

UNCONFIRMED

**DRAFT Minutes of the Audit and Assurance Committee
held on 20 October 2020
Via Microsoft Teams/Teleconference (through Ty Dysgu)**

Present:

Gill Lewis Independent Member (Chair)
John Hill Tout Independent Member (Vice Chair HEIW)
Dr Ruth Hall Independent Member

In Attendance:

Dafydd Bebb Board Secretary
Eifion Williams Director of Finance
Marty Pennell Head of Financial Accounting
Paul Dalton Head of Internal Audit (NWSSP)
Ken Hughes Audit Manager (NWSSP)
Clare James Performance Audit Lead, (Audit Wales)
Helen Goddard External Audit Manager (Audit Wales)
Craig Greenstock Counter Fraud Manager (Cardiff & Vale UHB)
Rhian Sadler Procurement Business Manager (NWSSP)
Nicola Johnson Director of Planning, Performance & Corporate Services (Observer)
Angela Parry Interim Director of Nursing (Observer)
Kay Barrow Corporate Services Manager (Secretariat)

PART 1	PRELIMINARY MATTERS	Action
AAC: 20/10/1.1	Welcome and Introductions	
	The Chair welcomed everyone to the meeting and, in particular, Rhian Sadler who was attending in the absence of Helen James (Head of Procurement, NWSSP), and Ken Hughes (Audit Manager, NWSSP). Nicola Johnson (Director of Planning, Performance & Corporate Services) and Angela Parry (Interim Director of Nursing) were also welcomed as observers.	
AAC: 20/10/1.2	Apologies for Absence	
	Apologies were received from Heidi Phillips (Independent Member), Helen James (Head of Procurement, NWSSP), Anne-Marie Harkin (Engagement Director, Audit Wales) and Emma Samways (Deputy Head of Internal Audit, NWSSP).	
AAC: 20/10/1.3	Declarations of Interest	
	There were no declarations of interest.	

AAC: 20/10/1.4	Minutes of the Meeting held on 16 July 2020	
	<p>The minutes of the meeting held on 16 July 2020 were received and approved as an accurate record of the meeting.</p> <p>It was highlighted that the draft minutes contained a number of acronyms that may be confusing for the public. It was confirmed that all acronyms would be put in full at the first mention, with the acronym subsequently being used.</p>	
AAC: 20/10/1.5	Action Log	
	<p>The Committee received and considered the Action Log from the meeting held on 16 July 2020.</p> <p>The following updates were received:</p> <ul style="list-style-type: none"> • AAC 16/07/2.1 Medical Directorate Electronic Staff Record (ESR) Compliance with Mandatory Training and Performance, Appraisal and Development Review (PADR): The Committee noted the work being undertaken by the HEIW Workforce Information Team to address the issue of the recording of statutory and mandatory training for those staff who work in more than one NHS organisation. • AAC 16/07/2.2 Counter Fraud Progress Report: The Committee noted the good progress being made in raising fraud awareness with HEIW staff. 	
Resolved	The Committee noted the Action Log and the updates received.	
AAC: 20/10/1.6	Matters Arising	
	There were no matters arising.	
PART 2	MATTERS FOR CONSIDERATION	
AAC: 20/10/2.1	Counter Fraud:	
AAC: 20/10/2.1.1	Progress Report	
	<p>The Committee received the report.</p> <p>In presenting the report, Craig Greenstock advised that 25 days of commissioned work had been completed. One investigation had been undertaken which was still ongoing. The level of interest being shown by directorates and departments regarding 'virtual' fraud awareness sessions had increased significantly. 12 sessions have been held with over 130 HEIW staff across a wide range of areas as well as at Corporate Induction.</p> <p>It was confirmed that all the required HEIW data extraction for the National Fraud Initiative (NFI) for 2020/21 had been submitted to the NFI. An update on the 2020/21 data matches would be provided to the Committee following the deadline of 31 January 2021 when any matches would be available.</p> <p>A query was raised regarding the reporting of fraud by the public versus staff. It was clarified that there were two mechanisms for reporting fraud. The public are encouraged to report via Action Fraud which is the UK's national fraud and crime reporting centre. It provides a central point of contact for the reporting of fraud and financially motivated crime. NHS staff in Wales are encouraged</p>	

