.

Theatre capacity remains the main limiting factor. Staff issues are well described and under review at an Executive and SCB level – this remains the greatest risk to continued/improved

How is the Health Board working regionally to create high volume low complexity capacity?

What is the Health Board doing to create greater levels of efficiency in orthopaedic pathways?

capacity. A resolution to the staffing issues within perioperative directorate would enable currently unused theatre capacity to be immediately utilised.

Furthermore, the relocation of the cardiothoracic to the UHW site will open up theatre resource availability. Staff depending, this additional capacity, although being shared between all surgical specialties, will add to that available to orthopaedics.

The orthopaedic site at UHL has always worked on HVLC principles, with ring-fenced beds, dedicated theatre and ward staff. As theatre capacity is restored, these principles will continue to be utilised.

Whilst comparisons to pre-COVID activity are somewhat flawed, the elective orthopaedic service is currently delivering 55% of pre-COVID case numbers using only 46% of pre-COVID theatre capacity – a 20% improvement. This improvement is a result of improved in theatre utilisation, resulting in between 0.6 and 1 additional case per whole day list.

21

To what extent is radiology or physiotherapy capacity having an impact on the timeliness of the overall orthopaedic pathway?

Are there costed plans to match demand and capacity in those areas if required?

Radiology is not an apparent limiting factor in elective orthopaedic delivery.

There is an MSK workstream being setup to re-discuss the model for therapies, streaming to conservative or pain therapy, referral pathways. The physiotherapy service has seen an increase in demand over the last two years, due to changes in decision-making in Primary Care. This group will consider how physiotherapy best sits within the orthopaedic pathway, and specifically which aspects of the pathway are currently an unmet need. Until this work is complete the costs of any additional capacity are unclear.

25

Is the Health Board adopting Patient Initiated Follow Ups and See on Symptoms pathways at sufficient pace? If not, what are the barriers?

Are consultant job plans being reviewed to adapt to new outpatient models and maximise use of their time?

To what extent are digital/virtual outpatient appointments being used?

PIFU and SOS follow-up have been widely adopted, and essentially reflect what has been standard practice for a long-time pre-COVID, albeit under different terminology. A workstream to standardise PIFU and SOS pathways across the sub-specialties is currently underway.

Job plans have been revisited throughout the changes due to COVID and are currently maximised in terms of both efficiency and flexibility.

Is this delivering a better and more efficient service?

There has been some use of virtual/digital appointments, but these have not universally demonstrated better throughput in terms of clinic numbers, nor utility of clinician time. These methods continue to be used where appropriate.

Mohamed Sarah
29/08/2023 16:40:14

]Report Title:	Declarations of Interest, Gifts and Hospitality Tracking Report				Agenda Item no.	7.5
Meeting:	Audit and Assurance Committee	Public	x	Meeting Date:	05/09/2023	
		Private				
Status <i>(please tick one only):</i>	Assurance		Approval	x	Information	
Lead Executive:	Director of Corporate Governance					
Report Author (Title):	Corporate Archivist					

Main Report

Background and current situation:

As required by the Audit and Assurance Committee ("the Committee") an update on Declarations of Interest, Gifts, Hospitality and Sponsorship will be provided at each Committee meeting for noting and approval of the approach taken by the Corporate Governance Directorate.

Since November 2021 the procedure for Declarations of Interest has required employees to make a single declaration of interest during their period of employment, only altering it if their circumstances change (for example undertaking secondary employment). The procedure for declarations of Gifts, Hospitality and Sponsorship has remained unaltered and staff are required to make relevant declarations on an 'as required' basis.

The Risk and Regulation Team have worked with Corporate Communications to design and implement a Communication Plan that informs staff members of the following:

- The requirement to now submit a declaration of interest once. But, reinforcing the requirement to update if personal circumstances change.
- That Declarations of Interest should now only be made on ESR, and signposting to User and Manager guides.
- The continuing need to declare Gifts, Hospitality and Sponsorship with specific emphasis being given in Autumn (for Autumn International Rugby Tickets) and Christmas/New Year (for seasonal gifts).

In addition to this plan the Risk and Regulation Team and the Health Board's ESR lead have delivered a 'Declarations of Interest Power Hour' and will continue to deliver further sessions to provide guided examples of how to make use of ESR to declare interests and also to answer queries raised by those in attendance. Similar sessions will be delivered throughout the year and in between sessions a recording of the meeting is available online for all staff.

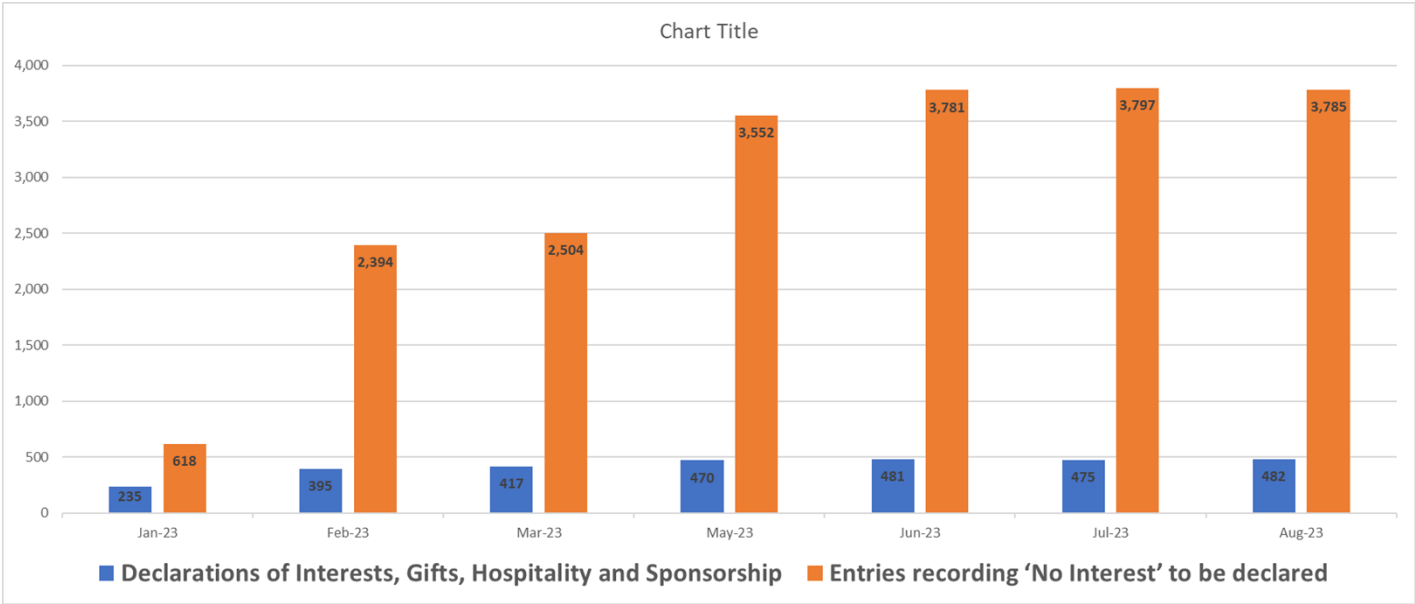
It is hoped that the number of declarations returned will continue to increase by enhancing visibility of the process, and the ease by which declarations can be recorded via ESR.

Executive Director Opinion and Key Issues to bring to the attention of the Board/Committee:

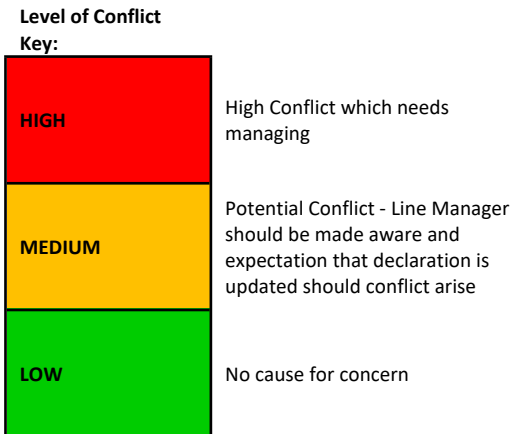
At the November 2022 Committee meeting it was agreed that the Health Board would use ESR as the sole method for the recording of Declarations of Interest, Gifts and Hospitality.

Following the November 2022 Committee additional software was procured to assist with the analysis of data held with ESR and, for the first time, an accurate Register has been able to be populated utilising the live staff information held within the ESR system.

As of the 1st August 2023 ESR holds the following records:



The Declarations of Interests, Gifts, Hospitality and Sponsorship forms received are RAG rated by the Corporate Governance team to ensure appropriate action and monitoring.
The RAG rating system is as follows:



97% of Declarations received are rated **Green** (467 Declarations)

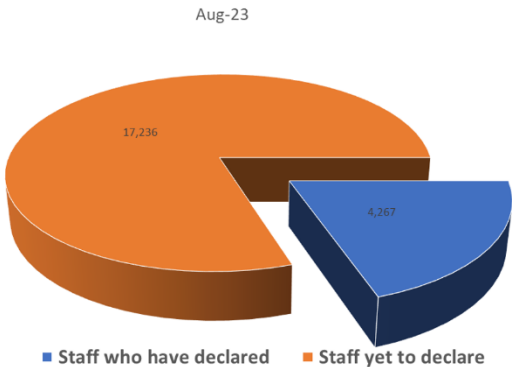
2.5% of Declarations received are rated **Orange** (12 Declarations)

0.5% of Declarations received are rated **Red** (2 Declarations)

It should be noted that those declarations rated Red and Orange (which all relate to external employment) have declared their interests to line managers and executive leads who monitor and mitigate the risks that the declarations present. In addition to this, the Risk and Regulation team continuously monitor declarations and, where appropriate, flag such declarations with procurement and counter fraud colleagues.

As of the 1st August 2023 ESR held 21,503 live staff records which includes contracted employees, Locum and Bank Staff members.

Total ESR returns of 4,262 equates to a return rate of 19.8% (up from 13.3% in March 2023) for all staff currently recorded as operational within ESR.
It is appreciated that this figure will need to improve given that there are still 17,236 staff members who are yet to declare.



The continuous increase in declarations can largely be attributed to the circulation of Health Board wide emails requesting that declarations are made by all staff via ESR. Following the success of this approach the corporate governance team will continue targeted communications with the remaining 17,236 recorded staff members who are yet to declare via ESR.

Following further interrogation of ESR functionality the Corporate Governance team have been able to identify return rates within staff bandings and groups areas. It is proposed that this data will be used to identify and target areas for improved return rates moving forward.

Table demonstrating the reply rate within set bandings:

Row Labels	Yet to			Grand Total
	Nothing to Declare	complete via ESR	Declaration made	
Band 1	12.96%	87.04%	0.00%	100.00%
Band 2	9.30%	90.41%	0.29%	100.00%
Band 3	17.41%	81.93%	0.66%	100.00%
Band 4	30.24%	67.84%	1.92%	100.00%
Band 5	16.55%	82.62%	0.83%	100.00%
Band 6	21.78%	76.03%	2.19%	100.00%
Band 7	31.65%	63.06%	5.28%	100.00%
Band 8a	53.53%	31.92%	14.55%	100.00%
Band 8b	54.49%	30.77%	14.74%	100.00%
Band 8c	50.00%	25.52%	24.48%	100.00%
Band 8d	70.48%	8.57%	20.95%	100.00%
Band 9	59.74%	6.49%	33.77%	100.00%

Table demonstrating reply rate within staff groups:

Row Labels	Yet to			Grand Total
	Nothing to Declare	complete via ESR	Declaration made	
Add Prof Scientific and Technic	31.25%	53.75%	15.00%	100.00%
Additional Clinical Services	9.66%	89.58%	0.76%	100.00%
Administrative and Clerical	35.08%	61.95%	2.97%	100.00%
Allied Health Professionals	25.49%	67.61%	6.90%	100.00%
Estates and Ancillary	10.99%	88.68%	0.32%	100.00%
Healthcare Scientists	38.05%	58.18%	3.77%	100.00%
Medical and Dental	14.02%	75.80%	10.18%	100.00%
Nursing and Midwifery Registered	19.62%	78.74%	1.64%	100.00%
Students	8.57%	91.43%	0.00%	100.00%

During July 2023 the Corporate Governance team has targeted all Band 8 and 9 employees (who have previously been identified as decision making colleagues), sending 349 personalised emails to those colleagues who are yet to declare, directly requesting that declarations are completed as a matter of urgency.

10% of colleagues contacted replied within 24 hours to confirm that appropriate action had been taken, and we hope to see a vast increase in completed declarations within this banding during the September review.

Following this review, further emails will be sent to any outstanding Band 8 colleagues, along with a focused review of additional pay bandings, if directed by the Committee.

A register of all declared interests can be found at the following link (which will need to be copied and pasted into a web browser to access):

<https://cavuhb.nhs.wales/about-us/governance-and-assurance/register-of-interests-gifts-and-hospitality/>.

Recommendation:

The Committee are requested to:

- **NOTE** the ongoing work being undertaken within Standards of Behaviour
- **NOTE** the proposals to improve Declaration of Interest reporting across the Health Board.

Link to Strategic Objectives of Shaping our Future Wellbeing:

Please tick as relevant

1. Reduce health inequalities		6. Have a planned care system where demand and capacity are in balance	
2. Deliver outcomes that matter to people		7. Be a great place to work and learn	
3. All take responsibility for improving our health and wellbeing		8. Work better together with partners to deliver care and support across care sectors, making best use of our people and technology	
4. Offer services that deliver the population health our citizens are entitled to expect	x	9. Reduce harm, waste and variation sustainably making best use of the resources available to us	
5. Have an unplanned (emergency) care system that provides the right care, in the right place, first time		10. Excel at teaching, research, innovation and improvement and provide an environment where innovation thrives	

Five Ways of Working (Sustainable Development Principles) considered

Please tick as relevant

Prevention		Long term		Integration		Collaboration	x	Involvement	x
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Impact Assessment:

Please state yes or no for each category. If yes please provide further details.

Risk: Yes

There is a risk that non-declaration of an interest by staff members could result in breaches of legal and/or regulatory requirements, specifically in a procurement context. The ongoing management and development of the Health Board's Standards of Behaviour Policy and associated procedures mitigates this risk by ensuring that staff members are aware of their obligations in this regard.

Safety: Yes/No

N/A

Financial: Yes/No

N/A

Workforce: Yes/No

N/A

Legal: Yes/No

N/A

Reputational: Yes

Should staff members fail to comply with the Health Board's Standards of Behaviour Policy and examples of this are made public, there is a possibility that this could have an adverse reputational impact on the Health Board and its staff body. The ongoing management and development of the Health Board's Standards of Behaviour Policy and associated procedures mitigates this risk by ensuring that staff members are aware of their obligations in this regard.

Socio Economic: Yes/No

N/A

Equality and Health: Yes/No

N/A

Decarbonisation: Yes/No

N/A

Approval/Scrutiny Route:

Committee/Group/Exec

Date:

N/A

Mohamed, Sarah
29/08/2023 16:40:14

Level of Risk Score 1 (Low) Score 2 (Med) Score 3 (High)	Name	Job title/Role	Category of interest	Interest situation	Interest Description	Comments	From	To (Leave blank if ongoing)
1	Adams, Miss Lisa Marie	Physiotherapist	Financial interests	Clinical private practice	I work one evening a week in a private Musculoskeletal Physiotherapy clinic (JD Physiotherapy).		06/04/2017	
1	Adams, Mrs. Alana	Pharmacist	Financial interests	Sponsored events	A teaching session on antiviral medication to GP's in Swansea and participation in an advisory forum, sponsored by pharmaceutical industry		01/04/2022	01/04/2023
1	Adams, Ms. Sandra Jean	Counsellor	Financial interests	Clinical private practice	I am a Counsellor & Clinical Supervisor in private practice.		02/07/2023	
1	Addis, Miss Jessica Katie Edgington	Technician	Financial interests	Outside employment	Bar Staff - The Waterguard Cardiff bay		13/03/2022	10/02/2023
1	Addy, Dr Charlotte Louise	Consultant	Financial interests	Sponsored events	Support for educational lectures/activities from Gilead/Chiesi		11/03/2022	
1	Agarwala, Ms. Emma Caroline	High Intensity Therapist	Financial interests	Outside employment	I work a couple of hours per week for Canopi offering Cognitive Behavioural Therapy to social and health service staff. I offer some private Eye Movement Desensitization and Reprocessing supervision to staff working in England I have previously (and may in future) work offer private therapy and sub-contracted services.		11/10/2022	
1	Ahuja, Mr. Sashin	Consultant	Financial interests	Sponsored events	Chaired Scientific Advisory Board Meeting for Cerapaedics Ltd	Chaired a clinical advisory group meeting for Cerapaedics Ltd on osteobiologics.	11/09/2020	11/09/2020
1	Alden, Dr Katrin	Specialty Doctor	Financial interests	Outside employment	I create and deliver training for Atrainability, a medical training company in my own time.		03/08/2022	
1	Aldridge, Dr Rona Alexandra	Applied Psychologist - Clinical	Financial interests	Clinical private practice	I undertake private assessments of autism for people aged 16+ as part of Autism Wales	I do not offer private autism assessments to residents of Cardiff or the Vale of Glamorgan.	14/02/2023	14/02/2023
1	Allen, Mrs. Kathryn Louise (Louise)	Pharmacist	Non-financial personal interests	Shareholdings and other ownership interests	Directorship of Davies Homes Ltd	Ongoing to date - silent director of family building business for no financial gain, non NHS	01/01/2010	
1	Allen, Mrs. Kathryn Louise (Louise)	Pharmacist	Non-financial professional interest	Hospitality	Invite to Welsh Pharmacy Awards held at Vale Hotel on October 13th 2021 to include dinner and awards ceremony. http://welshpharmacyawards.info/	Invite from Kyrn Media- organiser of the annual event. http://welshpharmacyawards.info/ Loyalty interest	13/11/2021	17/11/2021
1	Allen-Ridge, Mr. Callum Charles	Senior Manager	Financial interests	Outside employment	Bank Work for North Bristol NHS Trust	I am registered to work for North Bristol NHS Trust for both clinical bank work and also consultancy work around performance management and quality improvement.	25/06/2018	
1	Al-Rajoodi, Ms. Sheha Jameel Mohaisen	Chiropodist/Podiatrist	Financial interests	Clinical private practice	I work with Murray Medical private practice. Currently still employed.		20/08/2019	
1	Anand, Dr Bawani	Consultant	Financial interests	Sponsored research	I have undertaken Astra Zeneca sponsored research for the Health Board. Performing tests out of hospital hours. Directorate and Consultant will receive remuneration for the study		01/04/2022	
1	Andrews, Mrs. Angela	Pharmacist	Financial interests	Sponsored events	Honoraria received from Merck Group for presenting at a MS nurses area group meeting.		27/09/2018	27/09/2018
1	Arkless, Miss Lucy Dorothy	Staff Nurse	Financial interests	Outside employment	Ad Hoc - Agency work		30/01/2023	
1	Assiratti, Mrs. Dianne Julie	Officer	Non-financial professional interest	Outside employment	Working one day a week for Barod, who are a service provider commissioned within the CAVDAS Alliance contract. My role is to support the PARIS team in order for them to have more capacity to deliver enhancements to the PARIS system for the addictions services including CAVDAS. This will be a 3 month contract initially with a view to extending 3 months at a time as needed.		01/05/2023	
1	Ateleanu, Dr Basil	Consultant	Financial interests	Clinical private practice	I undertake outside Private Practice at Spire Hospital, the Vale Clinic Cardiff and St. Joseph's Hospital in Newport.		06/03/2022	
1	Atkin, Dr Philip Alan	Consultant	Financial interests	Shareholdings and other ownership interests	I am a company director of: - Nuform Medical Aesthetics Ltd, a healthcare delivery company for aesthetic medicine - Brynmill Ltd, a healthcare delivery company for aesthetic medicine and orthodontic services		01.11.2019 01.03.2013	

Level of Risk Score 1 (Low) Score 2 (Med) Score 3 (High)	Name	Job title/Role	Category of interest	Interest situation	Interest Description	Comments	From	To (Leave blank if ongoing)
1	Atter, Mr. James David	Physiotherapist	Financial interests	Clinical private practice	I own a private physiotherapy practice as a self employed practitioner. This involves running private clinics in Cyncoed Consulting Rooms and in iCare Clinics, Ely. Through my private practice, I also run injection clinics for GP practices. At present this is Llanishen Court Surgery and Practice of Health, Barry.		01/11/2021	
1	Attewell, Mrs. Lois Jane	Specialist Healthcare Science Practitioner	Financial interests	Outside employment	Part time employment at Swansea University as a BSc. Healthcare Sciences lecturer		10/08/2015	
1	Attridge, Mr. Stewart William Alexander	Adviser Staff Nurse	Financial interests	Outside employment	Work as HIV Clinical Nurse Specialist in Aneurin Bevan UHB		21/11/2022	
1	Attwell, Mrs. Julia Anne	Senior Manager	Financial interests	Outside employment	As a Non Executive Director with Linc Cymru Housing Association, I receive an annual payment.		01/03/2022	
1	Bailey, Mrs. Sarah Elizabeth	Dietitian Manager	Non-professional financial interest	Gifts	I wrote an article for the April 2022 edition of the Nutrition Digest magazine. £100 received for this. Money used to buy books for the dietetic department not for personal use.		08/03/2022	
1	Bailey, Mrs. Sarah Louise	Speech and Language Therapist	Indirect interests	Clinical private practice	I have registered with a private case management company to take part in independent case management.	The individuals I aim to see within this company are all outside of the current service in which I work. I will not see any clients who may be referred to the Welsh Neuropsychiatric Service.	29/03/2022 04/09/2023	
1	Balci, Ms. Elit	Officer	Financial interests	Outside employment	Compass Group Casual Worker	Ad-hoc weekends, evenings event support at Millennium Centre.	27/01/2023	
1	Baldwin, Mrs. Julie Ann (Ann)	Physiotherapist	Indirect interests	Loyalty interests	Husband undertakes private Musculoskeletal Practice for Nuffield Health		01/05/2000	
1	Bales, Mr. Henry Edward Howard	Accountant	Financial interests	Outside employment	On a yearly basis I receive a contract to mark one set of examination papers for GCSE Mathematics with Oxford, Cambridge and RSA Examinations Board. I complete this work outside of my contracted hours with the NHS.	I have informed the manager of the department and I am aware of my responsibilities.	30/05/2022	
1	Ball, Mr. Philip Edward	Staff Nurse	Financial interests	Sponsored events	I am member of Janssen Pharmaceuticals sponsored All Wales Nurse Forum and this may attract a payment depending upon my contribution in the sessions		29/03/2022	
1	Banerjee, Dr Sanjeev	Consultant	Financial interests	Sponsored events	I attend and participate in meetings regarding Anti Vascular Endothelial Growth Factor treatments for eyes		15/02/2023	02/03/2023
				Clinical private practice	I have a private practice in spire		01/03/2023	01/03/2023
1	Banner, Mr. Timothy Elliott	Pharmacist	Indirect interests	Loyalty interests	My Wife works for Lloyds Pharmacy as Pharmacist manager in Gorseinon, Swansea.		01/08/2007	
1	Barkes, Miss Claudia Lily	Physiotherapist	Financial interests	Outside employment	Pitch side Physiotherapist for Llanishen Rugby Club		01/10/2022	
1	Barlow, Miss Rachael Catherine	Researcher	Financial interests	Hospitality	30th May to 2nd June ERAS world congress as a guest speaker. Conference paying for 1 night 30th May accommodation and conference fees waived. Onkohealth (TradeMark) paying for my return flights and 4 nights accommodation. 29th May and 31st, 1 and 2nd June.		03/10/2022	31/10/2023
1	Barnett, Mrs. Sarah Louisa	Chiropodist/Podiatrist	Financial interests	Clinical private practice	Work occasionally for a private practitioner		13/02/2023	
1	Barr, Mrs. Cathryn Anne (Cath)	Midwife	Indirect interests Non-financial personal interests	Shareholdings and other ownership interests Loyalty interests	Chair of 1st Llanishen Scout group Chair of Caerphilly County Swim Squad Safeguarding lead Taf Wenallt Ministry Area.	Ongoing. I only work part time but volunteer my time to these groups.	28/01/2023	
1	Barrell, Mrs. Suzanne (Sue)	Officer	Financial interests	Outside employment	I have work 18.75 hours in my NHS role and 12 hours in an admin role outside of the NHS.		02/09/2023	
1	Barrett-Naylor, Dr Ruth	Applied Psychologist - Clinical	Financial interests	Clinical private practice	Clinical private practice	Practising privately as a Clinical Psychologist	03/01/2021	
1	Barros Catarino, Dr Francisca	Applied Psychologist - Clinical	Indirect interests	Gifts	End of therapy gift from patient valued at under £10.		05/07/2023	05/07/2023
1	Bartush, Mrs. Emma Louise	Manager	Non-financial personal interests	Hospitality	Receipt of Hospitality from West Quay Medical Practice	Attendance at Practice Christmas party at a cost of £43.50	12/10/2022	12/10/2022

