

	Title of Meeting:	Audit & Quality Assurance Committee
	Time:	09.00am
	Date:	Friday 22 July 2016
	Venue:	Birch Room, Oak House
	Reference:	JB/KF
	Chairman:	Mr John Barber

QUORUM: 2 x Governing Body members

Present:

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

In Attendance:

Mrs S Whittle, Assistant Chief Officer, RCCG
Mrs R Nutbrown
Mrs K Firth, Chief Finance Officer, RCCG
Mrs W Allott, Deputy Chief Finance Officer, RCCG
Mrs S Cassin, Chief Nurse, RCCG
Ms S Davies
Ms C Croft, 360 Assurance, Counter Fraud
Mrs A Tudor, 360 Assurance Internal Audit
Mrs J Copley, Manager, KPMG

Apologies:

Mrs T Hey, 360 Assurance Internal Audit
Dr R Carlisle, Lay Member, Primary Care, RCCG
Mr R Khangura, Director, KPMG
Mr A Newall, Manager, KPMG

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SESSION A : INTRODUCTION

16/43 Declaration of Pecuniary or Non-Pecuniary Interests

The standard declaration for GPs (Drs Cullen and Holden) as providers was acknowledged overall.

KPMG declared an interest in Agenda item 9. Mrs Firth confirmed that this was an update of what is already in the public domain and no discussion or decision was required at this meeting.

16/44 Minutes of Extraordinary meeting held Friday 20th May 2016

The minutes of the Group's extraordinary meeting held on Friday 20th May 2016 were agreed as a correct record.

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16/45 Minutes of meeting held Friday 27th May 2016

The minutes of the Group's meeting held on Friday 27th May 2016 were not accepted. A number of amendments were forwarded for accuracy of the minutes. It was requested that these were updated and redistributed.

Mrs Whittle

16/46 Matters Arising - meetings on Friday 20th May and Friday 27th May 2016

There were no matters arising not covered in the action log.

16/47 Actions Log

Officers provided updates and RAG ratings against actions which were accepted by the committee. Most actions were accepted as completed with explanations given for any which need to remain as amber e.g. ongoing investigations.

SESSION B : EXTERNAL AUDIT, FINANCE AND COUNTER FRAUD

16/48 Financial Matters Report

Mrs Allott informed the meeting that included with today's report there are three enclosures:-

- i) Finance Report as at June 2016
- ii) Summary of standing financial items for AQuA
- iii) Declaration of gifts/hospitality

AQuA received and noted the Finance Report

16/49 Rotherham CCG KPMG Annual Audit Letter (AAL)

Mrs Copley informed the committee that the AAL is required by auditing standards but generally contains the same points raised within the ISA260 on 27th May 2016 as part of the accounts assurance process in which KPMG issued an unqualified opinion on the CCG's accounts.

There were no significant adjusted or unadjusted audit differences that were identified as part of the audit, and there were no significant matters which KPMG were required to report to the Audit & Quality Assurance Committee.

Mrs Copley highlighted the issue of the extra costs incurred when seeking assurances from the NHSE co-commissioned services. Mrs Firth notified the committee that she had requested assurance from NHSE regarding the future planning of the Service Auditor Reporting (SAR).

Members noted the report.

16/50 Rotherham CCG KPMG External Audit Technical Update

Mrs Copley presented the update and highlighted that a conference call was being offered to clients regarding the impact of the UK's exit from the EU.

Members noted the report.

16/51 Single Tender Actions**Hospice at Home – Award of Contract**

Mrs Firth presented the paper which sets out the case for the extension of a pilot with the Hospice for a further two years.

She highlighted that the recent developments at pace in community transformation may conclude that an amended, more appropriate service model is required within the two year period therefore it was considered to be sensible to wait until the evaluation of this pilot was reported.

Mr Moss suggested that early notification to the provider be considered as soon as there is a decision either to tender or not in the future to avoid unintended concerns and instability within the workforce.

Members acknowledged the report and were assured that the decision had been taken with patient benefits and optimising care pathways being the key considerations.

