

	<b>Title of Meeting:</b>	<b>Audit &amp; Quality Assurance Committee</b>
	<b>Time:</b>	09.00am
	<b>Date:</b>	4 <sup>th</sup> September 2018
	<b>Venue:</b>	Elm Room, Oak House
	<b>Reference:</b>	JB/LD
	<b>Chairman:</b>	Mr John Barber

**QUORUM: 2 x Governing Body Lay Members**

**Present:**

Mr J Barber, Lay Member Governance (Chair)  
 Dr J Page, GP Lead, RCCG  
 Mrs K Henderson, Lay Member Patient & Public Engagement, RCCG  
 Dr R Carlisle, Lay Member Primary Care, RCCG

**In Attendance:**

Ms R Nutbrown, Assistant Chief Officer, RCCG  
 Mrs S Cassin, Chief Nurse, RCCG  
 Mrs K Meats, 360 Assurance Internal Audit  
 Mr M Jones, Head of Financial Services, RCCG  
 Mrs W Allott, Chief Finance Officer, RCCG  
 Mr R Khangura, Director, KPMG  
 Miss L Dennis, PA to the Chief Nurse, RCCG (minute taker)

**Apologies:**

Mr Atkinson, Deputy Chief Officer, RCCG

		Action
<b>SESSION A : INTRODUCTION</b>		
<b>18/91</b>	<b>Declaration of Pecuniary or Non-Pecuniary Interests &amp; Quoracy</b>	
	The standard declaration for GPs (Dr Page) as providers was acknowledged overall. No other declarations of interest were made.  Mr Barber confirmed that as all three Lay Members were present that the meeting is quorate.	
<b>18/92</b>	<b>Minutes of meeting held 3<sup>rd</sup> July 2018</b>	
	The full minutes of the group's meeting held on Tuesday 3 <sup>rd</sup> July 2018 were agreed as a correct record of proceedings.	
<b>18/93</b>	<b>Matters Arising from meeting's held 3<sup>rd</sup> July 2018</b>	
	All included on the action log (see below).	
<b>18/94</b>	<b>Actions Log</b>	
	Officers provided RAG ratings against actions and current updates. Members acknowledged the actions that have been completed and noted the progress to date for those which still require further action.	

		Action
	<p>Following a discussion it was agreed that the following items could be closed:</p> <ul style="list-style-type: none"> <li>- 18/74</li> <li>- 18/76</li> <li>- 18/78</li> <li>- 18/79</li> <li>- 18/80</li> </ul>	
<b>SESSION B : EXTERNAL AUDIT, FINANCE AND COUNTER FRAUD</b>		
<b>18/95</b>	<b>External Audit Progress Report</b>	
	<p>Mr Khangura presented the External Audit Report to the committee noting the following comments:</p> <ul style="list-style-type: none"> <li>- We are in the 'quiet period' of the audit cycle and are currently waiting for the group accounting manual to be released</li> <li>- There is a meeting taking place next week to begin work on the new audit year</li> </ul> <p>Members noted with the following comments:</p> <p>Mr Jones advised the group that we have now received the additional funding from NHS England to cover the pay award for staff.</p> <p><b>AQuA received and noted the Update.</b></p>	
<b>18/96</b>	<b>Financial Matters Update</b>	
	<p>Mr Jones presented the financial matters report covering the period up to 31<sup>st</sup> July 2018. He drew attention to the following areas:</p> <ul style="list-style-type: none"> <li>- The CCG is on track to meet all financial obligations</li> <li>- There are still risks around prescribing, Continuing Healthcare &amp; Complex Care</li> </ul> <p>Members noted with the following comments:</p> <ul style="list-style-type: none"> <li>- Mr. Carlisle asked for more information around the acronyms included in the report and Mr. Jones clarified that PHB stands for Personal Health Budget and that IR Transfer stands for Internal Revenue Transfer.</li> <li>- Mr. Barber noted that there may be a mistake in the report as it says that activity has gone up by 791%. Mrs. Allott agreed that there have been a few apparent anomalies within the reports which come from TRFT so they are working on correcting these.</li> <li>- Mr. Khangura noted that he was pleased to see a risks section in the report.</li> </ul> <p><b>AQuA received &amp; noted the update.</b></p>	
<b>18/97</b>	<b>Q1 Financial Control Planning &amp; Governance Self-Assessment</b>	
	<p>Mrs Allott presented the report noting the following:</p> <ul style="list-style-type: none"> <li>- This is a new piece of work which NHSE have asked all CCG's to complete.</li> </ul>	