Level of Risk Score 1 (Low) Score 2 (Med) Score 3 (High)	Name	Job title/Role	Category of interest	Interest situation	Interest Description	Comments	From	To (Leave blank if ongoing)
1	Beattie, Dr Robert Bryan (Bryan)	Consultant	Financial interests	Clinical private practice	Founder and Director of Innermost Secrets Limited trading as Innermost Healthcare (private clinical practice also including teaching presentation honorariums and medicolegal services).	Items relating to Cardiff and Vale UHB to Note in 2021:- Honorarium from Canon Medical (UHB supplier) for presentation at a Continuing Professional Development event (completed) - Awarded a contract from Cardiff and Vale UHB through the formal contracting process for the provision of baby hip scanning services (yet to commence any service delivery)	01/01/2006	
1	Bennett, Mrs. Lorna Jayne	Senior Manager	Non-financial professional interest	Outside employment	I hold an honorary contract for out of hours / on-call work with Public Health Wales		31/03/2022	
1	Bevan, Miss Jemima Ellen Grace (Jamie)	Dietitian	Financial interests	Outside employment	I have accepted a contract with Abbott to provide a presentation at a study day on 14th June around service development. The presentation I have been asked to provide is to share my personal experiences of the challenges/processes involved in setting up a service. The aim is to provide advice for other professionals setting up services in all clinical areas. The target audience is dietitians and other professionals working in nutrition.	The task involves a small number of hours preparing a presentation, and a full days work attending and presenting at the study day in London on 14th June. All of the above will be done in my own time outside working hours and using annual leave. This contract terminates on the last date of work provided or 31st July 2023 (whichever comes first) and will not be renewed.	16/03/2023 01/05/2023	31/07/2023
1	Beyer, Dr Annie Louise	Applied Psychologist - Clinical	Financial interests	Clinical private practice Outside employment	I am the Director of a private psychology practice (Beyer Psychology Services) in the Cardiff area which offers individual therapy, supervision, teaching and consultancy for individuals and organisations across the UK I am employed part time as a senior lecturer on the Professional Doctorate in Counselling Psychology at the University of South Wales.		05/04/2018 19/09/2022	
1	Beynon, Mrs. Claire	Senior Manager	Financial interests Indirect interests	Outside employment Loyalty interests	I am employed on an ad hoc basis to teach for Cardiff University, Cardiff Metropolitan University, Swansea University, University of South Wales and the Faculty of Public Health. I am also an Royal Air Force reservist. I am paid for these additional duties. I hold an honorary contract with Public Health Wales to allow me to undertake on call duties. I may on occasion be paid to undertake additional shifts which are paid. I undertake roles for the Faculty of Public Health and may claim travel expenses to undertake these duties. My husband is a lecturer at Cardiff Metropolitan University.		30/12/2022	
1	Bhat, Dr Vineet Srikrishna	Consultant	Financial interests	Clinical private practice	I undertake Private Practice at Nuffield Cardiff and Spire Cardiff.		27/01/2023	
1	Bird, Mr. David William (David)	Healthcare Science Practitioner	Financial interests	Shareholdings and other ownership interests	Directorship and Shareholder of 54 Penarth Road Management Ltd, Company number 10257923.		25/02/2020	
1	Birdsey, Dr Nicola Emma-Louise (Nicki)	Applied Psychologist - Clinical	Financial interests	Outside employment	Occasional tutoring for University psychology module - will be weekend or evening sessions outside of NHS working hours.		10/01/2022	
1	Blackmore, Mrs. Annette Phylliss	Specialist Nurse Practitioner Staff Nurse	Financial interests	Sponsored research	Attended Advisory board for GBT regarding second stage of Voxelotor drug for Sickle cell disorder. Paid for travel and for the day of service. Paid for travel, accommodation and evening meal to attend and be on panel at BSH conference at Manchester in 2022.	GBT now bought out be Pziser so no further advisory group work in progress.	16/05/2021	17/07/2023
1	Bloodworth, Miss Charlotte	Specialist Nurse Practitioner	Non-financial professional interest	Sponsored events	Attendance at a Medical advisory Group for Lymphoma Action charity	Medical advisory group for Lymphoma Action charity- unpaid Work with WMUK charity- education/conference doing a talk in August 2023 unpaid Chairing pharma evening talk on May 25th 2023- paid Agreed to present a talk for pharm in October 2023 national education - paid	01/03/2018	

Level of Risk Score 1 (Low) Score 2 (Med) Score 3 (High)	Name	Job title/Role	Category of interest	Interest situation	Interest Description	Comments	From	To (Leave blank if ongoing)
1	Bourne, Dr Michael William (Mike)	Consultant	Financial interests	Outside employment	Paid assessor for SWEDAC (the national accreditation body for Sweden).	No paid activity as yet undertaken.	01/01/2022	
1	Bourne, Mrs. Kim	Health Care Support Worker	Financial interests	Outside employment	Private Practice as a Personal Assistant for a child 3 hrs a week.		02/01/2023	
1	Boyd, Dr Jane	Applied Psychologist - Clinical	Indirect interests	Loyalty interests	My son Doctor Thomas Boyd is employed by Cardiff and Vale UHB as a Foundaton Year 1 Doctor as from August 2022		14/01/2021	
1	Boyden, Miss Poppy Anne	Physiotherapist	Financial interests	Outside employment	Work with Pontypridd RFC as their physiotherapist.		03/09/2022	
1	Bradley, Dr Paul	Applied Psychologist - Neuropsychologist	Financial interests	Clinical private practice	Private psychotherapy practice.	This is ongoing. Appointments are limited and scheduled in the evenings or on weekends.	03/11/2022	
1	Bramhall, Mr. Neil Denis	Specialist Healthcare Science Practitioner	Non-financial professional interest	Outside employment	Several times a year I have been asked to attend a Cardiac Risk in the Young Clinics.	This work is commissioned by a charity. Clinics are usually on weekends and the charity scans/Electrocardiograms young people for signs of sudden cardiac death.	21/01/2023	
1	Brereton, Mrs. Emma Kate	Occupational Therapist	Finacial interests	Clinical private practice	Employed as an Independent Occupational Therapist at Priory Mount Eveswell - Nursing home for Adults with Neurological impairment. I work one day a week in this capacity		02/03/2016	
1	Bridges, Mr. Carwyn Geraint	Physiotherapist	Indirect interests	Sponsored events	Attendance at an Insmed Ltd event to provide expert opinion in receipt of an honorarium for my time.	This was a one-off arrangement and no further work is currently planned.	04/02/2022	04/02/2022
1	Briggs, Dr Mark Samuel Jonathan	Senior Manager	Non-financial personal interests	Loyalty interests	25 July 2023 - no change in circumstances to those in previous declarations and comments For transparency and not a conflict of interest: my wife is Chief Operating Officer for Velindre University NHS Trust and a Board member for Life Sciences Hub Wales (LSHW).	I am sub-contracted by CAVUHB one day per week to the Life Sciences Hub Wales to fulfil the role of Precision Medicine Adoption Ambassador. LSHW are charged for my time by CAVUHB. I do not receive any financial gain from this.	03/03/2022	
1	Brooks, Mr. Francis Michael	Consultant	Financial interests	Clinical private practice	Employment as a virtual specialist for Doctor Care anywhere who are a virtual GP practice.	I am on-call once a month for this and perform the reviews outside of NHS time and paid a fee per review.	01/01/2021	
1	Brooks, Mrs. Zoe Mary	Dietitian	Financial interests	Outside employment	Associate Tutor at Cardiff Met University - Adhoc work/zero hours contract		03/10/2022	
1	Broome, Miss Rachael	Senior Manager	Indirect Interests	Loyalty Interests	My partner works in the Health Board Primary Care Team		03/11/2020	
1	Brown, Mr. James	Officer	Financial interests	Clinical private practice	I co-ordinate and type letters for the audio vestibular private clinics. I do this outside of my NHS hours and are around 1-2 hours work a week. This does not affect my NHS work load in anyway.		24/04/2023	
1	Bruce, Mrs. Claire	Physiotherapist	Financial interests	Clinical private practice	I undertake private physiotherapy practice in my spare time at Celtic Community Physiotherapy		20/02/2017	
1	Bryant, Dr Catherine (Kate)	Consultant Healthcare Scientist Specialist Healthcare Scientist	Financial interests	Clinical private practice	Private patient Doppler scanning at St Joseph's Hospital		14/07/2022	
1	Buchmuller, Mrs. Joanne Heather (Jo)	Applied Psychologist - Clinical	Financial interests	Outside employment	I occasionally work for a private company 'Partnership Projects' (not associated with the NHS) which provides parenting support and professional training. This is part of my private practice. I occasionally work as a coach/psychotherapist in private practice.		02/02/2023	
1	Bulpin, Mr. Gareth Charles	Senior Manager	Non-financial professional interest	Hospitality	Attedance at an Optometry Wales Dinner.		20/11/2022	20/11/2022
1	Burgess, Mrs. Anna Christina	Pharmacist	Financial interests	Sponsored events	Lecture to Avon Learning Disabilities Education & Research Network Sponsored by Desitin Pharma.	Honorarium paid for one-off lecture on excipients in antiepileptic medicines.	26/05/2021	26/05/2021
1	Burke, Miss Kathryn Louise Helen	Occupational Therapist	Financial interests	Outside employment	Additional employment as a self employed swimming teacher. 6 hours per week.		27/09/2022	
1	Burnett, Ms. Judith	Staff Nurse	Financial interests	Outside employment	I am currently on a 12 month secondment with HEIW for 30 hours per week.		04/10/2021	03/10/2022

Level of Risk Score 1 (Low) Score 2 (Med) Score 3 (High)	Name	Job title/Role	Category of interest	Interest situation	Interest Description	Comments	From	To (Leave blank if ongoing)
1	Burrows, Dr Peter	Consultant	Non-financial personal interests	Sponsored events	My wife is an Account Manager for Boston Scientific Medical device company in the endoscopy division. I perform EUS and use products sold by her company, although I was not involved in the trial of her products or the clinical decision to stock this equipment. Boston Scientific also sponsor training courses which I plan to attend (as have other colleagues of mine in the past). There is no financial incentive, only support with training. My wife is currently on maternity leave but will be returning to work in July	I have discussed the above with my clinical director - Dr A Gordon.	01/07/2023	01/05/2024
1	Burrows, Mr. Ross Michael	Pharmacist	Non-financial professional interest	Sponsored events	Sponsored registration fees to attend European Society for Paediatric Endocrinology (ESPE) and British Society of Paediatric Endocrinology and Diabetes (BPSSED) conferences. Funding was provided by Novo Nordisk. ESPE conference - 22/09/21 - 26/09/21 BSPED conference - 24/11/21 - 26/11/21 All virtual conferences - total cost of registration fees £181.40		22/09/2021	26/11/2021
1	Burton, Mrs. Tanya Margaret	Nurse Manager Staff Nurse	Finacial interests	Clinical private practice	Private aesthetics	I do privates aesthetics which is ongoing	01/09/2021	31/01/2025
2	Butler, Dr John	Consultant	Indirect interests	Loyalty interests	I have established a company in April 2023 called Southern Ireland Doctors Ltd. I am the CEO, Clinical Director and equal majority shareholder in the company with my wife. It is not trading yet but will aim to start trading later in July 2023. It is a Human Resources company that will seek to work with partners in the Irish Healthcare Service to source and support Senior Medical Workforce from around the developed world, including the United Kingdom, to work in the Republic of Ireland. This will include both Consultants and GPs. Whilst there will initially be no direct marketing to Welsh colleagues, the website when publicly released, will be available to any doctor who wishes to avail of the services offered. And who wish to explore a career working in the Republic of Ireland. As Clinical Director of my company, I will be actively supporting them on this journey if they wish to undertake this. I am the Joint Clinical-Director of the Clinical Gerontology Directorate and a Training Programme Director for General Internal Medicine with HEIW. Both of these roles represent potential conflicts of interest. Signed: Date: 05/07/2023 Dr John Butler	As above. The work involved with the above will take place in my own time.	05/07/2023	
1	Butterworth, Mrs. Claire	Physiotherapist	Financial interests	Clinical private practice	Private practice for patients with neurological conditions. Some of these patients may have been treated by CAVUHB or still be under its care. Patients are always directed to the Associated of Chartered Physiotherapists in Neurology UK private physio register to seek own choice of physiotherapy provider and assurances are made that everyone is aware of, referred to and receiving the NHS care/rehab/intervention that they should, if they so choose.		05/04/2022	
1	Canter, Mrs. Rachel May	Midwife Staff Nurse	Financial interests	Outside employment	I have a Private Property Rental Business		14/02/2020	
1	Capleton, Mr. Alexander Charles	Specialist Healthcare Science Practitioner	Non-financial personal interests	Outside employment	Employee of All Nations Church (two days/week). Primarily responsible for community engagement in Adamsdown, Cardiff.		09/01/2014	
1	Capp, Mrs. Rachel Anne	Occupational Therapist	Financial interests	Clinical private practice	Work x 1 evening a week at SPIRE Cardiff in Hand Therapy in my own independent practice		01/04/2018	
1	Carr, Mr. Thomas Alexander	Occupational Therapist	Financial interests	Clinical private practice	Owner - Mindful Walks in the local community		01/01/2018	
1	Cash, Mrs. Lowri	Speech and Language Therapist	Financial interests	Clinical private practice	taking part in a vlog for Welsh Government proof reading a translation of resource material for Welsh Government training session for Ophthalmology students in Cardiff University	Vlod - 06/03/23 Proof reading - 10 hours from March-April 2023 - 40 hours from April-July 2023 (approx) Training session - 26/06/2023	27/01/2023 06/03/2023	
1	Cawkwell, Mr. Mark John	Officer	Indirect interests	Outside employment	EmpowerthePeople.earth - Self Employment Debttactics.co.uk - Self Employment CymruTrust.Net - Trustee Glamorgannwg.org - Founder	None of these appointments affect my NHS role.	23/11/2020	
1	Cawley, Ms. Gemma Marie	Healthcare Assistant	Non-financial professional interest	Outside employment	Teaching yoga - outside of work hours, usually for no more than 3 hours per week maximum.		26/04/2023	26/04/2024

Level of Risk Score 1 (Low) Score 2 (Med) Score 3 (High)	Name	Job title/Role	Category of interest	Interest situation	Interest Description	Comments	From	To (Leave blank if ongoing)
1	Chakraborty, Dr Arpita	Consultant	Financial interests	Clinical private practice	I undertake private assessments through Clinical Partners and Summerfield Health Care totally outside my working hours. I have started a Limited Company on 27/3/2023 and the name is Arpita Chakraborty Limited and I am the Director of the company.		09/03/2022	
1	Chaudhri, Ms. Shamiala	Orthoptist Specialist Practitioner	Financial interests	Outside employment	Part time self-employed locum optometrist in community.		20/02/2019	
1	Chopra, Dr Iqroop Singh	Consultant	Financial interests	Clinical private practice	Private Practice both at Spire and Nuffield Vale hospitals		01/09/2008	
1	Chowdhury, Dr Mohammed Mahbub	Consultant	Financial interests	Clinical private practice	I undertake Private Practice and I am a Director of private company Dr MMU Chowdhury Ltd		10/03/2022	
2	Choy, Professor Ernest Ho	Consultant	Financial interests	Clinical private practice	2 private clinic sessions every months 2 hours from 5-7pm on Monday		15/02/2023	
2	Choy, Professor Ernest Ho	Consultant	Financial interests	Sponsored events	Attending Rheumatology Congress from Janssen and UCB.		15/02/2023	
2	Choy, Professor Ernest Ho	Consultant	Financial interests	Sponsored research	Sponsored resrach to Cardiff University by Biocancer, Pfizer, Biogen and Sanofi		15/02/2023	
2	Choy, Professor Ernest Ho	Consultant	Financial interests	Donations	Consultancy from Abbvie, Amgen, Biogen, Biocon, Chugai Pharma, Eli Lilly, Fresenius Kai, Gilead, Janssen, Merck Serono, Novartis, Pfizer, Regeneron, Roche, RPharm and Sanofi. Lecture fees from Abbvie, Amgen, BMS, Boehringer Ingelheim, Chugai Pharma, Eli Lilly, Fresenius Kai, Galapagos, Gilead, Hospira, MSD, Novartis, Pfizer, Regeneron, Roche, Sanofi-Aventis, and UCB.		15/02/2023	
2	Christian, Dr Adam Donald	Consultant	Financial interests	Gifts	I report/consult for external companies, this is generally through my own limited company, AC Pathology. This is usually reporting of backlog cases sent from NHS labs in England to a central hub for distribution. I use my NHS office and microscope for most of this work.	There is no conflict with my NHS work	01/10/2019	
1	Christodoulou, Mr. Silouanos (Sil)	Pharmacist	Financial interests	Clinical private practice	I undertake some locum private work outside work hours. This is limited to a few hours/month and does not impact on my post I am also planning to undertake some private work in the aesthetic industry limited to a few hours per month which is not going to impact on my post		17/03/2023	
1	Chung, Dr Yiu Fai Daniel (Daniel)	Consultant	Financial interests	Clinical private practice	I have practiced as an independent contractor at the Spire Cardiff Hospital since June 2019.		14/06/2019	
1	Clarke-Williams, Dr Jane Elizabeth	Specialty Doctor	Financial interests	Clinical private practice	Menopause specialist undertaking private practice for Octavia Healthcare	Private patients for menopause advice- both over the phone and face-to-face Once or twice a month	01/07/2020	
1	Cleaver, Mrs. Angela Jean	Dietitian Manager	Financial interests	Clinical private practice	I am an accreditation assessor for the British Dietetic Association. I will be paid for any courses I assess, this work is done in my own time between May and July.		28/02/2023	
2	Cole, Dr Duncan Sean	Consultant	Financial interests	Outside employment	Funding for a service development project using systems thinking methodology. Grant of £15,000, from Takeda Pharmaceutical Company paid to UHB.		24/08/2022	24/08/2022
2	Cole, Dr Duncan Sean	Consultant	Financial interests	Donations	Sponsorship for registration to WORLD Symposium 2023 on-demand virtual conference - provided by Takeda Pharmaceutical Company.		27/02/2023	27/02/2023
2	Cole, Dr Duncan Sean	Consultant	Financial interests	Gifts	Lamzede clinical expert interview for National Institute for Health and Care Excellence submission. Consultation fee paid by Chiesi. £600.		11/04/2022	11/04/2022
2	Cole, Dr Duncan Sean	Consultant	Financial interests	Outside employment	Rare disease elearning module development. Consultation fee for my time paid to Cardiff University by Amicus. Value: £2649.		07/09/2023	07/09/2023
1	Coles, Mrs. Sandra	Staff Nurse	Financial interests	Outside employment	Occasional work as an agency nurse.		02/01/2021	
1	Collins, Professor Peter William	Consultant	Financial interests	Outside employment	Advisory board meeting about postpartum haemorrhage with CSL Behring - work performed during annual leave. Honorarium £1800		04/02/2021	05/02/2021
1	Connolly, Mr. Martin Peter	Specialist Nurse Practitioner	Non-financial professional interest	Loyalty interests	I am an unpaid member of the Board of Trustees of The Kent Autistic Trust who provide support to individuals on the autism spectrum in Kent.		09/10/2016	
1	Connor, Dr Philip Peter (Philip)	Consultant	Indirect interests	Sponsored events	Attendance at an Advisory Board for Clinigen Group		23/03/2022	23/03/2022

Level of Risk Score 1 (Low) Score 2 (Med) Score 3 (High)	Name	Job title/Role	Category of interest	Interest situation	Interest Description	Comments	From	To (Leave blank if ongoing)
1	Cook, Dr Sara-Catrin	Consultant	Financial interests	Outside employment	Associate Dean in Simulation & Clinical Skills Health Education and Improvement Wales, from July 2020 to date		16/07/2020	
1	Cooke, Dr Emma Victoria	Multi Therapist Manager	Financial interests	Clinical private practice	Private physio practice. Bespoke Physio Llandaff		28/03/2022	
1	Coombs, Mr. Stephen John	Chiroprapist/Podiatrist	Financial interests	Clinical private practice Loyalty Interests	Private practice at the Feetness Centre Chairman of Wales Branch College of Podiatry	Ongoing	01/10/2006 15/11/2021	
1	Cordery-Bruce, Mrs. Lisa Marianne	Community Nurse	Non-financial personal interests	Loyalty interests	I am a trustee for Pride Cymru and for The Amelia Trust Farm, both are charities.	I have no pay or remuneration for either role and undertake any volunteering in my own time outside of working hours or during my annual leave. I made my managers aware prior to joining both charities.	27/01/2023	
1	Coulson, Dr James Michael	Consultant	Financial interests	Shareholdings and other ownership interests	Director and Shareholder of Medical, Scientific & Toxicology Consultancy Ltd.	I use this Limited Company for private practice, which for me is the production of medicolegal and scientific reports and other expert witness work.	01/04/2016	
1	Coundley, Miss Leanne	Assistant Psychologist	Financial interests	Outside employment	I am employed by Foster Wales as a respite foster carer I am employed on a 6 hr contract with Cardiff council as a youth worker		27/01/2023	
1	Cousins, Dr Darren Everton	Consultant	Financial interests	Sponsored events	Sponsored registration to international Fast Track Cities 2022 conference. Free registration provided to Fast Track Cities Cardiff & Vale by conference organisers International Association of Providers of AIDS Care. I am speaker at conference and receive free registration in order to attend the conference and present Welsh specific findings.		11/10/2022	13/10/2022
1	Crandon, Miss Katie	Radiographer - Diagnostic	Financial interests	Outside employment	Bank Radiographer work at Swansea Bay UHB		02/01/2023	
1	Creedon, Mrs. Emma Jane	Staff Nurse	Financial interests	Outside employment	Agency work for Thornbury Nursing Services		21/01/2023	
1	Cunningham, Dr Laura Faith	Consultant	Financial interests Non-financial professional interest	Sponsored research	Receipt of grant payment on behalf of the Health Board for an additional PA staff member for 12 months. This grant was applied for by the Health Board team and awarded by a Gilead panel who sit separately to the commercial team and to any pharmaceutical representatives that visit the department. The grant is to be used to fund new staff posts and to increase patient engagement with the Health Board HIV clinic and reduce loss to follow up. Most of the funding is for the new support worker post and for other staffing costs, including my role as project lead. The grant has been received by the Primary Care & Intermediate Care clinical board.		03/01/2023	
1	Datta, Dr Dev Borunendra	Consultant	Financial interests	Clinical private practice	Clinical Private Practice via Spire Cardiff		03/01/2011	
1	Davies, Dr Sarah Jane	Clinical Director - Medical	Financial interests	Sponsored events	I provide medical education via NB Medical. I have received honoraria for speaking or for attending meetings from various pharmaceutical organisations including BI, AZ, Lilly, Novo Nordisk, Abbott, Daichii, Dexcom, Roche, Amarin, and Bayer.		02/07/2018	
1	Davies, Miss Rhian	Counsellor	Financial interests	Clinical private practice	I have a private practise as well as working for the NHS.		15/05/2023	
1	Davies, Mr. Huw Owain Bleddyn	Consultant	Financial interests	Clinical private practice	Private Clinical Practice - Nuffield Health		31/05/2022	
1	Davies, Mrs. Rebekah Louise (Becky)	Occupational Therapist	Financial interests	Outside employment	Qualified personal trainer outside of NHS work and therefore engage in outside employment for 1-3 hours / week outside of work time.		04/04/2022	
1	Davies, Ms. Catherine Sarah (Catherine Washbrook)	Dietitian	Financial interests	Outside employment	Article written for Primary Care Diabetes Society journal/online in December 2021		23/03/2021	
1	Davies, Ms. Holly Adele	Applied Psychologist - Clinical	Financial interests	Clinical private practice	I undertake private practice as a Clinical Psychologist. I work as an associate practitioner through an organisation called Headwise.	Ongoing private practice	29/10/2021	
1	Davis, Dr Karl Robert	Consultant	Non-financial personal interests	Loyalty interests	I am Vice Chair of Welsh British Geriatrics Society (BGS) I am a member of the BGS and Vice Chair of the Welsh sub-group of the BGS	I have given evidence and supported BGS submission to Welsh Government	18/10/2022	

Level of Risk Score 1 (Low) Score 2 (Med) Score 3 (High)	Name	Job title/Role	Category of interest	Interest situation	Interest Description	Comments	From	To (Leave blank if ongoing)
1	Davis, Dr Megan (Meg)	Applied Psychologist - Clinical	Financial interests	Clinical private practice	I am an associate member of Forensic Psychology Consultancy Limited. This involves assessment of prisoners and writing reports for the parole board. This is on an ad hoc basis when I choose to take on additional work.		01/01/2021	
1	Deglurkar, Miss Indu	Consultant	Financial interests	Clinical private practice	Private Clinical Practice - Spire Healthcare		31/01/2023	
1	Denbow, Mr. Mark	Consultant	Financial interests	Clinical private practice	I have a medicolegal practice, Grange Obstetric Medico Legal. I write reports for the court for which I am paid. This is performed in my own time at home and does no affect my NHS work		31/01/2023	
1	Denny, Mr. Nick	Senior Manager	Financial interests	Loyalty interests	I currently work as a Registered Nurse for MPS, working in Cwm Taf Health Board My wife works within Cardiff and Vales Health Board as a Specialist Nurse in		01/12/2016	
			Indirect interests	Outside employment	Neuroendocrine Tumours		18/05/2023	
1	Doman, Ms. Catherine Louise (Cath Doman)	Senior Manager	Non-financial professional interest	Hospitality	Attendance at reception hosted by Q5 on 02.12.21		02/12/2021	
1	Doman, Ms. Catherine Louise (Cath Doman)	Senior Manager	Non-financial professional interest	Loyalty interests	Trustee on the Board of Trustees for Llamau.	Voluntary, unpaid position.	22/06/2021	
1	Donald, Mrs. Cathryn	Clerical Worker	Financial interests	Outside employment	Private secretary for Dr Bolusani Consultant in Diabetes & Endocrinology - working practice undertaken on my days off.		12/05/2022	
1	Dowd, Miss Charlotte Louise	Dietitian	Financial interests	Gifts	Prize money £100 for presenting at Welsh Association for Gastroenterology and Endoscopy conference 3rd place abstract (outside of working hours)		11/07/2022	11/07/2022
1	Doyle, Ms. Aileen	Counsellor	Financial interests	Clinical private practice	I work privately as a counsellor and trauma therapist as a sole trader.		02/01/2023	
1	Drage, Mr. Nicholas	Consultant	Financial interests	Outside employment	Lecturing to dentists and dental care professionals on all aspects of dental radiology mainly for Health Education and Improvement Wales. Text book writing		20/09/2022	20/09/2023
1	Dring, Mr. Simon	Senior Manager	Non-financial professional interest	Outside employment	I am a member of the Royal British Legion Pencoed Branch.	I am the treasurer for the branch, standard bearer and a member of the committee. I run a veteran's support hub on a monthly basis.		
			Non-financial personal interests	Loyalty interests	I am a Trustee and Lay Chair of the Pedair Afon Ministry Area Council, part of the Church in Wales	The Pedair Afon Ministry Area Council (MAC) is responsible for the running of a group of 10 churches supporting the Clergy. The MAC is responsible for the finances, fund raising and general running of the churches.	11/01/2022	
					I am a volunteer Community First Responder (CFR) for Welsh Ambulance Service Trust			
					I hold the rank of Squadron Leader the RAFAC (Air Cadets) for which I occasionally receive remuneration.	The RAFAC is a youth organisation sponsored by the RAF and MOD. I hold the positions of Sector commander and Wing First Aid Officer. I am responsible for first aid training and compliance across the wing in Southwest Wales.		
1	Dunford, Mr. Anthony Mark (Mark)	Occupational Therapy Specialist Practitioner	Financial interests	Clinical private practice	I undertake private practice for PhysioSpace based in Penylan Cardiff	On-going self employment	02/08/2019	
1	Edwards, Dr Martin Oliver	Consultant	Financial interests	Outside employment	I work 2.5 sessions for Health Education and Improvement Wales as a deputy director for Secondary Care		01/04/2021	
1	Elliott, Dr Natalie Louise	Speech and Language Therapist Consultant	Indirect interests	Loyalty interests	Partner is an Executive at Taff Housing, Cardiff.		22/06/2021	
1	Elliott, Mrs. Vivienne (Viv)	Dietitian	Financial interests	Outside employment	Bank worker for Somerset foundation trust	Ongoing	21/07/2022	

