

WOLVERHAMPTON CCG

GOVERNING BODY
11 February 2020

Agenda item 14

TITLE OF REPORT:	Summary – Wolverhampton Clinical Commissioning Group Audit and Governance Committee – 3 December 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 Appointment of Committee Member

The Committee approved the reappointment of the Independent Member of the Audit and Governance Committee for a further three year term in office.

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

Cybersecurity was highlighted as a red rated item and that it had been particularly difficult to obtain the contract held by Wolverhampton CCG and The Royal Wolverhampton Hospitals Trust. The report now contained information regarding outstanding actions which had been requested previously by the Committee. The Committee noted and accepted the report.

1.3 Wolverhampton CCG – Equality and Diversity – Final Report Nov 2019

The Equality and Diversity Report had been given a 'low' risk rating. Completion of Equality and Analysis forms and Equality Analysis forms are not centrally stored had been given 'advisory' ratings. The Committee noted the report.

1.4 Primary Care Commissioning Final Report Nov 2019

The Primary Care Commissioning Report identified 1 medium risk relating to Urgent Contracts and 1 low risk relating to the Outdated procurement policy. The Committee noted the report.

1.5 Wolverhampton CCG – Stakeholder engagement – Final Internal Audit Report 29 July 20189

The Stakeholder Engagement Final Report was shared with the committee for information and Mr Price felt that it would be a good idea to share this with the Accountable Officer for the Black Country and West Birmingham for information.

1.6 Local Security Management Update

The Local Security Management Update was presented to the Audit and Governance Committee.

The biggest piece of work was around CHC and going into CCGs to remind them about adhering to polices, lone working, use of technology etc. The Committee were also advised that there had been no incidents reported by Wolverhampton CCG.

1.7 External Audit Progress Report

The External Audit Progress Report and Report on the Mental Health Investment Standard Compliance Statement were presented to the Committee

External Audit had concluded their work on compliance with the Mental Health Investment Standard and signed their independent assurance report on 1 October 2019. The opinion given was the that Wolverhampton CCG's Mental Health Investment Standard compliance statement was properly prepared, in all material respects, in accordance with guidance published by NHS England.

1.8 Governance Statement

The Governance Statement was presented to the committee to give an early view of the likely themes and content for the year.

The Committee discussed how this year's statement may need to be in a different format in order to comply with that of the other CCGs.

1.9 Risk Register Reporting/Board Assurance Framework

A report on the Risk Register and Board Assurance Framework was shared with the Committee to update them on what had happened since the last meeting. The report also contained the table for Deep Dives which had been requested previously by the committee.

Risks continued to be embedded and discussed at committees. A full report would be taken to the Governing Body in February and a further update would be given at the next committee meeting. The Committee accepted and approved the Deep Dive plan.

1.10 Losses and Compensation Payments – Quarter 2 2019/20
There were no recorded losses or special payments recorded for the Q2 period ended September 2019. The Committee noted the report.

1.11 Feedback to and from the Audit and Governance Committee/Update on Transition Governance Programme
An update was given to the Committee on the Governance implications of the Transition Programme for the Black Country and West Birmingham CCGs. The Committee accepted the report for information.

1.12 Suspensions, Waiver and Breaches of SO/PFPS
There were 15 suspensions raised in quarter 2 of 2019/20. During this period there were 17 waivers and 40 non-healthcare invoices paid without a purchase order.

The Committee were informed that there was a new process in place regarding the completion of waivers and would be shared with them for information.

1.13 Receivable/Payable Greater than £10,000 and over 6 months
The Committee noted that as at September 2019, there were 4 receivables and 7 payables over £10,000 and greater than 6 months old.

It was noted that there was currently an invoice that was in dispute with Walsall CCG regarding the payment of a patient's section 117 aftercare. Legal advice had been sought by each organisation and each had come back to advise that they were not liable for payment. The Committee felt that this should now be referred to the Accountable Officer for the Black Country and West Birmingham CCGs to advise.

1.14 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:	23 December 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	December 2019