		<b>Action</b>
	<ul style="list-style-type: none"> <li>- Q1 information has been submitted and we are currently awaiting feedback from NHSE on the submission along with the frequency of submission that they are expecting.</li> </ul> <p>The group agreed that it would be useful for AQuA to have sight of these documents for information once they have been submitted.</p> <p><b>AQuA received and noted the update.</b></p>	
<b>18/98</b>	<b>Q2 Financial Control Planning &amp; Governance Self-Assessment</b>	
	<p>Mrs Allott presented the report noting the following:</p> <ul style="list-style-type: none"> <li>- There has been a change in the reporting of the confidence in the main provider from partial at Q1 to confident at Q2. This is following conversations which have happened between Mrs. Allott and other Chief Finance Officer's across the South Yorkshire &amp; Bassetlaw footprint.</li> <li>- She also noted that the process is iterative and will continue to evolve as work progresses.</li> </ul> <p>Members noted with the following comments:</p> <p>Mr Barber asked whether the fact that Rotherham CCG doesn't have a Finance &amp; Investment Committee has an effect on these submissions. Mrs. Allott confirmed that it does, although we do have an AQuA Committee and a Patient Engagement Committee which between them do the job of a Finance &amp; Investment Committee. Mr. Khangura also confirmed that he is not worried that we don't have the Finance &amp; Investment Committee as we have arrangements in place to cover this.</p> <p><b>AQuA received and noted the update.</b></p>	
<b>18/99</b>	<b>QIPP3/NHSE Lessons Learned</b>	
	<p>Mrs Allott presented the report noting the following:</p> <ul style="list-style-type: none"> <li>- There were two separate pieces of work ongoing at the same time regarding governance arrangements and this work pulls it all together.</li> <li>- The CCG has had a visit from Deloitte who are the QIPP auditors. We received very positive feedback however they have provided us a list of recommended changes that we are working through.</li> <li>- They flagged via one of their standard questions that we don't have a PMO which brings down our overall score. We did explain that we have a 'virtual PMO' as it is the role of more than one person to report on QIPP. We have also now added dotted lines in to the company structure to highlight those who have PMO responsibilities.</li> <li>- For our own assurance we have measured ourselves against the NHSE report.</li> </ul> <p>Members noted with the following comments:</p> <p>Mr. Carlisle asked whether Deloitte made any comments on the content of our QIPP and whether they had given us any information on what other CCGs are doing. Mrs. Allott explained that they haven't for QIPP 3 but we have asked for it for QIPP 4.</p> <p><b>AQuA received and noted the update.</b></p>	

