

	Title of Meeting:	Audit & Quality Assurance Committee
	Time:	09.00am
	Date:	6 th November 2018
	Venue:	Elm Room, Oak House
	Reference:	JB/LD
	Chairman:	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 D Twell, 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 Atkinson, Deputy Chief Officer, RCCG
 Mr R Khangura, Director, KPMG
 Miss L Dennis, PA to the Chief Nurse, RCCG (minute taker)
 Miss J France, Apprentice, RCCG

Apologies:

None Received.

		Action
SESSION A : INTRODUCTION		
18/120	Declaration of Pecuniary or Non-Pecuniary Interests & Quoracy	
	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.	
18/121	Minutes of meeting held 4th September 2018	
	The full minutes of the group's meeting held on Tuesday 4 th September 2018 were agreed as a correct record of proceedings.	
18/122	Matters Arising from meeting's held 4th September 2018	
	All included on the action log (see below).	
18/123	Actions Log	

		Action
	<p>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.</p> <p>Following a discussion it was agreed that the following items could be closed:</p> <p>18/107</p>	
SESSION B : EXTERNAL AUDIT, FINANCE AND COUNTER FRAUD		
18/124	Review of Counter Fraud Progress Report	
	<p>Mrs Croft presented the Counter Fraud Progress Report to the committee noting the following comments:</p> <ul style="list-style-type: none"> - She apologised that the version of the report which has been circulated is incorrect - The table on page two of the report should show 5.5 days completed for Strategic Governance, 2.5 days completed for Inform & Involve, 2.5 days completed for Prevent & Deter and 0.5 days completed for Hold to Account - She assured the group that all necessary work to check providers has been done and also confirmed that the Fraud Risk Assessment was brought to the committee earlier this year - She also confirmed that all policies should be sent to the Counter Fraud team for checking prior to them coming to this committee <p>Members noted with the following comments:</p> <p>Mr Jones noted that he is assured that all checks are made prior to any counter fraud alerts being received.</p> <p>Following a group discussion Mrs. Croft confirmed that information is shared across the Counter Fraud networks in the region and that she is a member of the new National Fraud Group which has developed a new and improved database and holds a meeting every 6 weeks in London which allows her to engage more with local Counter Fraud specialists.</p> <p>AQuA received and noted the Update.</p>	
18/125	Counter Fraud Survey Report	
	<p>Mrs Croft presented the Counter Fraud Survey Report to the committee noting the following comments:</p> <ul style="list-style-type: none"> - She is happy with the results of the survey for Rotherham CCG and confirmed that we are not an outlier for Counter Fraud - She did raise an issue around encouraging staff not to speak to their line managers when they suspect fraud, they need to go directly to the Counter Fraud team <p>The group discussed this issue and decided that it would be best for there to be a dialogue with managers within the CCG to remind them of the process. Mr Atkinson confirmed that he would raise this at SMT and the all staff meeting.</p> <p>ACTION: Mr Atkinson to arrange for training of managers in counter fraud</p>	IA

		Action
	<p>processes.</p> <p>AQuA received and noted the Update.</p>	
18/126	External Audit Progress Report	
	<p>Mr Khangura presented the External Audit Progress Report to the group noting the following:</p> <ul style="list-style-type: none"> - They are currently in the planning stage and are hoping to bring a draft audit plan to the next meeting of the committee - Risks that have been identified are expected to be similar to those in previous years - They will be doing some work around financial resilience and value for money - He also drew attention to a new KPMG resource which has been published called Reimagining Public Policy that has some interesting information in around healthcare. <p>Mr Khangura also confirmed that the usual contact for KPMG, Amy Warner, is going to be off on maternity leave from February 2019 and Salma Younis will be returning to work with Rotherham CCG.</p> <p>Members noted with the following comments:</p> <p>Mr Atkinson asked whether there would be some extra work done around efficiency this year. Mr Khangura confirmed that there would be some work which will be done earlier than planned around savings schemes, governance arrangements and performance etc.</p> <p>AQuA received and noted the update.</p>	
18/127	Financial Matters Update	
	<p>Mr Jones presented the financial matters report covering the period up to 30th September 2018.</p> <p>He drew attention to the following areas:</p> <ul style="list-style-type: none"> - The CCG remain on target to achieve all of its financial obligations - The Better Payment Practice is currently well above the target set of 95% - The CCG is on track to remain within its MCD (Maximum Cash Drawdown) set by NHS England. The CCG has an opportunity at M8 and M10 to revise this figure. - All risks identified in this month's report are consistent with the previous months reported position, no new risks have been reported. <p>He also drew the attention to the new graphs that were now incorporated into the finance report at point 9 of the report. The purpose of the charts were to help and assist AQuA in their understanding of the increases seen in CHC spend this financial year. The charts show how costs are increasing in line with the national trends over financial years. The finance team are working with the CHC team to try and forecast future costs.</p> <p>Members noted with the following comments:</p> <p>Mr Barber commented that he thinks the financial position of the CCG is looking good. Mrs Allott confirmed that we are currently in a strong position. Mr Barber</p>	

