

Delegated Primary Care Functions Audit Report 2019/20

Primary Care Commissioning Committee meeting

8a

18 March 2021

Author(s)	Abigail Tebbs, Deputy Director of Delivery – Primary Care Contracting Digital and Estates
Sponsor Director	Sandie Buchan, Director of Commissioning Development
Purpose of Paper	
To present to PCCC the opinion of 360 Assurance, the CCGs auditors, on the last audit conducted on primary medical care delegated functions in Sheffield, together with the agreed management actions to provide assurance that these have been addressed.	
Key Issues	
360 Assurance undertook an audit of delegated primary care functions within NHS Sheffield CCG (SCCG) as required annually by NHS England and Improvement. The opinion of the auditors was substantial/significant assurance and the two low risk recommendations for action have been addressed.	
Is your report for Approval / Consideration / Noting	
Noting	
Recommendations / Action Required by Primary Care Commissioning Committee	
The Primary Care Commissioning Committee is asked to note the opinion of the auditors and the completion of the actions taken to address their recommendations.	
What assurance does this report provide to the Primary Care Commissioning Committee in relation to Governing Body Assurance Framework (GBAF) objectives?	
<i>Which of the CCG's objectives does this paper support?</i> 2. Lead the improvement of quality of care and standards 4. Improve health care sustainability and affordability	
Principal Risks 2.1 to 2.5, 3.1 to 3.3, 4.1 to 4.6	
Does this report relate to a formal statutory / delegated Primary Care responsibility of the CCG?	
Commissioning and Procurement of Primary Medical Services	
Are there any Resource Implications (including Financial, Staffing etc)?	
None	

Have you carried out an Equality Impact Assessment and is it attached?

No, not required for this report.

Have you involved patients, carers and the public in the preparation of the report?

No, not require for this report.

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1. Introduction

Although NHS England delegated functions to CCGs, it retains overall accountability and is, therefore, responsible for obtaining assurances that its functions are being discharged effectively. From 2018/19, NHS England has required independent assurances to be provided that delegated functions have been appropriately discharged.

The last audit of delegated responsibilities was conducted by 360 Assurance, the CCG's Internal Auditors, undertook an annual audit of delegated primary care functions in 2019/20.

The audit report was published in March 2020 and the purpose of this paper is to inform the PCCC of the opinion of the auditors together with the agreed management actions taken to address the recommendations identified.

2. Audit Objectives and Scope

The audit aimed to determine whether a robust, efficient, and effective control environment is in place in relation to governance arrangements around the provision of primary medical care commissioning.

3. Audit Opinion and Recommended Actions

The opinion of the auditors together with the number and risk assessment of any recommendations are summarised in table 1 below.

Table 1: Audit opinions and recommendations

Audit	Opinion	Proposed Actions
Commissioning and Procurement of Primary Medical Services	Substantial Assurance*	Low risk - 2

*The audit opinions differs from that used in other CCG audits. This is because, as the governance review is an NHS England mandated review, auditors are required to use NHS England assurance opinion definitions. Substantial Assurance equates to Significant Assurance.

The audit made two recommendations and SCCG identified actions plans and timescales in response to these. Details of these and current status are set out in Appendix 1 to this report.

Both actions have now been completed.

4. Action for Primary Care Commissioning Committee

The Primary Care Commissioning Committee is asked to note the opinion of the auditors and the completion of the actions taken to address their recommendations.

Paper prepared by: Abby Tebbs, Deputy Director of Strategic Commissioning and Planning

On behalf of: Sandie Buchan, Director of Commissioning Development

Date 8 March 2021

APPENDIX 1

1. PCCC work plan	
Finding: The PCCC does maintain a work plan and this is updated regularly. This can be used to assure the CCG that the committee has fulfilled its delegated responsibilities retrospectively, but the work plan is not used to proactively plan an approach to ensuring each of the committee's responsibilities are fulfilled at the beginning of each year.	
Risk: If the PCCC does not plan how it is to fulfil each of its responsibilities then there is a risk that it may not be compliant with the delegation agreement between the CCG and NHS England.	Low (Impact x Likelihood) 3 x 2
Action: The CCG to review the use of the work plan and develop an approach that plans in each of its responsibilities at the beginning of each year.	Responsible officer: Abigail Tebbs, Deputy Director of Strategic Commissioning and Planning Implementation date: 31 May 2020
Management response: The work plan for 2020/21 will be sent to the May meeting of PCCC. In the meeting it will be discussed how this can be used more proactively.	
Action Taken: An annual work plan has been developed for PCCC. The 2020/21 plan was approved at the meeting in November 2020, having been deferred from May 2020 because of the Command arrangements in place to manage the COVID-19 pandemic. This plans each of PCCCs responsibilities during the year and is considered at each meeting of the Committee.	
Status: COMPLETED	

2. Use of PCCC cover sheet	
Finding: The PCCC cover sheet intends to show where a formal statutory / delegated primary care responsibility is being considered by asking authors to fill out a box. This is not yet working well in practice as responses do not identify the specific delegated responsibility being considered. If this box was used as intended, it could be used as a tool to assure the Governing Body that PCCC is fulfilling all of its statutory/delegated primary care responsibilities.	
Risk: If papers to the PCCC do not make it explicitly clear which statutory/delegated primary care responsibilities are being considered then it may not be able to assure the Governing Body that these responsibilities are being fulfilled.	Low (Impact x Likelihood) 2 x 2
Action: The CCG to review the process for how it identifies when statutory/delegated responsibilities are being considered. We would recommend that either authors are required to identify the specific responsibility on the cover sheet or that this information is recorded in the Primary Care Update Report.	Responsible officer: Abigail Tebbs, Deputy Director of Strategic Commissioning and Planning Implementation date: 30 June 2020
Management response: Agreed.	
Action Taken: The cover sheet for PCCC papers has been amended to identify the statutory/delegated responsibilities being considered.	
Status: COMPLETED	