Level of Risk Score 1 (Low) Score 2 (Med) Score 3 (High)	Name	Job title/Role	Category of interest	Interest situation	Interest Description	Comments	From	To (Leave blank if ongoing)
1	Elliott-Rayer, Mr. Christopher John (Chris)	Counsellor	Financial interests	Clinical private practice	Private Supervision of Interpersonal Therapy Trainees	I currently privately supervise 1 Interpersonal Therapy (IPT) Trainee since April 2022 who works for CAVUHB. I am also due to take on another trainee in April 2023. Both trainees work for the Service for High-Risk Eating Disorders based at Cardiff Royal Infirmary, and both trainees are part of the South Wales IPT Centre run by Debbie Woodward. All supervision and associated work of these trainees is done outside of CAVUHB work time with clear boundaries in place. My manager Peter Meades is aware.	04/01/2022	
1	Enticott, Miss Kelly	Play Specialist	Financial interests	Clinical private practice	I will be speaking about the role of a health play specialist for a private medical company.	I have taken annual leave to attend.	04/04/2023 25/04/2023	25/04/2023
1	Eralil, Mr. George	Consultant	Financial interests	Clinical private practice	Private Practice at Spire Cardiff Hospital and HMT Sancta Maria Hospital in Swansea.		01/04/2022	31/03/2023
1	Erin, Dr Elizabeth	Applied Psychologist - Clinical	Financial interests	Clinical private practice	Work few hours per week in clinical private practice via R&R Consulting Rooms		01/04/2023	31/03/2024
1	Evans, Dr Carol	Consultant Healthcare Scientist	Indirect interests	Sponsored research	Abbott diagnostics have partly funded a quality improvement project to distinguish between type 1 and type 2 diabetics. This is for1 c peptide kit to be provided for lab use. There is no personal financial gain		21/04/2022	
1	Evans, Dr Caroline Rebecca	Consultant	Financial interests	Clinical private practice	I cover 2 half days per month in Spire Hospital Cardiff Plastic surgery		11/03/2022	
1	Evans, Dr Louise	Applied Psychologist - Clinical	Financial interests	Clinical private practice	Private clinical practice from R&R Consulting Centre		26/01/2023	
1	Evans, Miss Ruth Clare	Nurse - Advanced Practitioner	Financial interests	Outside employment	Pilates Instructor		09/01/2023	
1	Evans, Mr. Richard James	Healthcare Science Practitioner	Financial interests	Outside employment	I undertake private graphic design work as a sole trader.		01/01/2022	
1	Ewah, Miss Zoe	Chiropodist or Podiatrist	Indirect interests	Clinical private practice	I work privately in a clinic called Health Pod in Pontyclun, outside of my NHS full time hours and in a different county. Evenings 6-8pm I am also starting a private domiciliary/mobile Podiatry treatment in Cardiff and Merthyr Tydfil area, this will be weekends.	ongoing work.	01/04/2023	
1	Extence, Mrs. Victoria Louise	Officer	Financial interests	Outside employment	I currently have a second employment role with Newport City Council (NCC), working 2 days a week (Mon & Tues) as a Higher Level Teaching Assistant in a specialist school for Autism in Newport. From the 06/02/2023 I will be leaving this role to take up another post within Newport City Council as a Deputy Team Leader for Early Years on a 2.5 day per week basis (Mon-Wed).	Both roles (current & future) are part time and enable me to work part-time on the Vale of Glamorgan Healthy and Sustainable Pre-School Scheme, employed by CAVUHB (currently 3 days per week, reducing to 2.5 in the new role) There is no end date to my second employment as it is/will be a permanent position.	27/01/2023	
1	Falcon, Mrs. Carol Ann (Caz Falcon)	Officer	Indirect interests	Loyalty interests	I am a member and contributor to the Strategic Board at The Beacon Centre, which will soon be part of The Here for Good Collective under the working name Hope St Mellons. I will be voted in as a Trustee and Secretary of the Board when the Charitable Incorporated Organisation incorporation is complete. Application ref 5204808 is currently with Charity Commission.	Hope St Mellons is a community development organisation based at The Beacon Centre, Harrison Drive, St Mellons, CF3 0PJ. Trustees serve terms up to 3 years and can serve a maximum of 2 consecutive terms.	27/01/2023	
1	Featherstone, Mr. Jonathan Mark (Jon)	Consultant	Financial interests	Clinical private practice	Private Practice at the Spire Hospital in Cardiff.	Ongoing	05/04/2021	
1	Fido, Mrs. Karen Pamela	Radiographer - Diagnostic	Financial interests	Clinical private practice	Private Ultrasound practice	Ongoing private practice. Employed by Innermost Healthcare (private Ultrasound scans)	07/11/2008	

Level of Risk Score 1 (Low) Score 2 (Med) Score 3 (High)	Name	Job title/Role	Category of interest	Interest situation	Interest Description	Comments	From	To (Leave blank if ongoing)
1	Finnegan, Mrs. Bethan Marie	Healthcare Scientist	Financial interests	Outside employment	I work in a secretarial/administrative role for my husband who is a self-employed GP for a few hours a week, with no impact on my CAVUHB role. Income is declared to HMRC.		27/01/2023	
1	Fitzgerald, Dr Katherine Alexandra	Applied Psychologist - Clinical	Financial interests	Loyalty interests	Temporary Associate Lecturing Contract - Cardiff Met University, Psychology Undergraduate Programme		29/09/2022	15/12/2022
2	Fletcher, Mrs. Diana Elizabeth	Pharmacist	Non-financial professional interest	Sponsored research	I have an interest in the role of ectoparasites in human medicine. My accrued knowledge over the last 13 years leads me to believe that we are making many mistakes in human medicine by overlooking the presence and impact of parasites in everyday health problems.	Ongoing and developing. There may be some times when I am unable to undertake a piece of work which I believe goes against what I have learned or against what believe to be in the best interest of the patient. There are no adequate options for the situation, so I have ticked sponsored research. I am involved in research with Aston University, though this is not currently sponsored and I am receiving no payment or formal support/affiliation.	01/01/2012	10/07/2023
1	Foote, Ms. Sian	Health Care Support Worker	Financial interests	Outside employment	Work for Hywel Dda IHB 7.5 hours per week		08/06/2022	
1	Forsey, Mrs. Victoria	Staff Nurse	Financial interests	Outside employment	Outdoor Nature play Sessions Only Flowers Grow in Dirt Ltd Held for 1 hour on Saturday and Sundays		21/07/2023	
1	Forster, Mr. Mark Campbell	Consultant	Financial interests	Clinical private practice	I run my private practice through my company Cardiff Knee Surgery Limited		07/03/2022	
1	Fowler, Mr. Aaron Martyn	Senior Manager	Indirect interests	Loyalty interests	My wife is employed by NHS Wales Shared Services Partnership Legal and Risk, who the Health Board contract for legal advice.		20/09/2021	19/09/2023
1	Fowler-Williamson, Mrs. Cerian Charlotte	Manager	Financial interests	Shareholdings and other ownership interests	Non-Executive Director of a family limited company - Accelerate Freight Ltd Director of limited company - Fowler Consultancies Ltd - Public protection training, assessing and consultancy.		27/05/2008	
1	Fox, Dr Joanna Catherine Oram	Consultant	Financial interests	Clinical private practice	I own my own aesthetics business, Dr Jo Aesthetics.		01/04/2021	01/04/2022
1	Fox, Mr. Adam Daniel	Chiropodist/Podiatrist	Financial interests	Outside employment	Clinical consultancy for Coloplast, 3 year contract and paid on a honorarium basis when requested days. These will be around 2 days a year for the 3 year period.		10/11/2021	
1	Fraser, Mrs. Helen Louise	Healthcare Science Practitioner	Non-financial personal interests	Loyalty interests	I foster dogs (and occasionally volunteer to perform collections from the public to raise funds for the charity) for Hope Rescue Wales (Reg Charity No: 1129629)		02/01/2023	02/01/2024
1	Fullick, Miss Jade	Assistant Psychologist	Non-financial professional interest	Outside employment	Trustee and co-founder of The Belay Foundation (Registered Charity Number: 1192653)		06/01/2020	
1	Furnish, Ms. Amanda Jane	Medical Secretary	Financial interests	Outside employment	Steward @ Cardiff City Football Club - March 2020 - present Steward @ Principality Stadium Cardiff - December 2019 - present		30/01/2023	
2	Gable, Mr. Scott	Manager	Non-financial personal interests	Shareholdings and other ownership interests	Board Director at LabXcell Limited		01/04/2020	
1	Gajraj, Dr Malcolm	Consultant	Financial interests	Outside employment	Health Education and Improvement Wales role as Director of Quality Management (NHS) General Medical Council: Enhanced Monitoring Associate (variable requirements, ad hoc payment)		10/03/2022	
1	Galvin, Mr. Peter (Pete)	Clerical Worker Telephonist	Financial interests	Outside employment	I have a contracted shift working every other Saturday for Cardiff and Vale GP Out of Hours Service for 6 hours. I work other shifts across the service when cover is needed, mostly at weekends.		05/05/2012	
1	Ganderton, Mrs. Claire	Pharmacist	Financial interests	Shareholdings and other ownership interests	I am listed as a Director in my husband's company, Llandough Medical Services Ltd.		11/09/2017	
1	Gape, Mr. Nicholas James	Occupational Therapist	Financial interests	Clinical private practice	I have a small private practice, working 1 evening per week at Spire Hospital, Cardiff.		04/02/2018	

Level of Risk Score 1 (Low) Score 2 (Med) Score 3 (High)	Name	Job title/Role	Category of interest	Interest situation	Interest Description	Comments	From	To (Leave blank if ongoing)
1	Gaston, Miss Naomi Jane Margaret Elizabeth	Applied Psychologist - Clinical	Financial interests	Outside employment	I occasionally supervise Trainee Forensic Psychologists in their writing of risk assessments for the parole board. They work within a prison system, mainly in England. I also write parole reports for English and Welsh prisoners on occasion. In the past year I have written two reports for the parole board.		06/01/2022	
1	Gatto, Dr Simona Renata (Simona)	Consultant	Financial interests	Outside employment	Roche Advisory Board participation		05/05/2021	28/05/2021
1	George, Dr Lindsay David	Consultant	Financial interests	Clinical private practice	Clinical private practice in evenings at Spire Cardiff.		04/05/2004	
1	George, Miss Sarah Elizabeth	Physiotherapist	Financial interests	Outside employment	Pilates instructor in a private studio - teach x1 hour class per week in the evening		17/01/2023	
1	George, Ms. Susan Tania (Sues)	Counsellor	Indirect interests	Clinical private practice	I have my own private counselling practice, called Grace Counselling	I work in my own counselling private practice outside of my NHS role. My manager is aware and this has never caused a conflict of interest or impacted upon my NHS role.	24/04/2023	24/04/2024
1	Gidman, Mrs. Rachel Louise	Board Level Director	Indirect interests	Loyalty interests	Husband works as a Directorate Manager in Cardio-thoracic for the UHB		02/03/2023	
1	Giovannone King, Ms. Donna	Counsellor	Financial interests	Clinical private practice	Small self employed private counselling practice with approximately 4 clients per week		02/07/2023	
1	Gladwyn-Khan, Dr Misbah	Applied Psychologist - Clinical	Financial interests	Clinical private practice	Private work in my free time. R&R Consulting Centres 46 St Isan Road Cardiff. CF14 4LW Talk in the Bay W Bute Street CF10 5LH	No impact on NHS work and vice versa. In my free time. Declared when employment began.	05/10/2020	
1	Goldsmith, Dr Sarah Frances	Consultant	Non-financial professional interest	Sponsored research	I was the project manager for OBS Cymru, a postpartum haemorrhage QI initiative in Wales that received funding from Welsh Government, and our industry partner Werfen. This ran from 2017 to 2019. I have also agreed to speak at two Werfen-sponsored meetings. At my request, all payments related to this are being transferred directly to MSF from Werfen without my involvement.		01/01/2017	04/03/2022
1	Goulding, Mrs. Vanessa Louise	Chiropodist/Podiatrist	Non-financial professional interest	Outside employment	Honorary lecturer for Cardiff University		01/01/2018	14/03/2024
1	Goyal, Dr Sumit MBE	Consultant	Financial interests	Clinical private practice	I am the director of Dr Goyal Ltd, a limited company related to my private practice	This post is current and ongoing	01/10/2014	

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Level of Risk Score 1 (Low) Score 2 (Med) Score 3 (High)	Name	Job title/Role	Category of interest	Interest situation	Interest Description	Comments	From	To (Leave blank if ongoing)
3	Gray, Professor Jonathon Robin	Non Executive Director	Financial interests Indirect interests Non-financial personal interests	Outside employment Loyalty interests	Employed by Singapore as above - clear arrangement - I stop C&VUHB pay during 2 months. Global Healthcare advisor contracted only for work outside Wales with: Q5. Billions Institute Becton Dickinson Strasys Ltd and CHi/Singapore Owner of a Limited Company - "Graymattr", jointly with my wife Joanna Soldan. I work up to 2 months a year in Singapore/Australia/New Zealand/U.S.A - contracted to deliver innovation work. Previous role as CEO of South West Academic Health Science Network - a company limited by guarantee Wife - as above - business Wife owns private company delivering mindfulness/resilience training in public services.	Brother-in-law is a director of a private consultancy NK Change Ltd. Global Ambassador for Hillary Leadership Institute (New Zealand). Health Foundation/IHI Fellow. Member Institute of Directors. Fellow of Better Value Healthcare - Led by Professor Sir Muir Gray (Not a relative) Deputy Lead - Centre For Healthcare Innovation I am visiting Fellow Green Templeton College, Oxford. Trustee of Fathom Trust (Feb 2020 - present), a Charitable Incorporated Organisation - bringing together community assests to improve wellbeing of citizens. Previously a member of Maggies Clinical Board. Fellow at Better Value Healthcare - Visiting Chairs - Wellington (New Zealand), Exeter, Singapore. Adjunct Professor at the Health Services Research Centre, Faculty of Health at Victoria University of		
1	Green, Mrs. Hilary Margaret	Counsellor	Financial interests	Clinical private practice	Paid work with charity Cardiff Mind for providing clinical supervision sessions on a monthly basis.		09/09/2022	
1	Griffin, Dr Sian Virginia	Consultant	Financial interests	Outside employment	Chair, Data Monitoring Committee, Emmes Corp		17/11/2021	15/03/2022
3	Griffiths, Mr. Anthony Neil	Consultant	Financial interests Indirect interests Non-financial personal interests	Clinical private practice Loyalty interests Shareholdings and other ownership interests Sponsored events Sponsored research	Medical advisory committee Spire Healthcare Pharmaceutical family members shareholdings Evening dinners Spire Healthcare Director of company that provides medical admin services to doctors, NHS Charity work United Grand Lodge of England, Albert Edward Prince of Wales Court Porthcawl, Rowan tree cancer charity Director of company providing surgical insourcing for NHS Chief Investigator and Principal Investigator of CF113 clinical trial. Offered international travel to attend research meetings		29/01/2023	
2	Griffiths, Mr. Anthony Neil	Consultant	Financial interests	Hospitality	Royal College of Obstetricians and Gynaecologists dinners and accommodation for serving on RCOG committees		29/01/2023	
1	Griffiths, Mrs. Helen Samantha	Occupational Therapist Officer	Financial interests	Outside employment	Outside employment through agency (Stokes Case Management) - private OT, case management. Expert witness work through Somek & Associates. The above are ongoing although end dated at the end of 2023.		02/01/2023	30/12/2023

Level of Risk Score 1 (Low) Score 2 (Med) Score 3 (High)	Name	Job title/Role	Category of interest	Interest situation	Interest Description	Comments	From	To (Leave blank if ongoing)
1	Groves, Dr Peter Howard	Consultant	Financial interests Indirect interests	Clinical private practice Loyalty interests Outside employment	I see private patients at Spire Hospital, Cardiff. My private income resides with Groves Cardiology Services Ltd of which I am a Director but not a shareholder. My wife, Dr Helen Groves is Director and Shareholder of Groves Cardiology Services Ltd		07/03/2011	22/03/2022
1	Groves, Mr. Tristan Peter	Pharmacist	Financial interests	Sponsored events	I have received Honorarium from Bayer Public Limited Company for providing non-promotional educational sessions for healthcare professionals on the topic of anticoagulation and Thrombosis. Bayer PLC organised overnight accommodation.		01/01/2023	04/01/2023
1	Gully, Miss Angela Christine	Health Care Support Worker	Financial interests	Outside employment	I work for Dewis Independent company as a personal assistant for one child and two adults		16/02/2023	
1	Hale, Miss Sarah Louise	Consultant	Financial interests	Shareholdings and other ownership interests	Member of a LLP with the ability to carry out ophthalmic work outside the NHS. Cardiff Eye Surgeons LLP	Health Board has always been informed	04/02/2006	04/02/2023
1	Hamandi, Dr Khalid	Consultant	Financial interests	Sponsored events	Honoraria and speaker fees from Angelini Pharma, GW Pharma and UCB Pharma		04/05/2022	04/04/2023
1	Hammer, Dr Kathrin	Consultant	Financial interests	Clinical private practice	I am paid a fee for service at European Scanning Centre Cardiff and Spire Hospital Cardiff for radiology work in the private sector	unchanged	28/09/2020	02/09/2024
1	Haq, Mrs. Yasmeen Elmore	Pharmacist	Indirect interests	Loyalty interests	My sister works for Boots Corporate Community Pharmacy one day a week, after maternity leave.	This needs to be kept in mind if there is work in the community pharmacy.	28/07/2021	
1	Harrall, Miss Joanna Eleanor	Senior Manager	Indirect interests	Loyalty interests	My partner (Benjamin Trigg) works for and has shares in Cyted, a start-up company providing cyto sponges to NHS organisations across the UK. The Cytosponge is being piloted in CAVUHB.		09/08/2022	
1	Harris, Mrs. Abigail Indiana	Board Level Director	Non-financial professional interest Indirect interests	Outside employment Loyalty interests	I am a Non-Executive board Member of Social Care Wales. The daily rate for this is paid to the Health Board. My husband is a volunteer Board Member of Wales Council for Voluntary Action.	Ongoing	07/03/2022	
1	Harris, Mrs. Louise Ann	Nursery Nurse	Financial interests	Outside employment	Employed by Apollo Teaching Services Ltd.	I work for Apollo Teaching Services Ltd for 1-2 days per week outside of my NHS CAVUHB 22.5 hour contract.	30/09/2022	02/09/2023
1	Hart, Mrs. Julie Anne	Nursery Nurse	Financial interests	Outside employment	7hrs per week working for Breastfeeding Network		01/05/2023	
1	Harte, Miss Victoria Mollie Louise	Physiotherapist	Financial interests	Clinical private practice	Pitch side physio for a local rugby team for approx. 3 hours a week		17/09/2022	29/04/2023
1	Hartley, Dr Eleanor Janessa (Ellie)	Specialty Registrar	Financial interests	Outside employment	I am also employed on a zero hour contract for locum shifts by Cwm Taf Health Board. Also paid via Electronic Staff Record.		08/01/2022	
1	Hartley-Smith, Ms. Victoria Elizabeth	Clerical Worker Officer Telephonist	Financial interests	Outside employment	Additional Contracted Job in Cardiff and Vale Health Board CAV 24/7		03/05/2022 13/03/2023	13/03/2023
1	Harvey, Mrs. Virginia May	Physiotherapist	Financial interests	Clinical private practice	I run a Physiotherapy practice in Rhiwbina trading at "physio at one" but registered as Ginsphysio Ltd at Companies House.	Manager is aware that I work privately	01/01/2022	
1	Hayes, Mr. Jamie Michael	Pharmacist	Financial interests	Outside employment	I am a Director of JMH Collaborations LTD, trading as Jamie Hayes Executive Coaching. A coaching, leadership and performance agency providing services to public, private and third sector organisations across the UK. I am an honorary senior lecturer at Cardiff University, School of Pharmacy and Pharmaceutical Sciences I am co-founder and co-host of the Aural Apothecary Podcast - a medicines and healthcare podcast. I am Director of JMH Collaborations LTD - an executive coaching and leadership consultancy that provides coaching and leadership services to organisations in the private and public sector I run and own a coaching, leadership and performance consultancy. Delivering coaching and workshops to clients in industries such as legal, healthcare, finance, academia, media, education and others. I am a co-founder and co-host of a medicines and healthcare podcast - The Aural Apothecary Podcast is downloaded across the globe.		22/05/2023	31/03/2024

Level of Risk Score 1 (Low) Score 2 (Med) Score 3 (High)	Name	Job title/Role	Category of interest	Interest situation	Interest Description	Comments	From	To (Leave blank if ongoing)
1	Hayhurst, Miss Caroline Susan	Consultant	Financial interests	Sponsored posts	MSc Neurosurgery program leader for University of Buckingham, on behalf of Learna Ltd (an online education company). I receive payment on an ad hoc basis from Learna Ltd for development and marking of the international MSc course.		01/09/2021	31/08/2022
					I receive ad hoc payment for tutoring services for the University of Buckingham for the Neurosurgery MSc		13/02/2023	11/02/2024
1	Hedden, Mrs. Jessica Elizabeth	Physiotherapist	Financial interests	Sponsored events Sponsored posts	Payments made from Swedish Orphan Biovitrium (SOBI). Travel and accomodation to attend CATCH educational meeting			
					Attendance, accommodation and travel paid by pharmaceutical company CSL Behring to attend EAHAD (The European Association for Haemophilia and Allied Disorders) congress 2023 in Manchester.		30/09/2022	01/10/2022
					Payments made from Swedish Orphan Biovitrium (SOBI). Travel to attend Haemophilia Chartered Physiotherapist Association course on point of care ultrasound	Took part in creation of a medical promotional video for pharmaceutical company Takeda in own time and received payment of £300	07/02/2023	08/02/2023
					Payments made from Swedish Orphan Biovitrium (SOBI). Travel and accomodation to attend Haemophilia Chartered Physiotherapist Association Annual General Meeting and educational meeting .		01/03/2022	01/03/2022
					Took part in creation of a medical promotional video for pharmaceutical company Takeda in own time and received payment.		16/06/2022	17/06/2022
							09/05/2022	09/05/2022
1	Hemmadi, Mr. Sandeep	Consultant	Financial interests	Clinical private practice	Director of S Hemmadi Ltd.	Private Medical Practice	06/07/2020	09/01/2025
1	Hewett, Dr Rhys Anthony	Consultant	Financial interests	Hospitality	Sponsorship from Calea (Fresenius Kabi) to attend British Association for Parenteral and Enteral Nutrition annual Meeting.		2019	2019
					Sponsorship from Falk to attend the London Upper Gastrointestinal Symposium ‘LUGIS’ meeting in April 2022.		31/03/2022	01/04/2022
1	Hibbert, Mr. Adrian Douglas	Healthcare Science Assistant	Financial interests	Outside employment	I am a personal assistant to a young disabled man		01/01/2020	
1	Highfield, Dr Julie Anne	Applied Psychologist - Clinical	Financial interests	Clinical private practice	I engage in private supervision outside of NHS working hours		14/02/2023	
1	Hillberg, Miss Charis	Staff Nurse	Financial interests	Sponsored events	I have been asked by Kite Gilead to present a power point virtually to GUYS Hospital. This is a funded presentation that includes speaker's fees.	This presentation will only be from 13:00 - 14:00hrs.	04/04/2023	04/04/2023
1	Hills, Mrs. Hannah Mary	Midwife Staff Nurse	Financial interests	Clinical private practice	Private Antenatal Education (non clinical)	Weekly private antenatal education since March 2022, ongoing.	06/03/2022	
1	Hilton, Ms. Zoe Victoria	Senior Manager Staff Nurse	Financial interests	Hospitality	Attending a work conference. as guest speaker in Carlisle	Asked to talk my Camerados at a conference hosted by AHSN at the Carlisle Racecourse. Being paid £480 from Camerados for attending on their behalf They will also cover my accommodation in the IBIS hotel, taxi's to and from station and food (under £20per day) for the 2 days	17/01/2022	16/05/2023
1	Hingston, Mrs. Emma Jane	Consultant	Non-financial professional interest	Loyalty interests	Trustee for LATCH, Children's Cancer Charity for Wales.		29/08/2013	04/03/2022
1	Hockey, Dr Thomas Daniel	Consultant	Financial interests	Clinical private practice				
				Outside employment	I do coronial post mortems and report some cases of Spire.	My wife and I are co-Directors of MTD Diagnostics LTD- nothing to do with NHS.	14/03/2022	14/03/2022
				Loyalty interests				
1	Hodkinson, Mr. Christopher William	Radiographer - Diagnostic	Financial interests	Clinical private practice	Private obstetric clinic list x1 per week		07/03/2023	02/03/2024

Level of Risk Score 1 (Low) Score 2 (Med) Score 3 (High)	Name	Job title/Role	Category of interest	Interest situation	Interest Description	Comments	From	To (Leave blank if ongoing)
1	Hogan, Ms. Cora Mary	Physiotherapist	Financial interests	Outside employment	I work as a pitch-side physiotherapist for Cardiff and Met hockey club, for the ladies 1st team.		09/06/2021	
1	Holdcroft, Mrs. Beverley Ann	Technician	Financial interests	Clinical private practice	Assistant Case Manager for Case Management Cymru Ltd	Work is ongoing. Manage/support patients/family and support workers, during or following the litigation process.	02/06/2023	02/06/2023
1	Holder, Dr Kerry-Ann	Applied Psychologist - Clinical	Financial interests	Clinical private practice	I receive a consultancy fee from CSL Behring. CSL Behring is a biopharmaceutical company, manufacturing plasma-derived and recombinant therapeutic products. I am often asked to participate in focus groups, or advise on resources they are developing for Children and Adults with Inherited Bleeding Disorders. This advice and consultancy is undertaken in my own time and I take Annual Leave to participate	1 hour consultation with Researchers at CSL Behring	06/06/2022	06/06/2022
1	Holder, Dr Kerry-Ann	Applied Psychologist - Clinical	Financial interests	Hospitality	Invited to a Psychology in Gene Therapy Roundtable project with psychologists working in Haemophilia from across the UK. This will involve an overnight stay in hotel in Birmingham on Friday 13th January, an all day roundtable discussion from 9 - 5pm on Saturday 15th January. Meals and expenses paid.		13/01/2023	14/01/2023
1	Hope-Gill, Professor Benjamin David (Ben)	Consultant	Financial interests Indirect interests	Outside employment Sponsored events	I undertook an educational talk for a pharmaceutical company Boehringer Ingelheim on 8th September 2020. The talk and preperation were conducted outside working hours. I received payment for performing this work. I undertook an educational talk to the Scottish Interstitial Lung Disease Forum. This event was sponsored by Roche Pharmaceuticals and I received payment inc. travel expenses for preparation work, attending and speaking. I took annual leave to undertake this work. I was sponsored to attend the American Thoracic Society online conference May 2021 by Boehringer Ingelheim.		08/09/2020 21/01/2020 22/06/2021	08/09/2020 21/01/2020
1	Hopes, Miss Rebecca	Senior Manager	Non-financial professional interest Non-financial personal interests	Outside employment	I have made an application to volunteer for the Cardiff and Vale Health Board in my own time. I have made an application to renew my volunteer status with Cardiff Dogs home.		03/03/2022	
1	Hopkin, Mrs. Deborah Christine (Debbie)	Health Care Support Worker;Officer	Financial interests	Clinical private practice	Private Secretary to Professor Dolwani		01/07/2023	
1	Hoskins, Dr Mathew David	Consultant	Financial interests	Clinical private practice	I am a co-founder of the Cardiff Cannabis Clinic and currently work around 15 minutes per week to discuss new patient referrals, receiving payment per hour.		30/01/2023	30/06/2023
1	Hughes, Mrs. Tracey Joanne	Clerical Worker	Financial interests	Outside employment	Phoenix casting Agency The Bottleyard Studios Bristol BS14 OBH, and The Casting Collective Ltd Gensurco House Spafield House London EC1R 4QB	I am a member of these two agencies, for ad hoc filming days. I have been with Casting Collective for approx 8 years and Phoenix for the past 2 years.	21/02/2023 01/01/2021	21/02/2023
1	Humphreys, Miss Lauren Alice	Radiographer - Diagnostic	Financial interests	Clinical private practice	Private practice		07/05/2023	
1	Humphreys, Mrs. Rachael Katherine	Staff Nurse	Non-financial personal interests	Outside employment	I am a Trustee for the charity Behcet's UK, which is a voluntary position.		30/01/2023	
1	Humphry, Dr Nia Angharad	Consultant	Financial interests	Outside employment	Secondary employment at Cardiff University School of Medicine - 0.1 WTE	Started prior to current consultant post, substantive post	04/03/2022	
1	Hunt, Dr Jeannine Anne (Lenny)	Applied Psychologist - Clinical	Non-financial professional interest Indirect interests	Loyalty interests	I am married to the professional lead for psychology and psychological therapies in the UHB. As I am a psychologist there are situations which could create a conflict of interest.		10/10/2022	20/03/2023

