

WOLVERHAMPTON CCG

GOVERNING BODY
14 May 2019

Agenda item 13

TITLE OF REPORT:	Summary – Wolverhampton Clinical Commissioning Group Audit and Governance Committee – 23 April 2019
AUTHOR(s) OF REPORT:	Peter Price – Chair, Audit and Governance Committee
MANAGEMENT LEAD:	Tony Gallagher – Director of Finance
PURPOSE OF REPORT:	<ul style="list-style-type: none"> To provide an update of the WCCG Audit and Governance Committee to the Governing Body of the WCCG.
ACTION REQUIRED:	<input type="checkbox"/> Decision <input checked="" type="checkbox"/> Assurance
PUBLIC OR PRIVATE:	This Report is intended for the public domain
KEY POINTS:	<ul style="list-style-type: none"> To provide an update of the WCCG Audit and Governance Committee to the WCCG Governing Body.
RECOMMENDATION:	<ul style="list-style-type: none"> That the Governing Body receive and note the actions taken by the Audit and Governance Committee.
LINK TO BOARD ASSURANCE FRAMEWORK AIMS & OBJECTIVES:	



1. BACKGROUND AND CURRENT SITUATION

1.1 Local Security Management Update

The Head of Computer Audit and Local Security Management Specialist presented to the committee the proposed plan of work for 2019/2020 in relation to Security Management. The committee agreed and accepted the report.

1.2 External Audit Progress Report

External Audit presented the External Audit Progress Report to the Audit and Governance Committee which included a summary of interim audit work, a final timeline of audit deliverables and also an identified risk around performance of cancer and mortality.

1.3 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 been presented at the Governing Body.

1.4 Cyber Security

The committee were given a presentation on Cyber Security by the Deputy Chair of the Governing Body and Audit and Governance Committee which had been seen at a recent Audit Chairs Forum.

The presentation covered areas such as:

- Progress across the cyber programme
- Responsibilities and accountabilities of CCG
- Assurances that CCGs should be seeking
- How issues are escalated
- Top 10 risks
- Support package for CCGs

The Corporate Operations Manager would report back about the organisation's performance against the 10 cyber risks once this had been completed.

1.5 Delegated Commissioning Final Report

The delegated commissioning final report was shared with the committee with one medium risk identified. The committee noted the findings

1.6 Risk Management Report

This report reported one low risk and was overall deemed as positive.

- 1.7 Draft Internal Audit Annual Report including the Draft Head of Internal Audit Opinion
A draft audit opinion had been submitted at present at present as 'generally satisfactory with some improvements'. The committee queried this and it was clarified that this was an interim assessment subject to the completion of the remaining internal audit reports.

A final opinion would be issued once the DPA and Stakeholder reports had been received.

- 1.8 Draft Internal Audit Plan for 2019/2020
Comments that had previously been sent to Internal Audit by committee members had now been incorporated into the plan including Brexit planning.

The committee discussed the use of allocated days for work. They also asked that the work around the Better Care Fund was looked at every two years. The committee approved the plan.

- 1.9 Counter Fraud Annual Report 2018/2019
The Counter Fraud Annual report contained information that had been received during the year.

- 1.10 Draft Governance Statement
The latest version of the draft governance statement was presented to the committee. The document would be further updated once the internal audit opinion had been received.

- 1.11 Draft Committee Annual Report
The draft Audit and Committee Report was shared with the committee in line with its Terms of Reference. The committee is required to review its effectiveness on an annual basis and then presented to the Governing Body detailing work completed through the year.

- 1.12 Feedback to and from the Audit and Governance Committee and Wolverhampton CCG Governing Body Meeting and National Chairs Meeting
The Chair advised committee members that the Governing Body had approved the dementia strategy. It also reviewed a presentation for mortality from RWT.

1.13 Draft Final Account and their preparation

The committee were presented with the tabled draft annual accounts to committee members. The date of submission was on 24 April 2019 with the final submission due on the 29 May 2019.

The committee noted the position and thanked the Finance team for getting to this position.

1.14 Losses and Compensation Payments – Quarter 4 2019/2020

An update for this was given under the agenda item for Draft Final Account and their position.

1.15 Suspensions, Waiver and Breaches of SO/PFPS

Update to be given at next meeting.

1.16 Receivable/Payable Greater than £10,000 and over 6 months

Update to be given at next meeting

2. CLINICAL VIEW

2.1. N/A

3. PATIENT AND PUBLIC VIEW

3.1. N/A

4. KEY RISKS AND MITIGATIONS

4.1. 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.

5. IMPACT ASSESSMENT

Financial and Resource Implications

5.1. N/A

Quality and Safety Implications

5.2. N/A

Equality Implications

5.3. N/A

Legal and Policy Implications

5.4. N/A

Other Implications

5.5. N/A.

Name	Tony Gallagher
Job Title	Director of Finance
Date:	April 2019



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.

	Details/ Name	Date
Clinical View	N/a	
Public/ Patient View	N/a	
Finance Implications discussed with Finance Team	N/a	
Quality Implications discussed with Quality and Risk Team	N/a	
Equality Implications discussed with CSU Equality and Inclusion Service	N/a	
Information Governance implications discussed with IG Support Officer	N/a	
Legal/ Policy implications discussed with Corporate Operations Manager	N/a	
Other Implications (Medicines management, estates, HR, IM&T etc.)	N/a	
Any relevant data requirements discussed with CSU Business Intelligence	N/a	
Signed off by Report Owner (Must be completed)	Peter Price	28/02/19

