

	Title of Meeting:	Audit & Quality Assurance Committee
	Time:	09.30am
	Date:	Wednesday 19 th November 2014
	Venue:	Birch Room, Oak House
	Reference:	JB/LGa
	Chairman:	Mr John Barber

QUORUM: 2 x Governing Body members

Present:

Dr R Cullen, RCCG Lead GP on Governance
 Dr L Jacob, Chair of GP Members Committee
 Mr J Barber, Lay Member Governance (Chair)

In Attendance:

Mrs K Firth, Chief Finance Officer, RCCG
 Ms L Gash, Secretariat, RCCG
 Mr K Watkins, Audit Manager, 360 Assurance
 Mr G Lonsdale, Manager, KPMG
 Mr N Bellamy, Director/Engagement Lead, KPMG
 Mrs S Cassin, Chief Nurse, RCCG
 Mr S Wood, Head of Finance, RCCG
 Mrs S Whittle, Assistant Chief Officer, RCCG
 Mr C Edwards, Chief Officer, RCCG (*attends once per year*)
 Mrs W Allott, Interim Deputy Chief Finance Officer, RCCG

Apologies

Mr G Roe, Local Counter-Fraud Service Manager (*attends quarterly*)
 Mr P Moss, Lay Member Patient & Public Engagement, RCCG

Action

14/129 Declaration of Pecuniary or Non-Pecuniary Interests

No specific declarations were made.
 The standard declaration for GPs (Dr Cullen and Dr Jacob) was acknowledged.

14/130 Minutes of meeting held 17th September 2014

The full minutes of the Group's meeting held on 17th September 2014 were agreed as a correct record of proceedings with the amendment of Dr Jacob to be shown as a member rather than "in attendance".

14/131 Matters Arising from meeting held 17th September 2014

Actions Status for matters arising recorded on Actions Log.
 No additional matters arising to note.

14/132 Actions Log

Members provided RAG ratings against actions and provided current updates. Further updates can be sent to Ms Gash by members after the updated Actions Log is circulated.
 No red concerns to note/escalate.

ALL

SESSION 1 – FINANCE & CORPORATE BUSINESS**14/133 AQuA Finance Summary**

Mr Wood provided key comment on the summary covering the period 1st April to 31st October 2014:

- Losses and special payments - none. Next meeting there will possibly be an item to report.
- Waivers to standard orders – Detailed Care Record Service for Medical interoperability gateway service, 3 year contract with Healthcare Gateway approved by AQuA on 17th September. Members asked Mr Wood to report new waivers only in this report. Case Management – Mrs Firth confirmed there had been no challenges to the Voluntary Ex-Ante Transparency (VEAT) notice submitted to the OJEU website.
- Disclosure of gifts and hospitality – one since April, noted in September minutes. No further disclosures.
- No current debtor balances over £5k and 6 months outstanding.
- Creditor balances over £5k and 6 months – 5 invoices in relation to non-contract activity or continuing health care where CCG are either awaiting credit notes or further information from supplier. No issues of concern. Mr Barber enquired whether further action was required, Mr Wood confirmed one particular issue with obtaining credit notes from Sherwood Forest Hospitals Trust despite numerous requests. Mr Wood will continue to follow up. Mrs Firth reported RCCG are still on course to meet cash targets and achieving 99% in the prompt payments code of 30 days for valid invoices..
- Review of banking arrangements – Mr Wood advised this item results from the forward planner and acts as an organisational reminder that if banking arrangements change in the future, AQuA will review yearly in November. Mr Wood confirmed current banking arrangements lie in the remit of Shared Business Services (SBS). RCCG hold 2 bank accounts, at month end SBS do all reconciliations and no staff at RCCG have direct access to bank accounts.

14/134 Payment by Results (PbR) Data Assurance Framework (DAF) 2013/14 Clinical Coding Audit

Mrs Firth presented the above update paper following the annual PbR audit at TRFT. 3 clinical coding audits have previously been to AQuA, Mrs Firth advised this provided a summary update on ongoing actions and confirmed that the contracting team will continue to follow up actions on a monthly basis.

Dr Jacob made comment that coding of primary diagnosis is of paramount importance and requested assurance on checks made at the point of recording of primary/secondary diagnosis (eg initial entries by junior doctors). Mrs Firth agreed to look into this further, asking through contract streams how TRFT assure themselves.

Mrs Firth

Mr Edwards advised he had previously shadowed coders and reported error rates of 4-5% which is in the top quartile compared to other trusts. Members noted the findings for 2013/14 and the action plan to be monitored through the contract management meetings.

