

**Confirmed Minutes of the Public Audit and Assurance Committee
Held on Tuesday 7 July 2020 09:00am – 11:00am
Via Skype**

Chair		
John Union	JU	Independent Member – Finance
Present:		
Eileen Brandreth	EB	Independent Member – ICT
In Attendance:		
Anne Began	AB	Audit Wales
Bob Chadwick	BC	Executive Director of Finance
Nicola Foreman	NF	Director of Corporate Governance
Craig Greenstock	CG	Counter Fraud Manager
Darren Griffith	DG	Audit Wales
Mark Jones	MJ	Audit Wales
Chris Lewis	CL	Deputy Finance Director
Mike Usher	MU	Audit Wales
Ian Virgil	IV	Head of Internal Audit
Secretariat		
Laura Tolley	LT	Corporate Governance Officer
Apologies:		
Dawn Ward	DW	Independent Member – Trade Union

AAC 20/07/001	Welcome & Introductions	ACTION
	The Committee Chair (CC) welcomed everyone to the public meeting.	
AAC 20/07/002	Apologies for Absence Apologies for absence were noted.	
AAC 20/07/003	Declarations of Interest There were no declarations of interest.	
AAC 20/07/004	Minutes of the Committee Meetings held on 28th May 2020 and 29th June 2020 The Committee reviewed the minutes of the meeting held on 28 th May 2020. The Counter Fraud Manager (CFM) advised his apologies needed to be noted. The Committee reviewed the minutes of the meeting held on 29 th June 2020. The CFM advised he was in attendance.	

	<p>Resolved that:</p> <p>Subject to the above amendments;</p> <p>(a) the Committee approved the minutes of the meetings held on 28th May 2020 and 29th June 2020 as a true and accurate record.</p>	
<p>AAC 20/07/005</p>	<p>Action Log following the Meetings held on 28th May 2020 and 29th June 2020</p> <p>The Committee reviewed the action log and the following updates were made:</p> <p>AAC 19/12/015 – It was agreed that this would be brought back to the Committee in September;</p> <p>AAC 20/05/006 – It was agreed that Internal Audit Progress, would be brought back to the Committee in September;</p> <p>AAC 20/05/006 – The Director of Corporate Governance (DCG) advised the committee that a final feedback session was held with KPMG, the information could not be shared as confirmation was required from Welsh Government. The Committee agreed to close this action.</p> <p>Resolved that:</p> <p>(a) the Committee reviewed and noted the action log and the updates provided.</p>	
<p>AAC 20/07/006</p>	<p>Internal Audit Progress and Tracking Reports</p> <p>The Head of Internal Audit (HIA) introduced the report and confirmed that the main focus of the report were the proposed adjustments to the Audit Plan due to the impact of COVID-19.</p> <p>The HIA explained the main addition to the plan was work that focussed on the governance arrangements around COVID-19. The recommendation came from All Wales Financial Service Group and was for all Health Board across Wales. The HIA confirmed it would be an advisory review, therefore there would be no assurance rating, however, there would be recommendations highlighted for the UHB to facilitate change. The HIA commented that the review may also identify other areas which had changed process controls during COVID-19.</p> <p>The HIA advised the committee of two areas removed from the Audit plan:</p> <ul style="list-style-type: none"> • 1 audit removed from Public Health; • 1 audit removed from IT, the strategy and implementation of IT systems was proposed to be moved to the 2021-22 plan due to the pressure from COVID-19 on the department. 	

