

NHS DIGITAL

PRJ_1809

STATEMENT OF REQUIREMENTS

GP PAYMENTS SYSTEM AUDIT 2018-2019 AND 2019-2020



Digital

1. PURPOSE

- 1.1 This requirement is for the successful Supplier to provide external audit assurance on the NHS Digital's General Practitioner Payments System (GPPS).
- 1.2 The GPPSs comprises of three main elements:
 1. GPES: General Practice Extraction Service
 2. CQRS: Calculating Quality Reporting Service
 3. NHAIS: National Health Application Infrastructure system
- 1.3 Two audits are required. One to cover the 2018-2019 financial year and one to cover the 2019-2020 financial year.
- 1.4 The Supplier shall conduct and deliver both the audits in full compliance with and to the standard required by ISAE 3402 type 2 meeting NHS Digital's requirements as set out in section 6 below.

2. BACKGROUND TO NHS DIGITAL

- 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 THE 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. PENDING CHANGES

- 4.1 For the financial year, 2018/19 there are no changes as to who is responsible for each function and the end to end process will be managed by NHS Digital. In 2019/20 and 2020/21 there will be some changes which the Supplier shall take into account and have the flexibility to adjust to as necessary. Changes due take place in 2019/20 and 2020/21 as outlined below. The timing for these changes is currently not confirmed.
 - CQRS will transfer to NHS England at some point in 2019/20

- NHAIS will move to Capita (contracted by NHS England) in 2020/21
- There is potential that an existing NHS Digital system (Spine) may take on some of the functionality previously carried out by other systems involved in the process. Spine is an in-house system which supports the IT infrastructure for health and social care in England.

5. 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"> • a query tool, GPET Q which is then replaced by GP Data Collector (GPDC) • extraction tools <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>

6. THE REQUIREMENT

- 6.1 The Supplier shall conduct and deliver two separate audits of the General Practitioner Payments System. The first audit shall be for the 2018-2019 financial year. The second audit shall be for the 2019-2020 financial year.
- 6.2 The Supplier shall conduct and deliver both audits in full compliance with and to the standard required by ISAE 3402 Type 2.
- 6.3 A delivery plan for each audit will be discussed and agreed with the Supplier.
- 6.4 The Supplier shall provide the final reports for each audit meeting the agreed delivery plan and the timescales set out below.
- 6.5 All Supplier Personnel involved in the delivery of the audits shall be suitably qualified auditors with an appropriate amount of experience to successfully conduct and conclude the audits to the required standard.

2018-2019 Financial Year Audit

6.6 The Supplier shall conduct and deliver the 2018-2019 financial year audit meeting the following requirements and deliverables:

ID	High Level Requirement	Audit Outputs and Assurance
NHSD 01	The Supplier shall undertake the audit in full compliance with the ISAE 3402 Type 2 standard.	<p>Provide assurance through testing that key controls are working as intended in line with the standard.</p> <p>Feedback findings on a weekly basis to ensure the teams audited are aware of findings and have been given ample opportunity to find any evidence required.</p>
NHSD 02	The Supplier shall effectively engage with all relevant parties	<p>Evidenced through adequate engagement and interaction at:</p> <ul style="list-style-type: none"> • Scoping meetings • Systems validation • Testing • Weekly feedback to all relevant teams and parties • Close down meetings at the completion of each stage
NHSD 03	<p>The Supplier shall meet the following timeline specified.</p> <p>NHS Digital requires the audit to be conducted and completed as much as possible by the end of March 2019, with a view to a minimal amount during April 2019.</p> <p>A delivery plan will be discussed and agreed with the Supplier.</p>	<ul style="list-style-type: none"> • Supplier Personnel to commence scoping during December 2018. • Fortnightly or more frequently should the volume of activity require. updates given to the teams being audited including feedback on findings and requests for missing evidence. • Fortnightly or more frequently should the volume of activity require updates given to the teams being audited including feedback on findings and requests for missing evidence. • Completion of year end testing by the end of March 2019 (to include a random sample of March transactions)