16/52 Tender for External Audit Services

Mrs Allott updated the committee of the progress to date of the External Audit Tender confirming that the specification and tender documentation were now in the public domain. The closing date for applications is 3rd Aug 2017 and Mr Barber and Mrs Firth are the lead officers representing Rotherham CCG with the evaluation process.

Members were reminded that the Auditor Panel would need to be convened in order to recommend the decision to the Governing Body.

Members noted the progress to date and process for approving the final decision.

16/53 Counter Fraud Progress Report

Mrs Croft presented the counter fraud report and advised the Audit and Quality Assurance Committee of work completed to date in respect of the 2016/17 Counter Fraud, Bribery and Corruption Operational Plan for NHS Rotherham CCG.

Mrs Croft highlighted the findings of the Self Review Toolkit (SRT) and assured members that an action plan will be followed throughout the year with named individuals to undertake the required workstreams.

A brief discussion took place regarding the threat of fraudulent notices for bank account changes – members were notified of the proactive work carried out by the counter fraud team.

Members acknowledged the contents of the report.

SESSION C : QUALITY**16/54 Safeguarding Adults 360 Assurance CCG Audit Report**

Mrs Davies gave a brief overview of the 360 audit, highlighting that four recommendations had already been completed in respect of the action plan.

- (i) Governance arrangements and structures & Terms of Reference to include Safeguarding Adults;
- (ii) Training audit
- (iii) Safeguarding Adults web page
- (iv) Reporting re Safeguarding Adult concerns in respect of partner agencies.

Noted was the increased Safeguarding Adult Legislation and Care Act 2014.

Members acknowledged the report and actions completed to date

16/55 Safer Recruitment Practices on Disclosure and Barring (DBS) Checks

Mrs Davies informed members that assurance was sought from all CCG's and we had worked with our HR colleagues to complete the self-assessment.

The CCG and HR had been proactive with providing Safe Recruitment Training and use of risk assessments.

All CCG policies and processes had been updated to reflect the checks required – RCCG is compliant.

Members acknowledged the contents of the report

16/56 CQC Review of Health Services For Children Looked After & Safeguarding Policy CLAS

Mrs Davies gave a summary reminder of the CLAS Inspection in Feb 2015, outlining the activity undertaken to respond to the 24 recommendations.

Mrs Davies provided detail regarding the regular meetings with peer multi-agency challenge in respect of assuring the actions were fit for purpose and that the evidence provided was appropriate.

Key areas relate to the Voice of the child and Raising Aspirations, Perinatal mental health pathway, CAMHS and the National Picture and Local RDASH transformation plan – noted the CCG funding for additional resources for transition from CAMHS to adult services.

Further assurance regarding ongoing actions – further audits to be completed to be picked up at the Quality & Performance Contact meetings.

Members acknowledged the contents of the report

16/57 NHS England North Safeguarding Self-Assessment & Peer Challenge

Mrs Cassin presented the report. CCG officers attended the peer challenge which was described as thorough and challenging and Mrs Davies reported that the results were very positive. The team are planning to progress the actions and are confident that these will be achieved effectively.

Mr Barber noted that NHSE had rated us higher in some areas than we had self-assessed. Mrs Cassin gave assurance that areas assessed lower than our self-assessment would be progressed as part of the action plan.

Members acknowledged the contents of the report

16/58

CCG Commissioning Compliance Tool for Looked after Children and Care Leaver Health Services.

Mrs Davies presented the report and highlighted that there is an increase in the numbers of looked after children. She also highlighted that there appeared to be anomalies in some of the data sets across the different agencies which is being investigated.

Mr Barber asked how we make sure the actions are delivered – it was agreed that a report would be brought back in March 2017 with an update on progress.

**Mrs
Cassin**

Members acknowledged the contents of the report

16/59

NHS Rotherham CCG Safeguarding Children Supervision Policy

Mrs Davies presented the report and confirmed all continuing healthcare nurses, the safeguarding team and GP Leads for Safeguarding children will receive safeguarding children supervision as per the policy. Safeguarding children support is available for all CCG employees as required.

**Mrs
Cassin**

Members recommended that the policy is approved by Governing Body

SESSION D : INTERNAL AUDIT AND GOVERNANCE

16/60 Internal Audit:

a) Internal Audit Progress Report

Mrs Tudor presented the paper which identified progress made in relation to completion of work from the CCG's 2016/17 Internal Audit Plan.

