

	<b>Title of Meeting:</b>	<b>Audit &amp; Quality Assurance Committee</b>
	<b>Time:</b>	09.00am
	<b>Date:</b>	Friday 23 September 2016
	<b>Venue:</b>	Birch Room, Oak House
	<b>Reference:</b>	JB/KF
	<b>Chairman:</b>	Mr John Barber

**QUORUM: 2 x Governing Body members**

<b>Present:</b>	
	Mr J Barber, Lay Member Governance (Chair)
	Dr R Cullen, RCCG Lead GP on Governance
	Dr S Holden, GP Members Committee
	Mr P Moss, Lay Member Patient & Public Engagement, RCCG
<b>In Attendance:</b>	
	Mrs R Nutbrown, Assistant Chief Officer, RCCG
	Mrs K Firth, Chief Finance Officer, RCCG
	Mr M Jones Head of Financial Services, RCCG
	Mrs S Cassin, Chief Nurse, RCCG
	Mrs T Hey, 360 Assurance Internal Audit
	Mr R Khangura, Director, KPMG
<b>Apologies:</b>	
	Mrs W Allott, Deputy Chief Finance Officer, RCCG
	Dr R Carlisle, Lay Member, Primary Care, RCCG

		Action
<b>SESSION A : INTRODUCTION</b>		
<b>16/78</b>	<b>Declaration of Pecuniary or Non-Pecuniary Interests</b>	
	The standard declaration for GPs (Drs Cullen and Holden) as providers was acknowledged overall and after a review of the agenda no direct conflicts of interest were identified.	
<b>16/79</b>	<b>Minutes of Extraordinary meeting held Friday 22<sup>nd</sup> July 2016</b>	
	The minutes of the meeting held on Friday 22 <sup>nd</sup> July 2016 were agreed as a correct record.	
<b>16/80</b>	<b>Minutes of meeting held Friday 27<sup>th</sup> May 2016</b>	
	The minutes of the meeting held on Friday 27 <sup>th</sup> May 2016 were agreed as a correct record.	
<b>16/81</b>	<b>Matters Arising - meetings on Friday 22<sup>nd</sup> July and Friday 27<sup>th</sup> May 2016</b>	
	None that were not on the action log.	
<b>16/82</b>	<b>Actions Log</b>	
	Mrs Firth gave a brief update on progress with fraud cases as the counter fraud lead was unexpectedly unable to attend the meeting. It was agreed to keep this item as amber on the action log.	

		Action
	<p>Mrs Hey queried the action regarding Pharmaceutical companies and reminded members that this was considered for an extra audit in 2015/16 but the board effectiveness work was prioritised instead. After a brief discussion members concluded that this item is still amber and asked Mrs Hey to advise on what the provider organisations will need to do re declaring Conflicts of Interest within their organisations.</p> <p>With this exception members agreed to accept all the green items as actioned and remove them from the log.</p>	
<b>SESSION B : EXTERNAL AUDIT, FINANCE AND COUNTER FRAUD</b>		
<b>16/83</b>	<b>Financial Matters Report</b>	
	<p>Mr Jones presented the report which was noted by the committee. Mr Jones highlighted the position on cash which has been higher than in previous years due to the new processes around primary care and uncertainties in forecasting information.</p> <p>Mr Jones confirmed that the invoice from Barnsley CCG had now been paid.</p> <p>Dr Cullen highlighted that GPs are finding it difficult to access Dermatology appointments and was therefore puzzled that first appointments are higher than the plan in the performance report. Mrs Firth confirmed that this was included in the current contract management process with the FT and she would feed back through the governing body report.</p> <p>Mr Moss raised concerns around the changes in activity and the process by which governing body and AQuA members could gain a better understanding of the issues and actions. Mrs Firth agreed to continue to review and add to the content in the monthly performance report to enable members to understand fully the issues and actions regarding the contract.</p> <p>Mr Barber asked about the risks to this year's position and the link to two year contracts to which Mrs Firth provided a response.</p>	<p>Mrs Firth</p> <p>Mrs Firth</p>
<b>16/84</b>	<b>Rotherham CCG KPMG External Audit Technical Update – Aug 2016</b>	
	<p>Mr Khangura presented the technical update which was noted by the committee.</p> <p>Dr Cullen enquired about the sharing data update and Mr Khangura agreed to share this.</p> <p>Mr Barber requested that any useful information that could be shared with the CCG be provided. Mr Khangura said that it was KPMG's practice to compile useful learning into briefing papers and publish them to clients but would enquire in the meantime to see if there was anything to share.</p>	<p>Mr Khangura</p> <p>Mr Khangura</p>
<b>SESSION C : QUALITY</b>		
<b>16/85</b>	<b>Children &amp; Young Peoples Continuing Care Policy</b>	
	<p>Mrs Cassin presented the policy. Though not a new policy this is a substantially revised policy. The amendments reflect changes in the key frameworks and are intended to support commissioners in determining the requirement for continuing care commissioned by the CCG.</p>	