		Action
	<p>responded that he is happy to see the evidence that we're tackling areas of risk. Mrs Allott advised that we are working diligently to deliver both this year and next year and work on our draft financial plan was underway. .</p> <p>Mr Jones confirmed that there are still a number of issues with NHS Property Services in terms of the invoices received. A meeting has been arranged to hopefully resolve the issues identified before the month 9 Agreement of balances exercise.</p> <p>AQuA received & noted the update.</p>	
18/128	Review of Q2 Statement of Financial Position	
	<p>Mr Jones presented the Q2 Statement of Financial Position report noting the following:</p> <ul style="list-style-type: none"> - An informal meeting of AQuA reviewed the annual accounts including the Statement of Financial Position at year end, it was felt bringing a regular report to AQuA on the Statement of Financial Position would assist members in a better understanding of the position in readiness for this year end. - The finance team is planning to bring this report on a quarterly basis to update members. <p>Members noted with the following comments:</p> <p>Mr Barber noted that he thought the balance sheet analysis in this report is good and also asked about changes to the general fund. Mr Jones confirmed that the changes in the general fund are due to the fact that not everything in the income and expenditure statement is cash backed and that accruals are also included. The cash that the CCG draw down goes against the General fund, for that reason there will always be a difference.</p>	
SESSION C : QUALITY (10:00am – 10:20am)		
18/129	Safeguarding Annual Report 2017/18	
	<p>Mrs Cassin presented the Safeguarding Annual Report noting the following:</p> <ul style="list-style-type: none"> - This report is in a new format to incorporate both adults and children safeguarding - We have introduced a red bag scheme to improve communication across organisations and departments - The number of Looked After Children and those in care is rising – this is a picture nationally <p>Members noted with the following comments:</p> <p>Dr Carlisle commented that the report is very well written. He also queried whether we can do any more to challenge how long it takes for the reports from provider organisations and LA to be published? Mrs Cassin noted that she already challenges at all relevant meetings and doesn't feel that there is any more that we can do. Following a discussion the group agreed that they would like to see a publication timetable for reports and Mrs Cassin agreed to request this.</p> <p>ACTION: Mrs Cassin to request a publication timetable from RMBC.</p>	Mrs Cassin

		Action
	<p>Dr Carlisle also challenged the timings for Operation Stovewood and wondered whether there was anything we could do to make things happen quicker. Mrs Cassin advised that she is doing all that she can to support Operation Stovewood and didn't think there was anything else we could do to facilitate this. She did advise the group that she has provided challenge around the lack of funding into Health & Social Care as she believes that there should be more funding made available for this. She advised the group that she would bring any further updates to future meetings.</p> <p>AQuA received and noted the update.</p>	
COMFORT BREAK (10:20AM – 10:35AM)		
SESSION D: INTERNAL AUDIT AND GOVERNANCE 10:35AM – 11:35AM		
18/130	<p>Progress Report</p> <p>Mrs. Meats presented the Internal Progress Report noting the following:</p> <ul style="list-style-type: none"> - 2 Final reports have been issued in this period which will both be reviewed at this meeting - The Governing Body survey which will inform the Stage 2 Head of Internal Audit Opinion has now closed and 12 responses were received - Terms of reference have been agreed for our work on the Integrity of the General Ledger & Key Financial Systems and work has begun <p>AQuA received and noted the update.</p> <hr/> <p>Q2 Technical Briefing</p> <p>Mrs. Meats presented the Q2 Technical Briefing document to the group for information only.</p> <p>AQuA received and noted the update.</p> <hr/> <p>Workforce Planning Report</p> <p>Mrs. Meats presented the Workforce Planning Report document to the group noting the following:</p> <ul style="list-style-type: none"> - This report was undertaken following the Investors in Excellence visit to the CCG earlier this year - 2 low level risks were identified - Significant assurance was provided <p>AQuA received and noted the update.</p> <hr/> <p>GBAF Benchmarking Report</p> <p>Mrs. Meats presented the GBAF benchmarking Report document to the group for information noting that she would like to hear any ideas on what the group think they would like to do with the findings of the report.</p> <p>Members noted with the following comments:</p>	

