

## INTEGRATED AUDIT AND GOVERNANCE COMMITTEE

MEETING HELD ON 14 JANUARY 2020

### 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 January 2020.

#### AUDIT

##### EXTERNAL AUDIT

###### Minute No. 6.1 EXTERNAL AUDIT PROGRESS REPORT

The Board can be assured that, in terms of the 2019/20 audit year, there were no significant matters to report at this stage and interim work would be commencing shortly.

Assurance work in respect of the Mental Health Investment Standard had been carried out and a draft report had been issued. A copy of the reasonable assurance report would be circulated to the Committee as soon as it was available.

##### 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 for 2019/20, which continued to represent appropriate coverage as part of the wider assurance framework.

Audits of the areas of Conflicts of Interest, Primary Care Commissioning and Financial Management/Financial Control had all provided **Substantial Assurance** that the control arrangements in place and the risks identified were being managed effectively.

An Audit of Continuing Healthcare had provided **Reasonable Assurance** and some remedial action was required.

##### 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. There was therefore no impact on the CCG's historic surplus of £15.335m which was in line with the 2019/20 financial plan submitted to NHS England. This year's running cost allocation was £6.196m and the current forecast was that expenditure would be contained within this financial envelope. Overspends and underspends were continuing within the same areas of expenditure and these were being managed and closely monitored.

### **Minute No. 8.2      LOSSES AND SPECIAL PAYMENTS**

The Deputy Chief Finance Officer advised that there were no losses or special payments to report.

### **Minute No. 8.3      IFRS 16 – ACCOUNTING FOR LEASES**

The Board can be assured that the CCG would be compliant with IFRS 16 Accounting for Leases Standard which replaced IAS 17 0 Leases.

### **Minute No. 8.4      PRIMARY CARE REBATE SCHEMES FOR NHS HULL CCG**

The Board can be assured that the Primary Care Rebate Scheme Policy and process are being updated and refreshed to accurately reflect the assurance and approval process for all schemes for Hull CCG.

## **GOVERNANCE**

### **Minute No. 9.2      BOARD ASSURANCE FRAMEWORK 2019/2020**

The Board can be assured that the IAGC is kept informed on the position against the assessed risks on the Board Assurance Framework (BAF) 2019/20 and is provided with the opportunity to review and comment on any updates deemed necessary.

The following updates were requested:

- Strategic Objective 2 – Integrated Delivery – this area would need to reflect further risk raised in relation to PCN expectations around delivery – current risk to be re-articulated
- Workforce risk to reflect more adequately the current position and future trajectory

### **Minute No. 9.3      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 addition of Risk 943 on the Risk Register which was in response to NHS England continuing with their programme of closing secure hospital beds and identifying patients who could receive care within lower levels of hospital security or the community and the CCG's struggle to identify suitable care packages with community care providers who were able to respond to the complexity and risk these patients present.

IAGC Members also approved the increase in risk rating for Risk 861 – Never Events at HUTHT from a high risk 9 to a high risk 12.

### **Minute No. 9.4      FREEDOM OF INFORMATION (FoI) REQUESTS Q2 REPORT**

The Board can be assured that the CCG has a process in place to respond to all Freedom of Information requests received. During the period July 2019 to September 2019 there had been no missed requests and the CCG had been fully compliant with the 20 day response deadline.

### **Minute No. 9.5      POLICIES**

The Board can be assured that the CCG regularly reviews and updates its policies. IAGC Members approved the following updated policies:

Corporate Policy:

- Provision and Use of Free Gifts, Prizes and Incentives

Information Governance Policies:

- Data Protection and Confidentiality
- Records Management Standards and Procedure Guidance

Health and Safety Policies:

- Driving for Work
- Lone Working
- COSHH

The updated policies would be shared with all staff and published on the CCG website.

**Minute No. 10.1 DRAFT MONTH 9 ANNUAL GOVERNANCE STATEMENT (AGS)  
FOR HULLCCG**

The Board can be assured that work was on-going to prepare the Annual Governance Statement in line with the statutory timeframes. IAGC Members had approved the Month 9 Annual Governance Statement Report prior to submission to NHS England on 16 January 2020.



**Karen Marshall (Chair)**  
**Integrated Audit and Governance Committee**  
**14 January 2020**