	to either report locally via their Local Counter Fraud Service (LCFS) or with the NHS Counter Fraud Service (Wales). The contact details for both services are provided in the regular Counter Fraud Newsletter and on the intranet sites for NHS organisations.	
Resolved	The Committee noted the report.	
AAC: 20/10/2.1.2	Review of NHS Counter Fraud Agency (NHSCFA) 2020 Strategic Intelligence Assessment Covering 2018-2019 and Impact on HEIW	
	<p>Craig Greenstock informed the Committee that the report presented at the last meeting was for information. Any themes/topics for learning or awareness raising relevant to HEIW had been shared with the Director of Finance and Procurement. He explained that any notifications received were also shared in the same way.</p> <p>The Committee asked whether a guide that summarised the advice could be developed to widen the awareness to not just those involved in the areas being targeted by fraudsters and/or scammers but to the broader HEIW workforce. It was clarified that recent case studies were included in the quarterly Counter Fraud Newsletter.</p> <p>Audit Wales informed the Committee that their IT Department regularly send test phishing emails internally and undertake analysis of the responses to share lessons learnt and raise awareness.</p>	
Resolved	<p>The Committee:</p> <ul style="list-style-type: none"> • noted the verbal report; • agreed that future Counter Fraud Newsletters include more general advice on current key areas being targeted by fraudsters and/or scammers. 	EW/CG
AAC: 20/10/2.2	Audit Wales:	
AAC: 20/10/2.2.1	Progress Report	
	<p>The Committee received the report.</p> <p>In presenting the report, Helen Goddard confirmed that the financial audit planning and risk assessment for the 2020/21 annual accounts was due to commence in December 2020. Although, regular quarterly meetings were taking place with the key individuals within HEIW.</p> <p>The Committee noted that the local project work was still in development and received an update in relation to the other Auditor General studies and the Good Practice events and products. It was confirmed that the NHS Wales Finances Data Tool had been updated for 2019/2020 and included HEIW for the first time. The interactive tool allowed trend analysis across Wales or by individual NHS body. The report included the COVID rapid learning project which was an online interactive resource that provided real time emerging reflections and knowledge sharing.</p>	
Resolved	The Committee noted the report.	
AAC: 20/10/2.2.2	'Raising our Game' Tackling Fraud in Wales – Report of the Audit General for Wales	
	The Committee received the report.	

	<p>Clare James advised that the Auditor General published the Counter Fraud Arrangements in the Welsh Public Sector: An Overview for the Public Accounts Committee in June 2019. This report had identified significant losses annually in Wales as a result of fraud. Following publication of the report, the Public Accounts Committee endorsed the Auditor General's proposal to undertake further work across a range of Welsh public sector bodies. The scope of the audit examined how effective counter-fraud arrangements were in practice and to make recommendations for improvement.</p> <p>The Committee received an overview of the report findings and themed recommendations. It was highlighted that NHS Wales had come out well compared to other public sector bodies across the seven themes within the audit scope:</p> <ul style="list-style-type: none"> • leadership and culture; • risk management and control frameworks; • policies and training; • capacity and expertise; • tools and data; • collaboration; and • reporting and scrutiny. <p>However, the report highlighted 15 recommendations across the themes as areas for improvement. From the national report, each individual public sector organisation received a bespoke report that highlighted the specific recommendations for their own organisation.</p>	
Resolved	The Committee noted the report.	
AAC: 20/10/2.2.3	Effectiveness of Counter-Fraud Arrangements - HEIW	
	<p>The Committee received the report.</p> <p>In presenting the report, Clare James provided an overview of the main findings and three areas for improvement.</p> <p>Craig Greenstock advised that HEIW had increased its focus on fraud awareness and was making good progress in this area. However, there was further work to do in relation to making counter fraud training mandatory and available as a module on the Electronic Staff Record (ESR).</p> <p>It was confirmed that currently capacity within the Local Counter Fraud Service (LCFS) was sufficient to meet the workload of the HEIW Counter Fraud Annual Plan. Although, there was additional capacity within the regional team if needed. It was clarified that should additional counter fraud resource be required, a request would be made via the Director of Finance and approval sought via the Committee.</p> <p>The term 'economic fraud risk' was clarified and it was noted that HEIW maintained a record of fraud losses and recoveries which was considered good practice. However, the Committee raised a query regarding HEIW as a commissioning organisation and the risk identification of fraud in the</p>	

