

WOLVERHAMPTON CCG

GOVERNING BODY
10 August 2019

Agenda item 18

TITLE OF REPORT:	Summary – Wolverhampton Clinical Commissioning Group Audit and Governance Committee – 30 July 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 Annual Audit Letter

External Audit gave a general update that the annual audit letter would go onto the CCG website and said that it was a positive letter providing appreciate assurance.

It reconfirmed that it gave an 'unqualified opinion' and that the External Audit Team had not had to use their statutory powers. The Committee accepted the report.

1.2 Internal Audit Progress Report

The progress report gave updates on each area and which quarter the delivery included in the plan. The areas identified were:

1. Corporate Governance – Equality and Diversity
2. Finance
3. Delegated Commissioning
4. Cybersecurity
5. Continuing Healthcare
6. Brexit Planning
7. Conflicts of Interest
8. Information Governance
9. HR/Restructuring
10. Audit Follow Up

Also included was a paper that had been requested by the Audit and Governance Committee around joint working when other organisations had merged. The Corporate Operations Officer also informed the Committee that this was also being discussed by the Transition Board and that the Transition Board Director had met with colleagues at Birmingham and Solihull. The Committee noted and accepted the report.

1.3 Internal Audit Charter

The Internal Audit Charter was presented to the Audit and Governance Committee for approval. The Charter outlines the purpose and scope, responsibilities of internal audit and CCG management responsibility. The changes that were requested last year had been added to the Internal Audit Charter. The Committee accepted and approved the report.

1.4 Final Internal Audit Report

The Finance Review focused on single tender waivers. It looked at processes, documentation and approval process. There were 2 medium and 1 low risk finding identified. Following recommendations, the CCG would be revising their waiver template and also providing staff training to ensure that going forward documentation was completed correctly. The Committee noted the report and would review recommendations at a future date.

1.5 Risk Reporting/Board Assurance Framework

The Corporate Operations Manager presented a report on the Risk Register and Board Assurance Framework to update the Committee since the last meeting.

As highlighted at the last meeting of the committee, the CCG's Operating Plan for 2019/20 set five priorities for the year ahead:-

1. Continue to commission high quality, safe healthcare services within our budget;
2. Focus on prevention and early treatment;
3. Ensure our services are cost effective and sustainable;
4. Align our clinical priorities, as appropriate, to the Black Country and West Birmingham STP/ICS;
5. Build on our Primary Care Networks (PCNs), wrapping community, social care and mental health services around them.

The Chair asked if a programme could be presented to the committee at the next meeting around deep dives for the rest of the year. The Committee noted the report and also noted the changes and actions taken against the risks in the risk register.

1.6 Review of Whistleblowing Policy

The Committee was given an update around the Whistleblowing Policy which was due for review next year. It would be picked up as a whole review of policies by HR.

There had been no instances of Whistleblowing reported and no instances of GPs approaching the CCG to use the Freedom to Speak Up Guardian.

1.7 Requirements of an Audit Committee as referenced in HFMA Document

The Committee were presented with a briefing paper summarising the role of the Committee and External Audit. It was advised that there was a positive relationship between the CCG and External Audit. The Committee noted the report.

1.8 Feedback to and from the Audit and Governance Committee

Mr Price advised that the CCG had been rated as 'Outstanding' for the fourth time in a row.

The Transition Board had discussed the recruitment for a Single Accountable Officer and the advert would go out shortly.

- 1.9 Losses and Compensation Payments – Quarter 4 2019/20
Update at next meeting.
- 1.10 Suspensions, Waiver and Breaches of SO/PFPS
There were 45 suspensions raised in quarter 1 of 2019/20. During this period there were 40 waivers and 46 non-healthcare invoices paid without a purchase order.
- 1.11 Receivable/Payable Greater than £10,000 and over 6 months
The Committee noted that as at June 2019, there were 5 receivables and 4 payable over £10,000 and greater than 6 months old.
- 1.12 Counter Fraud Progress Report
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.

Name	Tony Gallagher
Job Title	Director of Finance
Date:	27 August 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	24/05/19

