

Item: 10.3

INTEGRATED AUDIT AND GOVERNANCE COMMITTEE

MEETING HELD ON 15 JANUARY 2019

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 15 January 2019.

AUDIT

EXTERNAL AUDIT

Minute No. 6.1 AUDIT PROGRESS AND TECHNICAL UPDATE REPORT

The Board can be assured that the planning stage of the 2018/19 audit was in progress and the interim work would be completed in March 2019. IAGC members continued to be kept updated on national guidance and publications.

INTERNAL 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 continued to represent appropriate coverage as part of the wider assurance framework.

The Board can be assured that an audit of the systems and processes in place for performance management arrangements in relation to the Primary Care Integrated Delivery Framework had provided **substantial assurance** that the risks identified were being managed effectively. No major issues had been identified and no recommendations had been made.

**Minute No. 7.2 STRATEGIC PLAN 2018-19 – 2020-21
DRAFT ANNUAL PLAN 2019/2020**

The Board can be assured that the CCG has an agreed Strategic Internal Audit Plan for 2018-2021 and an Operational Internal Plan 2019/2020 in place.

FINANCIAL GOVERNANCE

Minute No. 8.1 FINANCIAL REPORT

The Board can be assured that the CCG was currently forecasting to achieve a balanced position against the in-year allocation and there was therefore no impact on the CCG's historic surplus of £15.267m. This was in line with the 2018/19 financial plan submitted to NHS England.

The 2018/19 running cost allocation was £6.21m and the current forecast was that expenditure would be contained within this financial envelope.

Minute No. 8.2 REVIEW OF LOSSES AND SPECIAL PAYMENTS

The Board can be assured that appropriate systems and processes were in place to discuss and declare any losses and special payments made.

The loss of a mobile phone had been reported which had been replaced with an old phone held in stock – there had been no additional cost to the CCG and no risk in terms of Information Governance.

One Special Payment had been made for a fine for the use of a copyrighted image – lessons had been learnt and processes changed as a result of this incident.

Minute No. 8.3 ANNUAL ACCOUNTS PLAN AND TIMETABLE

The Board can be assured that there was a detailed plan in place for the preparation of the CCG's Annual Accounts for 2017/18 in a timely manner,

GOVERNANCE

Minute No. 9.2 BOARD ASSURANCE FRAMEWORK

The Board can be assured that IAGC Members had considered and discussed the updates provided against the assessed risks on the Board Assurance Framework which related to the CCG's 2018/19 strategic objectives.

A plan would be produced to assist the Board in identifying the highest risks to be included on the next BAF.

Minute No. 9.3 CORPORATE RISK REGISTER

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

One new risk (Risk 933) had been added to the Risk Register which related to the risk that practice nurses would not receive adequate training to undertake cervical screening due to a lack of funding from NHS England.

Minute No. 9.4 FREEDOM OF INFORMATION (FoI) QUARTERLY REPORT – QUARTER TWO 2018/19

The Board can be assured that the CCG has a process in place to record and respond to all FOI requests received. During Quarter 2, an administrative error had resulted in a response being sent to the CCG Communications Team only and not being sent to the applicant within the statutory 20 day deadline. An apology had been made to the applicant and investigations carried out.

Minute No. 10.1 ANNUAL GOVERNANCE STATEMENT (AGS)

Due to the late receipt from NHS England of the AGS reporting tool – it had been agreed that this would be completed outside of the meeting along with approval sought to submit to NHSE in order to meet the submission deadline of Thursday 17 January 2019.



Karen Marshall (Chair)
Integrated Audit and Governance Committee
15 January 2019