	<p>consideration of its risks and if HEIW undertakes fraud risk assessments as part of its general risk management framework. It was clarified that fraud risk assessments were not part of the HEIW risk management policy however, there was ongoing dialogue between Craig Greenstock and Dafydd Bebb.</p> <p>In terms of data analytics, whilst this was not a recommendation for HEIW, it was highlighted that the greater use of data analytics to both prevent and detect fraud was important, as well as improving collaboration more widely within and outside the public sector. Whilst it was recognised that HEIW was a unique organisation with the public sector, the LCFS used data analytics and intelligence from various sources, such as the National Fraud Initiative (NFI); local authorities; Pensions Agency; UK student loans body.</p>	
Resolved	The Committee noted the report.	
AAC: 20/10/2.2.4	Wellbeing of Future Generations National Report	
	<p>The Committee received the report.</p> <p>Clare James advised that the report was for information as Catryn Holzinger, Audit Wales Lead on Wellbeing & Future Generations was attending the HEIW Board Development Session on 29 October 2020 to present the report.</p>	
Resolved	The Committee noted the report for information.	
AAC: 20/10/2.2.5	Structured Assessment 2020	
	<p>The Committee received the report.</p> <p>In presenting the report, Clare James explained that the Structured Assessment approach for this year had been adapted for a shorter and more focussed review on the following areas:</p> <ul style="list-style-type: none"> • Leadership and governance; • Financial management; and • Operational planning. <p>The Committee received an overview of the key messages and it was highlighted that the audit scope had not included a review of the previous year's recommendations but included two additional recommendations.</p> <p>The Committee welcomed the positive report. It was emphasised that discussions are held at the HEIW Board regarding cost and value, particularly in relation to business cases and the Annual Plan/Integrated Medium Term Plan (IMTP).</p> <p>Eifion Williams highlighted that there was a need for HEIW to capture cost improvements and value. He provided an example of the work undertaken to change the energy contract from a standalone contract and the move to the All Wales Framework, which had resulted in a cost saving for HEIW. There were also a number of other areas where value could also be demonstrated in the investment of education and training.</p> <p>Dafydd Bebb confirmed that the Corporate Risk Register should be considered in the 'open' session of the HEIW Board and Audit & Assurance Committee.</p>	

	<p>Ruth Hall confirmed that the meeting frequency of the Education, Commissioning and Quality Committee (ECQC) had been reviewed and a decision made that it should continue to meet four times a year. Additional meetings could be called as and when required for specific purposes. She explained that the membership of the ECQC had been strengthened.</p> <p>The Committee was pleased to reassure Audit Wales that the recommendations were being taken seriously with significant progress already being reported.</p> <p>Clare James thanked Dafydd Bebb and Kay Barrow for facilitating the audit process. She also extended her thanks to Internal Audit in the collaborative approach to ensure that there was no duplication of effort.</p>	
Resolved	The Committee noted the report.	
AAC: 20/10/2.3	Internal Audit:	
AAC: 20/10/2.3.1	Progress Report	
	<p>The Committee received the report.</p> <p>In presenting the report, Paul Dalton highlighted the status of the internal audit plan for 2020/2021. He explained that COVID 19 was continuing to cause disruption. However, every effort would be made to ensure the delivery of the full work programme. He confirmed that while at this stage there were no concerns for HEIW , Internal Audit was exploring different approaches in the provision of the Head of Internal Audit Opinion should the full audit programme not be achieved. This was being discussed with the Board Secretaries Network.</p> <p>It was clarified that HEIW had been adversely impacted by COVID-19 in its role as a commissioner and ensuring the delivery of training and education for its students/trainees, and their redeployment into the temporary NHS workforce in response to the crisis represented a significant challenge.</p>	
Resolved	The Committee noted the report.	
AAC: 20/10/2.3.2	Governance Arrangements during COVID 19 Internal Audit Report	
	<p>The Committee received the report and management response.</p> <p>In presenting the report, Ken Hughes advised that the audit was a rapid advisory review commissioned by the All Wales Finance Directors Group and focussed on the following principles:</p> <ul style="list-style-type: none"> • governance and risk management; • delegation and escalation; • departures from existing policies and processes <p>The Committee received an overview of the three areas reviewed which related to strategic governance; financial governance; and other governance areas focussed on partnership arrangements and information governance. Overall HEIW’s governance had operated effectively in its reaction to the COVID-19 Pandemic.</p>	

