

**Report from Audit and Integrated Governance Committee (AIGC)  
 Meeting held on 23 September 2021**

**Governing Body meeting**

**Item 15f**

**4 November 2021**

<b>Author(s)</b>	Ms Karen Shaw, Committee Secretariat and Business Manager
<b>Sponsor Director</b>	Anthea Morris, Chair of Audit and Integrated Governance Committee
<b>Purpose of Paper</b>	This paper summarises the key points arising from the CCG's Audit and Integrated Governance Committee meeting held on 23 September 2021
<b>Key Issues</b>	The key issues are as set out in the attached report.
<b>Is your report for Approval/Consideration/Noting</b>	Noting
<b>Recommendations/Action Required by Governing Body</b>	The Governing Body is asked to note the key messages in the attached summary report
<b>What assurance does this report provide to the Governing Body in relation to Governing Body Assurance Framework (GBAF) objectives?</b>	<p><b>Assurance Framework Number:</b>                  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><b>How does this paper provide assurance that the risk is being addressed?</b>                  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><b>Is this an existing or additional control:</b> Existing control</p>
<b>Are there any Resource Implications (including Financial, Staffing etc)?</b>	None
<b>Have you carried out an Equality Impact Assessment and is it attached?</b>	Not applicable
<b>Have you involved patients, carers and the public in the preparation of the report?</b>	Not applicable

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#### **1 Introduction**

The Audit and Integrated Governance Committee (AIGC) met on 23 September 2021. This report sets out the key issues discussed at that meeting.

#### **2 Key Messages**

- 2.1 The Committee received and approved the revised 2021/22 work plan to reflect the transition to the ICB, and the Due Diligence requirements for this. The Accountable Officer will be required to sign off a due diligence checklist in March confirming that the CCG has undertaken all necessary actions to ensure a smooth and safe transition to the new Integrated Care Board, subject to the legislation. A set of arrangements have been put in place to ensure that this work is co-ordinated across the CCGs, and Sheffield CCG has established its own change and transition group to ensure that the work is coordinated across the various groups at an organisational level. It was noted that AIGC's existing meetings fitted well into the time frames outlined. Both the Chair and the Committee agreed that they would be available either as Chair or a whole committee to meet at short notice as required. It was noted that the biggest risk was timescales/lack of capacity in the CCG team to deliver what was needed.
- 2.2 External Audit delivered their final report on 2020/21 which showed a good result for the CCG. The technical update was discussed with particular emphasis on Climate Change, Mental Health Referrals and GP contracts.
- 2.3 Internal Audit delivered their progress report. One audit on Staff Engagement and Communications was complete with significant assurance. There was also excellent progress on the closing of recommendations. There were two delayed audits which AIGC asked not to be delayed further (one delayed from 2020/21).
- 2.4 The Counter Fraud Annual report for 2020/21 was received which will form the baseline for the current year's work.
- 2.5 The Governance Sub-committee reported on the work it had done and would support during the transition. AIGC noted the four overdue corporate policies and considered and accepted the rationale for the delays to reviewing these policies, specifically the Business Continuity Plan (BCP) and Policy; Emergency Preparedness, Resilience and Responsiveness (EPRR) Policy; Records Management Policy; Remote Working Policy and Portable Devices Policy.
- 2.6 The GBAF was received for Quarter 1 and the support of the committee for the deep dive into checking each of the risk scores, noting that the report had already been considered by Governing Body.

- 2.7 The review of operations of CCG committees was complete which highlighted the value that the Business Support team had brought to the CCG, with overall a good level of assurance that committees are well run and managed. There was a recurring theme of late papers which is being addressed.
- 2.8 AIGC noted that no tender waivers had been received since 1 April 2021.
- 2.9 Without the external auditors present, the committee discussed the future provision of the External Audit contract from 1 April 2022 onwards.

### **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

October 2021