

**CONTENTS**

1.	PURPOSE.....	2
2.	BACKGROUND TO THE AUTHORITY .....	2
3.	BACKGROUND TO REQUIREMENT/OVERVIEW OF REQUIREMENT .....	2
4.	DEFINITIONS AND ACRONYMS.....	3
5.	THE REQUIREMENT .....	3
6.	STAFF AND CUSTOMER SERVICE.....	6
7.	PAYMENT .....	6
8.	BASE LOCATION .....	6

## **1. PURPOSE**

- 1.1 This requirement is for the successful Supplier to provide external audit assurance on the Authority's General Practitioner Payments System (GPPS).
- 1.2 The GPPS comprises of three main elements:
  1. GPES: General Practice Extraction Service
  2. CQRS: Calculating Quality Reporting Service
  3. SSD: Systems and Service Delivery
- 1.3 The Supplier shall conduct the audit in full compliance with and to the standard required by ISAE 3402 Type 2.

## **2. BACKGROUND TO THE AUTHORITY**

- 2.1 One of NHS Digital's main functions is to support the delivery of IT infrastructure, information systems and standards to ensure information flows efficiently and securely across the health and social care system. This work includes oversight of many IT systems and data flows such as those in place to support the calculation of payments for GP practices.

## **3. BACKGROUND TO REQUIREMENT/OVERVIEW OF REQUIREMENT**

- 3.1 GP practices rely on accurate calculations to ensure they are receiving the correct payments for the work they have done. It is therefore important that NHS Digital has in place suitable application-level controls for IT systems that play a role in the end-to-end processing of payments to GP practices.
- 3.2 Each system plays an important role in the end-to-end processing of payments to GP practices. NHS Digital manages this service on behalf of NHS England.
- 3.3 NHS Digital can provide guidance manuals and workflow/information diagrams to assist the Supplier in documenting the above systems. Within the remit of NHS Digital is the processing of the following main elements of GP payments:
  - The CQRS conducts payment calculations for delivering the services;
  - The global sum payment which distributes the core funding for essential and some additional services.
  - Payments are made according to the needs of a practices' patients and the cost of providing primary care services; and

#### 4. DEFINITIONS AND ACRONYMS

Expression or Acronym	Meaning
GP Payments ("GPP")	GP practices are paid based on the services provided to their local area and are responsible for submitting data to the GP Payments system usually on a regular basis. GPP is a component of the National Health Application Infrastructure system ("NHAIS") software suite used by local health organisations within the primary care arena in England, Wales, Northern Ireland and the Isle of Man.
Calculating Quality Reporting Service (CQRS)	The CQRS system is used to calculate payments under the Quality and Outcomes Framework ("QOF"). CQRS gains the data from GPES who in turn extracts the data from the GP System Suppliers. GP practices can also manually input data relating to their achievement within CQRS system.
General Practice Extraction Service (GPES)	<p>GPES collects information for a wide range of purposes including providing data to CQRS for GP payments and for non-payment collections. It works in conjunction with CQRS and GP clinical systems as part of the NHS Digital's GP Collections service.</p> <p>GPES comprises:</p> <ul style="list-style-type: none"> <li>• a query tool</li> <li>• extraction tools</li> </ul> <p>There are currently four different clinical systems for General Practitioners (GPs) in England to choose from. Each of the four systems is run by a different supplier. These four clinical systems are not considered within the scope of this proposed review</p>

#### 5. THE REQUIREMENT

- 5.1 This requirement is for the successful Supplier to provide external audit assurance on the Authority's General Practitioner Payments System. The Supplier shall conduct the audit in full compliance with and to the standard required by ISAE 3402 (by applicable type).
- 5.2 The Supplier shall complete the audit to the required standard with the final report presented to NHS Digital by 31 March 2018.
- 5.3 NHS Digital requires the majority of the audit to be conducted and completed as much as possible by the end of February 2018, with a view to a minimal amount during March.
- 5.4 There is a requirement to conduct the Services in Leeds and Exeter on an approximate 50/50 basis. Refer to paragraph 8 regarding the Base Location.
- 5.5 A delivery plan will be discussed and agreed with the Supplier.