		Action
<b>18/100</b>	<b>Update on PHB Direct Payments</b>	
	<p>Mr Jones presented the report to the group noting the following:</p> <ul style="list-style-type: none"> <li>- We have brought control of these payments back from the Local Authority</li> <li>- There has been good progress however there is still some work to be done on joint packages of care.</li> </ul> <p>Members noted with the following comments:</p> <p>Mrs Cassin wanted to note that this is a good news story as we have seen in increase in the quality of packages for patients as a result of this work.</p> <p><b>AQuA received &amp; noted the update.</b></p>	
<b>18/101</b>	<b>Year-end process review</b>	
	<p>Mr Jones presented the report to the group noting the following:</p> <ul style="list-style-type: none"> <li>- This process was undertaken to reflect on how the year end process went</li> <li>- Overall it's a very positive paper</li> <li>- One area of improvement identified was the production of the Annual Report</li> <li>- A task &amp; finish group has been set up to work on this for next year.</li> </ul> <p><b>AQuA received &amp; noted the update.</b></p>	
<b>18/102</b>	<b>Single Tender Waiver – Northumberland Tyne &amp; Wear FT – High Care &amp; Support Needs</b>	
	<p>Mr Jones presented the report to the group for information only.</p> <p>Members noted with the following comments:</p> <p>Mr Barber noted that there have been a number of single tender waivers which have had to be signed off recently and wondered whether our procurement arrangements are at risk as a result. Mrs Allott responded that this possibly could be affected however for this particular case it was for a very specialist patient who needed to stay at the centre he is in as we have no other alternative. She also confirmed that it would have been a risk to the individual to procure at this time, if we had a contract extension option we wouldn't have needed the single tender waiver.</p> <p><b>AQuA received &amp; noted the update.</b></p>	
<b>SESSION C : QUALITY (10:00am – 10:20am)</b>		
<b>18/103</b>	<b>FGM Paper (verbal update)</b>	
	<p><b>Mrs Catherine Hall Joined the meeting at this point.</b></p> <p>Mrs Hall provided the group with a verbal update on the FGM paper which raised some questions at the last AQuA meeting. She advised that the law around FGM in children is much clearer and we don't want adults to get left behind. She noted that we have seen 11 cases in Rotherham. She also noted that we are encouraging GP practices to sign up to the NHS England enhanced dataset. So far there are still 19 practices who have not registered. Maternity services are very happy with the reporting procedure and the Sexual Assault Referral Centre (SARC) are very experienced in this area and are happy to pick up referrals. She confirmed that we</p>	

		Action
	<p>do have legal responsibility to report this crime and we are doing everything that we can to support this.</p> <p><b>AQuA received &amp; noted the update.</b></p>	
<b>18/104</b>	<b>LAC Health Needs Assessment (verbal update)</b>	
	<p>Mrs Hall advised the group that there has never been a Health Needs Assessment for Looked After Children and after some conversations at a LAC meeting around health &amp; wellbeing a public health specialist Catherine Homer offered to undertake some work with Sheffield Hallam University on a Health Needs Assessment for Looked After Children. There was a real focus in this work on those LAC who have emotional health &amp; wellbeing problems along with those LAC who have become parents.</p> <p>Mrs Hall informed the group that she thinks this is an excellent paper and action plan and that she is pleased to see that the child's voice is heard very loudly.</p> <p>Mrs Henderson questioned why schools were not prominent in the report. Mrs Hall advised that as this report isn't authored by the CCG there is nothing that we can do about this. She also advised that several schools across Rotherham have a psychologist doing pastoral care and the virtual head of schools is very active.</p> <p><b>AQuA received &amp; noted the update.</b></p> <p><b>Mrs Hall left the meeting.</b></p>	
<b>18/105</b>	<b>Continuing Healthcare Quality &amp; Performance Report (verbal update)</b>	
	<p>Mr Windle updated the committee on the performance of the Continuing Healthcare team focussing particularly on the number of outstanding reviews. He advised that we have seen a reduction in the number of outstanding reviews over the last year and more work is being done in the team to reduce them further. He provided assurance to the committee that there is an improving picture.</p> <p><b>AQuA received &amp; noted the update.</b></p>	
<b>18/106</b>	<b>Continuing Healthcare Q1 Assurance Report</b>	
	<p>Mr Windle updated the committee on the quarter one work of the CHC team. He advised that the main target for the team is to complete 81% of assessments in 28 days. We are currently at 80% so very close to this target.</p> <p>Mrs Henderson noted that from looking at the report you can clearly see the progress which has been made over the last 18 months.</p> <p>Mr Windle also noted that this report is in a new format and includes much more detailed information than the last report. We are well within the standard for assessments completed in an acute setting and we have seen further improvements which will be reported on in the next quarter.</p> <p><b>AQuA received &amp; noted the update.</b></p>	

