

INTEGRATED AUDIT AND GOVERNANCE COMMITTEE

Item: 9.3

MEETING HELD ON 12 MAY 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 12 May 2020.

AUDIT

EXTERNAL AUDIT

Minute No. 6.1 DRAFT AUDIT COMPLETION REPORT

The Board can be assured that, from the findings of the audit of the financial statements for the year ending 31 March 2020, it was anticipated that NHS Hull CCG would be issued with an unqualified opinion with no exceptions to report.

Minute No. 6.2 DRAFT CCG LETTER OF UNDERSTANDING OF MANAGEMENT PROCESSES AND ARRANGEMENTS FOR THE 2019/20 AUDIT

The Board can be assured that the CCG had robust management processes and arrangements in place for the 2019/20 Audit.

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, all work against which was now complete.

The following three final reports had been issued for the audits on::

Risk Management – **Substantial** Assurance Rating

Assurance Framework - **Substantial** Assurance Rating

Data Security and Protection (DSP) Toolkit – **Good** Assurance Rating

The draft Head of Internal Audit Opinion (HoIAO) for 2019/20 had provided an overall “**substantial assurance**” opinion based on completed work to 27 April 2020. As all planned work was now reported on, the final submission in June would provide the same opinion.

FINANCIAL GOVERNANCE

Minute No. 8.1 FINANCE AND CONTRACT UPDATE IN RELATION TO COVID 19

The Board can be assured that the CCG was in compliance with instructions received to date in relation to recording and evidencing all Covid related expenditure; further guidance was awaited from NHS England in relation to the financial framework for the remainder of 2020/21, once this guidance had been received, the Chief Finance Office would provide a formal update to inform members

Minute No. 8.2 LOSSES AND SPECIAL PAYMENTS

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

GOVERNANCE

Minute No. 9.2 CORPORATE RISK REGISTER

The Board can be assured that a primary focus had been given to existing or new risks which related to the current pandemic situation. For the remaining existing risks, individual risk owners had been asked to highlight / update any of their risks where they believed there was deterioration in the controls, assurances or risk rating of the risk. This guidance would remain under review on a monthly basis and in the light of ongoing discussion with the Committee Chair.

A new risk would be added to the risk register in relation to the risk for the CCG as an employer and how we would protect staff and as we managed the transition to a new way of working

Minute No. 9.3 BOARD ASSURANCE FRAMEWORK

The Board can be assured that, priority had been given to existing *or* new risks which related to the pandemic. For the remaining existing risks, attention had been given to any risks where it was believed there was deterioration in the controls, assurances or risk rating.

A full re-cast of the Framework would be undertaken following confirmation of the finalised 2020/21 strategic objectives.

The Board can be assured that the Chair had asked the external auditors if they were comfortable with our approach to both the risk register and the BAF and they were supportive of our pragmatic approach.

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 9.5 DECLARATIONS OF 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



Karen Marshall (Chair)
Integrated Audit and Governance Committee
7 July 2020