Level of Risk Score 1 (Low) Score 2 (Med) Score 3 (High)	Name	Job title/Role	Category of interest	Interest situation	Interest Description	Comments	From	To (Leave blank if ongoing)
1	Hunt, Miss Andrea Louise	Counsellor	Financial interests	Clinical private practice	I am working for the Primary Care Counselling Service part-time on Mondays & Wednesdays.		01/03/2022	
1	Hunt, Miss Rachel Leanne	Specialist Healthcare Science Practitioner Healthcare Science Practitioner	Financial interests	Hospitality	I have a small private practice on non-NHS days. I was invited to attend the Wales vs. Ireland Rugby Union match at the Principality Stadium on 04/02/2023 as a guest of Perkin Elmer. This invitation was given to a number of NHS scientists within the UHB who are collaborating with Perkin Elmer on a number of Newborn screening and genomics projects.		02/04/2023	02/04/2023
1	Hutchinson, Dr Nicola-xan Xan (Nicola)	Consultant	Financial interests	Hospitality	Winter British Thoracic Society Conference fees and hotel paid for by Boehringer Ingelheim		15/03/2021 02/02/2023	15/03/2022 02/02/2023
1	Ingleton, Ms. Louise	Staff Nurse	Non-financial professional interest	Sponsored events	ADHD Conference attended - organised by Flynnpharma Conference dates May 4th & 15th 2022 in Berlin. Flights and hotel financed by Flynnpharma. No personal financial gain.		14/05/2022	15/05/2022
1	Ingram, Dr John Robert	Consultant	Financial interests	Loyalty interests	Consultant and/or advisory board member for Novartis, UCB, ChemoCentryx, Boehringer Ingelheim, Viela Bio, Insmed, Citryll and Kymera Therapeutics in the field of hidradenitis suppurativa	Honoraria.	01/01/2019	
1	Ingram, Dr Wendy	Consultant	Financial interests	Sponsored events	Novartis advisory board meeting Swedish Orphan Biovitrum advistory board meeting Takeda sponsored attendance at virtual conference - American Society Haematology Annual Conference Takeda sponsored educational event - invited speaker Takeda sponsored my attendance at the MDS international Congress - Virtual Travel and Registration at international conference Virtual congress registration access to EHA congress		23/04/2023	26/04/2023
1	Ivins-Doonan, Miss Hannah	Officer	Financial interests	Clinical private practice			25/04/2023	25/04/2023
1	James, Mrs. Danielle Louise	Senior Manager Officer	Financial interests	Gifts	Was given a thank you card with a gift card inside from a relative after dealing with a concern - gift voucher used on biscuits etc for the department.		31/01/2022	31/01/2023
1	Jelley, Dr Benjamin James (Ben)	Consultant	Financial interests Non-financial professional interest Non-financial professional interest	Outside employment Outside employment Outside employment	I have a substantive contract with Cardiff University for 1 session per week to deliver an MSc in Clinical Geriatrics I am the vice-chair of the Welsh Stroke Conference organising committee. I am an Associate Editor for the Age and Ageing journal		11/02/2023	
1	Jenkins, Miss Bethan	Assistant Psychologist Medical Secretary	Financial interests	Outside employment	Agency work for the National Autistic Society - roughly 1 Saturday every 2-3 months		27/06/2022	
1	Jenkins, Mrs. Colette Elizabeth	Technician	Non-financial professional interest	Sponsored events	Welsh Pharmacy Awards 2022 Ethypharm Management of substance dependency in community.		07/09/2022	07/09/2022
1	Jenney, Professor Meriel Evelyn Mary	Medical Director	I have no interests to declare Non-financial professional interest	Outside employment	Appointed as Honorary Patron of LATCH on 17 April 2023 Appointed as Honorary Patron of LATCH.	LATCH is a Welsh Childrens Cancer Charity LATCH is a Welsh Childrens cancer charity.	03/01/2023 17/04/2023 21/04/2023	
1	John, Mrs. Kirsty Louise	Community Nurse Staff Nurse	Financial interests	Outside employment	I currently make occasion cakes for family and friends		04/01/2022	
1	John, Mrs. Michaela Louise	Manager	Non-financial personal interests	Outside employment	I am a trustee for a charity THE MARGARET BELL SCHOOL (charity number - 1151747)	I do not receive any financial payment for this role	22/03/2022	
1	Johnson, Miss Rachel	Assistant Psychologist	Non-financial personal interest	Outside employment	I am a qualified yoga teacher and teach weekly outside of work. I receive no payment for this but receive a gym membership for free in return.		01/07/2021	

Level of Risk Score 1 (Low) Score 2 (Med) Score 3 (High)	Name	Job title/Role	Category of interest	Interest situation	Interest Description	Comments	From	To (Leave blank if ongoing)
1	Jones Barbour, Dr Louise	Applied Psychologist - Clinical	Non-financial professional interest	Outside employment	Trustee for the British Association for Behavioural and Cognitive Psychotherapy		02/01/2023	02/01/2025
1	Jones, Dr Amy	Consultant	Non-financial professional interest	Outside employment	I am on the British Geriatrics Society Cardiovascular committee - a specialist interest group within the BGS. The BGS is a charity and professional organisation, I am not paid by them for my role. For our annual conference I attend the event free of charge as a member of the organising committee. We have a hybrid meeting in London in September 2022 so I will receive one night's accommodation free of charge too. The Cardiovascular group participated in the autumn meeting held in November 2021 by organising one day of the 3 day conference. I had an organising role and moderated a session. For this I attended the virtual 3 day conference free of charge.	Ongoing role within the committee which will continue for the foreseeable future	31/03/2021	08/03/2022
1	Jones, Dr Jane Elspeth	Consultant	Non-financial professional interest	Shareholdings and other ownership interests	I am a Company Director in Luba Care - a company providing therapeutic children's residential home placement. The company is not yet trading		26/09/2022	25/09/2023
1	Jones, Dr Nia Jasmine Russal (Nia Jones)	Chiropodist/Podiatrist	Financial interests	Clinical private practice Sponsored events	I undertake some consulting work on behalf of industry. This may involve consulting on product development of novel therapies or presenting at conferences. I'm generally paid an honorarium for my time along with travel expenses.		01/12/2021	
1	Jones, Dr Sharon Mary	Consultant	Financial interests	Clinical private practice Sponsored events	One evening private practice clinic- 2 to 4 clinics per month at Spire Cardiff Sponsored study leave at Euler meeting in 2022 by ucb	Continuing I try to ensure it does not in any way conflict with nhs work I cancelled the clinics when too busy in nhs Cpd very useful	10/03/2022 01/06/2022	06/04/2022
1	Jones, Dr Sharon Mary	Consultant	Non-financial professional interest	Hospitality	Meal out in evening at BSR 24th April witv UCB pharmaceutical company fof Welsh attendees of BSR	During cpd funded by study leave plus some self funding	23/04/2023 12:25	
1	Jones, Miss Bethan Caryn	Staff Nurse Specialist Nurse Practitioner	Financial interests	Outside employment	I undertake private self employed work providing aesthetics treatments in my spare time.	Ongoing.	01/01/2022	30/01/2023
1	Jones, Mr. Mark	Social Worker	Indirect interests Non-financial professional interest	Loyalty interests Outside employment	My wife is a Board Member with the registered charity Wish Upon a Star. This is a charity providing bereavement support. My wife is a Director at the Ty Hafan Children's Hospice, Sully, Vale of Glamorgan. This is a registered charity. I'm a Board Member with the registered charity Re-live. This is an Arts in Health charity.		30/01/2023 30/01/2023 30/01/2023	
1	Jones, Mr. Stephen Austin	Consultant	Financial interests	Clinical private practice	I perform private practice at the Nuffield Cardiff & Vale Hospital outside of my NHS timetable/job plan	On-going	29/03/2022	
1	Jones, Mrs. Amy Clare	Dietitian	Non-financial professional interest	Sponsored events	Nutricia have sponsored me to stay in a hotel the night before their conference in London	The conference is a free event to attend. My train fare has been paid by work.	11/02/2022	11/03/2022
1	Jones, Ms. Jennifer Enid	Staff Nurse	Financial interests	Outside employment	I work very occasionally for HIW as part of their inspection teams but never in Cardiff and Vale UHB.		02/02/2023	02/02/2024
1	Joshi, Dr Anurag	Consultant	Financial interests	Clinical private practice	Cases referred to All Wales Lymphoma Panel from Spire Hospital Cardiff- I report these when these are allocated to me.	No active coronial work No crem form duties No regular private work	02/09/2021	02/09/2022
1	Joslyn, Miss Simone Lisa	Senior Manager	Non-financial personal interests	Loyalty interests	Trustee of Live Music Now - nonpaid position		10/03/2022	

Level of Risk Score 1 (Low) Score 2 (Med) Score 3 (High)	Name	Job title/Role	Category of interest	Interest situation	Interest Description	Comments	From	To (Leave blank if ongoing)
1	Junglee, Dr Naushad Ali (Naushad)	Consultant	Financial interests	Clinical private practice Outside employment	Work at Spire Cardiff as a Consultant Nephrologist holding fortnightly clinics Provide occasional medicolegal reports Resource Editor for Nephrology SCE for Learna LTD	Ongoing	01/11/2017 03/06/2018	
1	Kamath, Dr Sridhar	Consultant	Financial interests	Clinical private practice	I have private practising privileges at Spire Cardiff hospital, Nuffield Cardiff hospital, St Josephs hospital Newport, and European Scanning Centre Cardiff.		18/03/2022	
1	Kell, Dr William Jonathan (Jonathan)	Consultant	Financial interests	Outside employment	Occasional paid work as clinical expert for select pharmaceutical companies, or for NICE. Less than £5k income pa.		03/03/2022	03/03/2022
1	Kennedy, Mrs. Louise Catherine (Lou)	Physiotherapist	Non-financial personal interests	Shareholdings and other ownership interests	I am an unpaid director of Seren Dwt CIC. We provide welcome boxes to families of babies with Down Syndrome born in Wales funded by fundraising efforts	No end time that I will be director	21/09/2022	
1	Kent, Mr. Russell	Senior Manager	Financial interests	Hospitality	Attended the Hewlett Packard Discover "The edge-to-cloud" Conference 7th - 8th December 2022 This invitation includes transport costs and overnight accommodation . This came from Trustco PLC in conjunction with HPE Marketing.	Registered as Hospitality, although more related to learning and technology market research.	12/07/2022	12/08/2022
1	Kenward, Miss Sarah Elizabeth	Technician	Indirect interests	Clinical private practice	I have a second job role for Rowan Tree Therapy Services as an Occupational Therapy Technician. I am paid an hourly rate an work between 3 and 6 hours extra per week. This is during term time only.		04/01/2021	
1	Keogh, Mr. Patrick John	Officer	Financial interests	Outside employment	Member of the Reserve Armed forces	I am a member of the Army Reserves. I will be retiring on May 10th 2023.	27/01/2023	05/10/2023
1	Ketchell, Mr. Robert Ian	Consultant	Financial interests	Clinical private practice	I am the Director of Ketchell Medical Limited I use this for my private practice based at the Spire Cardiff Hospital and also any medico-legal work that I carry out.		27/09/2022	
1	Kidd, Mr. Robert Thomas	Applied Psychologist - Clinical	Indirect interests	Loyalty interests	my wife is a senior consultant in the uhb		27/09/2022	27/09/2023
1	Kilmister, Miss Amy Louise	Clerical Worker	Financial interests	Outside employment	Self employed, working for a music library (Pocket Publications, Penarth) - usually two days a week.		19/09/2022	
1	Kinsella, Mrs. Victoria Louise	Radiographer - Diagnostic	Financial interests I have no interests to declare	Outside employment	Intelligent Ultrasound Employed on a zero hours contract as a medical advisor Sonographer advisor for DDH scanning for NIPE Cymru Teaching on the Graff DDH course. Annual course.	Continual. Non paid. On going employment	15/01/2012 01/06/2022 07/07/2022	22/07/2022
1	Kirby, Miss Roisin Caitlin (Rosh)	Manager Assistant Officer	Financial interests	Outside employment	I hold the Treasurer position at the Cardiff and Vale Health Branch of UNISON, for which I receive a tax deductible Honoraria payment annually.		01/01/2018	02/03/2023
1	Kirwan, Mrs. Caroline Rebecca	Counsellor	Financial interests	Clinical private practice	Intermittent private genetic counselling work linking with Innermost Healthcare.	Ongoing	01/03/2021	
1	Kitchen, Dr Thomas Lancaster	Consultant	Financial interests	Outside employment	Deputy Director of Canopi (Cardiff University) Senior Lecturer Cardiff University	Fixed term contract - 4 session/week Substantive post, 2session / week commitment	02/02/2023 03/04/2023	31/03/2027
1	Knapper, Dr Steven	Consultant	Financial interests	Outside employment	I have participated in advisory boards with Novartis, Astellas, Servier, Pfizer. Received honoraria from Novartis, Astellas. Support for conference attendance from Servier. Research funding from Novartis.		21/12/2021	
1	Knight, Mrs. Rhian Catherine	High Intensity Therapist	Financial interests	Outside employment	I am work occasionally as a radiographer at North Bristol Trust in order to maintain my HCPC registration. I am employed as a member of the bank team with NBT Extra at North Bristol NHS Trust.		23/02/2022	
1	Knowles, Mrs. Sarah Louise	Staff Nurse	Financial interests	Outside employment	I also occasionally bank as a bank nurse for Elysium Healthcare on the weekends - maybe 1-2 times a month/sometimes not at all. My bank work base is Aberbeeg hospital - this is a forensic low and medium secure male hospital		09/01/2022	
1	Komarzynska, Dr Kinga	Applied Psychologist - Clinical	Financial interests	Clinical private practice	I am providing EMDR supervision sessions and I am seeing a couple of private clients for therapy.		20/03/2023	01/02/2024
1	Kontos, Dr Katina	Consultant	Financial interests	Clinical private practice	private practice. 1 clinic per week during eve non nhs work timeat CCR Cyncoed Consulting Rooms		19/02/2023	
1	Korat, Miss Punam Hitesh	Specialist Healthcare Science Practitioner	Indirect interests	Outside employment	Locum work		27/01/2023	
1	Kuczynska, Dr Anna-Maria	Consultant	Non-financial professional interest	Outside employment	Salaried GP in a Cardiff and Vale GMS practice	ongoing	01/01/2022	

Level of Risk Score 1 (Low) Score 2 (Med) Score 3 (High)	Name	Job title/Role	Category of interest	Interest situation	Interest Description	Comments	From	To (Leave blank if ongoing)
1	Kumwena, Miss Clarisse	Staff Nurse	Financial interests	Outside employment	Agency work	This does not interfered with my employment with the trust	27/01/2023	
1	Lang, Mrs. Emma Jane	Community Practitioner Staff Nurse	Financial interests	Clinical private practice	I have recently set up an aesthetics business part time and fit this in around my NHS off duty. I have completed the necessary aesthetics training and am fully insured independently		31/01/2022	31/01/2023
1	Lawson, Dr Thomas Muir	Consultant	Indirect interests	Outside employment	employed 4 days week by Health Education and Improvement Wales		01/07/2019	
1	Le Vasseur Dit Durell, Dr Lynda Jane	Applied Psychologist - Clinical	Non-financial professional interest	Shareholdings and other ownership interests	Director of a not-for-profit Company Limited by guarantee "Coedwig Creu Ltd"	The company facilitates Arts, Conservation and Wellbeing events in Cardiff and Vale.	19/11/2021	
1	Lea-Davies, Miss Mari Rhiannon	Pharmacist	Financial interests	Outside employment	Facilitated a training session run by HEIW for the foundation pharmacist programme on respiratory therapeutics. Work conducted in own time.	2 hour session on 4/10/21 and 2 hour session on 5/10/21	04/10/2021	05/10/2021
1	Lemaitre, Mr. Sherard	Clinical Director - Medical	Financial interests	Outside employment	Gp Partner Oak Tree Surgery		07/01/2021	
1	Leong, Dr Fong Tat	Consultant	Financial interests	Clinical private practice	Rhythmus Cordis Ltd.	I am a company director of the above. It is solely related to my clinical private practice.	28/06/2019	01/04/2023
1	Letchford, Dr Robert Howard (Rob)	Physiotherapist Consultant	Financial interests	Clinical private practice	I and my wife are Directors of Pobren well being PLC. this is a small scale lifestyle well being company .		08/03/2022	31/03/2023
1	Lewis, Dr Aled Gethin	Consultant	Indirect interests	Loyalty interests	My wife is joint owner/director in private physiotherapy company. I have no direct interests in this company.		23/06/2021	06/10/2022
1	Lewis, Dr Heledd Wyn	Applied Psychologist - Clinical	Financial interests	Outside employment	I am an external examiner for Staffordshire University and Nottingham University on their Doctorate in Clinical Psychology Programme. I will receive a small sum for doing this which I will complete outside my working hours with CAV.	3 year tenure	10/03/2022	10/05/2025
1	Lewis, Miss Rhiain Cerys	Staff Nurse	Financial interests	Outside employment	Employed as Associate Lecturer / Practice Tutor for Open University on BSc nursing programmes.		27/01/2020	
1	Littler, Dr Kate Elinor	Applied Psychologist - Clinical	Financial interests	Clinical private practice	I currently have a small private practice at R&R Consulting where I see individuals for psychological therapy.		24/01/2023	
1	Liu, Dr Andrea Cze	Consultant	Financial interests	Clinical private practice	Teleradiology		21/01/2022	
1	Lloyd-Jones, Mrs. Rachel Anne	Staff Nurse	Financial interests	Outside employment	Occasional Nursing agency work		10/01/2022	
1	Lloyd-Lewis, Miss Laura Jane Elizabeth	Officer	Financial interests	Outside employment	Support of school governing bodies.	Work undertaken during own time.	03/06/2019	
1	Lodwick, Mr. Andrew John	Applied Psychologist - Clinical	Financial interests	Clinical private practice	I work in private practice as a cognitive therapist, CBT Cardiff	My practice is ongoing	01/08/2013	03/03/2022
1	Logan, Mrs. Hazel	Senior Manager	Financial interests	Hospitality	Accepted accommodation and meals for the Excellence in Healthcare Conference in Daventry on Novemeber 23/24 2022		23/11/2022	24/11/2022
1	Long, Miss Holly Louise	Staff Nurse	Financial interests	Outside employment	Bank Nurse at Bristol Children's Hospital		21/11/2023	
1	Long, Miss Rachel Ella	Senior Manager	Financial interests	Outside employment	Sit as Magistrate on Cardiff Bench		27/04/2017	
1	Long, Mrs. Helen Jane	Dietitian	Financial interests	Sponsored events	I delivered a presentation to Jazz Pharmaceuticals representatives regarding "Nutrition in Stem Cell transplant Patients" and received payment on 9/11/22		11/09/2022	
1	Louch, Miss Rebecca Catherine	Assistant Psychologist	Financial interests	Gifts	Gift given from patient to myself at end of therapy - 2 small bracelets, value not exceeding £20 Given as 'thank you' for input Line manager made aware	Gift given at end of session, no further involvement with patient planned as now discharged from service.	11/11/2022	11/11/2022
1	Loxton, Mrs. Julie Ann	Specialist Nurse Practitioner	Financial interests	Clinical private practice Outside employment	I have a private practice and there is the potential to have patients booked in that I know professionally or personally in some cases this unavoidable. I pass patients on to colleague if conflict of interest. I can locum in the area of where I work, this is separate to employment and declared tax wise to the the inland revenue under self employment. Although not regular I still would like to declare this.		31/01/2023	
1	Loyal, Dr Alice Susannah	Applied Psychologist - Clinical	Financial interests	Outside employment	I am a company secretary for my husband who is a self employed design engineer. I hold shares in the company.		10/01/2021	

Level of Risk Score 1 (Low) Score 2 (Med) Score 3 (High)	Name	Job title/Role	Category of interest	Interest situation	Interest Description	Comments	From	To (Leave blank if ongoing)
1	Ludlow, Mrs. Helen	Specialist Nurse Practitioner	Financial interests	Sponsored events	Sponsored by Pharma I have undertaken 2 advisory boards and planning meetings for a leadership course I will be helping to run in March. I have also been working monthly endoscopy sessions for the Insourcing lists	I am registered as self-employed for my outside speaking /endoscopy engagements	30/09/2020	20/02/2022
1	Maggs, Mr. Roger Gwyn	Manager	Financial interests	Shareholdings and other ownership interests	Director of a private business out side of the NHS (Seirian Ltd)		07/03/2022	07/03/2022
1	Maguire, Miss Edwina	Occupational Therapist	Financial interests	Clinical private practice	work privately for The OT Practice		02/08/2023	02/08/2023
1	Mahoney-Davies, Dr Gerwyn Alyn	Applied Psychologist - Clinical	Financial interests	Clinical private practice	I run a small private practice outside of NHS service (GMD Psychology, R&R Consulting)	My policy is that I will see people who are eligible for CAMHS in Cardiff, but who aren't receiving clinical care from them. For example if someone is 15, depressed and living in Cardiff I will see them. If they get referred to CAMHS I will see them whilst they are waiting, but once they have their first appointment with CAMHS and are officially under their care I will not see them any longer. This is stated in my contract of service to them.	01/04/2019	28/08/2025
1	Main, Miss Claire Asmarina	Nurse Manager	Non-financial professional interest	Outside employment	I am an executive member of Association of Nephrology Nursing UK. I receive no remuneration for this and attend educational meetings that may be sponsored by companies but will be declared separately		21/09/2022	21/09/2023
1	Marin, Dr Aleksander	Consultant	Financial interests	Clinical private practice	Medica Teleradiology Speciality Advisor in Thoracic Radiology Spire Hospital Cardiff Reporting Radiologist Director in Cardiothoracic Imaging Ltd		20/06/2016	
1	McCarthy, Mr. Matthew	Lawyer	Financial interests	Outside employment	Bank work for Welsh Risk Pool (part of NWSSP) as a Safety and Learning Advisor		01/05/2020	
1	McCarthy, Mr. Michael John	Consultant	Financial interests	Outside employment	I have an ad hoc educational contract with Globus Medical. I get paid to teach on courses once to twice a year teaching other doctors. I take annual leave during this time.	At present there are no defined dates / it is indefinite	05/03/2022	31/03/2023
1	McLean, Mrs. Annette Laura	Dietitian	Financial interests	Clinical private practice	Somek: medico legal ad hoc report work. Freelandce dietetic work: Ad hoc client work and eating disorders training (Knights absorb)	I do not see clients from Cardiff and Vale adult services that could otherwise access NHS services.	10/01/2022	
1	McMillan, Mrs. Sarah Elizabeth	Staff Nurse	Financial interests	Outside employment	I am starting a 30 hour contract with the Welsh Renal Clinical Network, as of the 17th April, but will be retaining 7.5 hours within Cardiff and the Vale NHS Trust.	This is an on going contract.	17/04/2023	
1	Meades, Dr Peter Caleb	Counsellor	Financial interests	Clinical private practice	I have a small private psychotherapy practice.		28/09/2020	
1	Miles, Dr Tamsin Louise	Applied Psychologist - Clinical	Financial interests	Clinical private practice	Limited private practice as a Clinical Psychologist (maximum 3 hours per week) for therapy and neuropsychological assessment. No clients would be eligible for support within my NHS practice and are instead referred through independent case managers via R&R Consulting Rooms	No conflict of interest anticipated	23/02/2022	
1	Moat, Professor Stuart James	Consultant Healthcare Scientist	Non-financial personal interests	Hospitality	I was invited to attend the Wales versus Ireland rugby union match at the Principality Stadium on 4th February as a guest of Perkin Elmer.	I have been invited as part of a team of NHS scientists who are collaborating with Perkin Elmer on a number of scientific innovation programmes including genomics and newborn screening.	02/04/2023	02/04/2023
1	Mock, Mr. Andrew James	Assistant	Non-financial professional interest	Loyalty interests	Volunteer Community First Responder	Training to start during/after April 2023.	04/01/2023	
1	Mohamed, Mr. Amr	Consultant	Financial interests	Outside employment	I am a tutor for the post-graduate diploma in Neurosurgery course (online) that is rewarded by the University of Buckingham. I teach on the course 8 weeks a year for which I am paid.		09/01/2020	31/01/2023
1	Moldeen, Mr. Abdul Nazeer	Consultant	Financial interests	Clinical private practice	I provide private consultations on Tuesdays and Wednesdays from 17:00 - 20:00 every week at Spire Cardiff hospital		01/03/2021	