##### **Overview**

- 5.6 An overview of the requirement, tasks and timeline the Supplier shall deliver to is shown below:
- Auditors to commence scoping by mid-January 2018

- Systems work and establishing risks and controls for the period April 2017 to Jan 2018; by mid to end January 2018
- Detailed testing: First two weeks of February 2018
- Interim draft audit report (via email) issued by end of February 2018 clearly stating any evidence that is missing with a date by when this should be supplied
- Year-end testing: completion of year end testing by first week in March 2018
- At all stages, provide daily updates given to the teams being audited including feedback on findings and requests for missing evidence
- Final draft audit report (via email): Completion by 16th March 2018 clearly stating any evidence that is missing with a date by when this should be supplied
- Final audit report issued (via email): completion by 29th March 2018
- All audit reports (draft and final) to be issued to all relevant parties

5.7 A delivery plan will be discussed and agreed with the Supplier.

**Audit Outputs and Assurance**

5.8 The Supplier shall conduct the audit to meet NHS Digital's requirements as set out in the table below. Each element of the service is shown together with the output to be provided by the Supplier.

ID	High Level Requirement	Audit Outputs and Assurance
NHSD 01	NHS Digital requires an audit of the GP Payments in operation covering the GP Payment Systems for 2017/18. This audit shall be undertaken in accordance with the ISAE 3402 Type 2 Standard.	Full visibility and access to all GP Payments components in relation to the ISAE 3402 Type 2.
NHSD 02	The Supplier shall undertake the audit in compliance with the ISAE 3402 standard.	Provide assurance through testing that key controls are working as intended in line with the standard.  Feedback findings on a daily/ weekly basis to ensure the teams audited are aware of findings and have been given ample opportunity to find any evidence required.

Statement of Requirements  
GP Payments System Audit  
prj\_1209

NHSD 03	The Supplier shall effectively engage with all relevant parties	Evidenced through adequate engagement and interaction at: <ul style="list-style-type: none"> <li>• Scoping meetings</li> <li>• Systems validation</li> <li>• Testing</li> <li>• Daily and weekly feedback to all relevant teams and parties</li> <li>• Close down meetings at the completion of each stage</li> </ul>
NHSD 04	The Supplier shall present their findings at the NHSD Assurance and Risk Committee during 2018 (times and dates to be advised)	PowerPoint and written final audit report to be presented to the committee
NHSD 05	The Supplier shall provide an interim report at weekly intervals. The Interim report shall be provided in word format and PowerPoint format. Each report and all associated Intellectual Property will be owned in its entirety by NHS Digital.	Weekly updates or conference calls to review progress.
NHSD 06	The Supplier shall provide an interim draft audit report to NHS Digital outlining all findings and associated recommendations from the audit. Such report to be in word and PowerPoint format. This report and all associated Intellectual Property will be owned in its entirety by NHS Digital.	Supplier provision of an interim draft audit report by February 2018.  The Supplier shall allow for sufficient time for any outstanding evidence to be provided and reflected in an updated report.  The interim draft audit report shall detail the action required, action owner and timescale for implementation.
NHSD 07	The Supplier shall provide a final draft audit report to NHS Digital outlining all findings and associated recommendations from the audit. Such report to be in word and PowerPoint format. This report and all associated Intellectual Property will be owned in its entirety by NHS Digital.	Final draft audit report (via email): Completion by 16th March 2018 clearly stating any evidence that is missing with a date by when this should be supplied
NHSD 08	The Supplier shall provide a final audit report to NHS Digital outlining all findings and associated recommendations from the audit. Such report to be in word and Power Point format. This report and its associated Intellectual Property will be owned in its entirety by NHS Digital.	Supplier provision of the final audit report by end of March 2018.  The final audit report shall detail the action required, action owner and timescale for implementation.

		Advise NHS Digital on appropriate actions to close the audit.
NHSD 09	NHS Digital shall own the interim audit reports and final audit report in their entirety.	Supplier confirmation required.
NHSD 10	All NHSD material to be disposed of in line with records management procedures	Confidentiality

**6. STAFF AND CUSTOMER SERVICE**

6.1 All Staff used by the Supplier in the delivery of this requirement shall be suitably qualified auditors with an appropriate amount of experience to successfully conduct and conclude the audit to the required standard.

**7. PAYMENT**

7.1 Payment will only be made following satisfactory delivery of pre-agreed certified deliverables.

7.2 Before payment can be considered, each invoice must include a detailed elemental breakdown of work completed and the associated costs.

**8. BASE LOCATION**

8.1 The Base Location is NHS Digital's offices at Bridgewater Place, Leeds.

8.2 Although the Base Location is Leeds, there is a requirement for approximately 50% of the Services to be carried out from NHS Digital's offices in Exeter.