14/135 Policy for Engagement of External Auditors for non-audit work

Mr Bellamy presented the above policy, explaining the policy was for external auditors undertaking non-audit work, providing definitions of non-

audit work which can be shared by RCCG and KPMG. The policy aims to establish the approval processes and corporate reporting mechanisms that will be put in place for any work RCCG request from KPMG. Every external auditor is required to have procedure for conflict of interest if asked to undertake non-audit work.

Discussion ensued around financial threshold limits and Members agreed that any non-audit work above £18,000 would require approval from Audit & Quality Assurance Committee. All work regardless of value will in any event be routinely reported to the Audit & Quality Assurance Committee.

14/136 External Audit Technical Update and Progress Report

Mr Bellamy and Mr Lonsdale presented the above report to members who discussed elements therein, noting in particular:

- 2014/15 Audit deliverables - Audit dates have been brought forward by a week. Mrs Firth explained NHSE have brought time frames forward and RCCG have further brought the deadline forward to allow enough time for external audit. Mrs Firth is to liaise further with KPMG colleagues to discuss deadline dates. Noted the final date is 29th May (bank holiday week).

Mrs Firth agreed to put on agenda for Governing Body to advise them of the position.

Mrs Firth

Mrs Whittle to request that Governing Body convene an extraordinary meeting to take place on the afternoon of Friday 22nd May in order to sign off end of year audit documentation.

Mrs Whittle

- Global Thought Leadership – “7 What Works” campaign has just been published, noted this fits in with the Health & Wellbeing Board agenda. Mr Lonsdale agreed to circulate the link to members for information.

Mr Lonsdale

Dr Jacob queried how TRFT monitor agency spend monthly. Mr Edwards confirmed RCCG monitor monthly through contracts and have requested a special report to cover increases whilst recognising this is an ongoing battle for all Trusts. Dr Jacob asked that details of staff leaving the Trust also be looked into.

Mrs Firth

14/137 Internal Audit

a. Progress Report

Mr Watkins presented the above summary of work undertaken. Members noted progress in delivery of the 2014/15 Internal Audit Plan with the following comments:

- Conflicts of Interest work complete, will be presented at next meeting.
- Continuing Healthcare, liaising with Mrs Cassin’s team, main work will be undertaken in February 2015.
- Emergency Care Project Assurance – Mr Watkins attends meetings in a project assurance role, providing input into project board and providing assurance to AQuA. Business Case has now been approved by both TRFT and RCCG Boards. Now moving into a different phase, planned work to liaise with project manager and review governance arrangements/structures and put an update paper together. Currently have time to reflect on governance arrangements and individual work streams, work is still taking place despite hold ups with the gas pipe.
- Independent Review of compliance with Public Sector Internal Audit Standards - Initial draft report confirms compliance, with a

couple of minor recommendations, final report is due November 2014 for sharing with RCCG.

- Working in partnership with East Midlands Patient Safety Collaborative on a range of projects identifying best safe practice in patient care, from elements identified in the Berwick Report. First focus is on developing criteria to confirm safe care within care homes. Next meeting planned for 8th December will assist that piece of work and produce a set of criteria for safe care. Mr Watkins confirmed Kirsty Leahy, Adult Safeguard Lead for RCCG will be attending. Mr Watkins clarified that the initial piece of work will look at overall quality not specific individual roles/care homes and will develop on what colleagues feel the best way forward.
- Mr Watkins is to meet with Mrs Firth to refresh the process by which RCCG is assured that previous internal audit recommendations have been implemented. A draft proposal to be submitted at next meeting. Mrs Firth to liaise with Mr Barber for involvement in the process for recommendations.
- Members noted summary of outputs at appendix A.
- Members noted the list of publications at Appendix B.

Mrs Firth/
Mr Barber

b. Collaborative Commissioning Contract Monitoring Final Report

The above report was received by members who noted significant assurance with 3 agreed recommendations to action.

Mr Watkins advised this audit was carried out across all CCGS in SY&B, Leicestershire and Derbyshire on how lead and associate commissioners work, providing an opportunity for reflection by Governing Bodies. It was highlighted that SYCOM is the forum used for joint commissioning and CCGCOM is a reflective group. Noted that the grey boxes indicate local actions.

A follow up exercise will be undertaken in 2014/15 to evaluate progress.

c. Patient & Public Engagement Final Report

The above report was received by members who noted significant assurance with 3 low-risk recommendations, some of which have already been actioned.

- Stakeholder Engagement Forum – set out in constitution, review in line with priorities.
- Consider resilience regarding PPE activity.
- PPE events publication on website – this was identified as a technical error and has now resolved.

Follow up exercise will be undertaken in May 2015 to evaluate progress.

14/138 Counter Fraud Summary Report

Members received and noted the above report for information.