Mrs Tudor highlighted that CCG colleagues have agreed that Terms of Reference for audit assignments will be shared with lay members of the AQuA Committee in line with their assigned areas of responsibility. Lay members noted this additional development and agreed it was good practice.

The progress report covered the work carried out during the period 1st April 2016 to 30th June 2016 and highlighted key message for the AQuA members attention, as follows;..

- The final report for performance management for A&E waiting times and IAPT has been issued and although this provides significant assurance, it includes recommendations around the sustainability of action plans. Follow up will be due in October 2016.
- As requested by the Deputy Chief Officer the Cyber Security assessment will be undertaken in September to allow the CCG time to address issues raised in the 360 Best Practice Paper.
- Two Information Papers have been issued on Cyber Security and

Three Lines of Defence.

- The next Audit and Governance workshop is scheduled for 26th September 2016 and will be a joint Commissioner and Provider workshop

Within Appendix B to the report, Mrs Tudor highlighted that the follow up recommendations shaded in grey were those that had been discussed and agreed between 360 Assurance and the CCG Lead. Subject to AQuA approval, these recommendations would be cleared for the next review period.

Mr Barber inquired if there was an audit brief for the Primary Care Quality audit at this stage. Mrs Tudor confirmed that there was and that the report would come back to AQuA and the Primary Care Sub Committee for review, following agreement with the Executive Lead.

The AQuA Committee was asked to:

- **Note** progress on delivery of plan
- **Note** key messages in respect of our Cyber Security paper and **confirm** agreement to deferring our assessment of the CCGs approach to September 2016 as requested by the CCG Executive Lead.
- **Agree** the on-going approach to review the CCG's Assurance Framework to support our Head of Internal Audit Opinion for 2016/17.

b) 2016-17 Head of Audit Opinion Terms of Reference

Mrs Tudor presented the HOIA terms of reference. Work will be undertaken in 4 stages across the financial year to provide an opportunity for early actions, should this be required.

This workstream would be managed in a proactive way (as in previous years) but would be accelerated as much as possible to respond to the increasing tightening of national deadlines.

c) Performance Monitoring of A&E and IAPT Services

Mrs Tudor presented the report which concluded that significant assurance is provided that the CCG's performance monitoring arrangements in respect of A&E and IAPT services are fit for purpose.

Members noted that a number of recommendations had been made around how some of the information and data could be used more effectively/proactively with a greater level of challenge. Going forward. In addition, the use of an action log approach to the escalation of key issues can be more effective than just providing minutes from meetings. This has been accepted by the teams.

Mr Barber considered the report and concluded that it did offer assurance to members that CCG officers had done all that was possible to optimise the outcomes acknowledging there are national issues on performance in these areas.

Mr Moss commented that the CCG could consider whether benchmarking is used more effectively to establish what is expected locally and whether the performance of providers is reasonable.

Dr Cullen commented that trend analysis from previous years would be valuable to the governing body performance report to enable members to have context of expected performance throughout the year.

Mr
Atkinson

Mr
Atkinson

d) Three Lines of Defence Summary

Mrs Tudor noted that the Three Lines of Defence model was used in support of the development of the IA plan for 2016/17. It has been suggested that this paper is shared within the wider CCG in order to promote better understanding of roles in the risk management process.

e) Cyber Security Briefing Paper

Following on from the previous benchmarking report, Mrs Tudor referred to the contents of this update paper and highlighted the increasing risks in this area.

16/61 Conflict of Interests Policy

Mrs Whittle presented the policy for review by members. She highlighted that the policy had been reviewed following the issuing of revised comprehensive national guidance and that many requirements were already being covered by the CCG such as a third lay member for delegated co-commissioning CCGs. Where there are new recommendations these have been included within the revised policy.

