

**WOLVERHAMPTON CCG  
GOVERNING BODY  
12 February 2019**

**Agenda item 15**

<b>TITLE OF REPORT:</b>	<b>Summary – Wolverhampton Clinical Commissioning Group(WCCG) Audit and Governance Committee (AGC) – 13 November 2018</b>
<b>AUTHOR(s) OF REPORT:</b>	Peter Price – Interim Chair, Audit and Governance Committee
<b>MANAGEMENT LEAD:</b>	Tony Gallagher – Chief Finance Officer
<b>PURPOSE OF REPORT:</b>	<ul style="list-style-type: none"> <li>To provide an update of the WCCG Audit and Governance Committee to the Governing Body of the WCCG.</li> </ul>
<b>ACTION REQUIRED:</b>	<input type="checkbox"/> <b>Decision</b> <input checked="" type="checkbox"/> <b>Assurance</b>
<b>PUBLIC OR PRIVATE:</b>	This Report is intended for the public domain.
<b>KEY POINTS:</b>	<ul style="list-style-type: none"> <li>To provide an update of the WCCG Audit and Governance Committee to the Governing Body of the WCCG.</li> </ul>
<b>RECOMMENDATION:</b>	<ul style="list-style-type: none"> <li><b>Receive</b> this report and <b>note</b> the actions taken by the Audit and Governance Committee</li> </ul>
<b>LINK TO BOARD ASSURANCE FRAMEWORK AIMS &amp; OBJECTIVES:</b>	
1. Improving the quality and safety of the services we commission	n/a
2. Reducing Health Inequalities in Wolverhampton	n/a
3. System effectiveness delivered within our financial envelope	n/a



## **1. BACKGROUND AND CURRENT SITUATION**

- 1.1 **Internal Audit Progress Report**  
The Internal Audit Progress Report updated the Committee on activity since the last meeting and updates for Risk Management, Finance, Safeguarding, Quality and Safety, Information Governance, Audit Follow Up and Delegated Commissioning. The committee noted and accepted the report.
- 1.2 **Internal Audit Charter**  
Following a recommendation from the last Committee meeting that the Head of Internal Audit opinion was added to the document a revised version was presented to the Committee and accepted.
- 1.3 **Internal Audit of Finance**  
The Internal Audit of Finance document was presented to the Committee. The Senior Internal Audit Manager advised that the positive comments had been received for the document.
- 1.4 **Internal Audit of Quality and Safety**  
The Internal Audit of Quality and Safety was received by the Committee in a positive way. There had been one low risk and one advisory reported.
- 1.5 **Primary Care Internal Audit Framework including Draft Reporting Template**  
The document highlighted key areas of Commissioning and procurement of Primary Medical Services, Contract Oversight and Management Functions, Primary Care Finance and Governance.
- 1.6 **External Audit Progress Report**  
The External Audit Progress Report headlined progress to date. The Committee were also advised that an audit plan summarising the external audit approach to key risks was expected to be produced in February 2019 and that Annual Accounts Workshop dates had been emailed out to staff.
- 1.7 **Governance Statement**  
The Corporate Governance Manager presented a report to give the committee an insight into the themes and content which were likely to be included in the Annual Governance Statement. This would include of the role of the STP under the leadership of the Accountable Officer.

- 1.8 Risk Register/Board Assurance Framework including GBAF and Risk Register  
The version of the Risk Register/Board Assurance Framework that was presented at the Committee had also be presented at the Senior Management Team. A table top review had also been undertaken by the CCG Governance team. The Chair noted that the culture around risk was changing and that it was being discussed more at Committees. The Committee noted the report.
- 1.9 Risk Management Progress including Deep Dives  
This report had also been discussed at SMT and the template which would be used was also shared with the Committee. The Committee asked if a further update could be given at the next meeting around staff retention.
- 1.10 Whistleblowing  
There had been no issues raised under the Whistleblowing policy. The Operations Governance Manager took on board comments made by the Committee.
- 1.11 Feedback to and from the Audit and Governance Committee and Wolverhampton CCG Governing Body Meetings and Black Country Joint Governance Forum  
The Chair highlighted the Governing Body had discussed Cancer Targets and Mortality. The Black Country Joint Governance Forum had not taken place but had been discussed in the Committee.
- 1.12 Compliance with Constitution and Principles of Good Governance  
This item was not discussed.
- 1.13 Losses and Compensation Payments – Quarter 2 2018/2019  
There were no losses or special payments were reported in quarter 2 2018/19
- 1.14 Suspensions, Waiver and Breaches of SO/PFPS  
There were 14 breaches of PFPs in quarter 2 2018/2019. During the same period 17 waivers were raised and 32 non-healthcare invoices were paid with a purchase order numbers being raised. The Committee discussed value for money of some of the contracts that the CCG had and asked the Director of Finance to look into this.
- 1.15 Receivable/Payable Greater than £10,000 and over 6 months old  
The Committee noted that as at 30 September 2018, there were 0 receivables and 21 payables over £10,000 and greater than 6 months old.
- 1.16 Receivable/Payable Greater than £10,000 and over 6 months old



The progress report was presented to the Committee for information and noted.

## **CLINICAL VIEW**

1.1. N/A

## **2. PATIENT AND PUBLIC VIEW**

2.1. N/A

## **3. KEY RISKS AND MITIGATIONS**

3.1. The Audit and Governance Committee will regularly scrutinise the risk register and Board Assurance Framework of the CCG to gain assurance that processes for the recording and management of risk are robust. If risk is not scrutinised at all levels of the organisation, particularly at Governing Body level, the CCG could suffer a loss of control with potentially significant results.

## **4. IMPACT ASSESSMENT**

### ***Financial and Resource Implications***

4.1. N/A

### ***Quality and Safety Implications***

4.2. N/A

### ***Equality Implications***

4.3. N/A

### ***Legal and Policy Implications***

4.4. N/A

### ***Other Implications***

4.5. N/A

**Name: Tony Gallagher**  
**Job Title: Chief Finance Officer**



**Date: 14 November 2018**



### REPORT SIGN-OFF CHECKLIST

**This section must be completed before the report is submitted to the Admin team. If any of these steps are not applicable please indicate, do not leave blank.**

	<b>Details/ Name</b>	<b>Date</b>
Clinical View	<b>N/A</b>	
Public/ Patient View	<b>N/A</b>	
Finance Implications discussed with Finance Team	<b>N/A</b>	
Quality Implications discussed with Quality and Risk Team	<b>N/A</b>	
Equality Implications discussed with CSU Equality and Inclusion Service	<b>N/A</b>	
Information Governance implications discussed with IG Support Officer	<b>N/A</b>	
Legal/ Policy implications discussed with Corporate Operations Manager	<b>N/A</b>	
Other Implications (Medicines management, estates, HR, IM&T etc.)	<b>N/A</b>	
Any relevant data requirements discussed with CSU Business Intelligence	<b>N/A</b>	
<b>Signed off by Report Owner (Must be completed)</b>		