		Action
<b>18/107</b>	<b>Serious Incidents &amp; Never Events Annual Report 2017/18</b>	
	<p>Mrs Cassin presented the Serious Incidents &amp; Never Events Annual Report to the committee noting the following:</p> <ul style="list-style-type: none"> <li>- There has been a significant reduction in the number of SI final reports that are still awaited past their expected date</li> <li>- The ongoing work at the SI Committee is helping to further reduce these numbers</li> <li>- The majority of the committee is now made up of clinicians and attendance is good</li> </ul> <p>Following a discussion the committee agreed that there should be some feedback to RDaSH regarding their definition of 'avoidable death'.</p> <p><b>ACTION: Mrs Cassin to pass on this feedback.</b></p> <p><b>AQuA received &amp; noted the update.</b></p>	<b>SC</b>
<b>18/108</b>	<b>Quality Accounts</b>	
	<p>Mrs Cassin advised the committee that quality accounts are a statutory expectation of providers and that we only get a very small window of opportunity to comment on them however we don't have any influence on them. If there are any issues from Governing Body papers etc. then lay members can raise this with the chair of AQuA to request a deep dive for further assurance.</p> <p>Mrs Cassin presented the following Quality Accounts to the committee for information only.</p> <ul style="list-style-type: none"> <li>- <b>TRFT</b></li> <li>- <b>RDaSH</b></li> <li>- <b>YAS</b></li> <li>- <b>Rotherham Hospice</b></li> </ul> <p><b>AQuA received &amp; noted the update.</b></p>	
<b>COMFORT BREAK (10:20AM – 10:35AM)</b>		
<b>SESSION D: INTERNAL AUDIT AND GOVERNANCE 10:35AM – 11:35AM</b>		

		<b>Action</b>
<b>18/109</b>	<p><b>Progress Report</b></p> <p>Mrs. Meats presented the Internal Progress Report noting the following:</p> <ul style="list-style-type: none"> <li>- 1 final report has been issued</li> <li>- Stage 1 of the Head of Internal Audit Opinion work has completed</li> <li>- Work is now progressing for Q2 &amp; Q3</li> <li>- The terms of reference for the workforce planning review have now been agreed</li> <li>- All audits are on track and follow ups are moving forward.</li> </ul> <p><b>AQuA received and noted the update.</b></p>	
	<p><b>Stage 1 Head of Internal Audit Opinion Memo</b></p> <p>Mrs. Meats presented the Stage 1 HOIAO Memo document to the group noting the following:</p> <ul style="list-style-type: none"> <li>- There is a focus on the Governing Body Assurance Framework</li> <li>- They have assurance that the CCG continues to develop the GBAF</li> <li>- There are no further recommendations once the GBAF has gone to Governing Body.</li> </ul> <p><b>AQuA received and noted the update.</b></p>	
	<p><b>Contract Management Review – Final Report</b></p> <p>Mrs. Meats presented the Contract Management Review Final Report noting the following:</p> <ul style="list-style-type: none"> <li>- Significant assurance can be given following this review</li> <li>- There were two recommendations, one medium and one low risk</li> <li>- The medium risk recommendation was around the terms of reference for the Strategic Commissioners meeting</li> <li>- The low risk recommendation was around the updating of job descriptions to ensure that it is clear who is responsible for contract management</li> </ul> <p><b>AQuA received and noted the update.</b></p>	
	<p><b>Governance</b></p>	
	<p><b>EPRR Assurance &amp; Core Standards</b></p> <p>Mrs Nutbrown presented the EPRR Assurance &amp; Core Standards report to the committee noting that this was an annual review of the document which has been discussed at OE and is fully compliant with no issues.</p> <p><b>AQuA happy to recommend taking forward to Governing Body.</b></p>	
	<p><b>AQuA Corporate Assurance Report</b></p> <p>Mrs Nutbrown presented the AQuA Corporate Assurance Report to the committee noting the following:</p>	