	<p>It was highlighted that, as an advisory review, there were no recommendations but a number of areas of consideration on how things could be done differently. The management response provided HEIW's comments and position regarding the considerations.</p> <p>One area for reflection was in relation to the size Crisis Management Team (CMT). It was highlighted that HEIW had reflected on the review findings and, whilst the membership of the CMT was large, this had aided the communication directly with key senior managers and department leads. However, going forward the CMT membership would be streamlined to enable effective decision-making.</p> <p>It was clarified that stand by arrangements were in place for the Education, Commissioning and Quality Committee (ECQC) prior to COVID-19 however, this was not the case for the Audit and Assurance Committee. At the March Board, the HEIW Chair had been given delegated authority to appoint additional Independent Members to the Committees as a contingency measure during the Pandemic should illness occur in order to maintain a Committee quorum.</p> <p>The Committee noted that Internal Audit would be pulling together the common themes and observations from all the individual reports and providing a combined All Wales report.</p>	
Resolved	<p>The Committee:</p> <ul style="list-style-type: none"> • noted the report; • agreed that Internal Audit amend the narrative within the report to reflect the Committee discussion. 	Internal Audit
AAC: 20/10/2.3.3	Service Review – Medical Commissioning Monitoring Internal Audit Report	
	<p>The Committee received the report.</p> <p>In presenting the report, Ken Hughes advised that this audit was part of the 2019/2020 audit plan, which had commenced in February 2020. However, due to COVID-19 had been delayed in its completion until July 2020. It was highlighted that the fieldwork was undertaken on the arrangements in place for the monitoring of medical commissioning prior to COVID-19.</p> <p>The overall assessment was of reasonable assurance. The findings from the review highlighted no issues in the design of systems/controls and three issues that were classified as weaknesses in the operation of the designed system/control for medical commissioning monitoring. There were three recommendations, two medium priorities and one low priority.</p> <p>The Committee welcomed the report and the progress being made in addressing the recommendations.</p>	
Resolved	<p>The Committee:</p> <ul style="list-style-type: none"> • noted the report; • agreed that the internal audit report be presented at the next Education, Commissioning and Quality Committee (ECQC). 	DB

AAC: 20/10/2.4	Information Governance and Information Management Report	
	<p>The Committee received the report.</p> <p>In presenting the report, Dafydd Bebb advised that good progress had been made in relation to the management actions contained within the information governance (IG) work plan and all areas were 'green' status. He confirmed that the Information Asset Register was a 'live' document would be the subject of ongoing regular review.</p> <p>An update was provided in relation to Freedom of Information (FOI) and Data Subject Access Requests (DSAR). In terms of cyber security, it was highlighted that since the commencement of the Head of Cyber Security, considerable progress had been made in strengthening and raising the profile of cyber security within HEIW. A work plan had been developed and would be progressed to assist in mitigating and reducing the current corporate risk level from 'red' to 'amber' status.</p> <p>The Committee was pleased with the progress being made which had provided some assurance. Concern was raised in relation to the 'green' status for those tasks that required ongoing monitoring. It was clarified that the status was based on the existing ICO Guidance for tasks deemed as ongoing processes. However, as the ICO had recently changed its Guidance in relation to best practice and the IG Toolkit, the work plan would be reviewed by the newly appointed full-time IG Officer.</p>	
Resolved	<p>The Committee:</p> <ul style="list-style-type: none"> • noted the report for assurance; • agreed that the reporting of the IG work plan be reviewed to reflect the updated ICO Guidance and Toolkit. 	DB
AAC: 20/10/2.5	Procurement Compliance Report	
	<p>The Committee received the report.</p> <p>In presenting the report, Eifion Williams provided an overview of the procurement activity undertaken during the period 1 July 2020 – 30 September 2020 and in accordance with reference 1.2 (Schedule 2.1.2 Procurement and Contracts Code for Building and Engineering Works) of the Standing Financial Instructions.</p> <p>Concern was raised regarding the continued number of entries that were 'not endorsed'. This was because the procurement process was not being adhered to by specific Directorates/Departments.</p> <p>The Committee considered inviting these Directorates/Departments to attend the Committee to explain their actions.</p> <p>Eifion Williams advised that he had received the initial draft of the Independent Review of the HEIW Procurement Systems and Process and requested that the Committee reserve its decision until it had received the final report on the review.</p>	

