

Summary of HEIW's Audit and Assurance Committee held on 18 January 2021

Due to restrictions imposed during the current public health emergency we were unable to hold our January meeting of the Audit and Assurance Committee in public. As a result, we have produced this summary of the meeting and will publish the unconfirmed minutes of the meeting within 14 days of the meeting. The papers discussed can be found in the corporate section of the Health Education and Improvement Wales (HEIW) website <https://heiw.nhs.wales/>.

Although held virtually via a videoconferencing platform, the meeting was carried out as normal in line with due process, with the necessary number of committee members in attendance for decisions to be made and formally agreed.

Welcome and Minutes.

The Chair, Gill Lewis, welcomed everybody to the meeting during this challenging period.

The Committee approved the minutes from the previous meeting of HEIW's Audit and Assurance Committee, held on 20 October 2020.

1. Memorandum of Understanding (MOU) and Information Sharing Agreement (ISA) with the General Pharmacy Council

It was confirmed that the MOU and ISA were the first such agreements between HEIW and a regulator and that such agreements would support co-operation and information sharing between both parties. It was hoped this would be the first of many such agreements between HEIW and regulators.

The MOU and ISA were noted by the Committee.

2. Counter Fraud

The Committee received an update from counter fraud in respect of the work undertaken by the team against the work-plan it had agreed to undertake on behalf of HEIW.

The report was noted by the Committee.

3. Audit Wales

The Committee received the following reports from Audit Wales (AW): the Annual Audit Report 2020 which provided a summary of the outcome of the work undertaken by AW, and the 2021 AW Indicative Audit Plan.

It was highlighted that the Annual Audit Report was positive and that AW had issued an unqualified audit opinion with no material weaknesses identified within

internal controls and that financial balance had been achieved. It was further confirmed that the structured assessment was also positive and that strong leadership had been demonstrated by the organisation in response to the pandemic.

The content of the reports were welcomed and noted by the Committee.

4. Internal Audit – progress report

The Internal Audit Progress Report was considered and noted by the Committee.

Two internal audit reports were presented at the meeting:

1. HEIW Personal Development Review Process
2. HEIW Financial Systems

Both have been assessed as providing 'reasonable' assurance. This means the Committee was confident that, as an organisation, HEIW has the right levels of controls in place to manage any risks identified in each document.

The All Wales Summary Advisory Review Report on governance arrangements during COVID-19 was also presented and considered by the Committee.

The reports were noted by the Committee.

5. Information Governance Report

The Information Governance and Information Management update report was noted by the Committee.

6. Procurement Compliance Report

The report, providing an update in relation to procurement activity, between 1 October and 31 December 2020, was received and considered by the Committee.

The report was noted.

7. Annual Review of Standing Orders

The annual review of HEIW's Standing Orders were received and considered by the Committee.

It was agreed that the Committee note the amendments made to the Standing Orders in 2020 and recommend the proposed amendments to the Standing Orders to the January Board for approval.

8. Annual Accounts Plan 2020/21

The Annual Accounts Plan was noted by the Committee.

9. Corporate Risk Register

An update was provided to the Committee in respect of the Corporate Risk Register. It was confirmed there was a total of 12 risks on the register. Of these two were assessed as a red risk which related to cyber security and to insufficient employment opportunities for students who had opted for the bursary tie in. Eight risks were assessed as amber and two risks assessed as green.

The Committee noted the Corporate Risk Register and agreed that the risks assessed as green be removed from the register.

10. Audit recommendations tracker

The Audit Tracker, providing an update of HEIW's progress on implementing recommendations from the reports of both internal audit and Audit Wales was received by the Committee.

The Committee agreed to remove recommendations assessed as green (meaning completed) from the Audit Recommendation Tracker and noted the report.

11. Forward Work Programme

The forward work programme was noted by the Committee.

The next meeting of the Audit and Assurance Committee is scheduled for Wednesday, 7 April 2021, via videoconferencing.