

Summary of HEIW's Audit and Assurance Committee held on 20 October 2020

Due to restrictions imposed during the current public health emergency we were unable to hold our October 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 16 July 2020.

1. 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.

Good progress was reported in respect of undertaking counter fraud training at HEIW.

The report was noted by the Committee.

2. Audit Wales

The Committee received a number of reports from Audit Wales including: the Progress Report on current and planned work for Audit Wales to undertake; 'Raising Our Game' Report of the Auditor General on Tackling Fraud in Wales, Effectiveness of Counter-Fraud Arrangements, the Wellbeing of Future Generations National Report and the Structured Assessment 2020 for HEIW.

The reports were considered and noted by the Committee.

3. Internal Audit – progress report

The internal audit progress report was considered and noted by the Committee.

The advisory review report on Governance Arrangements during COVID 19 was received by the Committee. It was noted that the report was positive in its assessment of HEIW stating that HEIW's governance had overall operated effectively in its reaction to the pandemic.

The internal audit reports on Medical Commissioning Monitoring Internal Audit Report was received and noted by the committee. This area has been assessed as providing 'reasonable' assurance. This means that report assessed that, as an organisation, HEIW has reasonable levels of controls in place to manage and monitor Medical Commissioning.

4. Information Governance Report

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

5. Procurement Compliance Report

The report, providing an update in relation to procurement activity, between 1 July and 30 September of this year, was received and considered by the Committee.

The report was noted.

6. Independent Review of HEIW's Procurement Systems and Processes

An oral update was received by the Committee. It was noted that a written report on the matter be received at the next meeting of the Committee.

7. Annual Review of Financial Control Procedures

The annual review of HEIW's Financial Control Procedures were received and considered by the Committee.

It was agreed that the Committee recommend the proposed amendments to the Financial Control Procedures to the Board for approval.

8. Review of Board Assurance Framework

It was confirmed that the Board Assurance Framework outlines how the Board identifies the principal risks to the organisation achieving its strategic objectives and receives evidence or assurance that suitable controls are in place to manage these risks.

The Board Assurance Framework 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 14 risk on the Register. Of these one was assessed as a red risk which related to Cyber Security, eight were assessed as an amber risk and five 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. Annual Review of Declarations of Interest Register (DOI Register)

It was confirmed 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 DOI form.

The DOI register was received and noted by the Committee.

11. Annual Review of Gifts Hospitality and Sponsorship Register

The Gifts Hospitality and Sponsorship Register was received and noted by the Committee

12. Complaints Policy

It was noted that a number of proposed amendments had been received in respect of the draft Complaints Policy by email.

It was confirmed that the draft would be updated and circulated to the Board and staff forum prior to being presented to Board for final approval in November.

13. 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.

14. Review of Committee Terms of Reference

The Committee noted the review of its terms of reference.

15. Review of the agreed amendments to the delegated financial limits/standing order

The Committee received a report recommending the following amendment to HEIW's Standing Orders:

- To Increase the delegated financial limits to the invoices relating to the Single Lead Employer Salaries only from £2 million to £3 million and
- To amend the terms of reference for the Education Quality and Commissioning Committee to confirm the appointment of the three deans as being 'in attendance' rather than as full members of the Committee together with some minor amendments.

The Committee recommended that the proposals be approved by November Board.