

**Report from Audit and Integrated Governance Committee (AIGC)
 Meeting held on 10 December 2020**

Governing Body meeting

Item 20f

14 January 2021

Author(s)	Ms Carol Henderson, 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 10 December 2020	
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 10 December 2020.

2 Key Messages

- 2.1 Members received an update on our External Auditor's (KPMG) plan for the financial year ended 31 March 2021. They noted that there is still an unknown on exactly what the new public facing report of the 2020/21 Value for Money (VfM) audit will look like. KPMG said they would place reliance on the Internal Audit Opinion in coming to their VfM conclusion and therefore the concerns expressed by the committee that included what evidence will be needed and when it will need to be provided by, must be addressed by the CCG. They noted that further guidance was still awaited on this.
- 2.2 AIGC expressed concerns that no final Internal Audit (360 Assurance) reports have been issued as yet this year and noted that this was due to delays within the CCG to provide information in a timely manner. They noted that there is currently an offer of support to CCG staff that have overdue Internal Audit recommendations awaiting completion and also noted that several recommendations are coming up for closure by the end of the financial year. The continued cooperation of CCG officers to advance this work will be key.
- 2.3 AIGC reviewed the Governing Body Assurance Framework (GBAF) which was presented in an improved format, and they made some further suggestions for improvement on monitoring the closing of gaps in control and assurance. They reviewed the Brexit risks over medicines and possibly vaccine supply.
- 2.4 AIGC has completed its annual self-assessment with no major issues arising. The recommendations will be reviewed in the next quarter
- 2.5 AIGC noted the paper providing an updated overview of the CCG's governance arrangements during the COVID Pandemic. AIGC agreed to keep it on the agenda for the foreseeable future.
- 2.6 AIGC received the final Quality Assurance Committee (QAC) report from Ms Amanda Forrest, Lay Member and Chair of the QAC, who was leaving the CCG when her tenure expired at the end of December 2020. They thanked Ms Forrest for the support and advice she had given to the AIGC over the past few years.
- 2.7 Members reviewed the Terms of Reference for the AIGC and Governance sub-Committee (GSc). In accordance with the Scheme of Reservation and Delegation

they approved the GSc Terms of Reference and recommended proposed changes to the AIGC Terms of Reference to Governing Body for approval.

- 2.8 AIGC noted the Local Counter Fraud Progress Report and in particular the increase in the number of cyber attacks during COVID and phishing emails relating to the NHS, COVID and Personal Protective Equipment (PPE).
- 2.9 The AIGC Chair and core members of the committee met in private with External and Internal Audit following the formal meeting. A number of issues were discussed including the Internal Audit issues noted above (section 2.2).

3. Recommendation

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

Paper prepared by: Ms Carol Henderson, Committee Secretariat and Business Manager

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

December 2020