Level of Risk Score 1 (Low) Score 2 (Med) Score 3 (High)	Name	Job title/Role	Category of interest	Interest situation	Interest Description	Comments	From	To (Leave blank if ongoing)
1	Moore, Mrs. Fiona Jane	Dietitian	Financial interests	Outside employment	I am a director within my husbands private company GRJM consultancy limited, a business consultancy with no additional employees.	Update Jan 2023. Business not currently active.	17/03/2022	17/03/2022
1	Morgan, Dr Matthew Philip	Consultant	Financial interests	Donations	Clinical Editor for BMJ - I do work for the education website BMJ Director of Matt PG Morgan Limited: - This for the non-ficiton books / writing / advocacy / education that I do		03/03/2022	
			Indirect interests	Hospitality	Over the last 5 years, I have previously been involved with education workshops, online surveys and other events for organisations including: - I participated in a Sobi scientific meeting about the use of immunesupression in critical illness. - I am talking at Hugh James Trauma study day. They are a legal firm that represent patients with traumatic brain injuries. Teaching on the use of surface cooling after cardiac arrest by BD. "- A number of online surveys			
			Non-financial professional interest	Outside employment	I am an Ambassador for the charity 2Wish Upon A Star Charity and donate to a number of others. -			
				Sponsored events	I am an adjunct Professor for Curtin University			
1	Morgan, Dr Matthew Philip	Consultant	Indirect interests	Donations	I have donated £5000 to the 2 Wish Upon a Star charity and £200 to the C&V Health Charity.		03/03/2022	
			Non-financial professional interest	Hospitality	I was invite to watch a sporting match by a legal firm that founded a Brain Injury Charity. This included food and hospitality.		03/03/2022	
1	Morgan, Dr Paul (Paul)	Consultant	Financial interests	Outside employment	I have taught on surgical training courses for Doctors Academy for several years now, earning modest sums of money (typically around £900 - £1000 per annum. This work takes place in my own time.	As an ad-hoc locum consultant I am continuing to work for Doctors Academy in my own time. There are no new declarations to be made	28/12/2021	28/12/2022
1	Morgan, Dr Rhiannon Meleri	Consultant	Financial interests	Clinical private practice	Coronial post mortem work	Ongoing activity. Done in NHS mortuary	04/10/2004	15/07/2021
1	Morgan, Miss Emily Frances	Specialist Healthcare Scientist	Financial interests	Clinical private practice	I provide DVT scanning for NHS patients throughout a private company (GP Care). I am bank staff with no set amount of hours per week. I provide this service in Bristol.	This is an ongoing role for now.	31/08/2022	
1	Morgan, Miss Emma Catherine	Staff Nurse	Financial interests	Outside employment	Foster respite care for a child in foster care	On going on an ad-hoc basis	27/01/2023	01/01/2025
1	Morgan, Miss Hannah Jayne	Physiotherapist	Financial interests	Outside employment	Currently employed 0.4 WTE by Lewisham and Greenwich NHS Trust in the role of CF Medicines Interventionist	Fixed term post, with view to extend	22/11/2021	31/03/2023
1	Morgan, Miss Phoebe Lauren Patricia	Staff Nurse	Financial interests	Outside employment	I work for an agency called ranstad.		20/06/2023	
1	Morgan, Miss Sian Heulwen	Staff Nurse	Financial interests	Clinical private practice	Aesthetics company		06/04/2022	
1	Morgan, Mr. Clive Paul	Senior Manager	Financial interests	Gifts	I have been invited to attend the Wales versus Ireland rugby union match at the Principality Stadium on 4th February as a guest of Perkin Elmer. I have been invited as part of a team of NHS scientists who are collaborating with Perkin Elmer on a number of scientific innovation programmes including genomics and new born screening.	This partnership work is part of a wider stakeholder collaboration including the Life Science Hub and Cardiff university. It supports the ambition outlined in the Genomics Delivery Plan for Wales.	04/02/2023	
1	Morris, Dr Ian Paul	Consultant	Financial interests	Outside employment	4 sessions per week working as programme director for neonatal MSc with Cardiff University.	Working role for 2 years. Cardiff university increased my sessions without expectation of in creased workload to reflect my productivity. All university work is completed at evenings or weekends or on days with no NHs responsibilities.	01/06/2020	

Level of Risk Score 1 (Low) Score 2 (Med) Score 3 (High)	Name	Job title/Role	Category of interest	Interest situation	Interest Description	Comments	From	To (Leave blank if ongoing)
1	Morris, Mr. Daniel Simeon	Consultant	Indirect interests	Clinical private practice Outside employment Shareholdings and other ownership interests Sponsored research	Nuffield/Spire and Ltd Company (Ltd companies - Lujelo Ltd and Dan Morris Ltd) Member of Nuffield national advisory group with payment at an hourly rate Spire Horizon. Tepro study		03/01/2023	01/03/2024
1	Morris, Mr. Daniel Simeon	Consultant	Indirect interests	Hospitality	WRU in exchange for clinical time		03/01/2023	01/03/2024
1	Motley, Dr Richard John (Richard)	Consultant	Financial interests	Clinical private practice Outside employment	I am self-employed in private practice I am employed by Hywel Dda University Health Authority to review teledermatology referrals for the Trust	I review a small number of teledermatology referrals and provide remote advice to GPs in the Hywel Dda region	19/09/2022 01/10/2022	
1	Mullaney, Dr Peter John	Consultant	Financial interests	Clinical private practice	Perform private practice relevant to my specialist interests at Spire Cardiff Hospital and the Vale clinic Cardiff bay.		21/04/2023	21/04/2024
1	Murphy, Dr Rhian Eleri	Applied Psychologist - Clinical	Financial interests	Sponsored events	Presentation for Sanofi - not in work time. Payment of £448 received.	As above. Line manager aware.	04/11/2020	04/11/2020
1	Murray, Dr Alexandra Juliet (Alex)	Consultant	Financial interests	Outside employment	Consultancy for Nuffield Health	Monthly fee paid by Nuffield Health to be available to give advice to the National Pathology Manager	05/01/2023	
1	Nambiar, Dr Kate Zoe	Consultant	Non-financial professional interest	Outside employment	Employed as medical director of Terrence Higgins Trust - registered charity number: 288527. Part time employment - 1 day per week.		02/10/2022	
1	Nannapaneni, Mr. Ravindra	Consultant	Financial interests	Clinical private practice	I undertake private practise at Spire Cardiff and St Joseph's Hospital, Newport		07/07/2021	
1	Necrews, Mrs. Anna Louise	Healthcare Science Practitioner Staff Nurse	Non-financial personal interests	Outside employment	I volunteer at a local charity, Sunday Circle, which provides a youth service for teenagers and young adults with learning disabilities.		01/01/2008	
1	Necrews-Morgan, Mr. Michael James (James)	Staff Nurse	Financial interests	Outside employment	I work as an agency nurse alongside my employment with Cardiff and Vale UHB		01/03/2023	
1	Negi, Dr Anurag	Consultant	Non-financial professional interest	Clinical private practice	one sessions per week at Spire Cardiff hospital. this is done outside of NHS contracted hours	on going	01/02/2023	
1	Newbury, Mrs. Hannah Louise Danielle	Radiographer - Diagnostic	Financial interests	Clinical private practice	Occasional work at First Encounters Ultrasound.		11/05/2020	30/01/2023
1	Newman, Mr. Harry	Clerical Worker	Financial interests	Outside employment	bank work in GP Out of Hours		25/04/2023	
1	Nicholls, Miss Ashleigh Rachel	Staff Nurse	Financial interests	Clinical private practice	Agency work		26/04/2023	
1	Norris, Dr Francesca Louise	Consultant	Non-financial personal interests	Outside employment	I am registered with a baking charity which occasionally provides cakes to Noah's ark children's hospital. I made the referral to the charity to the hospital as I thought it would be of benefit.	I am a registered baker with the charity.	27/01/2023	
1	Obasi, Miss Omabe Colette	Staff Nurse	Non-financial personal interests	Outside employment	Volunteer role with the UK Guide Dogs Charity	An unpaid volunteer role which offers respite and dog walking to guide dog owners. I can be asked to provide late notice weekend care for puppies in training.	22/09/2021	
1	O'Connell, Dr Paul David Godwin	Clinical Director - Medical	Non-financial professional interest	Clinical private practice	Provider of non-surgical aesthetic treatments privately. Also a locum GP (NHS) Brand ambassador role.		23/06/2023	

Level of Risk Score 1 (Low) Score 2 (Med) Score 3 (High)	Name	Job title/Role	Category of interest	Interest situation	Interest Description	Comments	From	To (Leave blank if ongoing)
1	Ohonba, Dr Isaac Osemwegie	Consultant Specialty Doctor	Financial interests	Clinical private practice	Paid a professional fee of £200 for the completion of a COP3 (Capacity Assessment Document)	Cheque payment of above fee was for the completion of a COP 3 on behalf of a patient under the care of the Vale MHSOP Consultants and at their request.	21/09/2022 04/01/2023 27/01/2023 24/04/2023	
1	O'Leary, Dr Catherine Joanne	Applied Psychologist - Clinical Home Help	Financial interests	Clinical private practice	I work part-time in private clinical practice via Hammet Street Ltd. I occasionally receive honorarium payments from pharmaceutical companies for presentations given outside NHS hours. I am involved as an expert patient with UCB pharmaceuticals.	Ongoing.	16/02/2023	
1	Oliver, Mr. George Sebastian	Physiotherapist	Non-financial personal interests	Outside employment	I provide voluntary first aid cover for Ty Celyn U9 football team		01/10/2021	31/08/2022
1	Oliver, Mr. Graham Richard	Consultant	Financial interests	Clinical private practice	Salary from clinical practice, Llangoed Healthcare		09/10/2022	
1	Olszewska, Mrs. Kamila Magdalena	Healthcare Science Assistant	Financial interests	Outside employment	Interpreting services for company DA LANGUAGES. Medical & social interpreting ENGLISH/POLISH	ON GOING SERVICE OUTSIDE WORK AS WELL AS DURING UNPAID BREAKS.	05/07/2018	
1	O'Reilly, Mr. David John	Consultant	Financial interests	Outside employment	Private practice at Spire Cardiff		30/12/2022	
1	Osborne, Dr Claire Louise (Claire Willson)	Applied Psychologist - Clinical	Financial interests	Clinical private practice	I am a partner at Positive Neuro Rehab. I work as a Consultant Clinical Neuropsychologist with people who present with neurological conditions either privately or as part of a medicolegal claim.	I conduct this work outside of my NHS contracted hours. I do not take on any patients where there is a conflict of interest (e.g. on my NHS waiting list, a previous patient or someone who might be referred to me, are pursuing a claim against the UHB).	01/01/2002	
1	Pallas, Dr Robert James	Consultant	Non-financial professional interest	Sponsored events	Attended sponsored Educational Events with Boston Scientific.	Sponsored educational events relating to the use of Boston equipment already ordered by the Health Board.	10/11/2022	30/04/2023
1	Pandey, Dr Manish	Consultant	Financial interests	Shareholdings and other ownership interests	I am a Director of a company named AV Learning Healthcare LTD through which I provide consultation to software developments and also employ people to develop software solutions. The work is done in my private time.	No financial incentives received yet. I have invested my own personal money as seed fund to develop some bespoke software solutions.	02/03/2023	
1	Parish, Dr Nicole Elizabeth	Applied Psychologist - Clinical	Financial interests	Outside employment	I deliver teaching days at Plymouth University, for which I am paid privately	Usually 2 days per year.	27/09/2021	30/09/2022
1	Parnell, Mr. Talan Andrew	Specialist Healthcare Science Practitioner	Non-financial professional interest	Outside employment	In 2020 I accepted an unpaid, honorary position with Cardiff University which involves marking assignments for a postgraduate certificate. A requirement for the job I do within C&V is completion of this certificate.	There are 4 co-workers who commenced the course in September 2022 as part of their training and induction. I have not yet been required to mark assignments submitted by these co-workers, but this is likely to occur in the coming months. I have strictly requested to the University team that the assignments are entirely anonymised.	20/09/2022	01/07/2023
1	Partridge, Mrs. Lisa Sian	Speech and Language Therapist	Non-financial personal interests	Gifts	I had a bottle of champagne and chocolates gifted by a patient recently discharged from hospital- likely value £15-20		18/01/2023	18/01/2023
1	Patel, Miss Anjali Ayesha	Physiotherapist	Non-financial professional interest	Clinical private practice	Possible private physio practisc, this would be less than 10 hours per week Voluntary		30/01/2023	
1	Patel, Mr. Chirag Kantibhai	Consultant	Financial interests	Sponsored events	Paid proctorship for teaching and training on medical courses and conferences with Boston Scientific		19/11/2020	30/11/2022
1	Patricolo, Ms. Julietta Joanna	Counsellor	Financial interests	Clinical private practice	I have a small private practice where I supervise counsellor's and other professionals.		01/02/2023	01/02/2024

Level of Risk Score 1 (Low) Score 2 (Med) Score 3 (High)	Name	Job title/Role	Category of interest	Interest situation	Interest Description	Comments	From	To (Leave blank if ongoing)
1	Peaker, Mr. James Alec	Consultant Healthcare Scientist	Indirect interests	Sponsored research	I was approached by a market research company on behalf of an undisclosed pharmaceutical company, to complete an anonymous question and answer interview session for 35min around my thoughts on the current and future role of biomarkers within UGI adenocarcinomas.		28/02/2022	28/03/2022
			Non-financial professional interest	Donations	I have continued to work with MSD and BMS pharma companies, to ensure that C&V cellpath department can offer PDL1 assessment for Welsh patients, which is a NICE requirement, in order for oesophageal or gastric cancer patients to be offered pembrolizumab or nivolumab immunotherapy.		23/07/2022	30/01/2023
1	Peaker, Mr. James Alec	Consultant Healthcare Scientist	Non-financial professional interest	Donations	Involvement in a quality in pathology external assurance program reported by a donation from MSD, for the assessment of PDL1 expression in oesophagogastrrectomy tumoural samples. This is a external quality assurance program run by the German company QuIP (https://www.qualityinpathology.com/en_GB/)		23/06/2022	20/07/2022
1	Pearce, Mr. Timothy Michael	Staff Nurse	Financial interests	Shareholdings and other ownership interests	Money invested in a fund which may include shares in companies that may have dealings with the NHS/CAVUHB Shares held in Royal Mail Group	Individual companies in which share holdings are kept is not published by the fund.	29/01/2023	
1	Pearce, Mrs. Anne Elizabeth	Healthcare Science Associate	Non-financial professional interest	Clinical private practice	Voluntary duties undertaken with St John Ambulance, Welsh cycling and Parkrun.	There is a potential especially in my duties with St John Ambulance, that I may need to treat someone and that person sadly dies. This may lead to them having to have a post mortem with this Health Board and thus becoming a patient of the histology department and in particular the sensitive services section where I am a member of the small team that works on post mortem material.	02/07/2023	
1	Pearse, Mr. Kevin	Staff Nurse	Non-financial personal interests	Sponsored events	I work as a volunteer for Cruse Bereavement Charity, I support clients who have experienced bereavement and support them via telephone and Zoom online platform. I receive no expenses for providing this service.	I attend free online courses provided by Cruse and occasionally make a donation to Cruse for attending. I receive free monthly supervision provided by Cruse. We also as volunteers have the opportunity to attend conferences, but as of yet I have no interest in attending. Cruse allows me as a volunteer to have access to their online library and resources	12/06/2021	
1	Peel, Miss Catherine Laura	Senior Manager	Financial interests	Outside employment	I am a serving member of the British Army Reserves.		23/11/2010	
1	Perkins, Miss Elena	Occupational Therapist	Financial interests	Clinical private practice	Private Occupational Therapist providing specialist rehabilitation for a range of neurological conditions in Morello Clinic.		03/07/2023	03/07/2023
1	Phillips, Miss Elizabeth Jane (Liz)	Chiropodist or Podiatrist	Indirect interests	Outside employment	Nail care technician for Age Connects.	5.5 hours a week	04/05/2023	
1	Phillips, Mrs. Catherine Ann	Board Level Director	Non-financial professional interest	Loyalty interests	I am president of the HFMA Wales Branch from October 2022. I was appointed as a Trustee of the HFMA organisation in January 2023.		27/01/2023	31/03/2023
1	Phillips, Mrs. Joanna Ruth	Physiotherapist	Financial interests	Outside employment	I have been working as a vaccinator at Bayside and Holm View MVCs.		14/01/2022	
1	Phillips, Professor Ceri James	Non Executive Director	Non-financial professional interest	Loyalty interests	I am Emeritus Professor at Swansea University I am Honorary Professor at Cardiff University		23/09/2021	
2	Pickersgill, Dr Trevor Paul	Consultant	Financial interests	Clinical private practice	I perform Private medical Practice based in Cardiff (Sole Trader)		02/04/2004	

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Level of Risk Score 1 (Low) Score 2 (Med) Score 3 (High)	Name	Job title/Role	Category of interest	Interest situation	Interest Description	Comments	From	To (Leave blank if ongoing)
1	Pigott, Miss Aisling Nola (Ash)	Dietitian	Financial interests Indirect interests	Clinical private practice Loyalty interests	I work a small number of hours in private practice. I hold occassional private consultations (4 hours a quarter) as well as some freelance consultancy work (e.g. training for BDA, charity workshops and speaking events (3.5 hours per month). In addition, I do media work as a spokesperson for the British Dietetic Association. I occasionally receive a disturbance fee for this but do not accept this if I volunteer during working hours. RCBC funded PhD - part time stipend		31/01/2023	
1	Pinch, Mrs. Gillian Roxanne (Gill)	Officer	Financial interests	Outside employment	Working occasional weekends at Llandow Circuit as a Safety Marshal		18/02/2023	
1	Pink, Dr Katie Louise	Consultant	Financial interests	Sponsored events	Attendance at virtual conference (ERS) sept 2021 Honorarium for attendance and involvement in a UK (pharmaceutical sponsored) working group for severe asthma (PRECISION). Honorarium for involvement in a webinar		04/03/2022	
1	Porkertova, Miss Dominika (Nika)	Officer	Financial interests	Outside employment	Occasionally work in a pub		21/11/2022	
1	Pothecary, Mrs. Steffanie Laura	Manager	Financial interests	Outside employment	Oncology course administration		10/02/2023	10/02/2024
1	Powell, Mrs. Julie Anne	Staff Nurse	Non-financial personal interests	Loyalty interests	My husband is employed within my department. I do not consider it to cause a confict of interest but was unsure if required to declare it.		13/05/2023	
1	Preet-Ryatt, Mr. Ridaypal	Pharmacist	Indirect interests	Outside employment	working as a self-employed community pharmacist in Wales.	Working as a locum for Dowlais Ltd, the director and superintendent is the current chair of Community Pharmacy Wales.	01/02/2023	01/01/2024
1	Price, Miss Laura Elizabeth	Assistant Psychologist	Financial interests	Outside employment	Second employment with Nobilis Care. Zero hour contract.		27/01/2023	
1	Price, Miss Mannon Fflur	Staff Nurse	Financial interests	Gifts	Relatives of an inpatient gifted a Deliveroo voucher of £60 to the Ward Manager to use for the team.		27/04/2023	28/04/2023
1	Price, Miss Marie Ellena	Dietitian	Financial interests	Outside employment	Ad hoc work with HCPC. The Health and Care profession Council		31/01/2023	31/01/2024
1	Price-Bates, Mrs. Naomi Ellen	Midwife	Financial interests	Outside employment	Private antenatal education. Non-clinical, purely information giving. Approx. 2 hours per week.		26/04/2023	
1	Pruski, Dr Michal	Specialist Healthcare Scientist	Non-financial professional interest	Outside employment	I am a trustee (volunteer) of the UK Clinical Ethics Network since autumn 2022 I am a council member (volunteer) of the Catholic Medical Association (UK) since spring 2018 I am a co-chair (volunteer) of the Healthcare Science Professional Interest Group at the Faculty of Clinical Informatics since autumn 2022		27/01/2023	
1	Pryce, Dr Rebekah Anne	Consultant	Financial interests	Outside employment	Clinical lead for congenital hypothyroidism . Paid 6 sessions / per year by public health wales Kyowa Kirin paid conference fees for ICCBH bone conference Ireland July 22 NovoNordisk paid for course fees/ flight and hotel for European Society Paediatric Endocrinology (ESPE) sep 22 Kyowa Kirin due to pay for flights and accomodation for myself and paediatric metabolic bone to attend conference on XLH (X linked hypophosphataemic ricketts) in Rotterdam 29/30 june 2023		22/06/2021	
1	Quinn, Dr Clare Anne	Applied Psychologist - Clinical	Financial interests	Clinical private practice	I undertake a limited amount of private therapy work from R&R Consulting Centres.		18/02/2022	25/07/2024
1	Quirke, Dr Jessica Ann	Advanced Practitioner	Financial interests	Clinical private practice	I conduct a small amount of medico-legal assessments (approximately one every 1-2 months)	I only see patients who reside outside of my NHS catchment area (Cardiff and Vale and Cwm Taf health boards)	01/09/2021	

Level of Risk Score 1 (Low) Score 2 (Med) Score 3 (High)	Name	Job title/Role	Category of interest	Interest situation	Interest Description	Comments	From	To (Leave blank if ongoing)
1	Ramaraj, Dr Rajeswari	Consultant	Financial interests	Clinical private practice	Registered to work for a private endoscopy company - Endoprime Limited Registered to work for private virtual consulting company I am also the director for my limited company.	My private work is only done out of hours on a weekend or in the evenings and does not impact my clinical work in the nhs	01/06/2021	01/06/2022
1	Rayment, Dr Rachel	Consultant	Indirect interests Financial interests Non-financial professional interest	Sponsored events Shareholdings and other ownership interests	Sponsorship to attend virtual ISTH congress 2022 ISTH sponsorship 2021 -Roche (online attendance) Treasurer UKHCDO, Board of Directors UKHCDO Ltd - shareholding £1		01/03/2020 09/07/2022	13/07/2022 30/01/2023
1	Rees, Dr Dafydd Aled (Aled)	Consultant	Financial interests	Outside employment	Advisory board and project work with Pfizer Ltd to look at outcomes of UK patients with Acromegaly using CPRD data.		01/07/2020	21/12/2020
1	Rees, Miss Leah Marie	Dietitian	Financial interests	Outside employment	I am currently undertaking locum work for the Tier 2 Eating Disorder Service in CTM UHB. This is on a Friday only from 8:30-2:30pm (6 hours) This started on Friday 27th January 2023 and will be finishing on Friday 19th May 2023.		27/01/2023	19/05/2023
1	Rees, Mrs. Suzanne Marie	Nurse Manager	Financial interests	Outside employment	I hold a contract with Health Inspectorate Wales for secondary employment as peer reviewer	This is an adhoc paid additional contract with occasional work being undertaken outside of my current role several days per year	11/03/2022	
1	Regan, Mr. Paul Vincent	Staff Nurse	Financial interests	Outside employment	I registered a not for profit, social enterprise, limited by Guarentee business Stand Tall Strength and Wellbeing ltd We are not currently trading. However, we aim to be running courses for men struggling with their mental health in Barry and wider vale. Potential clients to our service will self-refer and where appropriate any conflicts of interests will be declared. Myself or colleagues in the Primary Mental Health Service will not signpost or direct potential clients to Stand Tall.		11/10/2022	
1	Richards, Mr. Dominic Ian Derek	Radiographer - Diagnostic	Financial interests	Outside employment	I occasionally work at the leisure centre based on site at the University Hospital of Wales.		20/09/2018	27/01/2023
1	Richmond, Mrs. Andrea Joanne (Andrea)	Speech and Language Therapist	Financial interests	Outside employment	I also work part time as a Speech and Language Therapist for Hywel Dda University Health Board.		27/01/2023	
1	Roberts, Dr Aled Wyn	Consultant	Financial interests	Clinical private practice	Co-Director - SAGE Roberts Limited	Running a Private Medical Clinic alternate weeks at Spire Hospital Cardiff	15/03/2022	15/03/2023
1	Roberts, Dr Neil Patrick	Applied Psychologist - Clinical	Indirect interests	Loyalty interests	My wife works in the Cardiff area as a private practitioner psychologist.		31/01/2023	
1	Roberts, Dr Zoe Jane (Zoe)	Consultant	Financial interests	Outside employment	Reviewer for Healthcare Inspectorate Wales	£250 per day, plus travel and subsistence expenses - Will not be permitted to perform review within own health board	01/04/2021	31/03/2024
1	Roberts, Mr. Gareth Llewelyn	Consultant	Financial interests	Clinical private practice	Private orthopaedic surgeon at Spire		01/01/2019	
1	Roberts, Mrs. Debbie (Debbie)	Staff Nurse	Financial interests	Outside employment	I am employed on a sessional basis by the voluntary organisation, the Breastfeeding Network, to deliver training to volunteer peer supporters and to offer them supervision. My employer is aware of this additional employment which takes place on my days off.		10/03/2022	
1	Roberts, Mrs. Lynda Eleri	Nurse Manager	Financial interests	Outside employment	I'm on the list of peer reviewers for Health Inspectorate Wales		02/07/2023	02/06/2024
1	Robertson, Dr Angus	Consultant	Financial interests	Clinical private practice	Managing Partner Cardiff Sports Orthopaedics LLP	NB : Not tendering for NHS work.	01/01/2022	01/01/2023
1	Robertson, Mrs. Sherree Louise (Sherree)	Assistant	Financial interests	Outside employment	Part time Swimming Instructor and Fitness coach for RCTCBC Part time Slimming World Consultant self employed	ongoing	01/04/1995	

Level of Risk Score 1 (Low) Score 2 (Med) Score 3 (High)	Name	Job title/Role	Category of interest	Interest situation	Interest Description	Comments	From	To (Leave blank if ongoing)
1	Robertson, Ms. Natalie	Physiotherapist	Indirect interests	Loyalty interests	My husband is the Director of Operations for CD&T clinical board. I work within CD&T clinical board.		30/01/2023	30/01/2024
1	Robinson, Dr Kristina	Consultant	Financial interests	Outside employment	Ad Hoc Locum Work for AB UHB		01/11/2022	
1	Roblin, Mr. David Graham (Graham)	Consultant	Financial interests	Clinical private practice	Have Private practice session Bupa Spire		04/03/2022	
1	Rodd, Mr. Matthew Jonathan	Specialist Healthcare Science Practitioner	Financial interests	Outside employment	I currently have a second employment with Assured Perfusion Medical Service.		03/03/2022	
1	Rogers, Mr. Paul John (Paul)	Counsellor	Financial interests	Gifts	I was given a gift by a client of mine of a voucher for M+S for £15. They were a member of staff who came for counselling as part of the employee wellbeing service. It was part of a thank you card to me.		19/04/2023	
1	Rogers, Mrs. Sheelagh Anne	Consultant	Financial interests	Clinical private practice	Specialist Practitioner. Cathedral orthodontics Cardiff Mostly Primary Care NHS contract. 1 day a week		01/01/2006	17/03/2022
1	Rowlatt, Mr. Thomas Joseph	Physiotherapist	Financial interests	Clinical private practice	Penarth Physiotherapy Practice Thursday Mornings MSK adult physio	No other conflicts of interest	25/04/2023	28/06/2024
1	Ruck, Miss Susan Ann	Technician	Non-financial professional interest	Sponsored events	Welsh Pharmacy Awards 2022 - Ethypharm Management of Substance Dependency in the Community		07/09/2022	07/09/2022
1	Rushforth, Miss Rachel	Health Care Support Worker	Financial interests	Outside employment	Work as a associate lecturer for the Open University. Provide 5 x online tutorials per module and mark assignments	Have requested no Cardiff students to be allocated to me by the Open University The Open University has lost contract in Wales for nursing students and in future. I have stepped down from role of practice tutor where I was supporting students in practice to focus on my new job.	20/01/2019	
1	Rutkowska-Wheeldon, Mrs. Joanna Barbara	Occupational Therapist	Financial interests	Sponsored events	Paid £550 honorarium for presenting at Neurology Academy		15/06/2023	15/06/2023
1	Saayman, Dr Anton Gerhard	Consultant	Financial interests	Outside employment	I work as Director of Educational Improvement in Health Education & Improvement Wales as 0.6 WTE	This is an ongoing role	10/01/2018	
1	Sabit, Dr Ramsey Ahmed	Consultant	Financial interests	Clinical private practice	I do a private clinic in Spire and Nuffield Cardiff Bay (alternating weeks) once per week. This has been reviewed at every job planning meeting and yearly appraisal		11/08/2015	
1	Sadiq, Mrs. Sadia	Counsellor	Financial interests	Clinical private practice	One client for TY Hafan per week.	This is to maintain my own bereavement competencies. This may end in 8 weeks or go beyond 8 weeks.	03/03/2022	
1	Sall, Mrs. Seetal	Senior Manager	Non-financial personal interests	Shareholdings and other ownership interests	I have established a private software company. KeepMeWell Ltd	I have also notified my Line Manager in accordance with UHB policy. (UHB 472.)	15/06/2022	02/02/2023
1	Salter, Mrs. Catherine Sarah	Officer Staff Nurse	Financial interests	Outside employment	I have a second job with the Royal College of Nursing	ongoing	26/02/2018	
1	Scherf, Dr Caroline Franziska	Consultant	Non-financial professional interest	Hospitality	Offered and accepted sponsorship for European Society of Contraception (ESC) meeting in Ghent, May 2022 Sponsoring organization: Gideon Richter	conference registration, accommodation, travel to Ghent included	25/05/2022	28/05/2022
1	Schlaudraff, Dr Annette Caroline	Consultant	Financial interests	Outside employment	I work as a mobile trainer for Bayer pharmaceuticals outside my NHS contracted hours. I also hold clinical updates online. I do not make purchasing decisions within the UHB that favour Bayer plc		20/01/2021	27/01/2023

