


<b>MEETING DATE:</b>	8 October 2015	 <b>North Lincolnshire Clinical Commissioning Group</b>  <b>REPORT TO THE CLINICAL COMMISSIONING GROUP GOVERNING BODY</b>
<b>AGENDA ITEM NUMBER:</b>	Item 7.7	
<b>AUTHOR:</b>	Therese Paskell	
<b>JOB TITLE:</b> <b>DEPARTMENT:</b>	Chief Finance Officer & Business Support	

## AUDIT GROUP WORK PLAN

<b>PURPOSE/ACTION REQUIRED:</b>	To approve the Audit Group Work Plan
<b>CONSULTATION AND/OR INVOLVEMENT PROCESS:</b>	<i>None</i>
<b>FREEDOM OF INFORMATION:</b>	<b>Public</b>

<b>1. PURPOSE OF THE REPORT:</b>					
To outline and organise the Audit Groups work for the year from August 2015-July 2016.					
<b>2. STRATEGIC OBJECTIVES SUPPORTED BY THIS REPORT:</b>					
Continue to improve the quality of services					
Reduce unwarranted variations in services					
Deliver the best outcomes for every patient					
Improve patient experience					
Reduce the inequalities gap in North Lincolnshire					
Indirectly all of the above					
<b>3. ASSURANCES TO THE CLINICAL COMMISSIONING GROUP</b>					
The workplan has been reviewed against the NHSE Audit Committee Handbook and other known issues. The workplan has been agreed by the Audit Group at its August meeting					
<b>4. IMPACT ON RISK ASSURANCE FRAMEWORK:</b>					
<table border="1" style="display: inline-table;"> <tr> <td style="width: 20px;">Yes</td> <td style="width: 20px;">X</td> <td style="width: 20px;">No</td> <td style="width: 20px;"></td> </tr> </table>		Yes	X	No	
Yes	X	No			
Review by Audit Group of these areas provides semi-independent assurance for the assurance map and assurance framework					

**5. IMPACT ON THE ENVIRONMENT – SUSTAINABILITY:**

Yes		No	X
-----	--	----	---

**6. LEGAL IMPLICATIONS:**

Yes	X	No	
-----	---	----	--

Legal updates are usually provided for the Audit Group by CSU

**7. RESOURCE IMPLICATIONS:**

Yes	X	No	
-----	---	----	--

Whilst there is a 'cost' to completing an Audit Group workplan, we have not attempted here to cost this out and is an area for potential further development.

**8. EQUALITY IMPACT ASSESSMENT:**

Yes		No	X
-----	--	----	---

This is not a commissioning plan policy or procedure that will impact on patients or staff

**9. PROPOSED PUBLIC & PATIENT INVOLVEMENT AND COMMUNICATIONS:**

Yes	x	No	
-----	---	----	--

Governing Body (October)

**10. RECOMMENDATIONS:**

The Governing Body is asked :

- To approve the Audit Group workplan for 2015/16
- To advise of any other areas of work the Governing Body wants the Audit Group to look at

**NORTH LINCOLNSHIRE CCG**

**REVISED AUDIT GROUP WORK PLAN 15/16 until June 2016**

Lead	Business Item	25-Aug 2015	11-Nov 2015	13-Jan 2016	09-Mar 2016	27-Apr 2016	25-May 2016	Reference to audit group TOR
JPo	Governance Issues /Assurance Framework /Risks/gaps/other TOR	x	x	as needed	x	x	x	1.1, 4.1, 4.2
JPo	Whistleblowing arrangements		x					added to 4.1
JPo	Legal updates				x			4.1
JPo	CQC declarations/ registrations/other external assurances		x	as needed	x	x	x	4.4
RB	Strategic Plan/Internal Audit Plan and Costs			x	x	x		1.1, 4.1, 4.2
RB	Internal Audit Periodic Reports	x			x	x	x	1.1, 4.2
RB	Internal Audit Annual Report & Opinion Statement	x				x	x	1.1, 4.2
BJ	Annual/ Peer Review of internal audit effectiveness		x					4.2
JR	External Audit Plan and Costs/fee letter			x	x	x		1.1, 4.1, 4.3
JR	External Audit Updates Reports	x	x		x	x	x	1.1, 4.3
JR	External Audit Year End Report / Annual Letter	x					x	1.1, 4.3
SF	Local Counter Fraud Reports and Related Issue, Security management	x	x		x	x	x	4.1
NS/BL	Annual Accounts preparation including Accounting Policies				x			4.1
NS/BL	Annual Accounts, Letter of Representation, Annual Report, 3rd party					x	x	4.1
JPo	Annual Governance Statement				x	x	x	2.4
CFO	Financial Control Environment Assessment	x						4.1
VS	Admin/agenda/mins/distribution/timetable/declarations of Interests etc	x	x	x	x	x	x	3.1, 8
CFO	Review of register of interests/related party transactions		x			x	x	4.1
CFO	Audit Group Annual Work Plan and annual report	x						2.1
CFO+	Audit group Self Assessment			x				4.1
CFO+	Review of audit group terms of reference	x						9
CFO	Issues from T of R, losses, special payments, write offs, waivers, seal	x	x		x	x	x	4.1
Chair	Private Discussion with Auditors	x		as needed		x	as needed	5.4
CFO+	Changes to Accounting and Financial Policies/ Constitution etc		x	as needed	x	as needed	as needed	4.1
CFO+	Taxation and procurement issues		x		as needed	as needed	as needed	1.1, 2.5, 5.5
NS/BL	Legacy issues e.g. balances exercise, CHC backlog etc.	x	x		x	x	x	1.1, 2.5, 5.5
CFO+	Briefings re CSU, Healthy Lives Healthy Futures etc	x	x	as needed	as needed	as needed	as needed	1.1, 2.5, 5.5