

INTEGRATED AUDIT AND GOVERNANCE COMMITTEE

MEETING HELD ON 9 NOVEMBER 2021

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 9 November 2021.

AUDIT

EXTERNAL AUDIT

Minute No. 6.1 EXTERNAL AUDIT UPDATE REPORT

The Board can be assured that initial planning in relation to the Annual Accounts 2021/22 had commenced.

Minute No. 6.2 AUDIT STRATEGY MEMORANDUM 2021/22

The Board can be assured that Mazars had issued an Audit Strategy Memorandum (ASM) for Hull CCG, for the year ending 31 March 2022. The ASM set out the audit scope, approach and timeline for their opinion and value for money arrangements work which included the initial risks identified. As this would be the CCG's final year of operation and statutory functions were to be taken on by a new body, there was a potential that disruption and uncertainty may affect the control environment and they would be mindful of any new audit risks which may present and would update accordingly.

Work was progressing across the HCV ICS to retain continuity of external audit provision through Mazars, led by Jane Hawkard at North Yorkshire CCG.

INTERNAL AUDIT

Minute No. 7.1 INTERNAL AUDIT PROGRESS REPORT

The Board can be assured that work had begun on all Quarter 3 audits contained within the 2021/22 Internal Audit Plan.

It was agreed that the time previously allocated for the Better Care Fund audit which was no longer taking place be transferred to the work on the ICS which was where the key risks for the CCG would be from now until the end of March 2022. Consideration would be given to any recommendations made now to determine if they would be relevant in the future arrangements.

As the contract with Audit Yorkshire ran until 2024, it was the intention that there would be a process of formal novation to provide continuity of all parts of the service currently being provided

Minute No. 7.3 COUNTER FRAUD PROGRESS REPORT

The Board can be assured from the Annual Counter Fraud Progress Report by the amount of counter fraud awareness work that continued to take place.

There had been a lot of Interest in the Fraud Prevention Masterclasses and additional sessions had been added. A cyber security masterclass would be launched in December and would be promoted to all staff.

International Fraud Awareness Week would be taking place from 14-20 November 2021 and this would be marked with the issue of more information, videos and publicity to capture peoples' attention and get them thinking about counter fraud.

Minute No. 7.4 NHS VIOLENCE PREVENTION AND REDUCTION UPDATE

The Board can be assured that work required to meet the NHS Violence Prevention and Reduction Standard and gain assurance/ensure compliance by the organisation was taking place.

Following a recent incident in the car park at Wilberforce Court involving the theft of a cycle, the Local Security Management Specialist would be requested to carry out an updated risk assessment to see if there were any other mitigating measures that could be taken to ensure staff safety and reduce any potential risks.

FINANCIAL GOVERNANCE

Minute No. 8.1 FINANCE REPORT

The Board can be assured, that the CCG had delivered against the H1 Plan that had been set out in the first quarter of the year. In terms of H2, work was currently taking place to combine and put together a financial plan across the entire Humber system which comprised of: the 4 CCGs, HUTHT, NLaG, Humber FT, CHCP, Navigo and all primary care providers included within the CGG expenditure plans. The deadline for the submission of the H2 Plan into the national team was 16 November 2021 which would also include a description of the forecast underlying impact. The Chief Finance Officer reported that she was anticipating that she would be declaring a balanced plan for Humber.

Minute No. 8.3 REBATE AGREEMENT RENEWALS

The Board can be assured that, following endorsement by the Planning and Commissioning Committee, the Integrated and Audit Committee had approved Primary Care Rebate Schemes for Fostair NEXThaler, Fostair PMDI and Sereflo Inhaler.

GOVERNANCE

Minute No. 9.1 WAIVING OF PRIME FINANCIAL POLICIES

The Board are advised that the IAGC had noted an approved tender waiver in respect of System Leadership Workshops for Engaging with Complexity, the cost for which amounting to £7,020 would be recharged to the NHS Leadership Academy.

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.

Risk 902 would be reviewed to ensure it accurately reflected the current Primary Care Workforce risk prior to it going to the Primary Care Commissioning Committee.

Risk to the CCG around capacity and loss of organisational memory would form a specific section within the Risk Register

Minute No. 9.4 ASSURANCE UPDATE IN RELATION TO CLOSE-DOWN AND TRANSITION

The Board can be assured that the IAGC continued to be provided with an update on the range of work that was gathering pace for both close-down and transition to the new organisation. A number programme groups and workstreams continued to operate at different levels of the new system and the first draft Constitution was expected to be out imminently and various leads across the six CCGs were picking up different aspects of work. The formal deadline for handover of the CCG due diligence document was late February 2022 but the intention was to have this well advanced by the New Year.

Minute No. 9.5 DECLARATION 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. Two declarations had been made since the last report to the IAGC which had been in line with CCG policy

Minute No. 9.6 PROCUREMENT PANEL ASSURANCE UPDATE

The Board can be assured that the IAGC are regularly updated in respect of procurement activity.

It was anticipated that contracts would novate through transition into the new system as they related to core business.

Minute No. 9.7 POLICIES

The Board are advised that the IAGC approved the following policy reviews and extensions:

- On-call Policy Review
- Extension of review dates for Health and Safety Policies
- Extension of existing Finance Policies and Procedures
- Information Governance Policies



Karen Marshall (Chair)
Integrated Audit and Governance Committee
11 January 2022