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Level of Risk Score 1 (Low) Score 2 (Med) Score 3 (High)	Name	Job title/Role	Category of interest	Interest situation	Interest Description	Comments	From	To (Leave blank if ongoing)
1	Schwarz, Dr Stefan Theodor	Consultant	Financial interests	Clinical private practice	I have practicing privileges at SPIRE Cardiff Hospitals and carry out private work there.		31/01/2023	
				Sponsored posts	I have a post as an Honorary Senior Clinical Research Fellow, University of Cardiff, Cardiff. I contribute to research grants and studies by helping with data analysis and review. I also provide safety reports on Research studies for which I receive funds that are transferred into to research account.		18/01/2023	
			Non-financial professional interest	Loyalty interests	I am a member of the British Society of Neuroradiology academic subcommittee and contribute to the committee by attending meetings supporting the work of the committee.		31/01/2023	
				Outside employment	I have an honorary contract as an Honorary Clinical Associate Professor in Neuroradiology, University of Nottingham, Nottingham. I continue to provide unpaid support and contribute to research work and publications at Radiological Sciences from the University of Nottingham. In the past, I was reimbursed for my activity from a Research Grant by the Michael J Fox Foundation.		31/01/2023	
1	Scrivens, Miss Alison Jeanette	Counsellor	Financial interests	Clinical private practice	Private practise counsellor outside of NHS (Sole Trader)	On going private practice counsellor	04/04/2004	
1	Searle, Mr. Mathew (Mathew Price)	Senior Manager	Non-financial professional interest	Gifts	Donation of equipment from Irwin Mitchell Solicitors - total cost for the items £4296 - equipment such as furniture, technology and accessories such as kitchen appliances, garden games etc. Full list of donations supplied to Aaron Fowler - HEAD OF RISK AND REGULATION	Equipment for the independent living unit at UHL, Specialist Rehabilitation	12/02/2022	12/03/2022
1	Sekaran, Mr. Prabhu	Consultant	Financial interests	Clinical private practice	I Have a position as a consultant surgeon at the Spire Cardiff		02/06/2023	02/01/2038
1	Shah, Dr Sagar	Dental Officer	Financial interests	Outside employment	I work 1 day (7.5 hours) per week at NHS Business Services Authority, where I was previously on a secondment as a Clinical Fellow.	I am leaving NHSBSA in July 2022.	04/01/2022	01/07/2022
1	Shand, Mrs. Sally Ann	Counsellor	Financial interests	Clinical private practice	I work as a private practioner in Cyncoed Consulting Rooms.		31/01/2023	
1	Sharma, Miss Surina	Assistant Psychologist	Financial interests	Outside employment	Have my own very small business selling notebooks that are helpful for trainee clinical psychologists.		01/05/2023	
1	Sharp, Mrs. Jacqueline	Physiotherapist Manager	Indirect interests	Loyalty interests	Husband works for private physiotherapy practice, Go Physiotherapy, in Cowbridge Health Centre		07/03/2022	06/03/2023
1	Sharp, Professor Andrew Simon Peter (Andrew)	Consultant	Financial interests	Sponsored events	Consultant/Speaker's Fees: Boston Scientific Medtronic Philips Penumbra Recor Medical teaching/research/consultancy affiliations.		11/04/2022	11/04/2025
1	Shetty, Dr Hamsaraj Gundal	Consultant	Financial interests	Hospitality	I have received lecture fees from Bayer PLC for delivering educational lecture s for GPs		01/03/2021	28/02/2022
1	Shute, Mrs. Louise	Manager	Non-financial professional interest	Shareholdings and other ownership interests	I have been appointed as a board member (voluntary and non-paid) for a community benefit society called Down to Zero. This does not impact on my role.		10/02/2023	
1	Simpson, Miss Kate Irene	Staff Nurse	Financial interests	Outside employment	I will be commencing work as a self employed Property Inspector for Rental Properties. I will be in receipt of secondary income from approx. March 2023 from a buy to let property.		02/01/2023	
1	Simpson, Mr. David James	Staff Nurse	Non-financial personal interests	Outside employment	Trustee of a Men's Health Charity (Men's Health Forum)		30/01/2023	
1	Slade, Mr. Colin John	Clerical Worker	Non-financial professional interest	Outside employment	Tesco 4 hours on a Sunday Morning, wages and Admin	still at Tesco	31/08/2021	
1	Small, Mrs. Lisa Edwina	Occupational Therapist	Financial interests	Clinical private practice	I work privately on a Thursday evening, seeing patients that are operated on privately by the surgeons.		02/01/2023	
				Outside employment	Additionally, I work as a an expert witness for the court. I consult for a company called somek and associates.			

Level of Risk Score 1 (Low) Score 2 (Med) Score 3 (High)	Name	Job title/Role	Category of interest	Interest situation	Interest Description	Comments	From	To (Leave blank if ongoing)
1	Smee, Mrs. Jacqueline Lovinia (Jacki)	Staff Nurse	Financial interests	Sponsored events	Invited to chair a session at an educational meeting "Nursing at the Limits" in London. Hotel accommodation and travel expenses covered by Novartis pharmaceuticals	Accommodation and travel expenses covered by Novartis. 1 x study leave day given by Health Board (15th Sept) and other day (16th Sept) will be done in my own time	15/09/2023	16/09/2023
1	Smit, Dr Elisa	Consultant	Financial interests	Outside employment	Senior Clinical Lecturer Cardiff University since 2015		11/01/2015	11/07/2022
1	Smith, Dr Emma Louise	Applied Psychologist - Clinical	Financial interests	Outside employment	I have been asked to provide clinical supervision to a group of students on the University College of London Post Graduate Certificate in Psychosis and Bipolar Disorder. This will require 2 hours per week in term time, as well as additional time for marking assignments.		01/09/2023	22/12/2023
1	Stephens, Mr. Michael Robert	Consultant	Non-financial professional interest	Outside employment	I am a trustee of two charities- Kidney Wales Charity and Believe Organ Donation Support.		03/03/2022	
1	Stirk, Mr. Steven	Applied Psychologist - Clinical	Financial interests	Clinical private practice	In addition to my NHS roles, I also practice privately.		27/01/2023	
1	Strick, Miss Louise Kathryn	Physiotherapist	Financial interests	Clinical private practice	Infrequent private clinic physiotherapy during weekends or evenings. At present average less than one hour per week		23/01/2023	
1	Sudheer, Dr Potteth Sukumar	Consultant	Financial interests	Clinical private practice	Employed by Army Reserves Private Practice Director of Sudheer LTD		04/01/2011	
1	Sutak, Dr Judit	Consultant	Financial interests	Clinical private practice	Reporting occasional Spire histology cases.		01/05/2023	01/05/2024
1	Swan, Miss Emma	Speech and Language Therapist	Non-financial personal interests	Loyalty interests	I volunteer as a Team Leader for a charity called Local Welcome. I co-ordinate a group of volunteers in Cardiff to provide fortnightly meals for refugees at the Oasis Centre supported and over seen by Local Welcome. https://www.localwelcome.org/	There is no financial gain.	01/06/2022	
1	Talbott, Dr Taryn Angharad	Applied Psychologist - Clinical	Financial interests	Clinical private practice	Independent practice as a Clinical Psychologist in the Bristol area. Mainly working with adults.	This allows me to maintain my clinical skills while working in a largely non-clinical role. I work independently in a different geographical area than my NHS role.	25/06/2021	
1	Tapper, Mrs. Susan Lesley (Sue)	Officer Receptionist	Financial interests	Outside employment	another role within Cardiff and Vale UHB		24/04/2023	
1	Tarren, Ms. Holly	Officer	Non-financial personal interests	Loyalty interests	I am a school governor for Lansdowne Primary School. My term of office is from 31 March 2023 to 30 March 2027.		31/03/2023	31/03/2027
1	Taverner, Dr Nicola Vivienne	Counsellor	Financial interests Non-financial professional interest	Outside employment Loyalty interests	Employed at Cardiff University as part of the MSc Genetic and Genomic Counselling programme team Trustee for Gene People UK charity		01/01/2014 21/03/2022	
1	Thia, Dr Lena Priscilla	Consultant	Non-financial professional interest	Sponsored events	CF workshops free attendance online		01/04/2022	30/04/2023
1	Thomas, Dr Benny	Consultant	Financial interests	Clinical private practice	I hold private practice clinics at Spire Cardiff, Nuffield Cardiff and St Joseph's Hospital Newport		18/03/2022	
1	Thomas, Dr David Hywel	Consultant	Financial interests	Clinical private practice	Performing post mortems for HM Coroner.	Ongoing	23/09/2022	23/09/2023
1	Thomas, Dr Rhian	Non Executive Director	Financial interests	Outside employment	Owner of Commercial Management consultancy business (operating outside Healthcare). Member of Glas Cymru Cyf (Dwr Cymru / Welsh Water). Occasional consultancy support for a third sector organisation which is a payroll partner of UHB (support provided does not cover this).		07/02/2023	
1	Thomas, Mr. Matthew Bernard	Consultant	Financial interests	Clinical private practice	Clinical Private Practice at West Coast Dental Care, Swansea	Ongoing	31/01/2023	31/01/2024

Level of Risk Score 1 (Low) Score 2 (Med) Score 3 (High)	Name	Job title/Role	Category of interest	Interest situation	Interest Description	Comments	From	To (Leave blank if ongoing)
1	Thomas, Mrs. Charlotte Tanwen	Midwife	Financial interests	Outside employment	I am in a business partnership running private antenatal classes in Cardiff. We work not as midwives but as antenatal educators and we do not comment on the individual care of our participants. We have insurance cover, terms and conditions and a privacy policy. We withhold the NMC code at all times and have sought additional support from the RCM.	The additional work I conduct as self employed has no impact on the care I provide as a midwife within the NHS. There is no conflict of interest.	03/07/2023	
1	Thomas, Mrs. Mary Annette (Annette)	Consultant Healthcare Scientist	Non-financial professional interest	Sponsored events	Member of International Federation of Clinical Chemistry & Laboratory Medicine Task Force on Global Quality.	Attended face to face meeting of TF at the IFCC Wordlab Conference in Seoul in June 2022. Flight and accommodation reimbursed by the IFCC.	03/04/2022	01/04/2023
1	Thomas-Turner, Mrs. Rhian	Manager	Financial interests	Outside employment	Office Holder at MHRA - Paediatric Medicines Expert Committee	Appointed as a member of the paediatric medicines expert committee. One monthly meeting outside of working hours.	11/03/2022	
1	Thompson, Mrs. Dilan	Dietitian	Non-financial professional interest	Sponsored events	I attended Vitaflo 14th Annual Metabolic Dietitians Meeting which was sponsored by Vitaflo which includes transport, food and one day accommodation. I attended BIMDG Workshop: "Experiences using Sapropterin in PKU" in Liverpool which was sponsored by Teva. The transport was funded by All Wales Adult IMD services.		24/11/2022 27/03/2023 25/04/2023	25/11/2022 27/03/2023
1	Thompson, Professor Andrew Robert	Applied Psychologist - Clinical	Financial interests	Clinical private practice	Occassional clinical psychology private practice (registered with HMRC as a sole trader) - medico-legal reports, invited talks/workshops/teaching/external examining, very occassional psychological therapy		02/10/2020	
2	Tibbatts, Dr Clare	Consultant	Financial interests	Clinical private practice Donations	Am registered with several locum agencies, including Remedy that currently provide weekend insourcing at UHW. I have several charitable grants from pharma to fund IBD improvement projects - Takeda, Abbvie, Johnson & Johnson.		04/03/2021	04/03/2022
1	Tipping, Mrs. Sarah Elizabeth	Senior Manager	Financial interests	Outside employment	I am a Board Member for Melin Homes - a registered social landlord. I have been a Board Member since January 2019 and receive a salary for the role.		12/07/2023	
1	Tong, Dr Hung Man Joanna	Healthcare Science Practitioner	Non-financial professional interest	Outside employment Patents	I hold the position of honorary senior research fellow in department of Anatomical and Cellular Pathology, the Chinese University of Hong Kong. MVP score: A low pass whole genome sequencing-based test in differentiation between multiple primary lung cancers and intrapulmonary metastases. (Ref 32022054341.9, Patents Registry, Intellectual Property Department, Hong Kong SAR)	This is an honorary position. The role is to give advice on research projects and data interpretation. I receive no payment for this role.	01/07/2021 20/05/2022	30/06/2023
2	Torkington, Mr. Jared	Consultant	Financial interests	Shareholdings and other ownership interests	Own shares in Alessi Surgical - spin out of Cardiff and Vale - make smoke management system		01/12/2010	
1	Trickett, Mr. Ryan William	Consultant	Financial interests	Clinical private practice	Vale Hand Surgery Ltd		26/08/2016	
1	Tucker, Mr. James Richard David	Applied Psychologist - Clinical	Indirect interests	Loyalty interests	My partner works for the Office of National Statistics, and is involved in the analysis of NHS data (primarily NHS England data) in the mental health domain including IAPT data, for research purposes.		27/01/2023	
1	Turton, Dr Jane	Associate Specialist (Closed to new entrants)	Financial interests	Sponsored events	I have received a payment from Amgen pharmaceuticals, speakers fee for a lecture		04/01/2022	04/01/2023
1	Twist, Dr Jos	Applied Psychologist - Clinical	Financial interests	Clinical private practice	I work privately as a clinical psychologist in addition to my NHS job	I started working privately in February 2019 and intend to continue to do this. I do not have a fixed date when I intend to stop my private work, thus I have picked an 'end date' several years into the future	11/02/2019	31/12/2030
1	Twose, Mrs. Sarah Elizabeth	Physiotherapist	Financial interests	Outside employment Sponsored events	Presentation for kyowa kirin, paid an honourarium Kyowa Kirin has funded attendance at XLH international meeting and travel and accommodation to attend		23/11/2022	

Level of Risk Score 1 (Low) Score 2 (Med) Score 3 (High)	Name	Job title/Role	Category of interest	Interest situation	Interest Description	Comments	From	To (Leave blank if ongoing)
1	Union, Mr. John	Non Executive Director	Financial interests	Outside employment	I am a Non Executive Director of Swansea Building Society (November 2017 to date) I am a Director of Cardiff Business Club (April 2018 to date) I am Vice Chair at Cadwyn Housing Association and a Director of Igneous a wholly owned subsidiary of Cadwyn (January 2017 to date).	I do not see any conflict with these roles and my role as an IM at C&V UHB	11/01/2017	01/11/2023
1	Van-der-Voort, Dr Judith Henriette	Consultant	Financial interests	Outside employment	I provided clinical support and acted as a consultant to Chiesi, a pharmaceutical company, who is preparing a submission to the Welsh medication group for inclusion of the medication to the NHS in Wales.	I was paid £720 for the time given and advice provided. I will be providing them with further input in the next months, for which I will be paid £1000.	11/03/2021	07/04/2022
1	Varghese, Dr Vinod Cherian	Consultant	Non-financial personal interests	Outside employment	I am a Trustee of Immanuel Mar Thoma Church, Cardiff. I am not paid for this role. I am one of the Directors of a private limited company - Apps4Medics Limited. I am not paid for this role.		01/04/2020 11/01/2011	31/03/2023 27/01/2023
1	Vaughan-Owen, Mrs. Mari	Staff Nurse	Financial interests	Outside employment	Self employed, accredited, humanist, funeral celebrant.	Employment is on an ad hoc basis.	18/05/2022	
1	Venter, Mrs. Nerine	Applied Psychologist - Clinical	Financial interests	Outside employment	Associate lecturer at Cardiff Metropolitan University. Lectures for around 20hours per year (usually first semester). Lectures conducted in own time		27/01/2023	31/12/2023
1	Vidgen, Dr Andrew	Applied Psychologist - Clinical	Financial interests	Clinical private practice	private medico-legal work. Approximately 1.5 sessions / month outside normal working hours. Undertaken in Gwent area	Provision of supervision to health professionals outside health board 2 sessions / month.	01/03/2022	23/03/2022
1	Vile, Miss Rebecca Catherine	Assistant Psychologist	Indirect interests	Outside employment	I am looking to take on a second employment with an outside employer, Dyfodol (G4S) a substance misuse service in the Criminal Justice System. Work would involve working weekends across the South Wales Police Area in their custody suites (covering Cardiff, Bridgend, Merthyr and Swansea).		24/04/2023	
1	Virdi, Dr Avraj Singh (Avraj)	Specialty Registrar	Financial interests	Outside employment	Occasional Locum work in Prince Charles Hospital (Cym Taf Health Board)		01/04/2022	01/08/2024
1	Vuolo, Miss Francesca	Technician	Financial interests	Outside employment	I am employed by Nutritank CIC. I am employed by Cardiff Metropolitan University I am employed by Ciren Scene Ltd	Employment is on going	24/09/2021	
1	Wadmore, Mrs. Catherine Elizabeth	Staff Nurse	Financial interests	Outside employment	I have a second job in a private clinic one day per week.		09/06/2021	02/02/2023
1	Wakeling, Mrs. Kate Elizabeth	Specialist Nurse Practitioner	Indirect interests Financial interests	Loyalty interests Outside employment	My husband is a GP and works in a practice in Cardiff. I work for a GP practice in Cwm Taf 2 days per week. the practice is Pont Newydd Medical Centre Porth.		01/04/2008 01/04/2013	
1	Wallbank, Miss Rachel Heather	Occupational Therapist	Non-financial professional interest	Sponsored events	Non- paid member on Advisory Board for a National Sleep Charity. Principle Investigator for National Reseach project- paid as part of NHS Role		09/01/2022	30/09/2023
1	Wardle, Dr Mark	Consultant	Financial interests	Shareholdings and other ownership interests	Director of Eldrix Ltd.		21/05/2014	
1	Waters, Mrs. Gemma	Medical Secretary	Financial interests	Clinical private practice	I am also private secretary for Mr Sumit Goyal at Spire Hospital.	This is an ongoing role that I do on top of my role within the NHS where I also work for him.	01/04/2023	
1	Watts, Mr. Jonathan Roger	Senior Manager	Non-financial personal interests	Outside employment	I am a committee member of Whitchurch Hockey Club (which is part of the wider entity of Whitchurch Sports and Social Club (WSSC) WSSC have an interest in purchasing the land that CAVUHB is disposing of on the Whitchurch Hospital site		10/03/2022	
1	Webber, Mr. John	Officer Telephonist	Non-financial personal interests	Outside employment	I volunteer as a leader with a local scout group		31/01/2023	
1	West, Ms. Catherine Louise	Technician	Financial interests	Outside employment	Self employed Pilates class instructor. Working in hotel gyms and community classes.		25/04/2023	25/04/2023
1	Westacott, Mrs. Claire Louise	Health Care Support Worker	Financial interests	Outside employment	I work 12 hours a week in an admin role based at home.		24/01/2023	

Level of Risk Score 1 (Low) Score 2 (Med) Score 3 (High)	Name	Job title/Role	Category of interest	Interest situation	Interest Description	Comments	From	To (Leave blank if ongoing)
1	Whalley, Mrs. Helen Marie	Midwife Staff Nurse	Non-financial personal interests	Outside employment	Volunteer Bereavement Support worker for Cruse - the provision of telephone support for individual clients as part of their Virtual Support Service in Wales.	Approx. 1 hour per week, plus any related CPD sessions. I have the ability to decline clients prior to speaking with them if they are personally or professionally known to me. I have monthly supervision for this position, provided by Cruse.	05/01/2021	27/01/2023
1	Wheeler, Dr Naomi Lucie	Applied Psychologist - Clinical	Non-financial professional interest	Outside employment	I hold another part time clinical position, with The Junction Cardiff, part of the charity Hope Trust Cardiff CIO. This organisation supports those who have experienced perinatal loss. Contracted 7.5 hours per week, normal working day Tuesdays.		04/10/2021	
1	White, Dr Richard Douglas	Consultant	Financial interests	Clinical private practice Shareholdings and other ownership interests	Consultant Radiologist with 4Ways. Director of White Imaging Services Ltd. Paid dividends.		05/05/2022	
1	White, Miss Jordan	Staff Nurse	Non-financial professional interest	Clinical private practice	Agency work providing medical cover/first aid at events Employed by SEMS medical on an Ad-Hoc basis		27/04/2023	
1	Whitehouse, Miss Kathrin Joanna (Kat)	Consultant	Financial interests	Outside employment	Neurosurgical tutor for online MSc with Learna Ltd		01/09/2021	01/09/2022
1	Whiticar, Dr Rebecca Alice	Consultant	Financial interests	Outside employment	Expert witness Emergency Medicine	I always complete a conflict check prior to being instructed in any specific EM case	17/03/2022	
1	Wilkey, Miss Melanie Jo	Senior Manager	Financial interests	Outside employment	Hourly paid lecturing at University of South Wales	I am currently doing dissertation supervision in my own time. I may take on some lecturing in the coming term.	11/02/2022	
1	Wilkinson, Dr Nicholas	Consultant	Non-financial personal interests	Loyalty interests	I am patron for a charity CCAA I also work with British Soc Rheum, Versus Arthritis and National rheumatoid Arthritis	I have no financial conflicts of interest	10/01/2010	
1	Williams, Dr Ian Edward	Staff Nurse	Financial interests	Clinical private practice	I run alongside a Community Paediatrician one private clinic session per month which lasts for around 4 hours. This is in my field of practice - Paediatric neurodevelopmental disorders and in particular ADHD.		10/03/2022	31/03/2023
1	Williams, Dr Marc Owen	Applied Psychologist - Clinical	Financial interests	Outside Employment	I have a temporary contract as an external examiner for doctoral clinical psychology at the University of Limerick.		02/06/2023	
1	Williams, Mr. Matthew Gareth (Matt)	Nurse Manager	Financial interests	Clinical private practice	Occasional Pitch-side medical cover for Cardiff City Football Club with Lubas Medical		14/03/2021	
1	Williams, Mrs. Imogen Sofie	Physiotherapist	Financial interests	Clinical private practice	Commenced paid work in a private physiotherapy practice treating pelvic health patients via patient self-referral.		12/05/2022	
1	Williams, Ms. Nicola Jayne	Specialist Nurse Practitioner Staff Nurse	Financial interests	Outside employment	I have a second role as a primary care nurse one day a week at Llan healthcare surgery Cardiff. I work every Thursday - 8hours.	As above. This employment is ongoing.	05/06/2022	
1	Winter, Mrs. Mia Krista-Maria	Applied Psychologist - Clinical	Financial interests	Clinical private practice	I am an associate with Halliday Quinn Ltd, but as yet have not undertaken any private work.		23/09/2021	
1	Witczak, Dr Justyna Karolina	Consultant	Financial interests	Sponsored events	Fee and honoraria for delivering talks and lectures for pharma companies (Astra Zeneca, Novo Nordisk, Boehringer-Ingelheim) Sponsored attendance at EASD virtual meeting in 2021	These additional paid for activities are only undertaken sporadically- 3-4/year	04/03/2022	10/05/2022
1	Wood, Dr Andrew Mayne	Consultant	Indirect Interests	Loyalty interests	Spouse company - EGL design	Involvement with Orchard project.	01/10/2012	
1	Wray, Miss Clare	Radiographer - Diagnostic Advanced Practitioner	Indirect interests	Outside employment	I run my own business, X-Wray Training Ltd. I deliver applications training, lectures in radiography and radiation protection. I am also training to be a RPA and MPE. In addition, I work ad-hoc shifts at Hywel Dda Health Board		28/09/2022 15/07/2012	28/09/2030 15/07/2045
1	Wright, Miss Falone Victoria	Technician	Financial interests	Outside employment	Part time employment 2 Saturdays a month - does not conflict with work rota		16/02/2023	01/01/2024
1	Wright, Mrs. Natalie Suzanne	Occupational Therapist	Financial interests	Shareholdings and other ownership interests	I have shares in my husbands business	Approx date of 23 May 2022 ongoing	23/05/2022	

Level of Risk Score 1 (Low) Score 2 (Med) Score 3 (High)	Name	Job title/Role	Category of interest	Interest situation	Interest Description	Comments	From	To (Leave blank if ongoing)
1	Yarr, Miss Venetia	Nurse Manager Staff Nurse	Financial interests	Donations Sponsored events	Cardiff University are kindly sponsoring our awards ceremony for international nurses, midwives, OPD day on the 11/5/23. They are sponsoring awards for practice staff and students for £500. This money will be spent on having individual awards made and engraved. HEIW is kindly sponsoring our international nurses day awards ceremony on the 11/5/23 for £100. This money is being used to purchase awards for the winners. open university Cymru is kindly donating £300 for our international nurses day ceremony that we are holding on the 11/5/23. This money is being used to purchase awards for the winners.		02/05/2023	11/05/2023
2	Yousef, Dr Zaheer Raza	Consultant	Financial interests	Clinical private practice	Cardiac screening of elite athletes	Offer private medical consultations and treatments in keeping with NHS scope of practice	01/01/2008	
				Outside employment	Private clinical practice at Spire Hospital Cardiff and Cardiff Bay Hospital	Disclosures on ABPI website	01/01/2008	
			Non-financial professional interest	Shareholdings and other ownership interests	Lecture Fees and Honoraria: Astra Zeneca, Boeringher Ingelheim, Novartis, Pfizer, Servier, Bayer, Lilly, Sanofi		01/01/2015	31/12/2025
				Sponsored research	1% share holding in Spire Healthcare		31/07/2019	
					Director ZY Consult Ltd		01/01/2019	
					Research grants: Medtronic, Abbott, Ceryx medical			
2	Yousef, Dr Zaheer Raza	Consultant	Non-financial professional interest	Donations	Charity Trustee: British Society of Heart Failure, Heart Research Wales, Africa Empowered		01/01/2019	31/12/2025
1	Zaidi, Dr Syed Tatheer Abbas (Abbas)	Consultant	Financial interests	Clinical private practice	Spire Hospital Cardiff.	Private cardiology pratice. This is ongoing	20/09/2022	20/09/2024

Mohamed Sarah
29/08/2023 16:40:14

Report Title:	Counter Fraud Progress Report			Agenda Item no.	7.9
Meeting:	Audit Committee	Public	x	Meeting Date:	05/09/2023
		Private			
Status (please tick one only):	Assurance	x	Approval		Information
					x
Lead Executive:	Catherine Phillips				
Report Author (Title):	Gareth Lavington				
Main Report					
Background and current situation:					
<p>The Counter Fraud Progress report seeks to provide assurance to members of the Audit Committee that the Counter Fraud work being undertaken is satisfactory, robust and compliant with NHS Counter Fraud Authority requirements.</p> <p>The report provides information around key areas of work including, fraud awareness and learning, fraud risk assessment, investigation and reactive work, and promotional activity.</p>					
Executive Director Opinion and Key Issues to bring to the attention of the Board/Committee:					
<p>Progress made against the Annual Counter Fraud Plan.</p> <p>Current Investigations.</p> <p>Other activity</p>					
Recommendation:					
The Board / Committee are requested to: note the report					
Link to Strategic Objectives of Shaping our Future Wellbeing:					
Please tick as relevant					
1. Reduce health inequalities		6. Have a planned care system where demand and capacity are in balance			
2. Deliver outcomes that matter to people	x	7. Be a great place to work and learn		x	
3. All take responsibility for improving our health and wellbeing		8. Work better together with partners to deliver care and support across care sectors, making best use of our people and technology			
4. Offer services that deliver the population health our citizens are entitled to expect	x	9. Reduce harm, waste and variation sustainably making best use of the resources available to us		x	
5. Have an unplanned (emergency) care system that provides the right care, in the right place, first time		10. Excel at teaching, research, innovation and improvement and provide an environment where innovation thrives		x	

Five Ways of Working (Sustainable Development Principles) considered

Please tick as relevant

Prevention	x	Long term	x	Integration	x	Collaboration	x	Involvement	x
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Impact Assessment:

Please state yes or no for each category. If yes please provide further details.

