

Item: 9.3

INTEGRATED AUDIT AND GOVERNANCE COMMITTEE

MEETING HELD ON 14 MAY 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 14 May 2018.

AUDIT

Minute No. 6.2 CCG LETTER OF UNDERSTANDING OF MANAGEMENT PROCESSES AND ARRANGEMENTS FOR AUDIT 2017/18

The Board can be assured that the CCG has robust management processes and arrangements in place for the 2017/18 Audit.

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.

The Board can be assured that **substantial assurance** has been provided in relation to the arrangements that the CCG has in place to manage conflicts of interest.

Minute No. 7.2 DRAFT STRATEGIC INTERNAL AUDIT PLAN 2018/19- 2020/21

The Board can be assured that the CCG has an approved Internal Audit Plan in place for the period 2018/19-2020/21.

Minute No. 7.4 COUNTER FRAUD WORKPLAN 2018/19

The Board can be assured that the CCG has an agreed Counter Fraud Workplan in place for 2018/19.

Minute No. 7.5 COUNTER FRAUD ANNUAL REPORT 2017/18

The Board can be assured that there is a team and systems in place to deliver a counter fraud service for the CCG next year.

Robust discussions have taken place with regards to the draft Head of Internal Audit Opinion for the year ending 31 March 2018. Progress had been made and senior CCG officers were to meet urgently with the Managing Director of AuditOne to clarify any remaining queries in this regard.

FINANCIAL GOVERNANCE

Minute No. 8.1 FINANCIAL REPORT

The Board can be assured that the CCG has achieved all financial targets for the year. The overspends had been managed through the use of underspends and the contingency reserve. Steps have been put in place as part of the financial planning and contracting round for 2018/19 in order to minimise these risks going forward.

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 CONTRACTS VALUES 2018/19

The Board can be assured that the CCG has agreed contracts in place for 2018/19 with all major providers.

Minute No. 8.4 PRIMARY CARE PRESCRIBING REBATE OFFERS FOR NHS HULL CCG

The Board can be assured that the CCG has an agreed process in place to consider and approve any Primary Care Rebate Schemes for the CCG.

Subject to the provision of further information and assurance, the IAGC Chair would sign off four Primary Care Rebate Schemes previously considered and endorsed by the Planning and Commissioning Committee.

GOVERNANCE

Minute No. 9.1 WAIVING OF PRIME FINANCIAL POLICIES

The Board can be assured that appropriate processes were being followed in relation to the waiving of prime financial policies. Approved tender waivers relating to the implementation of MJOG in Primary Care and a Service Level Agreement with Hull City Council for legal advice and representation had been endorsed by the IAGC.

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. A new risk (Risk 929) which related to the new operating model for Adult Social Care which was based around supporting people outside of residential care had been added to the Risk Register.

Minute No. 9.3 BOARD ASSURANCE FRAMEWORK

The Board can be assured that work was taking place to develop a Board Assurance Framework for 2018/19 which would be brought to the next IAGC meeting in July for consideration.

Minute No. 9.4 DECLARATIONS OF INTEREST FOR COMMITTEE MEMBERS, EMPLOYEES AND RELEVANT OTHERS, BOARD MEMBERS AND COUNCIL OF MEMBERS

The Board can be assured that the CCG has received updated Declarations of Interest for Committee Members, Employees and Relevant Others, Board Members and Council of Members.

Minute No. 9.5 GIFTS AND HOSPITALITY REPORT

The Board can be assured that the CCG maintains a register of all declarations of gifts and hospitality which is regularly reviewed by the IAGC.

Minute No. 9.6 PROCUREMENT PANEL ASSURANCE UPDATE

The Board can be assured that correct procedures and policies are being followed in relation to procurement.

The CCG would continue to use procurement where it was needed and there was a move towards an integrated delivery system with the Local Authority.

Minute No. 9.8 UPDATED POLICY ON THE PROVISION AND USE OF FREE GIFTS, PRIZES AND INCENTIVES

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

An updated Policy on the Provision and Use of Free Gifts, Prizes and Incentives had been approved by the IAGC.

Minute No. 9.9 HEALTH, SAFETY AND SECURITY GROUP

The Chair requested that any future security incidents be demarked between "our responsibility" and "the wider responsibility"

Minute No. 10.1i HISTORICAL PHARMACEUTICAL CASE/UPDATE

The Board can be assured that, in relation to the historical pharmaceutical case, thorough consideration had been given to the matter.



Karen Marshall (Chair)
Integrated Audit and Governance Committee
14 May 2018