

**NHS BOLTON CLINICAL COMMISSIONING GROUP
Public Board Meeting**
AGENDA ITEM NO:15.....
Date of Meeting:12th February 2021.....

TITLE OF REPORT:	CCG Audit Committee	
AUTHOR:	Joanne Taylor, Board Secretary	
PRESENTED BY:	Tony Ward, Audit Committee Chair	
PURPOSE OF PAPER: (Linking to Strategic Objectives)	For the Board to receive and review the minutes of the Audit Committee meeting held on 13 th January 2021.	
LINKS TO CORPORATE OBJECTIVES (tick relevant boxes):	Deliver the outcomes in the Bolton Joint Health and Care Plan.	
	Joint collaborative working with Bolton FT and the Council.	
	Supporting people in their home and community.	
	Shared health care records across Bolton.	
	Regulatory Requirement Standing Item	√
RECOMMENDATION TO THE BOARD: (Please be clear if decision required, or for noting)	The Board is asked to approve the Minutes. The key points the Board is asked to note from these minutes are:- <ul style="list-style-type: none"> • Mental Health Investment Statement of compliance reviewed by Audit Committee. External audit due to start next week. Audit Committee will review final report and recommend to the Board. • Internal Audit report progressing as planned despite capacity required to support the Covid work. 	
COMMITTEES/GROUPS PREVIOUSLY CONSULTED:	Audit Committee.	
REVIEW OF CONFLICTS OF INTEREST:	Conflicts of Interest are reviewed at every meeting.	
VIEW OF THE PATIENTS, CARERS OR THE PUBLIC, AND THE EXTENT OF THEIR INVOLVEMENT:	Patient views are not specifically sought as part of this report.	
EQUALITY IMPACT ASSESSMENT (EIA) COMPLETED & OUTCOME OF ASSESSMENT:	EIA and an assessment is not considered necessary for the report.	

MINUTES

Audit Committee Microsoft Teams Meeting

Date: 13 January 2021

Time: 2.00pm – 2.30pm

Venue: Microsoft Teams Meeting

Present:

Tony Ward (TW)	Lay Member Governance (Chair)
Alan Stephenson (AS)	Lay Member
Dr Tarek Bakht (TB)	GP Board Member
Dr Niruban Ratnarajah (NR)	GP Board Member

In attendance:

Kelly Knowles (KK)	Chief Finance Officer, Bolton CCG
Claire Donovan (CD)	Deputy Chief Finance Officer, Bolton CCG
Amanda Williams (AAW)	Head of Financial Accounting and Reporting CCG
Kath Stott (KS)	Audit Manager, MIAA
Andrew Wade (AW)	Anti-Fraud Specialist, MIAA
Debra Chamberlain (DC)	Director of Audit, KPMG
Su Long (SL)	Chief Officer, Bolton CCG

Minutes by:

Linda Hughes	Personal Assistant
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Minute No.	Topic	Action By
1/21	<p><u>Introductions and Apologies for Absence</u></p> <p>Welcome and introductions were made around the table. Apologies received from:-</p> <ul style="list-style-type: none"> • Gary Baines, Engagement Lead, MIAA • Diane Sankey, Patient Safety & Governance Lead CCG • Gordon Haworth, Manager, Public Sector KPMG 	
2/21	<p><u>Declarations of Interest</u></p> <p><i>“The Chair reminded committee members of their obligation to declare any interest they may have on any issues arising at committee meetings which might conflict with the business of NHS Bolton Clinical Commissioning Group”.</i></p> <p><i>“Declarations declared by members of the CCG Executive are listed in the CCG’s Register of Interests. The Register is available either via the Board Secretary to the Governing Body or the CCG website at the following link:</i></p> <p>http://www.boltonccg.nhs.uk/about-us/declarations-of-interest</p>	

	There were no declarations of interest.	
3/21	<p><u>Previous Minutes</u> The minutes from the 9 September 2020 meeting were agreed as an accurate record.</p>	
4/21	<p><u>Matters arising from the minutes not otherwise on the agenda and review of action log</u></p> <p>The action log was reviewed and updated.</p>	
5/21	<p><u>MIAA (Internal Audit)</u> <u>Internal Audit Progress Report</u> KS updated the Audit Committee in respect of the assurances, key issues and progress against the Internal Audit Plan for 20/21 and to support the Head of Internal Audit Opinion (HIAO).</p> <p>Comprehensive reports detailing findings, recommendations and agreed actions were provided to the organisation.</p> <p>Key messages were discussed to include:-</p> <ul style="list-style-type: none"> • Plan Delivery – on track to deliver the HIAO. • 20/21 Plan Reviews – progress on track. • Follow up Positons – progress on track. • Request for Audit plan Changes – Broadcare review to be deferred and substituted with Incident Reporting. Members agreed this change and requested that Broadcare be picked up in the 2021/22 internal audit plan. <p>The Committee noted the MIAA Internal Audit Progress Report.</p> <p><u>MIAA's Insight report –BAF Benchmarking</u> KS presented the report compiled by an NHS Internal Audit consortia consisting of 360 Assurance, Audit Yorkshire and MIAA which had reviewed the Governing Body Assurance Framework reports (GBAFs) of 34 CCG organisations.</p> <p>The report had been circulated to Committee members and CCG Executive and demonstrated the CCG assurance framework was very strong in comparison with other CCGs.</p> <p>The report identifies which aspects should be reflected on in the future and stage three work in March will consider issues which fall out of the report.</p> <p>The Committee noted the CCG Governing Body Assurance Framework report.</p>	