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		<ul style="list-style-type: none"> • Interim draft report (via email) issued by 15th March 2019 which clearly stating any evidence that is missing with a date by when this should be supplied. • Daily updates given to the teams being audited including feedback on findings and requests for missing evidence. • Final draft report completed by 31st March 2019 and circulated via email • Final report to be completed and circulated to all relevant parties by 5th April 2019
NHSD 04	The Supplier shall present their findings at the NHSD Assurance and Risk Committee during 2019 (times and dates to be advised)	PowerPoint and written report Presentation 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 Power Point 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 a Draft 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 all associated Intellectual Property will be owned in its entirety by NHS Digital.	Supplier provision of an Audit Report by 31 st March 2019. The Auditors will allow for sufficient time for any outstanding evidence to be provided and reflected in an updated report. The report shall detail the action required, action owner and timescale for implementation.
NHSD 07	The Supplier shall provide a Final 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 5th April 2019. The report shall detail the action required, action owner and timescale for implementation. Advise NHS Digital on appropriate actions to close the audit.

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NHSD 08	NHS Digital shall own the Interim Reports and Final Report in their entirety.	NHS Digital shall own the Interim Reports and Final Report in their entirety.
NHSD 09	All NHS Digital material to be disposed of in line with records management procedures.	Confidentiality

2019-2020 Financial Year Audit

6.7 The Supplier shall conduct and deliver the 2019-2020 financial year audit meeting the following requirements and deliverables:

ID	High Level Requirement	Audit Outputs and Assurance
NHSD 01	The Supplier shall undertake the audit in full compliance with the ISAE 3402 Type 2 standard.	<p>Provide assurance through testing that key controls are working as intended in line with the standard.</p> <p>Feedback findings on a weekly basis to ensure the teams audited are aware of findings and have been given ample opportunity to find any evidence required.</p>
NHSD 02	The Supplier shall effectively engage with all relevant parties	<p>Evidenced through adequate engagement and interaction at:</p> <ul style="list-style-type: none"> • Scoping meetings • Systems validation • Testing • Weekly feedback to all relevant teams and parties • Close down meetings at the completion of each stage
NHSD 03	<p>The Supplier shall meet the following timeline specified.</p> <p>NHS Digital requires the audit to be conducted and completed as much as possible by the end of March 2020, with a view to a minimal amount during April 2020.</p> <p>A delivery plan will be discussed and agreed with the Supplier.</p>	<ul style="list-style-type: none"> • Supplier Personnel to commence scoping during December 2019. • Fortnightly or more frequently should the volume of activity require. updates given to the teams being audited including feedback on findings and requests for missing evidence. • Fortnightly or more frequently should the volume of activity require updates given to the

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		<p>teams being audited including feedback on findings and requests for missing evidence.</p> <ul style="list-style-type: none"> • Completion of year end testing by the end of March 2020 (to include a random sample of March transactions) • Interim draft report (via email) issued by 15th March 2020 which clearly stating any evidence that is missing with a date by when this should be supplied. • Daily updates given to the teams being audited including feedback on findings and requests for missing evidence. • Final draft report completed by 31st March 2020 and circulated via email • Final report to be completed and circulated to all relevant parties by 5th April 2020
NHSD 04	The Supplier shall present their findings at the NHSD Assurance and Risk Committee during 2020 (times and dates to be advised)	PowerPoint and written report Presentation 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 Power Point 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 a Draft 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 all associated Intellectual Property will be owned in its entirety by NHS Digital.	<p>Supplier provision of an Audit Report by 31st March 2020.</p> <p>The Auditors will allow for sufficient time for any outstanding evidence to be provided and reflected in an updated report.</p> <p>The report shall detail the action required, action owner and timescale for implementation.</p>
NHSD 07	The Supplier shall provide a Final Report to NHS Digital outlining all findings and	Supplier provision of the final Audit Report by 5th April 2020.

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	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.	The report shall detail the action required, action owner and timescale for implementation. Advise NHS Digital on appropriate actions to close the audit.
NHSD 08	NHS Digital shall own the Interim Reports and Final Report in their entirety.	NHS Digital shall own the Interim Reports and Final Report in their entirety.
NHSD 09	All NHS Digital material to be disposed of in line with records management procedures.	Confidentiality

7. BASE LOCATION

- 7.1 The Base Location where the Services will be carried out at NHS Digital's offices at Bridgewater Place, Leeds.