



HNY ICB Committee Assurance and Escalation Report

Report to: HNY Integrated Care Board

Report from: Audit Committee

Date of meeting: 25/01/24

Committee Chair: Stuart Watson, Non-Executive Director

Director Sponsor: Jane Hazelgrave, Executive Director of Finance and Investment /
Karina Ellis, Executive Director of Corporate Affairs

Author: Mike Napier, Director of Governance and Board Secretary

Key agenda items covered by the meeting

(A bulleted list of the key agenda items discussed at the meeting)

- ICB Annual Accounts / Annual Report timetable and plans
- Review of ICB Whistleblowing Arrangements and Outcomes
- Governance Assurance Update, including Conflicts of Interest / Month 9 Annual Governance Statement / Freedom of Information Quarterly Reports
- Annual review of committee's effectiveness / committee workplan
- Internal audit / external audit / counter fraud progress reports

ALERT

(BY EXCEPTION ONLY - key matters and / or risks to alert or escalate to the ICB Board)

- The Month 9 Annual Governance Statement was ratified by the committee – having been agreed by the Audit Chair in advance of its submission to NHS England (owing to the deadline).

The areas highlighted in the submission comprised:

- An ICB information governance breach (previously reported to the Board)
- The four local providers subject to System Oversight Framework (SOF) level 3 support via Quality Improvement Groups (as regularly updated to the Board)
- Quality and Performance – Mental Health and Dementia targets, where current indications are that the trajectories in the 23-24 plan are unlikely to be fully met by the end of 23-24. (As noted in Board discussion in Jan '24).

The committee also considered other financial and performance metrics where performance was below trajectory but remained on plan to achieve year-end compliance at this time. These therefore sat outside the scope of the M9 submission – albeit with significant risk to delivery in some instances.

ADVISE AND / OR ASSURE

(BY EXCEPTION ONLY - Key updates to advise the ICB Board on the matters the Committee was able to take assurance on or where additional information was required)

- The outline Annual Accounts / Annual Report timetable was agreed, with it being noted that the extraordinary meeting of the Board to approve the accounts and annual report had been scheduled for Thursday 20/06/24.
- Positive self-assessment review of committee effectiveness and the committee's workplan, with minor actions to be taken.
- Positive assurance with respect to progress of Internal Audit Plan.
- No matters of note to report with respect to external audit.

END.

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