Resolved	The Committee noted the position.	
AAC: 20/10/2.6	Annual Review of Financial Control Procedures	
	<p>The Committee received the report.</p> <p>In presenting the report, Martyn Pennell advised that an in-depth review of the 15 Financial Control Procedures (FCPs) had been undertaken and provided a brief summary of the amendments to 13 of the FCPs. He explained the rationale for the requesting the removal of FCP 14 Shared Services and FCP 15 Procurement.</p> <p>The Committee considered the amendments to the FCPs which reflected how HEIW was maturing as an organisation.</p> <p>The Committee thanked Martyn Pennell for his hard work in reviewing the FCPs.</p>	
Resolved	<p>The Committee:</p> <ul style="list-style-type: none"> • approved the amendments to the 13 FCPs; • supported the rationale and approved the removal of FCP 14 Shared Services and FCP 15 Procurement. 	
AAC: 20/10/2.7	Independent Review of HEIW's Procurement Systems and Processes	
	<p>Eifion Williams advised that he had commissioned an independent review of HEIW's Procurement Systems and Processes due to concerns with the high number of 'not endorsed' procurement activity. He advised that he had received a first draft of the report which had identified some failings.</p> <p>Rhian Sadler provided a brief overview of the initial findings of the review. She explained that there had been a lack of interaction in the relationship between HEIW and Procurement Services. This was due to a number of reasons and it was emphasised that face to face interaction was important in order to start to build up the relationship.</p> <p>The Committee noted that a number of improvement measures were to be put in place which included the expansion of the Procurement support assigned to HEIW who would be permanently based at Ty Dysgu once normal working had been resumed. A programme of procurement training would also be undertaken via Microsoft Teams to provide HEIW staff with guidance on the correct process to adhere to when purchasing goods and services.</p> <p>It was highlighted that the final report and recommendations would be presented to the Executive Team for consideration and that the final report would be presented to the Committee at its next meeting.</p>	
Resolved	<p>The Committee:</p> <ul style="list-style-type: none"> • noted the verbal update on the initial draft report; • agreed that the Committee Chair have early sight of the final report following its consideration at the Executive Team, in order to determine whether any transgressors should be invited to attend the next Committee meeting to explain their actions. 	EW

