

Item: 9.3

INTEGRATED AUDIT AND GOVERNANCE COMMITTEE

MEETING HELD ON 13 MARCH 2018

ASSURANCE REPORT

INTRODUCTION

This is the Chair's assurance report to the Clinical Commissioning Group Board following the Integrated Audit and Governance Committee meeting held on 13 March 2018.

AUDIT

Minute No. 6.1 EXTERNAL AUDIT PROGRESS AND TECHNICAL UPDATE REPORT

The Board can be assured that Mazars, the External Auditors for Hull CCG, have commenced their interim substantive testing of journals and expenditure for the 2017/18 audit. At this stage of the audit, there were no issues arising or significant deficiencies in internal control to be made aware of and planned work was on track for the year.

Minute No. 7.1 INTERNAL AUDIT PROGRESS REPORT

The Board can be assured of satisfactory progress and outcomes in delivering the Internal Audit Plan, which continues to represent appropriate coverage as part of the wider assurance framework.

A draft Opinion Statement would be issued and it was reported that there had been nothing negative to report at this stage and no areas of concern had been highlighted.

Minute No. 7.2 DRAFT INTERNAL AUDIT PLAN 2018/19

The Board can be assured that the CCG has an approved Internal Audit Plan in place for 2018/19.

Minute No. 7.3 COUNTER FRAUD PROGRESS REPORT

The Board can be assured that work has been undertaken to develop a fraud risk assessment process for Hull CCG. A Counter Fraud workplan for 2018/19 was being developed to comply with the requirements of the NHS Counter Fraud Authority Standards for Commissioners alongside the risk assessment process and this would be brought to the next meeting of the IAGC.

FINANCIAL GOVERNANCE

Minute No. 8.1 FINANCIAL REPORT

The Board can be assured that, at this stage of the financial year, the current financial position indicated that the CCG would achieve all financial targets for the year.

Minute No. 8.2 REVIEW OF LOSSES AND SPECIAL PAYMENTS

The Board can be assured that appropriate systems and processes are in place to discuss and declare any losses reported and special payments made. None had been reported or made.

Minute No. 8.3 ANNUAL ACCOUNTS PLAN AND TIMETABLE

The Board can be assured that the CCG has appropriate detailed planning arrangements in place to deliver the CCG's Annual Accounts for 2017/18.

GOVERNANCE

Minute No. 9.2 CORPORATE RISK REGISTER

The Board can be assured that systems and processes are in place to identify and manage risks on the Risk Register. The IAGC are kept updated on any movements, provided with the opportunity to review and comment and approve the removal of any risks from the Risk Register. IAGC members approved the closure of Risk 909.

Minute No. 9.3 BOARD ASSURANCE FRAMEWORK

The Board can be assured that IAGC Members had considered the updates provided against the assessed risks on the Board Assurance Framework which was in line with the CCG's 2017/18 strategic objectives. Work on the development of a Board Assurance Framework for 2018/19 had commenced and a Board Development Session would be scheduled to take place.

Minute No. 9.4 RISK MANAGEMENT STRATEGY

The Board can be assured that the CCG has an updated and approved Risk Management Strategy in place for 2018/19.

Minute No. 9.5 EMPLOYEE DECLARATIONS OF SECONDARY EMPLOYMENT

The Board can be assured that the CCG, as part of the annual governance process, has received updated Employee Declarations of Secondary Employment.

Minute No. 9.6 FREEDOM OF INFORMATION (FoI) REPORT FOR QUARTER 3

The Board can be assured that the CCG has a process in place to record and respond to all FOI requests received. All requests processed from 1 October 2017 to 31 December 2017 had been completed within the statutory 20 working day deadline.

Minute No. 9.7 INFORMATION GOVERNANCE ASSURANCE UPDATE

The Board can be assured that good progress has been made against the Information Governance Workplan for 2017/18 and the CCG are on track to achieve Level 2 compliance with the Information Governance Toolkit.

Minute No. 9.8 POLICIES

The Board can be assured that the CCC regularly reviews and updates its policies and guidance to reflect organisational changes and comply with latest regulations.

Minute No. 10.1 HISTORICAL PHARMACEUTICAL CASE/UPDATE REPORT

The Board can be assured that, in relation to the historical pharmaceutical case, full and thorough consideration has been given to the matter by the Committee and it will be now be examined by NHS England and their instructions sought on the matter.



Karen Marshall (Chair)

Integrated Audit and Governance Committee

16 January 2018