

INTEGRATED AUDIT AND GOVERNANCE COMMITTEE

MEETING HELD ON 7 JULY 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 7 July 2020.

AUDIT

EXTERNAL AUDIT

Minute No. 6.1 ANNUAL AUDIT LETTER HULL CCG 2019/20

The Board can be assured that the contents of the NHS Hull CCG Annual Audit Letter 2019/20, which summarised the findings and key issues arising from the 2019/20 audit at Hull CCG, had provided an unqualified opinion on the financial statements and had not identified any issues to report.

A "Forward Look" section had been included which related to the changing financial and operational challenges the CCG was facing in the light of the of the NHS response to the COVID-19 emergency.

The IAGC recommended that the CCG Board formally ratified the NHS Hull CCG Annual Audit Letter 2019/20 for publication on the CCG's website.

INTERNAL AUDIT

Minute No. 7.1 INTERNAL AUDIT PROGRESS REPORT

Members are advised that, due to the response to COVID-19, the service had effectively been stood down in quarter 1 with a number of staff having been re-deployed into non-audit roles, therefore there had been no activity in this period.

The Board can be assured that work against the Internal Audit Plan 2020/21 would commence in Quarter 2 and there would be a focus on the most appropriate and relevant areas for the CCG which would add the most value at this time.

Minute No. 7.2 INTERNAL AUDIT ANNUAL REPORT 2019/20

The Board can be assured that the Internal Audit Annual Report for 2019/20, which included the final Head of Internal Audit Opinion for the year, had provided an overall opinion of **substantial assurance**.

Minute No. 7.3 HULL CCG 6-MONTH COUNTER FRAUD WORKPLAN 1 APRIL 2020 – 30 SEPTEMBER 2020

The Board can be assured that pro-active counter fraud work was being carried in the CCG against the 6-month Counter Fraud Workplan for Hull CCG. The IAGC had an awareness of the identified risk areas for the potential for fraud in the current COVID-19 environment related to providers.

FINANCIAL GOVERNANCE

Minute No. 8.1 FINANCIAL REPORT

There had been significant change in the financial regime due to COVID-19 and much remained unclear as to how this would be managed for the rest of the year. Although The CCG was currently reporting that it would not achieve the financial targets for the end of period 4 it was anticipated that this would be resolved at a national level by the end of the financial year.

The Board can be assured that the CCG was continuing to work closely with NHSE/I to ensure that they were aware of the financial position and the reasons for the variances on the CCG's ledger.

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 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.

Two new risks had been added to the Risk Register, one related to nursing care home beds and the other related to the CCG as an employer managing staff to a new way of working.

It had also been requested that a new Primary Care risk be added in relation to risk assessment around staff.

Changes in some risk ratings along with the rationale had been accepted and these areas would continue to be monitored.

Minute No. 9.3 BOARD ASSURANCE FRAMEWORK

The Board can be assured that IAGC members had had sight of the first cut of the new BAF which had been re-cast in the light of the agreement of the 2020/21 CCG strategic objectives and the subsequent Board Development Workshop held on 26 June 2020. IAGC members had also been given the opportunity to feed back any comments on the BAF to the Associate Director of Corporate Affairs

Minute No. 9.4 FREEDOM OF INFORMATION REQUESTS Q4 AND YEAR END 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 1 January 2020 to March 2020 there had been no missed requests and all requests processed in year 2019/2020 had been completed well within the statutory 20 working day deadline.

Minute No. 9.5 CLAIMS REPORT

The Board can be assured that there had been no claims to report.

Minute No. 9.6 NHS HULL CCG HEALTH, SAFETY AND SECURITY ANNUAL REPORT 2019/20

The Board can be assured Hull CCG is currently compliant in delivering its responsibilities regarding Health, Safety and Security. All relevant risk assessments have been completed, and are available to staff. Policies have been completed and there is a good Health and Safety culture established with staff at all levels.

The significant work carried out throughout the year ensures that there is a good foundation for compliance with Health and Safety legislation going forward.

Minute No. 9.7 PRIMARY CARE REBATE SCHEME POLICY

The Board can be assured that the IAGC had approved the Primary Care Rebate Scheme policy and process which had been refreshed to accurately reflect the assurance and approval process for all schemes for Hull CCG.

Minute No. 9.8 POLICIES

The Board can be assured that the CCG regularly reviews and updates it's Policies. IAGC Members approved the updated Mobile Working Policy and Guidelines and approved the extension of the PAT Testing Policy and Smoke Free Policy for a further year, at which time they would be fully reviewed.



**Karen Marshall (Chair)
Integrated Audit and Governance Committee
8 September 2020**