

## **INTEGRATED AUDIT AND GOVERNANCE COMMITTEE**

**MEETING HELD ON 19 MARCH 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**

###### **INTERNAL AUDIT**

The Board can be assured that work was progressing to plan with regard to the 2018/19 audit; interim work had commenced and there had been no issues to report.

IAGC members continued to be kept updated on national guidance and publications.

##### **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 in relation to Primary Medical Care Commissioning had provided **substantial assurance** that the risks identified were being managed effectively. No major issues had been identified and one medium recommendation had been made.

The Board can be assured that an audit of the systems and processes in place to manage Conflicts of Interest had provided **substantial assurance** that the risks identified were being managed effectively. No major issues had been identified and no recommendations had been made.

The Board can be assured that an audit of systems and processes in place in relation to Financial Management and Financial Control 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      COUNTER FRAUD PROGRESS REPORT**

The Board can be assured that work against the Counter Fraud Plan for 2018/19 was on track and would be delivered by end of the year.

A number of fraud intelligence alerts had been issued and shared appropriately with CCG staff and there were currently three on-going investigations taking 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. 9.1 WAIVING OF PRIME FINANCIAL POLICIES

The Board can be assured that IAGC Members noted three approved tender waivers in respect of:

- Community Paediatric Services  
Proposed Provider: City Health Care Partnership  
Contract Value: £1,899k per annum  
Contract Period: 3 years
- Community Services that are out of scope of the Integrated Community Services Contract  
Proposed Provider: City Health Care Partnership  
Contract Value: £1.289m per annum  
Contract Period: 3 years
- Generation Hull  
Proposed Provider: Absolutely Cultured  
Value: £65,000 non-recurrent in 2018/19

## GOVERNANCE

### Minute No. 9.2 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 (BAF) which related to the CCG's 2018/19 strategic objectives. Following the close down of the current BAF, a new BAF would be developed based on the strategic objectives of the CCG for 2019/20 and associated risks.

### Minute No. 9.3 CORPORATE RISK REGISTER

The Board can be assured that systems and processes were in place to identify and manage risks. There had been no movement on the Risk Register since the previous meeting held in January 2019.

### Minute No. 9.4 RISK MANAGEMENT STRATEGY

The Board can be assured that, following annual review, the CCG's updated Risk Management Strategy had been approved by the IAGC. The strategy would now be published on the CCG website.

### 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) Q3 REPORT**

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 in Quarter 3 had been completed within the statutory 20 working day deadline.

**Minute No. 9.7      POLICIES**

The Security Management Policy had been approved by the IAGC.



**Karen Marshall (Chair)**  
**Integrated Audit and Governance Committee**  
**19 March 2019**