	<ul style="list-style-type: none"> • agreed that the final report be presented at the next Committee meeting. 	EW
AAC: 20/10/2.8	Review of Board Assurance Framework	
	<p>The Committee received the report.</p> <p>In presenting the report, Dafydd Bebb advised that the Committee had received regular assurance on the Board Assurance Framework (BAF) through the updates received on the Corporate Risk Register at each meeting. He explained that the BAF would be further developed to incorporate the recommendations from Audit Wales in terms of the assurance mapping of the key controls and sources of assurance and updated to reflect HEIW's strategic objectives.</p> <p>A Deep Dive of the strategic objectives would be undertaken at the October Board Development Session.</p>	
Resolved	The Committee noted the report.	
AAC: 20/10/2.9	Corporate Risk Register	
	<p>The Committee received the report.</p> <p>In presenting the Register, Dafydd Bebb provided an overview of the assessment of the 14 risks. He clarified that in relation to risk 11, the narrative should reflect that lessons learnt had been captured and utilised going forward in the development of the Q3 and Q4 Operational Plan.</p> <p>The one 'Red' status risk related to Cyber Security.</p> <p>The Committee noted the three new risks:</p> <ul style="list-style-type: none"> • Risk 15 – Employment Opportunities for Bursary Tie In; • Risk 16 – Impact of COVID 19 on 'usual' service delivery and potential disruptions to placement opportunities for students and ability to progress or graduate; • Risk 17 – Lack of interest from Education Providers in 'lots' as detailed in the Invitation to Tender (ITT). <p>A query was raised in relation to Risk 11 and it was clarified that the mitigating action should read '... and lessons learnt from this process have been captured'. A further sentence should be added 'Our Q3 and Q4 Operational Plan allow for HEIW to implement the IMTP and help support the NHS response to COVID-19 and the Winter Plan for health and social care'.</p> <p>John Hill-Tout suggested that Risk 15 should also include additional narrative to reflect that the risk could be further mitigated with the addition of improved workforce intelligence to monitor any gaps in employment opportunities.</p> <p>The Chair reflected on the earlier discussion in relation to the risk identification of fraud in the consideration of risks as part of HEIW's general risk management framework.</p>	

Resolved	<p>The Committee:</p> <ul style="list-style-type: none"> • noted the Corporate Risk Register and the assessment of the risks; • agreed that the mitigating action for Risk 11 be updated as detailed above; • agreed that Risk 15 include additional narrative to reflect that the risk could be further mitigated with improved workforce intelligence to monitor any gaps in employment opportunities; • agreed that the Board Secretary request that the Executive Team consider the integration of the risk identification of fraud as part of the risk management framework; • agreed the removal of any risks assessed as 'Green' status. 	<p>DB</p> <p>DB</p> <p>DB</p> <p>DB</p>
AAC: 20/10/2.10	Review of Declarations of Interest Register	
	<p>The Committee received the Register.</p> <p>In presenting the Register, Dafydd Bebb highlighted that it was a requirement of the Standing Orders that the Committee review the adequacy of the arrangements for declaring, registering and handling interests on an annual basis.</p> <p>It was clarified that all members of the Board and Senior Leadership Team together with budget holders and staff members who may influence the procurement process were asked to complete a Declaration of Interest (DOI) form. There were only a small number of individuals who had not returned their form for this year and these were being actively chased.</p>	
Resolved	The Committee noted the Register.	
AAC: 20/10/2.11	Review of Gifts, Hospitality and Sponsorship Register	
	<p>The Committee received the Register.</p> <p>In presenting the Register, Dafydd Bebb highlighted that it was a requirement within HEIW's Standing Orders that all Board Members and employees have a personal responsibility to volunteer information in relation to offers of gifts, hospitality, honoraria and sponsorship, including those offers that have been refused.</p> <p>It is acknowledged that the number of entries in the Register was low and that reflected in part the impact of the COVID-19 restrictions. The Committee noted that further work would be undertaken by the Board Secretary to raise awareness and provide guidance on the types of gifts, hospitality, honoraria and sponsorship, which may or may not be accepted.</p>	
Resolved	The Committee noted the Register and the further work awareness raising work to be undertaken.	
AAC: 20/10/2.12	Complaints Policy	
	<p>The Committee received the Policy.</p> <p>In presenting the Policy, Dafydd Bebb provided a brief summary of the rationale for the policy development which reflected HEIW's role as a</p>	

