

**WOLVERHAMPTON CCG**

**GOVERNING BODY**

**14 March 2016**

**Agenda item 17**

<b>Title of Report:</b>	<b>Summary – Wolverhampton Clinical Commissioning Group(WCCG) Audit and Governance Committee (AGC) – 21 February 2017</b>
<b>Report of:</b>	Jim Oatridge – Chair, Audit and Governance Committee
<b>Contact:</b>	Claire Skidmore – Chief Finance and Operating Officer
<b>Governing Body Action Required:</b>	<input type="checkbox"/> <b>Decision</b> <input checked="" type="checkbox"/> <b>Assurance</b>
<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>Public or Private:</b>	This Report is intended for the public domain.
<b>Relevance to CCG Priority:</b>	The AGC delivers its remit in the context of the CCG’s priorities in order to provide assurance to the Governing Body of the robustness of system and process.
<b>Relevance to Board Assurance Framework (BAF):</b>	
<ul style="list-style-type: none"> <li><b>Domain 1: A Well Led Organisation</b></li> </ul>	<p>The AGC is accountable to the group’s governing body and its remit is to provide the governing body with an independent and objective view of the group’s systems, information and compliance with laws, regulations and directions governing the group. It will deliver this remit in the context of the group’s priorities, as they emerge and develop, and the risks associated with achieving them.</p> <p>The AGC shall critically review the group’s financial reporting and internal control principles and ensure that an appropriate relationship with both internal</p>



	and external auditors is maintained.
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## 1. BACKGROUND AND CURRENT SITUATION

### 1.1 Internal Auditors Progress Report

The Internal Auditors Progress Report gave an update on the progress of internal audit work against the 2016/17 plan. Also presented were the Internal Audit Report on Corporate Governance and Internal Audit Report on Risk Management and recommendations and management actions were noted by the Committee.

### 1.2 Draft Head of Internal Audit Opinion and Draft Internal Audit Plan 2017/18

Drafts of both of these reports will be made available for the Audit and Governance Meeting due to take place in April 2017.

### 1.3 Local Counter Fraud Specialist Progress Report

The Local Counter Fraud Specialist Progress Report was presented to the Committee and an update given to advise that work was progressing well and to plan.

### 1.4 Draft Counter Fraud Plan 2017/18

The draft counter Fraud Plan 2017/18 was presented to the Committee outlining resources by the counter fraud team for the coming financial year.

### 1.5 External Audit Update

Mr Rohimun presented the External Audit Report for 2016/2017 to the committee.

A further updated version will be considered by the Committee as it was agreed that a further element of work is required to review risk management as highlighted in the Internal audit report presented by PWC.

### 1.6 Risk Register Reporting /Board Assurance Framework.

Work is ongoing work in this area to redesign reporting and promote staff awareness of risk. This is being undertaken by the Executive Nurse. Manjeet Garcha briefed the Committee on the progress of actions to cleanse the risk register, assign risks to CCG Committees and redesign the Board Assurance Framework.

### 1.7 Draft Annual Governance Statement

The Corporate Operations Manager presented to the Committee a draft version Annual Governance Statement for initial comment and review.



1.8 Committee Annual Report

A draft version of the Committee Annual Report was presented to the Committee for review and comment. It will be finalised at the April 2017 Committee meeting with a view to presenting it to Governing Body in May 2017.

1.9 Final Accounts and their preparation including update on submission of Month 9 accounts

Work is on track to meet the submission deadline of 31 May 2017 with a draft set of accounts being considered by the Audit and Governance Committee on the 18 April 2017. Governing Body has a meeting scheduled for 23 May 2017 at which the Audit and Governance Committee will be requesting that the accounts and annual report be signed off.

1.10 Losses and Compensation Payments – Quarter 3 2016/17

No losses or special payments were reported in quarter 3 2016/17.

1.11 Suspensions, Waiver and Breaches of SO/PFPS

There were no suspensions of SO/PFPS in quarter 3 2016/17.

1.12 Receivables/Payables Greater than £10,000 and over 6 months old

The Committee noted that as at 31 December 2016, there were 5 receivables and 18 payables over £10,000 and greater than 6 months old.

## 2. KEY RISKS AND IMPLICATIONS

2.1 The Audit and Governance Committee will regularly scrutinise the risk register and the 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.

## 3. RECOMMENDATIONS

The Governing Body of Wolverhampton CCG is asked to:

- **Receive** this report and **note** the actions taken by the Audit and Governance Committee

**Name:** Claire Skidmore

**Job Title:** Chief Finance and Operating Officer

**Date:** 23 February 2017