		Action
	<p>Mr Atkinson raised an issue around risk appetite and what other CCG's are doing with the report. Mrs Meats agreed that some CCGs have a high appetite for risk and others don't. She agreed that she would look at the work of the other CCG's and report back on what they are doing.</p> <p>It was also agreed that Ms Nutbrown and Mr Atkinson would meet to discuss plans going forward.</p> <p>AQuA received and noted the update.</p>	
	<p>Governance & Risk Management Final Report</p> <p>Mrs. Meats presented the Governance & Risk Management Final Report document to the group noting the following:</p> <ul style="list-style-type: none"> - There is a focus on the Integrated Care Partnership and whether robust processes are still in place at the CCG - Significant assurance was provided - There were two medium risks and one advisory risk identified. <p>AQuA received and noted the update.</p>	
	<p>Governance</p>	
	<p>Workforce Summary Report</p> <p>Ms Nutbrown presented the Workforce Summary Report to the group noting that the paper is produced by our HR team and that she would take any questions back to them if needed.</p> <p>Members noted with the following comments:</p> <p>Mr Barber asked for the number of vacancies to be included in the report and also asked for an update on the number of shared members of staff who are in the organisation. Mrs Nutbrown agreed that she would speak to HR and that a paper would be produced for the next meeting to give an update on the number of shared staff in the organisation.</p> <p>ACTION: Ms Nutbrown to bring a paper to the next meeting updating the committee on shared posts within the organisation.</p> <p>AQuA received and noted the update.</p>	<p>Ms Nutbrown</p>
	<p>GDPR Complaint CCG Privacy Notice</p> <p>Ms Nutbrown presented the GDPR Compliant CCG Privacy Notice to the group noting that it has already been to Governing Body and that they were happy with it.</p> <p>AQuA received the update and supported the decision of the Governing Body to agree this paper.</p>	
	<p>EPRR Cascade Test Report</p> <p>Ms Nutbrown presented the EPRR Cascade Test Report to the group noting the following:</p>	

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	<ul style="list-style-type: none"> - This test is done on an annual basis and we always take away and implement any learning from it. <p>AQuA received and noted the update.</p>	
	<p>Equality & Diversity</p>	
	<p>Equality Delivery System – EDS2</p> <p>Ms Nutbrown presented the Equality Delivery System Report to the group noting the following:</p> <ul style="list-style-type: none"> - This is an annual self-assessment which we have to complete - It has already been agreed by the Equality & Diversity Steering Group and by the Operational Executive <p>Members noted with the following comments:</p> <p>Mr Carlisle asked whether there is anything that we should be doing better as an organisation, Ms Nutbrown responded that we need to ensure that Equality Impact Assessments are more common practice – we are doing the work however we are not completing the paperwork.</p> <p>AQuA received and noted the update.</p>	
	<p>Equality & Diversity Annual Report 2018/19</p> <p>Ms Nutbrown presented the Equality & Diversity Annual Report 2018/19 to the group noting the following:</p> <ul style="list-style-type: none"> - The current objectives are included in this report. <p>AQuA received and noted the update.</p>	
	<p>Equality & Diversity Objectives Review</p> <p>Ms Nutbrown presented the Equality & Diversity Objectives Report to the group for information only.</p> <p>AQuA received and noted the update.</p>	
	<p>Workforce Race Equality Standard</p> <p>Ms Nutbrown presented the Workforce Race Equality Standard Report to the group noting that she would take any questions back to the HR team.</p> <p>Mr Barber queried whether the report had already been to OE and Mrs Nutbrown confirmed that it had.</p> <p>AQuA received and noted the update and are happy to endorse the report.</p>	
	<p>Corporate Assurance Report</p> <p>Ms Nutbrown presented the Corporate Assurance Report to the group noting the following:</p> <ul style="list-style-type: none"> - This report goes to other meetings and as it offers assurance it was agreed that it would come to AQuA for assurance as well - The paper will be brought to each meeting going forward. <p>AQuA received and noted the update.</p>	