Mrs Whittle highlighted that the CCG's counter fraud officer recommended that a new paragraph be inserted regarding secondary employment:-

'As a general principle, permission from the CCG will need to be gained if there is any financial gain resulting from external work where use of RCCG time or title is involved (e.g. speaking at training events/conferences, writing articles etc) and/or which is connected with RCCG business. Permission needs to be granted by your appropriate Executive Officer (Chief Officer, Deputy Chief Officer or Chief Finance Officer)'

Dr Cullen raised the question of whether the issue of secondary employment is clear enough for GPs who are already undertaking

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secondary employment with the CCG – after discussion it was agreed that if individual employees were in any doubt to discuss with the Assistant Chief Officer or the Conflict of Interest guardian.

Mr Moss stated that the document was rather lengthy and could be confusing to individuals which may lead to complications around reporting and interpretation. This was acknowledged and assurance was given that full mandatory training would be provided for all staff and clarity provided in the areas most likely to be key conflicts.

Mrs Nutbrown

16/62 Whistle Blowing Policy

Mrs Whittle presented the report and highlighted that this was a review of an existing policy and added that the counter fraud officer had contributed to the policy.

Members recommended that the policy is approved by Governing Body

Mrs Nutbrown

16/63 Security Policy

Members agreed with the decision to approve the policy made by Governing Body in July.

Mrs Nutbrown

16/64 Fire Safety Policy

Mrs Nutbrown presented the policy and highlighted that this was a new policy which replaced the fire procedure for the organisation

Members recommended that the policy is approved by Governing Body

Mrs Nutbrown

16/65 2016/17 Training Plan (For Information)

Members acknowledged the contents of the report

16/66 Action plan for the review of the Audit & Quality Assurance Committee (AQuA) – November 2015 Workshop

Mr Barber led a discussion regarding the review of the AQuA Committee undertaken in November 2015. There were a number of recommendations for changes to some of the assurance governance structures in November and officers and members of AQuA considered the progress made and experiences over the previous six months.

Mrs Copley reminded members that the CCG were going to utilise KPMG's self-assessment benchmarking tool in the near future which would add value in terms of benchmarking with other organisations.

Members and officers concluded that the new arrangements were providing the appropriate support and governance to the corporate, finance and quality assurance processes.

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16/67 Risk Register / Assurance Framework

Mrs Firth presented the report and highlighted the following:

- No significant risks had been escalated from the previous update;
- Noted that a number of risks had been retired after OE had reviewed all those risks retired;
- A further review of the Risk register and the Assurance Framework is planned for when the new assistant Chief Officer is in post and that OE are keen to progress this work.

Mr Barber asked Mrs Tudor for a view of the report and process in the context of the four stages of the Head of Internal Audit opinion. Mrs Tudor was positive about the proposed review but stressed that any fundamental changes in format and presentation in the future would need to be robustly matched to the original report.

Members acknowledged the contents of the report and were assured that there had been a rigorous process undertaken in arriving at the amended risks.

SESSION E: FOR INFORMATION

16/68 Serious Incidents and Complaints Committee Draft Minutes dated 18 May 2016.

Received and noted for information. Nothing for escalation

16/69 TRFT contract quality meeting minutes dated 29th June 2016.

Received and noted for information. Nothing for escalation.

16/70 Information Governance Meeting Minutes dated 20th May 2016.

Received and noted for information. Nothing for escalation.

16/71 Clinical Commissioning Group Governing Body Draft Minutes dated 1st June 2016 and 6th July 2016.

Received and noted for information. Nothing for escalation.

16/72 Health Protection Committee Minutes 15th April 2016

Received and noted for information. Nothing for escalation.

SESSION F : ADMINISTRATION

16/73 Other Business

Mrs Firth tabled a letter confirming full compliance of the CCG's treatment of VAT. This was noted by the members as a positive outcome.

16/74 Issues for escalation to Governing Body

Members wished to highlight the significant assurance received on

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safeguarding and looked after children from the content, outcome and quality of the various papers reviewed.

16/75 Forward Planner (*for information*)

Nothing to note

16/76 Future Meetings (*For information*):

- 23 September 2016
- 25 November 2016

16/77 2017 Meetings for Approval

- 20th January 2017
- 17th March 2017
- 19th May 2017 and/or 26th May 2017 [tbc]
- 14th July 2017
- 15th September 2017
- 17th November 2017