Risk: Yes/No

Fraud is a risk to all organisations. Within the NHS should fraud occur then this can have financial and reputational impacts and ultimately negatively affect patient care.

Safety: Yes/No

Financial: Yes/No

All fraud occurring in the organization has a financial loss to the organization.

Workforce: Yes/No

Reduction of available staff during investigations and sanctions; demotivation

Legal: Yes/No

Reputational: Yes/No

As at Risk

Socio Economic: Yes/No

Equality and Health: Yes/No

Decarbonisation: Yes/No

Approval/Scrutiny Route:

Committee/Group/Exec	Date:

Mohamed Sarah
29/08/2023 16:40:14



GIG
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Caerdydd a'r Fro
Cardiff and Vale
University Health Board

NHS WALES

Counter Fraud Progress Report

17/06/2023 – 18/08/2023

Public

GARETH LAVINGTON
COUNTER FRAUD MANAGER
CARDIFF & VALE UNIVERSITY HEALTH BOARD

Table of Contents

1. Introduction.....	2
2. Progress	3
Infrastructure/Annual Plan	3
Promotion and Awareness and Educational Activity	3
Prevention	4
Referrals.....	4
Investigations	5
Fraud Risk.....	8
National Fraud Initiative	9
3. Other.....	9
NA	9

Mohamed Sarah
29/08/2023 16:40:14

1. Introduction

In compliance with the Secretary of State for Health's Directions on Countering Fraud in the NHS, this report provides details of the work carried out by the Cardiff and Vale University Health Board's Local Counter Fraud Specialists on behalf of the Health Board.

This report relates to activity for the reporting period 17/06/2023 – 18/08/2023.

2. Progress

Infrastructure/Annual Plan

Work has continued in maintaining the Counter Fraud infrastructure in order to maintain compliance with the Counter Fraud Plan for 2023-2024, and the NHS CFA functional standards. The below activity has taken place -

- i. Continued maintenance and development of a comprehensive local activity database which is vital in maintaining a detailed and accurate record of work undertaken and activity reported in order to inform areas of future work.
- ii. Continued maintenance of Counter Fraud digital platform – **Members of the Audit Committee are encouraged to visit the site at the link/QR code here**

[Counter Fraud - Home \(sharepoint.com\)](#)



Promotion and Awareness and Educational Activity

Corporate Induction– The first Corporate Induction event is to be held at the UHW site on 25th October 2023. Counter Fraud Team will be attending at this event and all future events. These have now been added to the calendar for the remainder of the financial year.

Mohamed, Sarah
29/08/2023 16:40:14

Webinar Events – During this period a total of 4 webinar events have been held. These sessions are held once a month and are advertised for staff to book into. Two sessions are held – General fraud Awareness and Mandate Specific Fraud Awareness. No members of staff from CAVUHB has attended a webinar in this period.

Intranet Site- during this period the intranet site has received 110 visits.

Other/Ad Hoc/Trial promotional activity- A further newsletter has been produced, disseminated and published on the intranet site. This, and historic newsletters, can be found at the following link - [News & Recent Cases \(sharepoint.com\)](#) or via the QR Code provided above.

E- Learning – The new e-Learning package is now Live on the ESR system and available to staff. This is not mandatory learning at the organisation. Since launch **##** members of staff at CAVUHB have completed the learning. During the same time period across NHS Wales as a whole, **##** members of staff have completed the learning. (**## - to be provided verbally at meeting**) Liaison has been made with the People Services team in order promote Counter Fraud e-Learning to the Mandatory Training Steering Group.

Prevention

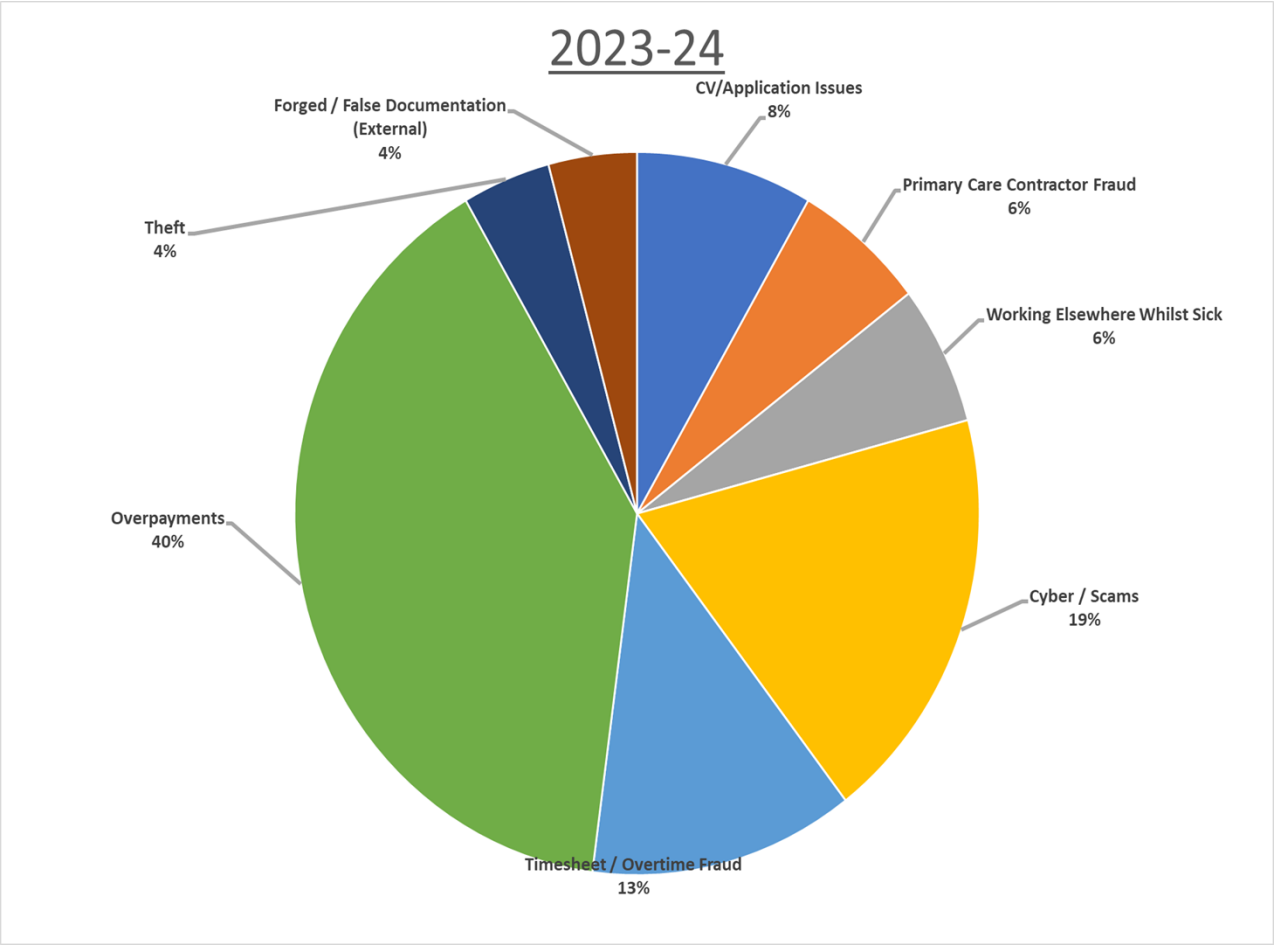
Local Bulletins – One bulleting has been issued this period that has been disseminated appropriately – stolen prescription pad.

Referrals

During this reporting period there have been a total of 25 referrals made to the team. These referrals are broken down into themes below. (Of the 25 referrals received, 10 have been closed with no further action required, and 15 have been promoted to formal investigation)

Mohamed, Sarah
29/08/2023 16:40:14

A thematic breakdown of the referral areas for the 2023-24 year to date (18/08/2023) is shown below.



Investigations

A total of 15 formal Investigations have been commenced this Quarter. A summary of the investigations for 23-24 are provided below. As can be seen a total of 31 new investigations have been opened since the start of the financial year. At the same time last year 8 investigations had been opened. This is a significant increase.

Mohamed, Sarah
29/08/2023 16:40:14

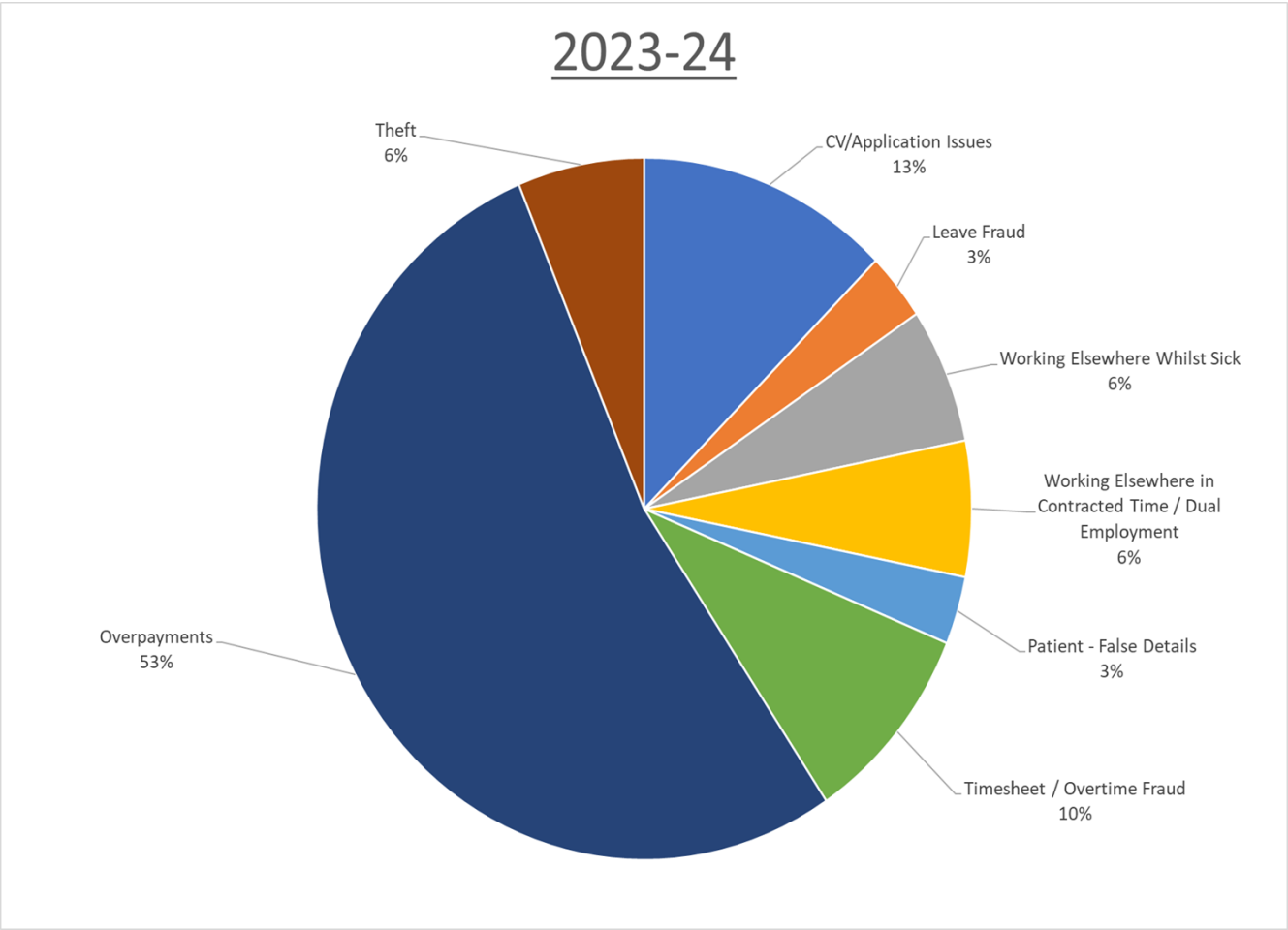
Investigation Number	Investigation Subject	Date Opened	Date Closed	Outcome
INV/22/00730	False On Call Claims	CARRIED OVER - 24/06/2022		
INV/22/01558	False Bereavement	CARRIED OVER - 25/10/2022	04/07/2023	Subject has been dismissed for Gross Misconduct following Disciplinary Hearing. Financial Recovery made of £520.61
INV/23/00079	Staff Over Payment	CARRIED OVER - 10/01/2023		
INV/23/00096	Overpayment of Salary - Non Starter	CARRIED OVER - 12/01/2023		
INV/23/00113	Suspected Overtime Fraud (EW)	CARRIED OVER - 13/01/2023		
INV/23/00263	Working elsewhere during HB Hours	CARRIED OVER - 06/02/2023	02/05/2023	No fraud identified, all avenues of investigation completed under available powers.
INV/23/00412	Patient letters to different address	CARRIED OVER - 28/02/2023	04/07/2023	Reported in good faith, no offences identified.
INV/23/00415	Working whilst sick / NFI match	CARRIED OVER - 27/02/2023	23/06/2023	Case transferred to National Investigations Team NHSCFA - outcome awaited
INV/23/00646	Theft of Cyclizine	03/04/2023	02/05/2023	Evidence of theft to the value of £11.33, passed evidential test however did not pass public interest test for criminal prosecution. Subject work with organisation terminated.
INV/23/00648	Overpayment Of Salary - Career Break	03/04/2023	01/06/2023	Non Fraud Recovery £10,847.74. Subject on career break out of the country, civil recovery only.
INV/23/00702	Overpayment / On-Call Banding error	06/04/2023	18/05/2023	Disciplinary hearing completed - written warning issued in relation to nonfraud offences. No losses to fraud identified.
INV/23/00737	Salary Overpayment Following Termination	18/04/2023		
INV/23/00764	Salary Overpayment Following Termination	21/04/2023	04/07/2023	Non fraud recovery - £5,525.37. Subject no longer employed by organisation.
INV/23/00824	Salary Overpayment Following Termination	02/05/2023	04/07/2023	Non Fraud recovery - £2,967.57. Subject no longer employed by organisation.
INV/23/00825	Salary Overpayment for Sick Pay	02/05/2023		

Mohammed Sarah
29/08/2023 16:40:14

INV/23/00826	Salary Overpayment Reduction in Hours	02/05/2023		
INV/23/00827	Salary Overpayment Following Termination	02/05/2023		
INV/23/00828	False Reference - Bank Worker	02/05/2023	18/05/2023	Subjects recruitment with the organisation was terminated. Intelligence shared with counter parts across Wales regarding Subject.
INV/23/00884	Overpayment of Salary - Career Break	10/05/2023		
INV/23/00896	Overpayment of Salary - Late termination	11/05/2023	04/07/2023	Non Fraud Recovery - £6,589.22. Subject no longer in employment
INV/23/00991	CV Issues	23/05/2023	30/05/2023	Investigation complete, no issues found
INV/23/01060	Falsified managers signature on training form	02/06/2023	14/07/2023	Internal Disiplinary sanction / closed
INV/23/01204	Suspicious Claiming Activity	21/06/2023		
INV/23/01228	CV Issues	27/06/2023	27/06/2023	Duplicate of INV/23/00991
INV/23/01310	Working elsewhere in contracted time	05/07/2023	05/07/2023	Enquiries completed, no fraud issues identified, matters reported have already been dealt with historically at managerial level. DOI to be submitted regarding voluntary work.
INV/23/01403	Overpayment of Salary - Late Termination	18/07/2023		
INV/23/01578	Mis use of Research Budget	01/08/2023		
INV/23/01619	Sending prescription overseas	03/08/2023		
INV/23/01633	Agency Worker False Timsheets	03/08/2023		
INV/23/01634	Salary Sacrifice Vehicle not transferred when subject left organisation, no further deductions/payments made	03/08/2023		
INV/23/01636	Suspect has been carrying out UBER work whilst off sick from HB with chronic Back issues	07/08/2023		
INV/23/01681	Optical Claim Fraud	10/08/2023		
INV/23/01680	Optical Claim Fraud	10/08/2023		
INV/23/01679	Optical Claim Fraud	10/08/2023		

INV/23/01696	No Termination	14/08/2023
INV/23/01703	Intel report re staff at St Davids acting nepotistically	14/08/2023
INV/23/01644	Intel from CFA	14/08/2023
INV/23/01732	Slary Overpayment	16/08/2023
INV/23/01736	Salary Overpayment	16/08/2023

A thematic breakdown of the investigation areas for the 2023-24 year to date is shown below.



Mohamed, Sarah
29/08/2023 16:40:14

Fraud Risk

A total of 3 Fraud Risk Assessments have been completed in this period. These have been disseminated to nominated stakeholders and Executive leads for review, and consideration for recording on the local risk register, as per the Risk Management Policy.

The areas that the risk assessments have been submitted:

Retention of Salary Overpayments

Working elsewhere – Remote/Agile Working

Omnicell/Automated medicine cabinet

Copies of these assessments have been submitted in the papers for the private meeting along with the live Risk Fraud Profile that provides up to date reporting of the current situation in relation to fraud risk.

National Fraud Initiative

Work has continued into the latest NFI data dump. The below table provides the total matches that are addressed by the Counter Fraud Team.

Report Type	Total No. of Matches	No. Cleared
Payroll to Payroll - NI	311	52
Payroll to Payroll - Tel. No.	54	2
Payroll to Payroll - Email	1	1
Payroll to Pension	132	132
Payroll to Company Director/Trade Creditor	116	20
Payroll to Creditor	190	2

Mohamed Sarah
29/08/2023 16:40:14

3. Other

NA

Mohamed Sarah
29/08/2023 16:40:14

Report Title:	Overpayment of Salary Update			Agenda Item no.	7.10
Meeting:	Audit Committee	Public	X	Meeting Date:	5 September 2023
		Private			
Status (please tick one only):	Assurance	<input checked="" type="checkbox"/>	Approval		Information
Lead Executive:	Executive Director of People & Culture				
Report Author (Title):	Head of People Assurance & Experience				

Main Report

Background and current situation:

This report provides the Committee with an update on progress since the June meeting that support the aim to reduce the number of overpayments within the Health Board.

The Overpayments Working Group report into the Workforce Sustainability Programme where assurance is provided on planned reduction.

Executive Director Opinion and Key Issues to bring to the attention of the Board/Committee:

The below have been actioned since the last meeting:

- **Improved communication** – a message has been sent to all managers to stress the importance of completing/actioning changes in a timely manner, considering Payroll deadlines. For example, termination, staff changes forms, recording sicknesses absence. Clinical Boards, CEF and Corporate Departments have been asked to reinforce the message with their teams.
- **Training & Support** – to date the biggest reason for overpayments by managers are late recording of sickness absence, late completion of termination and staff changes forms. Guidance has been made available to managers covering these areas.
- **Notification of Overpayments** – a new electronic overpayment system has been introduced by NWSSP, which automatically generates letters/emails to managers where a salary overpayment has been discovered.
- **Live Dashboard** - a 'live' dashboard has been created by NWSSP where named managers can view the overpayments in their area as soon as it's discovered by NWSSP Payroll. The dashboard includes information such as: name of individual who has been overpaid; the amount of the overpayment; the reason for the overpayment and details of the Department, Directorate and Clinical Board.

To be actioned from 1 September 2023:

- **Monthly Overpayment Reports** – There have been delays in receiving meaningful monthly reports from NWSSP, we have been assured these will be available from September. The reports will be issued to senior managers to identify the monthly/cumulative salary overpayments. These will be provided to the Clinical Boards and the working group will provide initial support to determine the size, nature and causes of the overpayments and will then become part of normal managerial responsibilities.

- **Clinical Board Reviews** – where improvements are not achieved this will be discussed in both Directorate and Clinical Board reviews, to identify reasons, support required, plan, timescales, etc.
- **Payroll Overpayment/Underpayment Policy** – the UHB had been advised that the revision of the new All Wales Salary Overpayments Policy has been delayed, so the current UHB policy will now be reviewed, updated and re-issued within the next 2 months.
- **User friendly & accessible Payroll forms** – A new suite of electronic termination and staff changes forms are being developed by NWSSP which will be far more user friendly and easily accessible. It is hoped that these forms will enable a reduction in the overpayments but will still require timely completion by the manager. Unfortunately, these are not likely to be available to pilot within the Health Board until November 2023.

Recommendation:

The Committee are requested to:

- **Note** the contents of this report.

Link to Strategic Objectives of Shaping our Future Wellbeing:

Please tick as relevant

1. Reduce health inequalities		6. Have a planned care system where demand and capacity are in balance	
2. Deliver outcomes that matter to people		7. Be a great place to work and learn	
3. All take responsibility for improving our health and wellbeing		8. Work better together with partners to deliver care and support across care sectors, making best use of our people and technology	
4. Offer services that deliver the population health our citizens are entitled to expect		9. Reduce harm, waste and variation sustainably making best use of the resources available to us	✓
5. Have an unplanned (emergency) care system that provides the right care, in the right place, first time		10. Excel at teaching, research, innovation and improvement and provide an environment where innovation thrives	

Five Ways of Working (Sustainable Development Principles) considered

Please tick as relevant

Prevention	✓	Long term		Integration		Collaboration		Involvement	
------------	---	-----------	--	-------------	--	---------------	--	-------------	--

Impact Assessment:

Please state yes or no for each category. If yes please provide further details.

Risk: Yes

By undertaking the HMRC Employment status test, the UHB is fulfilling its obligations as part of the Off Payroll Working legislation

Safety: No

Financial: Yes/No

By undertaking the HMRC Employment status test, the UHB is fulfilling its obligations as part of the Off Payroll Working legislation and avoid any penalties

Workforce: No

Legal: Yes	
By undertaking the HMRC Employment status test, the UHB is fulfilling its obligations as part of the Off Payroll Working legislation	
Reputational: Yes	
By undertaking the HMRC Employment status test, the UHB is fulfilling its obligations as part of the Off Payroll Working legislation	
Socio Economic: No	
Equality and Health: No	
Decarbonisation: No	
Approval/Scrutiny Route:	
Committee/Group/Exec	Date:

Mohamed, Sarah
29/08/2023 16:40:14

Report Title:	Internal Audit Reports for Information				Agenda Item no.	9.1	
Meeting:	Audit & Assurance Committee	Public	X	Meeting Date:	05/09/23		
Status (please tick one only):	Assurance	X	Approval		Information	X	
Lead Executive:	Director of Corporate Governance						
Report Author (Title):	Head of Internal Audit						
Main Report							
Background and current situation:							
<p>The NHS Wales Shared Services Partnership (NWSSP) Audit and Assurance Service provides an Internal Audit service to the Cardiff and Vale University Health Board.</p> <p>The work undertaken by Internal Audit is in accordance with its annual plan, which is prepared following a detailed planning process, including consultation with the Executive Directors, and is subject to Audit Committee approval. The plan sets out the program of work for the year ahead as well as describing how we deliver that work in accordance with professional standards and the engagement process established with the UHB.</p> <p>As individual audit reviews are completed, the final reports are submitted to the Committee for assurance and information.</p>							
Executive Director Opinion and Key Issues to bring to the attention of the Board/Committee:							
<p>The following audit report has been finalised since the last meeting of the Committee:</p> <ul style="list-style-type: none"> Recommendation Tracking - (Substantial Assurance) 							
Recommendation:							
<p>The Audit & Assurance Committee are requested to:</p> <ul style="list-style-type: none"> Consider and note the final Internal Audit report. 							
Link to Strategic Objectives of Shaping our Future Wellbeing:							
<i>Please tick as relevant</i>							
1. Reduce health inequalities	x	6. Have a planned care system where demand and capacity are in balance					
2. Deliver outcomes that matter to people	x	7. Be a great place to work and learn	x				
3. All take responsibility for improving our health and wellbeing		8. Work better together with partners to deliver care and support across care sectors, making best use of our people and technology					
4. Offer services that deliver the population health our citizens are entitled to expect	x	9. Reduce harm, waste and variation sustainably making best use of the resources available to us	x				
5. Have an unplanned (emergency) care system that provides the right care in the right place, first time		10. Excel at teaching, research, innovation and improvement and provide an environment where innovation thrives					
Five Ways of Working (Sustainable Development Principles) considered							
<i>Please tick as relevant</i>							
Prevention		Long term	x	Integration	x	Collaboration	x
						Involvement	

Impact Assessment:

Please state yes or no for each category. If yes please provide further details.

Risk: Yes/~~No~~

The finalised audit report provides assurance around a number highlighted risks and also identify areas requiring improvement.

Safety: ~~Yes~~/No

Financial: Yes/No

Workforce: Yes/No

Legal: Yes/No

Reputational: Yes/~~No~~

The finalised audit provides assurance around reputational risks.