		Action
	<ul style="list-style-type: none"> <li>- There eight practices outstanding on the Conflicts of Interest return</li> <li>- New Data Protection Officer is now in post and all is going well.</li> </ul> <p><b>AQuA happy to recommend taking forward to Governing Body.</b></p>	
	<b>Policy</b>	
	<p><b>Internet Acceptable Usage Policy</b></p> <p>Mrs Nutbrown advised the committee that this policy has been updated and has gone through the internal approval process.</p> <p><b>AQuA happy to recommend taking forward to Governing Body.</b></p>	
	<p><b>Records Management Policy</b></p> <p>Mrs Nutbrown advised the committee that this policy has been updated and has gone through the internal approval process.</p> <p><b>AQuA happy to recommend taking forward to Governing Body.</b></p>	
	<p><b>Whistleblowing Policy</b></p> <p>Mrs Nutbrown advised the committee that the Whistleblowing Policy has now been updated and is in line with other South Yorkshire &amp; Bassetlaw CCG's. She also confirmed that this policy will go to SMT and the all staff meeting for staff awareness.</p> <p><b>AQuA happy to recommend taking forward to Governing Body.</b></p>	
	<p><b>Conflicts of Interest Policy Update</b></p> <p>Mrs Nutbrown updated the committee that the Conflicts of Interest Policy has gone through and internal audit review and is now back for information.</p> <p><b>AQuA happy to recommend taking forward to Governing Body.</b></p>	
<b>SESSION E: FOR INFORMATION</b>		
<b>18/110</b>	<p><b>Investors in Excellence Feedback Report</b></p> <p>Mrs Nutbrown updated the committee on the Feedback Report which has been received from the Investors in Excellence programme. She advised that this is the third year that we have been through the process however this is the first year that we have been given the marks. We have gone from a good organisation to a great organisation which is a fantastic achievement for the whole organisation.</p> <p><b>AQuA received and noted the update.</b></p>	
<b>18/111</b>	<p><b>Serious Incidents &amp; Never Events Committee Draft Minutes</b></p> <p>11<sup>th</sup> July 2018</p>	
	Received and noted for information.	

		Action
18/112	<b>TRFT Contract Quality Meeting Minutes</b> 4 <sup>th</sup> July 2018 & 1 <sup>st</sup> August 2018	
	Received and noted for information.	
18/113	<b>Information Governance Meeting Minutes</b> 22 <sup>nd</sup> June 2018	
	Received and noted for information.	
18/114	<b>Clinical Commissioning Group Governing Body Minutes</b> 4 <sup>th</sup> July 2018	
	Received and noted for information.	
<b>SESSION F: ADMINISTRATION</b>		
18/115	<b>Other Business</b>	
	None.	
18/116	<b>Issues for Escalation to Governing Body</b>	
	The following papers were approved and will now be taken forward to Governing Body: <ul style="list-style-type: none"> <li>- EPRR Assurance &amp; Core Standards</li> <li>- AQuA Corporate Assurance Report</li> <li>- Internet Acceptable Usage Policy</li> <li>- Records Management Policy</li> <li>- Whistleblowing Policy</li> <li>- Conflicts of Interest Policy</li> </ul>	
18/117	<b>Forward Planner (for information)</b>	
	The group noted the Forward Planner.	
18/118	<b>Next Meeting (for information)</b> Tuesday 6 <sup>th</sup> November 2018 Elm G.04	
18/119	<b>Future Meetings (for information):</b>  Tuesday 8 <sup>th</sup> January 2019 9am-12pm Larch Room	