

**Report from Audit and Integrated Governance Committee (AIGC)
 Meeting held on 9 December 2021**

Governing Body meeting

Item 16d

13 January 2022

Author(s)	Ms Karen Shaw, Committee Secretariat and Business Manager
Sponsor Director	Anthea Morris, Chair of Audit and Integrated Governance Committee
Purpose of Paper	
This paper summarises the key points arising from the CCG's Audit and Integrated Governance Committee meeting held on 9 December 2021.	
Key Issues	
The key issues are as set out in the attached report.	
Is your report for Approval/Consideration/Noting	
Noting	
Recommendations/Action Required by Governing Body	
The Governing Body is asked to note the key messages in the attached summary report	
What assurance does this report provide to the Governing Body in relation to Governing Body Assurance Framework (GBAF) objectives?	
<p>Assurance Framework Number: The report links to all risks identified on the GBAF and also supports the good governance arrangements in place which are integral to each of the CCG's objectives contributing to a sound system of internal control.</p> <p>How does this paper provide assurance that the risk is being addressed? The Audit and Integrated Governance Committee is a Committee of the Governing Body and is integral to the good governance arrangements set out within the CCG's Constitution</p> <p>Is this an existing or additional control: Existing control</p>	
Are there any Resource Implications (including Financial, Staffing etc)?	
None	
Have you carried out an Equality Impact Assessment and is it attached?	
Not applicable	

Have you involved patients, carers and the public in the preparation of the report?

Not applicable

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1 Introduction

The Audit and Integrated Governance Committee (AIGC) met on 9 December 2021.

2 Key Messages

2.1 AIGC received the Due Diligence and Transition report on arrangements for the CCG transitioning to the Integrated Care Board (ICB). It was noted that most areas for CCG closure were at low risk of not completing on time. The areas where there was higher risk related to start up areas. The highest risk related to aligning all commissioning policies across the ICB. The CCGs are seeking legal advice on how to minimise the risks, noting that this is a national issue. There was also assurance from HR about the process for managing people and teams through the change.

2.2 External Audit (KPMG) introduced their new Director who will sign off the Financial Statements for the March 2022 year end – Richard Lee. Clare Partridge is remaining with KPMG but changing roles. The audit is currently at the planning stage with interim work scheduled for January. The finance team are under pressure with transition work and staff shortages, and the workload will increase for the audits. The committee have noted this risk.

2.3 Internal Audit (360) presented three reports:

- Primary Medical Care Services – Full Assurance
- Conflicts of Interest – Significant Assurance
- Data Quality and Performance Management Framework – Significant Assurance

AIGC thanked all those involved in the Primary Medical Care Service audit. 360 are using the contingency days to review the transition arrangements and reviewing the merger of policies and procedures across the four South Yorkshire CCGs.

2.4 Governing Body Assurance Framework – The review for Q2 was complete. The Executive Team was asked to review the workforce related risks for the end of Q3 as these had been escalated from other committees during Q3.

2.5 Counter Fraud presented their report with all issues now Amber or Green with further improvements anticipated before March.

- 2.6 Audit Committee reviewed its Terms of Reference and concluded that a self-assessment was not prudent at this stage of the CCG as there was not time to implement the findings.
- 2.7 An early review of papers that need to come to March audit committee is underway in good time. The committee agreed to invite the new ICB Lay Member for Audit to this meeting once they were appointed. There needs to be a process for Audit Committee to escalate any risks from its March meeting which may vary depending on the risk.
- 2.8 The Governance Sub-committee had reviewed Policies and Procedures, Mandatory and Statutory Training and the Register of Interests.
- 2.9 The Audit Committee met in Private with Internal and External Audit. The issues raised were of concern of capacity in the workforce and the PHB internal audit due in March 2022.
- 2.10 Audit Committee also agreed to the proposal to include a key highlight that they had noted that, in light of Governing Body's committees and sub-committees ceasing to exist after the end of March, instead of going through the usual approvals process, those committees and sub-committees had undertaken their annual Terms of Reference reviews and confirmed that, subject to minor changes, they would remain Fit for Purpose to the end of March 2022.

3. Recommendation

The Governing Body is invited to receive and note the report.

Paper prepared by Ms Karen Shaw, Corporate Secretariat and Business Manager

On behalf of Ms Anthea Morris, Audit and Integrated Governance Committee Chair

21 December 2021