		Action
	AQuA members agreed with the recommendation that Governing Body approve the policy at the next available meeting.	
<b>16/86</b>	<p><b>NHS Rotherham Composite Safeguarding Action Plan which includes:</b></p> <ul style="list-style-type: none"> <li>• <i>NHS Rotherham CCG Safeguarding Action Plan (NHS England Assurance June 2016);</i></li> <li>• <i>NHS England Self-Assessment Looked After Children - Right People, Right Time, Right Outcomes;</i></li> <li>• <i>Review of Health Services for Children Looked After and Safeguarding (CLAS) in Rotherham, Care Quality Commission Review 23 – 27 February 2016.</i></li> </ul>	
	<p>Mrs Cassin presented the action plan.</p> <p>Mr Barber enquired if there were any concerns about progress and Mrs Cassin confirmed that bringing all the actions together in this way helped to ensure that no actions or progress were missed, currently no progress against actions is giving cause for concern.</p> <p>Members accepted the plans and complimented the team on their actions and agreed that this could be shared with the Rotherham Local Safeguarding Children Board. Updates will be brought to AQuA regularly.</p>	
<b>16/87</b>	<b>Goddard and Bradbury – NHS Rotherham CCG Assurance</b>	
	<p>Mrs Cassin presented the report</p> <p>NHSR CCG has taken a proactive stance with providers to gain assurance about their response to these documents. Following discussion the members were assured that key CCG providers have responded to self-assessment requests and are in a position to respond to any archival enquires and this was embedded in our contract quality process. It has not yet been made clear what archival requests will be made to CCGs. It was agreed that this work be rolled out across GP practices with support offered to complete the self-assessment and preparedness template.</p>	
<b>16/88</b>	<b>CQC Not Seen Not Heard</b>	
	<p>Mrs Cassin presented the report which was noted by members. The report draws out the lessons learned from the first 50 CQC Children Looked After and Safeguarding (CLAS) reviews. Rotherham was in this cohort. The appendices show the results of a “True for Us” review undertaken by the CCG, TRFT, RDASH and Care UK, these highlighted areas of good practice and areas where further work is taking place.</p>	
<b>SESSION D : INTERNAL AUDIT AND GOVERNANCE</b>		
<b>16/89</b>	<b>Internal Audit Progress Report</b>	
	<p>Mrs Hey presented the progress report and drew members’ attention to the audit plan and number of audits planned.</p> <p>Mr Barber asked if 360 Assurance and CCG colleagues were confident that the plan was deliverable in the time remaining and both Mrs Hey and Mrs Firth stated that they were and the timing was largely to suit the CCG’s operational activities.</p> <p>Under <b>any other business</b>, AQuA agreed for a change to the Audit Plan –</p>	

		Action
	removal of patient experience and that the time be used for a) Col work when the NHSE template is received and b) the follow up of the emergency care centre report from 2015/16.	
<b>16/90</b>	<b>Commissioning Policy: Specialist Plastic Surgery</b>	
	Mrs Firth presented the policy and highlighted that the proposed changes brought the CCG into line with other CCGs in the South Yorks patch who have operated the policy since 2014. AQuA members agreed with the recommendation that Governing Body approve the policy at the next available meeting.	
<b>16/91</b>	<b>Organisational Risk Assessment</b>	
	Mrs Nutbrown presented the annual review of the organisational risk assessment; the main changes to the document are around the update of previous CSU provision, and changes in line with roles. AQuA members confirmed they were happy with the document and recommended that it be shared with Governing Body in due course.	<b>Mrs Nutbrown</b>
<b>16/92</b>	<b>Policy Governance Audit</b>	
	Mrs Nutbrown introduced the report following a Governance audit of policies and confirmed OE members had been asked to challenge each policy listed under their responsibility, as to whether the policy was required and whether there was any gaps in procedural documents that needed addressing. AQuA members discussed the report and were assured of the process. The associated update to the Policy on Procedural documents was recommended to Governing Body for approval.	
<b>16/93</b>	<b>Health &amp; Safety Policy</b>	
	Mrs Nutbrown presented the policy. AQuA members agreed with the recommendation that Governing Body approve the policy at the next available meeting.	
<b>16/94</b>	<b>Terms of Reference for Approval</b>	
	<ul style="list-style-type: none"> <li>• Operational Executive</li> <li>• AQuA</li> <li>• Remuneration Committee</li> </ul> <p>Mrs Nutbrown presented the revised documents and highlighted the amendments that had been made and reasons why. After a brief discussion some minor changes were agreed and these will be incorporated into the documentation.</p> <p>AQuA members agreed with the recommendation that Governing Body approve the revised terms of reference at the next available meeting.</p>	
<b>16/95</b>	<b>Risk Register / Assurance Framework</b>	
	Mrs Firth presented the risk register and assurance framework. Following discussions and questions from members and Mrs Hey from 360 Assurance, a number of actions were agreed:-	

