

## INTEGRATED AUDIT AND GOVERNANCE COMMITTEE

MEETING HELD ON 8 SEPTEMBER 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 8 September 2020.

#### AUDIT

##### EXTERNAL AUDIT

###### **Minute No. 6.1 ANNUAL AUDIT PROGRESS REPORT**

The Board can be assured that the planning stage of the 2020/21 audit is in progress and an External Audit Plan for NHS Hull CCG for 2020/21 would be brought to the next IAGC meeting

##### INTERNAL AUDIT

###### **Minute No. 7.1 INTERNAL AUDIT PROGRESS REPORT**

The Board can be assured that every effort would be made to ensure that there was a seamless transfer of on-going work from AuditOne to Audit Yorkshire, who had been appointed as the new providers of internal audit and counter fraud services with effect from 1 October 2020.

Pieces of audit work 'in progress' were currently being sense-checked and revalidated to make sure they were appropriately focused on the current needs of the CCG business and all outstanding recommendations would continue to be tracked and followed through.

###### **Minute No. 7.2 COUNTER FRAUD PROGRESS REPORT**

The Board can be assured by the counter fraud work that had been undertaken in the year within the organisation. There had been no outstanding recommendations to report and the 6 month counter fraud workplan would be completed by the end of September 2020.

#### FINANCIAL GOVERNANCE

###### **Minute No. 8.1 FINANCIAL REPORT**

The CCG continued to work within the current temporary finance regime.

It was understood that the monthly amounts received to date would continue until the end on month 6 and CCGs were still required to use their allocations which meant that they would

overspend each month and then receive a 'Retrospective Top-Up' in the subsequent month. These top ups were split between COVID and non-COVID costs.

A new financial regime was anticipated which would provide more clarity and at that point overspends would be managed at a System level which would need to be worked through.

A 1st cut of the Humber System Financial Plan had been submitted but as yet there had been no confirmation of financial allocations, either at individual organisation level or at System level, but this was expected imminently and at that point a comparison would be made with the forecast expenditure.

## **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.

IAGC members approved the removal of Risk 946 which related to the long-term absence of the Designated Doctor for LAC as the postholder was now back at work.

It was recommended that the request for closure of Risk 898, which related to Transforming Care, be picked up by the Quality and Performance Committee for an update prior to any decision and that the rationale for the reduction of Risk 902 be discussed further by the Primary Care Commissioning Committee.

### **Minute No. 9.3 BOARD ASSURANCE FRAMEWORK**

The Board can be assured that IAGC members had reviewed and commented on the BAF as appropriate. The document reflected where the organisation was at the current point in time and would continue to develop. Once the work around the new financial regime became clearer this area would be further populated.

### **Minute No. 9.4 FREEDOM OF INFORMATION REQUESTS Q1 REPORT**

The Board can be assured that the CCG has a process in place to respond to all Freedom of Information requests received.

The decision had been made to continue the service during the pandemic and during the period 1 April to 30 June 2020, although the number of requests had been significantly down on previous quarters, there had been no missed requests which had all been completed within the statutory 20 working day deadline.

### **Minute No. 9.5 POLICIES**

The Board can be assured that the CCG regularly reviews and updates its policies and procedures. IAGC Members had approved the updated Acceptable Computer Use Policy, Offers and Acceptance of Gifts and Hospitality Policy and the revised Prioritisation Framework.

### **Minute No. 9.6 REVIEW OF THE INTEGRATED AUDIT AND GOVERNANCE COMMITTEE TERMS OF REFERENCE**

Integrated Audit and Governance Committee Members had reviewed and agreed the minor amendments made to the IAGC Terms of Reference and the updated IAGC ToR would be submitted to the Board for approval.

### **Minute No. 9.7.1 BOARD COMMITTEE TERMS OF REFERENCE UPDATES**

The Board can be assured that the terms of reference for all formal Committees had been subject to an annual review by the individual Committees to ensure that they continued to meet the needs of the respective Committees which were then submitted to the IAGC for consideration and final oversight.

The IAGC recommended that the Board approve the following revised committee terms of reference:

- Planning and Commissioning Committee Terms of Reference
- Remuneration Committee Terms of Reference
- Primary Care Commissioning Committee Terms of Reference
- Quality and Performance Committee Terms of Reference
- Committees in Common

### **Minute No. 9.7.2 TERMS OF REFERENCE OF OTHER RELEVANT GROUPS/SUB-COMMITTEES**

The Board can be assured that the IAGC receives and reviews the terms of reference of other relevant groups and sub-committees which fall under it's remit.

Subject to some minor amendments which would be taken back through the respective Chairs, the following terms of reference were agreed and noted:

- Primary Care Quality and Performance Sub Committee NHS Hull CCG and NHSE Terms of Reference
- Health Safety and Security Group Terms of Reference
- Information Governance Steering Group Terms of Reference
- Joint Emergency Preparedness Resilience and Response (EPRR) / Business Continuity Management (BCM) Group Terms of Reference
- IFR Panel Terms of Reference
- IFR Appeals Panel Terms of Reference

The Pathway Review Group Terms of Reference had been withdrawn and would be referred back for further work.

### **Minute 9.8 INDIVIDUAL FUNDING REQUESTS (IFR) ANNUAL REPORT 2019/20**

The Board can be assured that the CCG had considered and approved the Individual Funding Requests Annual Report 2019/20 for submission for Board approval.

The contract with NECS to provide the IFR Service on behalf of Hull CCG ran until the end of February 2021 and a discussion would need to take place to review the CCGs requirements moving forward.



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