	<p>training and education provider. He explained that as a new policy there was a short review date of one year in order that any lessons learnt from implementation could be incorporated into the policy review.</p> <p>A number of queries had been raised in the development of the policy and it was clarified that the term ‘concern’ was also known as an informal complaint and were usually dealt with swiftly by the particular service at the time it was raised. All concerns/informal complaints were to be logged centrally so that trend analysis could be undertaken to review themes and learn lessons to ensure a process of continuous improvement.</p> <p>The scope of the policy was for students, trainees, trainers and Training Programme Directors. It also included staff who could not raise a complaint under the existing NHS Wales Grievance Policy; NHS Wales Disciplinary Policy or Procedure for NHS Staff to Raise Concerns.</p> <p>It was clarified that currently for Appeals after Stage 2, a complainant would be directed to the Public Services Ombudsman for Wales (PSOW). The next stage of the policy development process was for staff consultation.</p> <p>The Committee considered the Policy and the following points were noted:</p> <ul style="list-style-type: none"> • Clarification was required in relation to the Policy title as it was inconsistent in the cover document and Policy itself i.e. Complaints Handling Policy or Complaints Policy. • Clarification was required in relation to how an individual could provide a comment and not raise a concern or complaint; • Need to ensure that the process embeds compassionate management; • Explore a process for internal review prior to being directed to the PSOW; • Further consideration and discussion required at the Board before the Policy was formally presented for approval. 	
Resolved	Subject to the amendments, clarification and further considerations discussed by the Committee being incorporated into the next Policy iteration, the Committee recommended the Policy to the Board for further consideration and discussion before its formal presentation to the Board for approval.	DB
AAC: 20/10/2.13	Audit Recommendations Tracker	
	<p>The Committee received the Tracker.</p> <p>In presenting the report, Dafydd Bebb advised that there were 29 current internal audit recommendations. Of the 14 that were overdue, one was categorised as high priority. There were 12 current external audit recommendations, of which seven were overdue.</p> <p>It was highlighted that a number of the recommendations were overdue as a result of the impact of COVID-19 and the delays in the recruitment of the two new Director posts. The Director of Planning, Performance &</p>	

	<p>Corporate Services commenced in September 2020 and the Director of Digital was still in the recruitment phase.</p> <p>Whilst the Committee was content with the overall position, it was anticipating an improvement in the position in relation to the number of overdue recommendations by its next Committee meeting.</p>	
Resolved	<p>The Committee:</p> <ul style="list-style-type: none"> • noted the progress; • approved the removal of the green recommendations that have been assessed as completed or are complete. 	DB
AAC: 20/10/2.14	Review of Committee Terms of Reference	
	<p>The Committee received its Terms of Reference.</p> <p>In presenting the report, Dafydd Bebb advised that the Board, at its September meeting, had approved that the reappointment of the existing Members of the Committee and also approved the recommendation to strengthen the Committee membership with confirmation of a Committee Vice Chair and an additional Committee Member.</p>	
Resolved	<p>The Committee:</p> <ul style="list-style-type: none"> • noted the reappointment of the existing Committee Members for a further one-year period; • noted the formal appointment of the Committee Vice Chair; • endorsed the revisions to its Terms of Reference; • recommended to the Board that the Committee's Terms of Reference be amended to reference the Vice Chair role within its membership. 	DB
AAC: 20/10/2.15	Review of the Agreed Amendments to the Delegated Financial Limits/Standing Orders	
	<p>The Committee received the report.</p> <p>In presenting the report, Dafydd Bebb provided an overview of the revisions to the HEIW Standing Orders and the reasons for the amendments. The proposed amendments related to:</p> <ul style="list-style-type: none"> • Increasing the delegated financial limits for the Chief Executive and Deputy Chief Executive for NWSSP invoices relating to the Single Lead Employer GP salaries only from £2 million to £3 million; • Amending the Terms of Reference for the Education, Commissioning & Quality Committee to confirm the appointment of the role of Vice Chair and amending the appointment of the three Deans as 'in attendance' rather than full members of the Committee; • Updating two job titles within the 'in attendance' membership. 	
Resolved	<p>The Committee:</p> <ul style="list-style-type: none"> • endorsed the amendments to the HEIW Standing Orders; • recommended the amendments to the HEIW Standing Orders be submitted to the Board. 	DB
	Eifion Williams left the meeting.	

PART 3	CLOSE	
AAC: 20/10/3.1	Any Other Business	
	There being no other business, the Committee resolved to go into closed session.	
AAC: 20/10/3.2	Date of Next Meeting	
	The date of the next meeting to be held on Monday, 18 January 2021 at 13:30 and to be confirmed to take place either via Microsoft Teams/Teleconference or to be held in HEIW Meeting Room 1, Ty Dysgu, Nantgarw.	

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Gill Lewis (Chair)

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Date:

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