	<p><u>MIAA - External Quality Assessment</u> KA presented the outcome of MIAA's External Quality Assessment which assessed MIAA's compliance with the Public Sector Internal Audit Standards. The assessment is required to be undertaken every 5 years. MIAA were assessed as fully compliant with all standards.</p> <p>The Committee noted the MIAA External Quality Assessment.</p>	
6/21	<p><u>KPMG (External Audit)</u> <u>Report on Mental Health Investment Standard</u> DC informed guidance had been delayed but that a plan had been put in place to undertake the work and report to the Board in February. DC advised that a KPMG colleague would be joining a national call on 14/01/21 to discuss the assurance work and establish next steps. DC will share the outcome.</p> <p><u>External Audit Update</u> DC informed the External Audit Plan is in progress. The VFM audit requirements are more detailed than historically, KPMG are reviewing all information provided by the CCG that will inform the final audit plan. The audit plan will be finalised by the end of January/early February and will be shared with committee members via email and presented to the April committee meeting for formal approval.</p> <p><u>Health Sector Technical Update January 2021</u> The Committee received a copy of the document which highlighted the main technical issues which are currently having an impact in the health sector.</p> <p>The Committee noted the KPMG January 2021 Technical update.</p>	<p>DC</p> <p>DC</p>
7/21	<p><u>Mental Health Investment Standard – Statement of Compliance</u> CD presented the paper to review the 2019-20 Mental Health Investment Standard – Statement of Compliance for recommending to the CCG Board for approval and to agree the proposed governance and approval process.</p> <p>CD informed the guidance had remained the same as the prior year and the CCG has complied with and met the target. GMMM had provided a revised basis for the block contract reflected against the MHIS categories based on 2019/20 contract.</p> <p>The Committee reviewed the CCG's statement of compliance and agreed the proposed governance and approval process.</p> <p>In order to meet deadlines currently published it was proposed to hold a virtual Audit Committee meeting week commencing 1st February to review KPMG's Mental Health Standards report prior to recommending to the February Board.</p>	<p>LH</p>

<p>8/21</p>	<p><u>Annual Report and Accounts Timetable</u> AAW presented the high level reporting and governance timetable for the completion, audit and submission of the Annual Report and Accounts (incorporating the Governance Statement).</p> <p>AAW advised that NHSE hadn't published their timetable to date so still awaiting confirmation of the dates highlighted in red on the timetable.</p> <p>The Committee noted the Annual Report and Accounts Timetable.</p>	
<p>9/21</p>	<p><u>Inspection of Corporate Registers</u> The report updates the Audit Committee on the additions to the Corporate Registers since the last submission on 9th September 2020. The report includes the following:-</p> <ul style="list-style-type: none"> • Register of Interests (updates only attached, as per Committee's agreement – to note a full review of this register is currently being progressed as part of the annual updates to forms. The full register will be presented to the next Committee meeting). • Register of Gifts and Hospitality (no updates to report). • Register of Conflicts of Interest Breaches (no updates to report). • Procurement Register (updated register attached). • Waiver of Standing Financial Instructions (no updates to report). • Whistleblowing Log (updated log attached). • To note that the Conflicts of Interest Committee also regularly reviews declarations of interest including breaches/gifts and hospitality/procurement registers and waivers of standing financial instructions along with any reviews undertaken by internal and external audit. • To note that all these Registers are now publicised on the CCG website. • Members are reminded of the need to ensure all declarations of interest are made of any interest likely to lead to a conflict or potential conflict as soon as the individual becomes aware of it, and within 28 days. • The Audit Committee is asked to note that the CCG continues to regularly undertake reviews of the policy and processes regarding conflicts of interest, which are also regularly reviewed through the Conflicts of Interest Committee. <p>The Committee Reviewed and Approved the Corporate Registers Report.</p>	
<p>10/21</p>	<p><u>Review of Assurance on External Reports</u> Bolton CCG monitors a central log to capture external reviews issued following assessment of the CCG or its providers. This helps to support the CCG's monitoring of quality and performance</p>	

	<p>and provide assurance to the Audit Committee and governing body.</p> <p>The log is coordinated by the Governance & Safety Directorate and submitted to the Quality & Safety Committee as a routine agenda item. It will include any report issued about NHS Providers and Bolton CCG.</p> <p>The External Review log from 1st April 2020 onwards was presented for information. Any issues not closed from 2018/19 and 2019/20 continue to be monitored on the 2020/21 log. This report was considered by the Quality & Safety Committee.</p> <p>The Committee noted the Review of Assurance on External Reports.</p>	
11/21	<p><u>Audit Committee Work Plan</u> A copy of the work plan was received for information</p> <p>The Committee noted the work plan.</p>	
12/21	<p><u>Any Other Business</u> TW asked DC if the recent statement by NHSE and NHSI regarding the future of CCGs would have implications for the Going Concern disclosure when preparing the annual report and accounts. DC advised that in NHS guidance, Going Concern usually follows the NHS services not the organisation form from which the services are provided, but adequate Going Concern disclosures will need to be included and assessed during the audit.</p>	
13/21	<p><u>Chair reflection on significant decisions/actions/risks that may need reporting to the Board through these minutes.</u></p> <ul style="list-style-type: none"> • MHIS statement of compliance reviewed by AC. External audit due to start next week. AC will review final report week commencing 1st Feb and recommend to the Board. • Internal Audit report progressing as planned despite COVID. 	
14/21	<p><u>Date of Next Meeting:-</u> Wednesday 21 April 2021, 1-2pm Self-assessment Session Wednesday 21st April 2-4pm Bevan Room</p> <p><u>Future Meetings 2021/2022:-</u> Wednesday 19th May 2-4pm Bevan Room Wednesday 22nd September 2-4pm Bevan Room Wednesday 12th January 2-4pm Bevan Room</p>	