

**WOLVERHAMPTON CCG**

**GOVERNING BODY**  
**9 July 2019**

**Agenda item 10**

<b>TITLE OF REPORT:</b>	Summary – Wolverhampton Clinical Commissioning Group Audit and Governance Committee – 21 May 2019
<b>AUTHOR(S) OF REPORT:</b>	Peter Price – Chair, Audit and Governance Committee
<b>MANAGEMENT LEAD:</b>	Tony Gallagher – Director of Finance
<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 WCCG Governing Body.</li> </ul>
<b>RECOMMENDATION:</b>	<ul style="list-style-type: none"> <li>That the Governing Body <b>receive</b> 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. BACKGROUND AND CURRENT SITUATION**

### **1.1 Final 219/20 Internal Audit Plan**

The Senior Internal Audit Manager advised that the Final 2019/20 Internal Audit Plan now included days allocated to HR/Restructuring as discussed at the previous Audit and Governance Committee meeting. The committee agreed and accepted the plan

### **1.2 Internal Audit Report: Data Protection Act 2018**

An internal audit report was presented on the CCG's arrangements in respect of the Data Protection Act 2018 was presented to the Committee. There had been one medium risk finding around 'Monitoring performance of the CSU' and one low risk 'Operating effectiveness'. The report was viewed as very positive and the Chair thanked the Corporate Operations Manager and his team for their hard work around data protection.

### **1.3 Internal Audit Annual Report 2018/19 (which includes the Head of Internal Audit Opinion)**

The Internal Audit team confirmed that, following the completion of audit work the opinion Audit Opinion given to the CCG was 'satisfactory', the highest rating of assurance provided. It was noted that a rating of satisfactory was rarely given and the CCG was commended on this.

### **1.4 Management Representation Letter**

The External Audit Team issued the CCG with an 'unqualified opinion' on the Financial Statements. It noted that the wording reflected nationally defined expectation and it was agreed that future management representation letters would be circulated in advance of sign off meetings in order for Governing Body Members to discuss and raise any questions about the content of the letter.

### **1.5 CCG Annual Report, Final Accounts and their Preparation**

The Head of Financial Resources presented the final accounts with the changes that had been made. Approved the changes made and the Chair would recommend the signing off of the accounts at the Governing Body Meeting.

### **1.6 Committee Annual Report**

The additional wording on section 3 on committee effectiveness had been added following the discussion at the last meeting. The report would be presented to the Governing Body as confirmation that the committee had met its terms of reference. The Committee noted and accepted the report.

- 1.7 Feedback to and from the Audit and Governance Committee  
The main point highlighted was the ongoing discussions at the Transition Board about the changes that would be occurring.
- The Chief Officer informed the Committee that there was an event that she would be attending where Simon Stevens would be talking about ICS and single commissioning.
- 1.8 Losses and Compensation Payments – Quarter 4 2019/20  
As previously noted at a previous committee there was only one loss to be reported. The Committee noted the report.
- 1.9 Suspensions, Waiver and Breaches of SO/PFPS  
There were no suspensions raised in quarter 4 of 2018/19. During this period there were 22 waivers and 57 non-healthcare invoices paid without a purchase order.
- 1.10 Receivable/Payable Greater than £10,000 and over 6 months  
The Committee noted that as at March 219, there were 0 receivables and 1 payable over £10,000 and greater than 6 months old.
- 1.11 A&G CSU Service Auditor Report (for CCG CFOs and Deputies)  
This paper was received for information.
- 1.12 ES ISAE 3402 Report CCG Governing Body Meeting and National Chairs Meeting  
This paper was received for information.

## **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.

<b>Name</b>	Tony Gallagher
<b>Job Title</b>	Director of Finance
<b>Date:</b>	24 May 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.**

	<b>Details/ Name</b>	<b>Date</b>
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	
<b>Signed off by Report Owner (Must be completed)</b>	<b>Peter Price</b>	<b>24/05/19</b>