		Action
	<p>AQuA Terms of Reference</p> <p>Ms Nutbrown presented the AQuA Terms of Reference paper to the group noting the following:</p> <ul style="list-style-type: none"> - A minor change has been made to include the legislative requirement to have a Health & Safety Committee - We will invite the staff side representative to all future meetings for the Health & Safety section <p>AQuA happy to recommend taking forward to Governing Body.</p>	
	<p>AQuA January Meeting Draft Agenda</p> <p>Ms Nutbrown presented the January AQuA Meeting Agenda to the group noting the following:</p> <ul style="list-style-type: none"> - We will be bringing this item to all future meetings to inform members of what is coming up in the following meeting - It will also allow members to make requests for items to be added to the agendas <p>Members noted with the following comments:</p> <p>Mr Carlisle commented that he thinks it would be good to bring a deep dive report to each meeting which would cover the different areas of QIPP. The group agreed that this would be a good idea and that they would like to start with a report on efficiency savings planning.</p> <p>ACTION: Mr Atkinson to bring a paper to the next AQuA meeting on planned efficiency savings.</p> <p>Mr Barber requested that an annual private meeting of members with Internal Audit & External Audit be added to the agenda for the meeting in January.</p> <p>AQuA received and noted the update.</p>	<p>Mr Atkinson</p>
	<p>Procedure for the Review of Asset Register & Data Flow risk Assessments</p> <p>Ms Nutbrown presented the Review of Asset Register & Data Flow Risk Assessments Report to the group for information and assurance only.</p> <p>AQuA received and noted the update.</p>	
	<p>Policy</p>	
	<p>Policy Audit 2018</p> <p>Ms Nutbrown presented the Policy Audit 2018 Report to the group noting the following:</p> <ul style="list-style-type: none"> - RCCG is in a good position with policies currently - Three policies are out of date however two of them are on the agenda to be 	

		Action
	<p>agreed at today's meeting.</p> <p>AQuA received and noted the update.</p>	
	<p>Access to Infertility Treatment Commissioning Policy</p> <p>Ms Nutbrown presented the Access to Infertility Treatment Commissioning Policy to the group noting the following:</p> <ul style="list-style-type: none"> - This policy is completely new for Rotherham CCG and has been replicated from a Yorkshire & Humber policy - We have decided to adopt this policy <p>AQuA agreed that we should adopt this policy and recommended taking it forward to the Governing Body.</p>	
	<p>Probationary Period Policy</p> <p>Ms Nutbrown presented the Probationary Period Policy to the group noting the following:</p> <ul style="list-style-type: none"> - This is a completely new policy which has been developed with HR - Other CCG's in the South Yorkshire footprint has also put this policy into place. <p>AQuA happy to recommend taking forward to Governing Body.</p>	
	<p>Workplace Healthy Eating & Physical Activity Policy</p> <p>Ms Nutbrown presented the Workplace Healthy Eating & Physical Activity Policy to the group noting that only minor changes have been made.</p> <p>AQuA happy to recommend taking forward to Governing Body.</p>	
	Health & Safety	
	<p>Health & Safety Policy Review</p> <p>Ms Nutbrown presented the Health & Safety Policy Review to the group noting that this is an annual review of the policy and only minor changes were made to it.</p> <p>AQuA happy to recommend taking forward to Governing Body.</p>	
	<p>Governing Body Assurance Framework, Risk Register & Issues Log</p> <p>Ms Nutbrown presented the Governing Body Assurance Framework, Risk Register & Issues Log to the group noting the following:</p> <ul style="list-style-type: none"> - These documents are all linked closely to the strategic objectives of the organisation - Risks are recorded as those things that may happen and the issues log captures issues that are ongoing at the moment - OE regularly conduct a line by line review of these documents to ensure that 	

		Action
	<p>they are as up to date as possible at all times</p> <p>Members agreed that they are content that there is an appropriate process in place for monitoring and updating these documents.</p> <p>AQuA received and noted the update.</p>	
SESSION E: FOR INFORMATION		
18/131	Serious Incidents & Never Events Committee Draft Minutes 12 th September 2018	
	Received and noted for information.	
18/132	TRFT Contract Quality Meeting Minutes 26 th September 2018	
	Received and noted for information.	
18/133	Information Governance Meeting Minutes 24 th August 2018 & 21 st September 2018	
	Received and noted for information.	
18/134	Clinical Commissioning Group Governing Body Minutes 5 th September 2018 & 3 rd October 2018	
	Received and noted for information.	
18/135	Equality & Diversity Steering Group Minutes 20 th July 2018	
	Received and noted for information.	
SESSION F: ADMINISTRATION		
18/136	Other Business	
	None	

18/137	Issues for Escalation to Governing Body	
	The following papers were approved and will now be taken forward to Governing Body:	
18/138	Forward Planner (for information)	
	The group noted the Forward Planner.	
18/139	Next Meeting (for information) Tuesday 8 th January 2019 9am-12pm Larch Room	
18/140	Future Meetings (for information): Tuesday 5 th March 2019 9am – 12pm Elm Room Tuesday 7 th May 2019 9am – 12pm Elm Room	