	<p>The Independent Member – ICT (IM-ICT) asked if an advisory piece of work could be undertaken instead of the IT Audit? After Committee discussion it was agreed this would be further discussed at the Special Digital & Health Intelligence Committee.</p> <p>Resolved that:</p> <ul style="list-style-type: none"> (a) the Committee considered the Internal Audit Progress Report; (b) the Committee approved the proposed amendments to the Internal Audit Plan for 2020/21. 	
<p>AAC 20/07/007</p>	<p>Audit Wales Update</p> <p>Audit Wales (AW) advised the Committee that they were working very closely with Internal Audit and the DCG to discuss progress on the structured assessment, governance, internal audit and KPMG work to ensure AW were not placing additional burdens on the UHB. AW confirmed they will ensure that AW and Internal Audit work was aligned and advice would be taken on board from KPMG when made available.</p> <p>AW advised that the governance review of WHSSC was now reinstated, a survey would be send to Chief Executives and Health Board Chairs, once these had been completed a draft report would be circulated.</p> <p>The CC thanked AW for supporting the UHB with the work undertaken.</p> <p>Resolved that:</p> <ul style="list-style-type: none"> (a) the Committee noted the Audit Wales Update. 	
<p>AAC 20/07/008</p>	<p>Declarations of Interests, Gifts, Hospitality & Sponsorship Tracking Report</p> <p>The DCG introduced the report and confirmed it outlined the end of year position and that Declarations of Gifts, Hospitality & Sponsorship had now moved to Risk & Regulation. The DCG advised the Committee that communication around declarations would be reinstated and the team would look to see continued development within this area.</p> <p>In relation to donations received during COVID-19, the Charitable Funds Committee had received a comprehensive list of all donations received to ensure there was appropriate governance around donations recieved and the Bale Donation was going to be discussed at the Special Board of Trustee meeting at the end of July 2020.</p> <p>Resolved that:</p> <ul style="list-style-type: none"> (a) the Committee noted the ongoing work in this area; (b) the Committee noted the Declarations of Interests, Gifts, Hospitality & Sponsorship Tracking Report. 	

<p>AAC 20/07/009</p>	<p>Regulatory Compliance Tracking Report</p> <p>The DCG introduced the report and confirmed that some responses had been received and Internal Audit were conducting spot checks to ensure recommendations were being actioned.</p> <p>The IM-ICT advised it would be difficult to see good progress in this area due to COVID-19 but requested that the team hold discussions with relevant staff to determine when the work would likely be undertaken. It was explained that a re-assessment and new target date would give teams an aim to work towards.</p> <p>The DCG further advised the Committee that all external visits had ceased due to COVID-19, however a letter was received on 6th July 2020 from HIW which set out how they plan to conduct visits going forward. These would be tiered as:</p> <p>Tier 1 – Completely offsite Tier 2 – Combination of offsite and limited on site Tier 3 – Onsite inspections</p> <p>The DCG advised a commencement date had not been confirmed, however it was anticipated by the September meeting the UHB may see this activity coming back.</p> <p>Resolved that:</p> <p>(a) the Committee noted the Regulatory Compliance Tracking Report.</p>	<p>NF</p>
<p>AAC 20/07/010</p>	<p>Internal Audit Tracking Report</p> <p>The DCG introduced the report and it was taken as read by all Committee members.</p> <p>Resolved that:</p> <p>(a) the Committee noted the tracking report which is now in place for tracking audit recommendations made by Internal Audit. (b) the Committee noted that progress will be seen over coming months in the number of recommendations which are completed/closed.</p>	
<p>AAC 20/07/011</p>	<p>Audit Wales Tracking Report</p> <p>The DCG introduced the report and it was taken as read by all Committee members.</p> <p>The DCG confirmed the report outlined 3 years' worth of tracking of recommendation from Audit Wales.</p>	

	<p>Resolved that:</p> <p>(a) the Committee noted the Audit Wales Tracking Report.</p>	
AAC 20/07/012	<p>Items to bring to the attention of the Board / Committees</p> <p>There were no items to be brought to the attention of the Board / Committees.</p>	
AAC 20/07/013	<p>Review of the Meeting</p> <p>The CC thanked everyone for their attendance and contribution to the meeting</p>	
AAC 20/07/014	<p>Date and Time of Next Meeting</p> <p>Tuesday 8th September 2020 9.00am – 12:00pm Via Skype</p>	