Socio Economic: ~~Yes~~/No

Equality and Health: Yes/No

Decarbonisation: ~~Yes~~/No

Approval/Scrutiny Route:

Committee/Group/Exec

Date:

Mohamed, Sarah
29/08/2023 16:40:14

Recommendation Tracking Final Internal Audit Report

August 2023

Cardiff & Vale University Health Board



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NHS
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Gydwasanaethau
Gwasanaethau Archwilio a Sicrwydd
Shared Services
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Cardiff and Vale
University Health Board



Contents

Executive Summary 3

1. Introduction..... 4

2. Detailed Audit Findings..... 4

Appendix A: Management Action Plan..... 7

Appendix B: Assurance opinion and action plan risk rating 12

Review reference:	CVU 2324-06
Report status:	Final Report
Fieldwork commencement:	16 th May 2023
Fieldwork completion:	11 th July 2023
Debrief meeting:	25 th July 2023
Draft report issued:	25 th July 2023
Management response received:	11 th August 2023
Final report issued:	11 th August 2023
Auditors:	Lucy Jugessur, Interim Deputy Head of Internal Audit Sharon Edwards, Principal Internal Auditor
Executive sign-off:	Matt Phillips, Director of Corporate Governance
Distribution:	Aaron Fowler, Head of Risk and Regulation Glynis Mulford, Risk and Regulation Officer
Committee:	Audit & Assurance Committee



Audit and Assurance Services conform with all Public Sector Internal Audit Standards as validated through the external quality assessment undertaken by the Chartered Institute of Public Finance & Accountancy in April 2023.

Acknowledgement

NHS Wales Audit and Assurance Services would like to acknowledge the time and co-operation given by management and staff during the course of this review.

Disclaimer notice - please note

This audit report has been prepared for internal use only. Audit and Assurance Services reports are prepared, in accordance with the agreed audit brief, and the Audit Charter as approved by the Audit and Assurance Committee.

Audit reports are prepared by the staff of the NHS Wales Audit and Assurance Services, and addressed to Independent Members or officers including those designated as Accountable Officer. They are prepared for the sole use of the Cardiff & Vale University Health Board and no responsibility is taken by the Audit and Assurance Services Internal Auditors to any director or officer in their individual capacity, or to any third party.

Our work does not provide absolute assurance that material errors, loss or fraud do not exist. Responsibility for a sound system of internal controls and the prevention and detection of fraud and other irregularities rests with Cardiff & Vale University Health Board. Work performed by internal audit should not be relied upon to identify all strengths and weaknesses in internal controls, or all circumstances of fraud or irregularity. Effective and timely implementation of recommendations is important for the development and maintenance of a reliable internal control system.

Executive Summary

Purpose

To review the Health Board’s processes for monitoring the implementation of recommendations from internal and external assurance and review bodies and reporting into the Audit and Assurance Committee.

Overview

We have issued substantial assurance on this area.


The matters requiring management attention include:

- It was evidenced that there was a lack of supporting narrative to confirm closure of some Internal Audit and External Audit recommendations.

Other recommendations / advisory points are within the detail of the report.

Report Opinion

Substantial



Few matters require attention and are compliance or advisory in nature.
Low impact on residual risk exposure.

Assurance summary¹

Objectives	Assurance
1 Monitoring and reporting of Internal, External and Review bodies recommendations	Substantial
2 Status of recommendations	Reasonable
3 Audit & Assurance Committee review and scrutinise the recommendation trackers	Substantial

¹The objectives and associated assurance ratings are not necessarily given equal weighting when formulating the overall audit opinion.

Key Matters Arising

		Objective	Control Design or Operation	Recommendation Priority
1	Lack of supporting narrative to close Internal & External Audit recommendations	2	Operation	Medium

Mohamed Sarah
29/08/2023 16:40:14

1. Introduction

- 1.1 The audit of the Recommendation Tracking Process was undertaken and completed in line with the 2023/24 Internal Audit Plan for Cardiff and Vale University Health Board (the 'Health Board').
- 1.2 Internal Audit, External Audit, and review bodies play an important role in providing the Board with assurance on the overall adequacy and effectiveness of the organisation's framework of governance, risk management and control.
- 1.3 Provision of this assurance is primarily achieved through delivery of the individual audit reviews included within the agreed annual Internal Audit plan and External Audit plan.
- 1.4 In addition, internal and external audits and review bodies findings and recommendations identified through the audit reviews are beneficial to management in securing improvement in the audited areas. It is therefore key that the identified recommendations are effectively implemented by management within agreed timescales.
- 1.5 The Audit and Assurance Committee ('the Committee') monitor the progress in implementing recommendations (this is wider than just Internal Audit recommendations) through the recommendation tracker process.
- 1.6 The relevant Executive lead for the review was the Interim Director of Corporate Governance.

Audit Risks

- 1.7 The potential risks considered in this review were as follows:
 - Recommendations are not implemented resulting in continued risk for the Health Board; and
 - Inaccurate reporting within the trackers leading to ineffective assurance.

2. Detailed Audit Findings

Objective 1: Effective processes are in place for monitoring and reporting the implementation of Internal and External Audit and review bodies recommendations

- 2.1 The Head of Risk and Regulation and his team coordinate the recommendation tracking process.
- 2.2 There are separate recommendation trackers for Internal Audit, External Audit and the review bodies.
- 2.3 Following the completion of internal, external and review body audit reports, all recommendations are added to a recommendation tracker spreadsheet. The Risk and Regulation team maintain the spreadsheets to enable the status of recommendations to be updated and presented to the Committee.

- 2.4 Each recommendation tracker has a recommendation implementation date and there is also a column indicating the status of the recommendation and another for the Executive update. If the agreed implementation date has been exceeded, the columns will be highlighted in red to alert the Committee that the implementation date has been surpassed.
- 2.5 The report for Internal Audit and External Audit includes a summary of all overdue recommendations made for each year since 2019-2020.
- 2.6 There are Standing Operating Procedures (SOPs) in place for External / Internal Audit trackers and the review body tracker. The SOPs include a flowchart identifying the process for the recommendation trackers.

Conclusion:

- 2.7 There are processes in place with separate trackers for monitoring and reporting of the implementation of recommendations for Internal and External Audit as well as the review bodies. There are also SOPs in place for the Internal Audit, External Audit and review bodies recommendation trackers. **(Substantial Assurance)**

Objective 2: The status of recommendations is accurately recorded within the Health Board's recommendation tracking report.

- 2.8 The Internal Audit, External Audit and review bodies recommendation trackers identify the Executive or operational lead that agreed the initial recommendation and has responsibility for ensuring that the management actions are implemented within a reasonable timescale.
- 2.9 Updates on the implementation of all outstanding recommendations for Internal Audit, External Audit and review bodies are requested from the respective Executive / operational leads to update the report for every other Committee meeting. The updates received from the Executives are recorded in the recommendation tracker and the status of the recommendations are updated accordingly.
- 2.10 As detailed above, the Executive lead is requested to provide narrative explaining the latest status of the recommendation, however, the narrative provided for Internal or External Audit recommendations is not always sufficient to fully substantiate the closure of the recommendation. In addition, there are meetings held with Internal and External Audit prior to the Audit and Assurance Committee to discuss the recommendations. There are instances whereby it is agreed to close the recommendations, but the reasons are not always stated on the tracker spreadsheet. **(Matter arising 1 – Medium Priority)**
- 2.11 It was identified from review of the review bodies written report and the tracker for the period April 2022 to February 2023 that there were discrepancies in the numbers being reported. **(Matter arising 2 - Low Priority)**

Conclusion:

- 2.12 There is a process in place for monitoring the status of recommendations for Internal Audit, External Audit, and review bodies. The narrative provided to support the closure of the recommendation by the Executive is not always sufficient and the tracker is not updated to record when Internal or External Audit agrees the closure of a recommendation. **(Reasonable Assurance)**

Objective 3: The Audit & Assurance Committee undertake appropriate review and scrutiny of the recommendation tracking reports.

- 2.13 The Head of Risk and Regulation presents written reports to the Audit & Assurance Committee on the Internal Audit, External Audit and review bodies trackers summarising the current position for each.
- 2.14 The written report provides details on the recommendations that remain outstanding, those implemented since the last meeting, those which are part completed and the number of closed recommendations since the last Committee meeting.
- 2.15 The Committee is invited to raise questions on the reports, however, from reviewing the minutes it was established that the number of questions raised on any of the reports, or the trackers are relatively low. **(Matter Arising 3 – Low Priority)**

Conclusion:

- 2.16 The reports provided to the Committee for Internal Audit, External Audit and review bodies include a satisfactory level of detail, but there is further scope to enhance the level of scrutiny and challenge. **(Substantial assurance)**

Mohamed Sarah
29/08/2023 16:40:14

Appendix A: Management Action Plan

Matter Arising 1: Lack of supporting narrative to close Internal Audit and External Audit recommendations (Operation)	Impact
<p>Prior to November 2022, the Audit & Assurance Committee received a written report on Internal Audit, and External Audit at every meeting which included the recommendation trackers. However, it has since been agreed that the recommendation tracker will be presented at every other meeting in order to provide more time to progress the implementation of recommendations and allow for more meaningful updates.</p> <p><u>Internal Audit tracker</u></p> <p>When reviewing the Internal Audit tracker for April 2022 to February 2023 for accuracy it was clear that the narrative within the Executive update did not fully support the closure for all of the completed recommendations.</p> <p><u>External Audit tracker</u></p> <p>Within the External Audit recommendation tracker, eight recommendations were identified as completed. However, from review of the Executive updates provided, the narrative did not fully support all of the recommendations being closed.</p> <p>The Risk and Regulation team hold meetings with Internal and External Audit prior to the Audit and Assurance Committees that the audit trackers are being taken to. There are instances whereby it is agreed in these meetings to close a recommendation based on the knowledge of the auditors, but this is not recorded on the Audit trackers.</p> <p>We also carry out an exercise at the end of each financial year to validate a sample of completed recommendations. Whilst the 2022/23 exercise identified a small number of recommendations incorrectly recorded as complete, the majority were appropriate. This provides a level of assurance over the accuracy of the updates provided by the Executives / lead managers.</p>	<p>Potential risk of:</p> <ul style="list-style-type: none"> • Inaccurate reporting within the trackers leading to ineffective assurance.

Recommendations		Priority	
1.1	The Risk and Regulation team should ensure that the narrative provides effective confirmation for all recommendations deemed completed by the Executive or operational lead.	Medium	
1.2	Where there has been prior agreement with Internal or External Audit that the recommendation can be closed, this should be noted within the recommendation tracker to provide an appropriate audit trail.		
Agreed Management Action		Target Date	Responsible Officer
1.1	Recommendation agreed – The narrative included within updates is the detail provided by executive and operational leads. The Risk and Regulation team will continue to remind colleagues of the need to provide more detailed feedback and will request additional detail when this is not forthcoming.	November 2023	Risk and Regulation Team
1.2	Recommendation agreed – This detail will be included in future instances.	November 2023	Risk and Regulation Team

Mohamed Sarah
29/08/2023 16:40:14

Matter Arising 2: Accurate reporting for review bodies (Operation)			Impact
The review bodies written report submitted in November 2022 detailed that there had been 46 new recommendations from Health Inspectorate Wales and 19 from Community Health Council regulatory bodies. However, the numbers stated within the February 2023 written report did not correspond with those figures, as it stated that 18 recommendations had been added from Health Inspectorate Wales and the recommendations relating to the Community Health Council were not included within the narrative. It was evidenced that the recommendations from the November 2022 report had not been brought forward to the February 2023 report.			Potential risk of: <ul style="list-style-type: none"> Inaccurate reporting within the trackers leading to ineffective assurance.
Recommendations			Priority
2.1	The Risk and Regulation team should ensure consistent reporting of review bodies recommendations from one meeting to the next.		Low
Agreed Management Action		Target Date	Responsible Officer
2.1	Recommendation Agreed – A review of reporting mechanisms will be undertaken.	November 2023	Risk and Regulation Team

Mohamed Sarah
29/08/2023 16:40:14

Matter Arising 3: Scrutiny of the recommendation reports and trackers (Operation)	Impact
<p>The minutes of the Audit & Assurance Committee were reviewed for the Internal Audit, External Audit and review bodies trackers to determine whether the information was scrutinised by Committee members.</p> <p>Whilst the minutes reflect the key issues that were highlighted within the reports regarding overdue recommendations and 'older' recommendations, there is little evidence within the minutes to suggest that the reports and trackers are being scrutinised in detail. In addition, it was identified that overdue recommendations are not scrutinised and challenged to establish the reasons for delays in implementing the recommendations, and why older recommendations remain outstanding.</p> <p>Work has previously been undertaken by the Risk and Regulation team to analyse and resolve older outstanding recommendations prior to 2019/20. However, it was noted that:</p> <ul style="list-style-type: none"> • There are two outstanding recommendations for Internal Audit from a review completed in 2019-2020 which relates to PCIC Business Continuity. • There are three recommendations for External Audit that remain outstanding from 2019-20. <ul style="list-style-type: none"> ◦ Clinical Coding / Audit of Financial Statements Report Addendum/ Implementing the Wellbeing Future Generations Act • There are three recommendations that remain outstanding from 2020 for the review bodies. 	<p>Potential risk of:</p> <ul style="list-style-type: none"> • Inaccurate reporting within the trackers leading to ineffective assurance.
Recommendations	Priority
<p>3.1 The reports and tracker should be scrutinised in more depth at the Committee meetings to ensure that outstanding recommendations from previous years that have not yet been implemented are challenged and scrutinised.</p> <p><i>Mohamed Sarah 29/08/2023 16:40:14</i></p>	<p>Low</p>

Agreed Management Action		Target Date	Responsible Officer
3.1	Recommendation Agreed – Work will be undertaken to ensure that items for scrutiny are highlighted to the Committee within reports. Conversations have been had and will continue to be had with the Audit and Assurance Committee Chair to support this process.	November 2023	Risk and Regulation Team

Mohamed Sarah
29/08/2023 16:40:14

Appendix B: Assurance opinion and action plan risk rating

Audit Assurance Ratings

We define the following levels of assurance that governance, risk management and internal control within the area under review are suitable designed and applied effectively:

	Substantial assurance	Few matters require attention and are compliance or advisory in nature. Low impact on residual risk exposure.
	Reasonable assurance	Some matters require management attention in control design or compliance. Low to moderate impact on residual risk exposure until resolved.
	Limited assurance	More significant matters require management attention. Moderate impact on residual risk exposure until resolved.
	Unsatisfactory assurance	Action is required to address the whole control framework in this area. High impact on residual risk exposure until resolved.
	Assurance not applicable	Given to reviews and support provided to management which form part of the internal audit plan, to which the assurance definitions are not appropriate. These reviews are still relevant to the evidence base upon which the overall opinion is formed.

Prioritisation of Recommendations

We categorise our recommendations according to their level of priority as follows:

Priority level	Explanation	Management action
High	Poor system design OR widespread non-compliance. Significant risk to achievement of a system objective OR evidence present of material loss, error or misstatement.	Immediate*
Medium	Minor weakness in system design OR limited non-compliance. Some risk to achievement of a system objective.	Within one month*
Low	Potential to enhance system design to improve efficiency or effectiveness of controls. Generally issues of good practice for management consideration.	Within three months*

* Unless a more appropriate timescale is identified/agreed at the assignment.



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Mohamed Sarah
29/08/2023 16:40:14

National Fraud Initiative Self-appraisal Checklist

July 2020



Mohamed, Sarah
29/08/2023 16:40:14

This document has been prepared as part of work performed in accordance with statutory functions.

In the event of receiving a request for information to which this document may be relevant, attention is drawn to the Code of Practice issued under section 45 of the Freedom of Information Act 2000.

The section 45 code sets out the practice in the handling of requests that is expected of public authorities, including consultation with relevant third parties. In relation to this document, the Auditor General for Wales and Audit Wales are relevant third parties. Any enquiries regarding disclosure or re-use of this document should be sent to Audit Wales at infoofficer@audit.wales.

We welcome correspondence and telephone calls in Welsh and English. Corresponding in Welsh will not lead to delay. Rydym yn croesawu gohebiaeth a galwadau ffôn yn Gymraeg a Saesneg. Ni fydd gohebu yn Gymraeg yn arwain at oedi.

Mae'r ddogfen hon hefyd ar gael yn Gymraeg. This document is also available in Welsh.

Mohamed Sarah
29/08/2023 16:40:14

Contents

National Fraud Initiative Self-appraisal Checklist	
Background	4
Self-appraisal checklist	4
How to work more efficiently	4
Appendices	
Appendix 1 – Self-appraisal checklist	5
Appendix 2 – How to work more efficiently	16

Mohamed Sarah
29/08/2023 16:40:14

National Fraud Initiative Self-appraisal Checklist

Background

- 1 The National Fraud Initiative (NFI) is a UK-wide counter-fraud exercise. In Wales the exercise is undertaken by the Auditor General for Wales (Auditor General) under his statutory data-matching powers in Part 3A of the Public Audit (Wales) Act 2004. The Auditor General works in collaboration with the Cabinet Office, Audit Scotland and the Northern Ireland Audit Office which undertake the NFI exercise in England, Scotland and Northern Ireland respectively.
- 2 NFI uses computerised techniques to compare information about individuals held by different public bodies, and on different financial systems that might suggest the existence of fraud or error. It means that public bodies can take action if any fraud or error has taken place, and it allows auditors to assess the fraud prevention arrangements which those bodies have.
- 3 In Wales unitary local authorities, police and fire authorities and NHS bodies participate in the NFI on a mandatory basis. Other organisations such as the Welsh Government and Welsh Government Sponsored Bodies participate on a voluntary basis.

Self-appraisal checklist

- 4 **Appendix 1** includes a two-part checklist that we encourage all participating bodies to use to self-appraise their involvement in the NFI prior to and during the NFI exercises.
- 5 Part A is designed to assist audit committee members when reviewing, seeking assurance over or challenging the effectiveness of their body's participation in the NFI.
- 6 Part B is for officers involved in planning and managing the NFI exercise.

How to work more efficiently

- 7 The Auditor General encourages organisations to review and investigate NFI matches efficiently and effectively. This enables them to make better use of their limited resources. Some suggestions for improving efficiency and effectiveness are included in **Appendix 2**.

Mohamed Sarah
29/08/2023 16:40:14

Appendix 1

Self-appraisal checklist

Exhibit 1: Self-appraisal checklist: Part A: For those charged with governance

Part A: For those charged with governance	Yes/No/Partly	Is action required?	Who by and when?
Leadership, commitment and communication			
1. Are we aware of emerging fraud risks, eg due to COVID-19, and have we taken appropriate preventative and detective action?	YES	NO	NA
2. Are we committed to the NFI? Have the council/board, audit committee and senior management expressed support for the exercise and has this been communicated to relevant staff?	YES	NO	NA

Part A: For those charged with governance	Yes/No/Partly	Is action required?	Who by and when?
Leadership, commitment and communication			
3. Is the NFI an integral part of our corporate policies and strategies for preventing and detecting fraud and error?	YES	This is an integral part of the Counter Fraud Annual Plan and is acted upon by the Counter Fraud Team in a timely manner.	
4. Have we considered using the point of application data matching service offered by the NFI team, to enhance assurances over internal controls and improve our approach to risk management?	NA	NA - Application Data does not apply to NHS organisations	
5. Are NFI progress and outcomes reported regularly to senior management and elected/board members (eg, the audit committee or equivalent)?	YES	All NFI work is reported to DoF and Audit Committee in the quarterly Counter Fraud Progress reports.	

Mohamed Saad
29/08/2023 16:40:14

Part A: For those charged with governance	Yes/No/Partly	Is action required?	Who by and when?
Leadership, commitment and communication			
6. Where we have not submitted data or used the matches returned to us, eg council tax single person discounts, are we satisfied that alternative fraud detection arrangements are in place and that we know how successful they are?	NA	NA : All relevant data is submitted	
7. Does internal audit, or equivalent, monitor our approach to NFI and our main outcomes, ensuring that any weaknesses are addressed in relevant cases?	YES	The Counter Fraud Team undertake the NFI match investigations. As with all investigations, should they identify weaknesses these are reported in the usual way and recommendation made.	

Mohamed Sarah
29/08/2023 16:40:14

Part A: For those charged with governance	Yes/No/Partly	Is action required?	Who by and when?
Leadership, commitment and communication			
8. Do we review how instances of fraud and error arose and use this information to improve our internal controls?	YES	NO	
9. Do we publish, as a deterrent, internally and externally the achievements of our fraud investigators (eg, successful prosecutions)?	YES	NO	

Mohamed Sarah
29/08/2023 16:40:14

Exhibit 2: Self appraisal checklist: Part B: For NFI SROs and Key Contacts

Part B: For NFI SROs and Key Contacts	Yes/No/Partly	Is action required?	Who by and when?
Planning and preparation			
1. Are we aware of emerging fraud risks, eg due to COVID-19, and have we taken appropriate preventative and detective action?	YES	All emerging fraud risks are reported directly by NHS Counter Fraud Authority.	
2. Are we investing sufficient resources in the NFI exercise?	YES	NO	
3. Do we plan properly for NFI exercises, both before submitting data and prior to matches becoming available? This includes considering the quality of data	YES	NO	

Mohamed Shah
29/08/2023 16:40:14

Part B: For NFI SROs and Key Contacts	Yes/No/Partly	Is action required?	Who by and when?
Planning and preparation			
4. Is our NFI Key Contact (KC) the appropriate officer for that role and do they oversee the exercise properly?	YES	KC is the Counter Fraud Manager	
5. Do KCs have the time to devote to the exercise and sufficient authority to seek action across the organisation?	YES	NO	
6. Where NFI outcomes have been low in the past, do we recognise that this may not be the case the next time, that NFI can deter fraud and that there is value in the assurances that we can take from low outcomes?	YES	NO	

Part B: For NFI SROs and Key Contacts	Yes/No/Partly	Is action required?	Who by and when?
Planning and preparation			
7. Do we confirm promptly (using the online facility on the secure website) that we have met the fair processing notice requirements?	YES	NO	
Leadership, commitment and communication			
8. Do we plan to provide all NFI data on time using the secure data file upload facility properly?	YES	Data Upload carried out by ESR and NHSWSSP	
9. Have we considered using the point of application data matching service offered by the NFI team to enhance assurances over internal controls and improve our approach to risk management?	NA	NA - Application data does not apply to NHS organisations	

Part B: For NFI SROs and Key Contacts	Yes/No/Partly	Is action required?	Who by and when?
Effective follow-up of matches			
10. Do all departments involved in NFI start the follow-up of matches promptly after they become available?	YES	All high risk matches are followed up and investigated in a timely manner.	
11. Do we give priority to following up high-risk matches, those that become quickly out of date and those that could cause reputational damage if a fraud is not stopped quickly?	YES	NO	
12. Are we investigating the circumstances of matches adequately before reaching a 'no issue' outcome, in particular?	YES	NO	

Mohamed Sarah
29/08/2023 16:40:14

Part B: For NFI SROs and Key Contacts	Yes/No/Partly	Is action required?	Who by and when?
Effective follow-up of matches			
13. (In health bodies) Are we drawing appropriately on the help and expertise available from NHS Counter Fraud Service Wales?	NO	Counter Fraud Service Wales are not involved in the NFI exercise.	
14. Are we taking appropriate action in cases where fraud is alleged (whether disciplinary action, penalties/cautions or reporting to the Police or NHS Counter Fraud Service Wales)? Are we recovering funds effectively?	YES	The LCFS team is fully trained in criminal investigation and takes appropriate action in all cases of suspected fraud whether identified by the NFI or another source. Where appropriate external agencies are consulted/utilised. Recovery is a key principle.	
15. Do we avoid deploying excessive resources on match reports where early work (eg, on high-risk matches) has not found any fraud or error?	YES	NO	

Mohamed Salah
29/08/2023 16:40:14

Part B: For NFI SROs and key contacts	Yes/No/Partly	Is action required?	Who by and when?
Effective follow-up of matches			
16. Where the number of high-risk matches is very low, are we adequately considering the medium and low-risk matches before we cease our follow-up work?	YES	A specimen sample of medium and low risk matches are always investigated. If time allows then all those matches are investigated.	
17. Overall, are we deploying appropriate resources on managing the NFI exercise?	YES	NO	

Mohamed Sarah
29/08/2023 16:40:14

Part B: For NFI SROs and key contacts	Yes/No/Partly	Is action required?	Who by and when?
Recording and reporting			
18. Are we recording outcomes properly in the secure website and keeping it up to date?	YES	NO	
19. Do staff use the online training modules and guidance on the secure website, and do they consult the NFI team if they are unsure about how to record outcomes (to be encouraged)?	YES	NO	
20. If, out of preference, we record some or all outcomes outside the secure website, have we made arrangements to inform the NFI team about these outcomes?	NA	NA - all outcomes are recorded on the secure website	

Mohamed Sarah
29/08/2023 16:40:14

Appendix 2

How to work more efficiently

Exhibit 3: how to work more efficiently

Concerns	How to work more efficiently
Many participants are not using the latest time-saving enhancements to the NFI software.	Ensure staff within the organisations that take part in the NFI keep up to date with new features of the web application and good practice by reading the guidance notes and watching the online training modules before they begin work on the matches.
Matches that are time critical and could identify an overpayment are not acted on first.	Key contacts should schedule staff resources so that time-critical matches, such as housing benefit to student finance and payroll to payroll, can be dealt with as soon as they are received.
Investigations across internal departments are not co-ordinated resulting in duplication of effort or delays in identifying overpayments.	Key contacts should co-ordinate investigations across internal departments and, for example, organise joint investigation of single person discount matches involving housing benefit, to ensure all relevant issues are actioned.
Disproportionate time is spent looking into every match in every report.	Use the tools within the web application to help prioritise matches that are the highest risk. This will save time and free up staff for the most important investigations.
Enquiries from other organisations that take part in the NFI are not always responded to promptly.	Prioritise responses to enquiries from other organisations so investigations can be progressed.

Concerns	How to work more efficiently
Data quality issues that are highlighted within the web application are not addressed before the next NFI exercise.	Review the quality of the data supplied before the next exercise, as external providers normally have to phase in changes to extraction processes. Better data quality will improve the quality of resulting matches.

Mohamed Sarah
29/08/2023 16:40:14



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Rydym yn croesawu gohebiaeth a
galwadau ffôn yn Gymraeg a Saesneg.

Management response to audit recommendations

Report title: The National Fraud Initiative in Wales 2020-21

Completion date: December 2022

Recommendation	Management response	Completion date	Responsible officer
1. All participants in the NFI exercise should ensure that they maximise the benefits of their participation. They should consider whether it is possible to work more efficiently on the NFI matches by reviewing the guidance section within the NFI secure web application.	The guidance has be reviewed by the Counter Fraud Manager, and this is available to the NWSSP Accounts Payable team who review the trade creditor matches on the Trust's behalf. The local counter fraud team work diligently in investigating all high priority matches liaising with other counter fraud teams. A random sample of low priority matches is undertaken also.	28/02/2023	Counter Fraud Manager / NWSSP Accounts Payable delegated officer.
2. Where local auditors recommend improving the timeliness and rigour within which NFI matches are reviewed, NFI participants should take appropriate action.	Where these recommendations are made, appropriate actions will be taken where possible and agreed.	Ongoing	Counter Fraud Manager and Head of Financial Operations
3. Audit Committees, or equivalent, and officers leading the NFI should review the NFI self-appraisal checklist. This will ensure they are	The NFI self-appraisal checklist has been reviewed by the Counter fraud manager and completed. The document has been shared with corporate governance for inclusion and noting at audit committee.	28/02/2023	Counter Fraud Manager

Mohamed Sarah
29/08/2023 16:40:14

Recommendation	Management response	Completion date	Responsible officer
fully informed of their organisation's planning and progress in the 2022-23 NFI exercise.			

Mohamed Sarah
29/08/2023 16:40:14