		Action
	<p>(i) To assess whether the additional workload from the STP process was going to create a risk to capacity in the CCG or whether it could be absorbed as business as usual;</p> <p>(ii) To consider the extent to which the CCG would wish to move its strategic objectives to reflect new Improvement and assessment framework;</p> <p>(iii) To consider using 360 Assurance to assist governing body members with examining risk appetite and building this into the framework going forward;</p> <p>(iv) To provide an update to governing body examining in more detail the risks that officers have assessed as “20” and to offer rationale and assurance around how this is being mitigated and how governing body members are being updated on each risk – acknowledging that this will be inherent within other reports provided to the governing body.</p> <p>Mrs Hey also raised a query re the CSU RR on AF13 and this was to be added to the action plan re assurances received from eMBED and other CCG hosted services.</p>	<p><b>Mrs Firth</b></p> <p><b>Mr Atkinson</b></p> <p><b>Mrs Nutbrown</b></p> <p><b>Mr Atkinson</b></p> <p><b>Mrs Firth</b></p>
<b>SESSION E: FOR INFORMATION</b>		
<b>16/96</b>	<b>Information and Cyber Security</b>	
	Received and noted for information. Nothing for escalation	
<b>16/97</b>	<b>Conflicts of Interest Guidance</b>	
	Received and noted for information. Nothing for escalation	
<b>16/98</b>	<b>CCG Annual Assessment Scores Report</b>	
	Received and noted for information. Nothing for escalation	
<b>16/99</b>	<b>Information Commissioners Officer Personal Information Promise</b>	
	Received and noted for information. Nothing for escalation	
<b>16/100</b>	<b>Serious Incidents and Complaints Committee Draft Minutes dated 20 July 2016.</b>	
	Received and noted for information. Nothing for escalation	
<b>16/101</b>	<b>TRFT contract quality meeting minutes dated 27<sup>th</sup> July 2016.</b>	
	Received and noted for information. Nothing for escalation.	
<b>16/102</b>	<b>Information Governance Meeting Minutes dated 20<sup>th</sup> May 2016.</b>	
	Received and noted for information. Mrs Hey queried why AQuA had not received later minutes to provide extra assurance to the committee and also suggested that the Chair of the IGG provide a formal update to the Committee on salient issues.	<b>Mr Atkinson</b>
<b>16/103</b>	<b>Clinical Commissioning Group Governing Body Draft Minutes dated 3<sup>rd</sup></b>	

		Action
	<b>August 2016</b>	
	Received and noted for information. Nothing for escalation.	
<b>16/104</b>	<b>Health Protection Committee Minutes 15<sup>th</sup> July 2016</b>	
	Received and noted for information. Nothing for escalation.	
<b>SESSION F : ADMINISTRATION</b>		
<b>16/105</b>	<b>Other Business</b> – nothing raised	
<b>16/106</b>	<b>Issues for escalation to Governing Body</b>	
	Issues from the risk register under 16/95 above.	<b>Mr Barber</b>
<b>16/107</b>	<b>Forward Planner (<i>for information</i>)</b>	
	Nothing to note	
<b>16/108</b>	<b>Future Meetings (<i>For information</i>):</b>	
	<ul style="list-style-type: none"> <li>• 25 November 2016</li> </ul>	
<b>16/109</b>	<b>2017 Meetings for Approval</b>	
	<ul style="list-style-type: none"> <li>• 20th January 2017</li> <li>• 17th March 2017</li> <li>• 19th May 2017 and/or 26th May 2017 [tbc]</li> <li>• 14th July 2017</li> <li>• 15th September 2017</li> <li>• 17th November 2017</li> </ul>	