

## Minutes of Senior Management Team Meeting held on 12 June 2018

**In attendance:** K Donnelly, Chair (C&AG)

P McCreedy (COO)

R Allen (Director)

N Gray (Director)

C Kane (Director)

D Lynn (Director)

T Wilkinson (Director)

L Donnelly (Secretary)

1&2	<p><b>Minutes of Previous meeting and Matters Arising</b></p> <p>Minutes of the previous meeting held on 8 May 2018 were agreed and Matters arising updated.</p> <p>C&amp;AG noted that in response to a query that his position as C&amp;AG was a matter for the Assembly and he would be discussing succession planning with the Speaker on the return of devolution. It was agreed that roles and responsibilities for SMT should be formally established.</p>
3.	<p><b>Risk Management</b></p> <p><b>Corporate Risk Register</b></p> <p>All staff are to be briefed on the new Risk Register at whole of office breakfast briefing scheduled for 6 July 2018.</p> <p>C Kane updated members on the changes made to reflect recent comments from the ARAC meeting of 17 May 2018 and advised that scoring of risks was now complete. All changes made were highlighted in red for member's convenience.</p> <p>C Kane briefed members on each risk. Members discussed the scoring for each risk and after discussion decided that risk 3(a) should be redefined from amber to green. Members are confident that the Office can adequately control the ability to deliver on this element of work through the 3 year intention that includes an engagement strategy as well as through the Business Transformation Programme (BTP) and the proposed stakeholder survey. The wording of risk 3(a) was also changed to include reference to stakeholders expectations.</p>
4.	<p><b>Finance</b></p> <p>R Allen thanked members for their feedback on the Annual Report and Accounts. A meeting to finalise the Report is scheduled with the auditors for 13 June 2018 and a final draft will be presented at the ARAC meeting scheduled for 19 June 2018. The C&amp;AG expressed his thanks to all those involved in the production of the Annual Report and Accounts.</p> <p>Figures for the Main Estimate were submitted to DoF on 18 May and R Allen highlighted the following:</p> <ul style="list-style-type: none"><li>• a capital bid has been submitted for £110k for design work associated with the next stage of the refurbishment of 106 University Street;</li><li>• allocations have been made to key spending areas and a paper will be submitted to Directors next week before the monitoring return;</li></ul>

	<ul style="list-style-type: none"> <li>• ARAC requested that NIAO develop an income generation strategy. SMT considered the proposals put forward and agreed where income should be maximised.</li> </ul>
5.	<p><b>Corporate Matters</b></p> <p><b>5.1 Corporate Report</b></p> <p><b><i>Absence Management</i></b> SMT welcomed the positive absence figures for the period.</p> <p><b><i>Staffing</i></b> Two members of staff are due back from secondment in the coming summer months. SMT noted the contributions made by staff who have left or are leaving soon.</p> <p><b><i>Recruitment</i></b> The Auditor recruitment has concluded and two people have been offered positions.</p> <p><b><i>Work Placement for Person with a Disability</i></b> A person has been successfully placed and due to start over the summer for a six week period.</p> <p><b>5.2 Disability Action Plan</b> SMT endorsed the Disability Action Plan presented for consideration.</p> <p><b>5.3 Code of Conduct</b> SMT endorsed the Code of Conduct and noted it will now go to go TUS for consideration.</p> <p><b>5.4 Impacts</b> Impacts have been validated by the External Auditor and were discussed and approved by SMT.</p>
	<p><b>Annual Assurances</b></p> <p><b>6.1 Health and Safety Assurance Statement</b> Assurance was provided by a report detailing progress to date. A number of health and wellbeing initiatives were introduced during 2017-18 and were well received by staff. The Health and Safety Committee will meet again over the summer.</p> <p><b>6.2 Anti-Fraud Statement</b> The paper has been prepared for ARAC to assist in the completion of its 2017-18 assurance considerations. SMT endorsed the paper.</p> <p><b>6.3 Senior Management/NEM Expenses Hospitality</b> Report drafted for uploading to the NIAO website, members were asked to check content and feedback to R Allen before the ARAC meeting scheduled for 19 June 2018.</p>

6.	<p><b>6.4 IT Assurance Statement</b> R Allen provided assurance that adequate arrangements and controls are in place for 2017-18 to oversee and manage the outsourced provision of NIAO IT services. The Report was endorsed by SMT and will be presented to the ARAC meeting on 19 June 2018.</p> <p><b>6.5 &amp; ISQCI Monitoring/Transparency Reports</b></p> <p><b>6.6</b> The reports were endorsed by SMT and will be presented to ARAC on 19 June 2018.</p> <p><b>6.7 Guidance on Quality Control</b> A draft APC was endorsed by SMT.</p> <p><b>6.8 VFM External Panel</b> A summary paper on the composition, remit and findings of the VFM External Panel was discussed to provide assurance on the quality control procedure. SMT endorsed the report for presentation to ARAC.</p>
7.	<p><b>ARAC and Advisory Board</b></p> <p><b>7.1 Draft Agenda: ARAC and Advisory Group meetings 19 June 2018</b> Agendas were agreed by SMT.</p> <p><b>7.2 Business Transformation Programme (BTP)</b> The BTP framework was agreed by SMT for presentation to the Advisory Group on 19 June 2018.</p> <p><b>7.3 VFM Three Year Plan</b> The three year plan under development with consultants was discussed. Progress to date was noted and it was agreed to present the current position to the Advisory Group on 19 June.</p>
7.	<p><b>AOB</b></p> <p>7.1 Next meeting 27 July 2018 at 2.00pm – subject to leave plans. A decision will be made closer to the time.</p> <p>7.2 Pre Summer Recess Dates - The COO asked if she could be made aware of any concerns on accounts timelines.</p> <p>7.3 T Wilkinson advised there were no technical reviews received yet.</p> <p>7.4 T Wilkinson advised further application had been made to GovTech and a response is due over the coming weeks. SMT will be notified of any decision and provided with an opportunity to discuss the outcome if successful.</p> <p>7.5 The C&amp;AG advised that Mike Usher (Wales Audit Office) would be visiting the Office on 14 June 2018.</p>