Members noted Mr Roe will be leaving internal audit, Mr Matthew Curtis is the intended replacement. Mrs Firth confirmed she was content with the proposed arrangements for local counter fraud services.

Fraudulent Times has now been issued.

Final bullet point of report – standards for commissioners – NHS Protect promised specific standards for commissioners based on standards for providers, anticipated publication is early 2015. Need reflection when published to understand implications for co-commissioning.

14/139 Maternity, Adoption, Maternity Support (Paternity) and Parental Leave Policy

Members received the draft Policy and made the following observations:

Dr Cullen queried whether the CCG would have the space to support the aims of the policy regarding breastfeeding provision on the top floor. It was confirmed that should the occasion arise a room will be made available to accommodate any requests.

Mrs Cassin requested clarification around the word “breastfeeding” (eg actually feeding an infant or expressing milk). Mrs Whittle to revise wording.

Mrs Whittle

Members approved the contents of the policy subject to the above amendments/additions with recommendation that the same be adopted at Governing Body.

Mrs Whittle

14/140 Risk Register and Assurance Framework

Mrs Whittle gave a verbal update explaining the above documents would be presented at AQuA on a quarterly basis to best fit with Governing Body reporting. The documents were recently updated and presented at Governing Body in November. Reports will now come to AQuA in January, March, July and September meetings.

Mrs Whittle to forward to Mr Barber for information.

Mrs Whittle

SESSION 2 : QUALITY**14/141 South Yorkshire & Bassetlaw Pressure Ulcer Good Practice Protocol for Safeguarding**

Mrs Cassin presented the above document to members for information. This piece of work was led by NHSE Director of Nursing due to lack of clarity around where safeguarding and pressure ulcer reporting overlapped. The Protocol was put together with input from TRFT and other providers. Under NICE guidance grade 3 and 4 pressure ulcers are now reportable which has resulted in an increase of serious incidents reporting the same.

Providers are engaged, the Protocol will be presented at the next Rotherham Safeguarding Adults Board for sign-up.

Members noted the Protocol for information and recommended Governing Body accept the same paper for information. Members ask OE to consider whether the Protocol is presented public or confidentially to Governing Body under “papers for information”.

Mrs Cassin

14/142 Serious Incidents and Complaints Committee Minutes

Members received and noted the contents of the draft minutes of the meeting held on 10th September 2014.

Regarding increase in Pressure Ulcer reporting, discussion took place around assuring outcomes and improving quality. Noted this is a provider issue however should any non-recurrent funding become available, an investment in additional pressure relieving equipment would be a reasonable area to explore.

14/143 Operational Risk, Governance & Quality Group Minutes

Members received and noted the contents of the draft minutes of the meeting held on 23rd October 2014. No items identified for escalation to AQuA. Regarding the requirement for the Chair of AQuA to attend a sub-AQuA meeting before the end of March 2015, Members noted Mr Barber is attending the next meeting in December.

14/144 Operational Risk, Governance & Quality Group Terms of Reference

Members received and approved the revised Terms of Reference for the above group.

14/145 Clinical Commissioning Group Governing Body Minutes

Members received and noted the contents of the draft minutes of the meetings held on 3rd September and 1st October 2014 for information.

14/146 Concerns that officers wish to raise

- Mr Edwards advised members the Ofsted inspection of RMBC children's services and review of the Local Safeguarding Children's Board returned an outcome of "inadequate" which has possible implications for health.
- Mr Edwards advised of the Governance Review of RMBC and partners, inspectors have been present for the past two months and the review is expected to continue for another week. Report will be available in December/January.

14/147 Other Business

- Meeting dates for 2015 – Dr Jacob and Mr Edwards to look into nominating another GP member to attend Friday meetings in 2015.
- Future recorded agenda items – Mr Watkins confirmed national guidance on audit processes has never arrived but reassured members current processes are fit for purpose.

**Dr Jacob/
Mr Edwards**

14/148 Issues for risk register or to alert Governing Body

None.

14/149 Forward Planner

Shared for information. Ad-hoc agenda items from today's meeting will be added to planner and circulated with minutes.

Review of external audit plan – members agreed to bring this item forward to January 2015.

14/150 Next meeting: Friday 23rd January.2015, 9.30am, Birch Room

14/151 Future Meetings:

Friday 20th March 2015, 9.30am, Birch Room

Friday 22nd May 2015, 9.30am, Birch Room

Friday 17th July 2015, 9.30am, Birch Room

Friday 18th September 2015, 9.30am, Birch Room

Friday 20th November 2015, 9.30am, Birch Room

Friday 15th January 2016, 9.30am, Birch Room