

NORTH EAST LINCOLNSHIRE CLINICAL COMMISSIONING GROUP INTEGRATED GOVERNANCE & AUDIT COMMITTEE

ACTION NOTES OF THE MEETING HELD ON 04/09/2020 AT 09:00AM

MEMBERS PRESENT:

Tim Render – Chair and Governing Body Lay Member
Cllr Margaret Cracknell – Union Board NELC Member
Philip Bond – Governing Body Lay Member
Joe Warner - Chief Executive focus (Adult Social Care representative)

ATTENDEES PRESENT:

Laura Whitton – Chief Finance Officer
Rob Walker – Mazars
Peter Hanmer – NELC (Audit)
Carl Best – Audit One
Claire Stocks – Governance Assurance Officer
Karen Stamp – Minute Taker

APOLOGIES:

Dr Karin Severin – GP Member
Debbie Baker – NELC Audit
Mark Kirkham- Mazars
David Walker – Governing Body Lay Member

1 APOLOGIES RECEIVED

Noted above

2 DECLARATIONS OF INTEREST

Members to declare any individual or Practice interests that are likely to lead to a conflict or potential conflict that could impact (or have the potential to impact) on any items on the agenda. This should be repeated again at individual item(s) where it is considered a conflict is likely to or could potentially arise.

There were no declarations of interest recorded.

3 CREATING MORE FOCUSED, EFFECTIVE MEETINGS

Tim Render presented details of the new approach that has been agreed to create more focussed, effective meetings. This includes a new format Coversheet and items will go to Committees for either Decision, Discussion Assurance or Information. It is intended that information items will not be discussed unless anyone raises any queries or issues in advance of the meeting Agenda being circulated. Joe Warner highlighted the risk of Information items slipping back into the discussion category over time and the need to keep a check on this, to ensure the agenda stays focussed.

ACTION: All to use the new Coversheet for future meetings and to any forward reports to Karen Stamp for circulating as and when they are ready in advance of the next meeting in December.

4 APPROVAL OF PREVIOUS MINUTES

The minutes of the meeting that took place on 22 June 2020 were approved as a true and accurate record.

5 ACTION TRACKER / MATTERS ARISING

All actions were noted as completed, Tim Render asked if the Capita Report could be shared with members of this Committee under the strict instruction it is not to be shared any further and is in confidence.

ACTION: Laura Whitton agreed to Circulate this to members.

6 TERMS OF REFERENCE

Laura Whitton presented the updated Terms of Reference noting the new standardised template which has been created. The paper was taken as read and the changes were highlighted in yellow for ease of reference. The following points were drawn to the committees attention:-

- There is a sentence included twice, it was suggested it is removed from section 6 and kept in section 8 to fit in-line with the new template.
- Any changes to the Integrated Governance and Audit Committee membership must be approved by the CCG Governing Body as a statutory requirement the Governing Body approve the membership for IG&A and Remuneration Committee.
- It was agreed by members to keep the quoracy at 2 voting members.
- As the Delivery Assurance Committee has been disbanded some of those assurances will now come to this Committee and some have gone to the Operational Leadership Team.

Phillip Bond queried if the terms of reference should state specifically that Lay Members cannot send a deputy on their behalf?

It was noted that there is now a named Vice Chair and that it was proposed that this is Phillip. This was supported by the Committee noting that his term of office as a Lay Member of the CCG is up in March.

Tim Render indicated that given the enhanced Delivery Assurance Role assurance role of the Committee going forward the Performance report needs to be a deep dive discussion item at the December meeting.

ACTION: Karen Stamp to include on Agenda.

ACTION: Laura Whitton and Claire Stocks to make amendments and send to Governing Body for approval.

7 POLICIES FOR RATIFICATION

The Access to Learning and Development (incorporating the Professional Studies Policy) was ratified.

8 STANDING ORDER WAIVERS

None to report

9 INTERNAL AUDIT PROCUREMENT

Laura Whitton informed the committee that the procurement has now been concluded.

The paperwork was issued on 08 June with a deadline for the receipt of Tenders of the 03 July. Tenders were evaluated during July and bidders were notified on 20 August in readiness for the contract starting on 01 October. There were two tenders received and the evaluation was by representatives from each of the 5 organisations (4 Humber CCGs and Humber Foundation Trust). Laura and Lynne Popplewell were on the panel for NEL CCG. The tender documents reflected the need for bidders to ensure cost of services and the number of days included in the audit and fraud programme were in line with similar organisations elsewhere. The contract has been awarded to Audit Yorkshire, and Laura is awaiting an introductory meeting with them. Planning is underway to transfer services to them from 1st October.

Carl Best confirmed he has meetings scheduled to start handing over and discussions for the transfer of 3 members of staff via TUPE are taking place. Tim Render expressed his thanks to Carl and his team on behalf of the CCG.

Peter Hanmer confirmed NELC(Audit) have taken this opportunity to tweak the Adult Social Care audits and Laura added that Peter will be involved in the introductory meetings with Audit Yorkshire. An introductory meeting will also be arranged with Tim.

10 FOCUSSED RISK AREA:

Revised Decision Making via Covid Risk Committee. NHSE decisions

Laura Whitton gave a presentation to members around the revised decision making during the first stages of the Covid 19 pandemic response. During the period April to August, the CCG made a conscious decision to free up management resources to deal with the pandemic in line with government guidance, moving to virtual meetings etc.

The following key points were drawn to the committees attention:-

- Formal Committees, other than the Governing Body, were stopped with Virtual decision making or Chairs actions taking place. A Risk Committee was established, meeting weekly up to August and then moving to fortnightly.
- The Risk Committee, looked at decisions, raised challenge where required and endorsed decisions. The Membership was CCG Chair, 2 Governing Body Lay Members, Joint Chief Executive, Accountable Officer and Chief Finance Officer. The minutes were circulated to all members of the Governing Body.
- It was felt that immediacy of information flows worked really well rather than waiting for a committee.
- Standing agenda items included a Decision Log (with 27 decisions being made in the period), an Epidemiology Report from public health , Covid Case tracking report looking at hospital capacity and Care Homes, an NELC Update and an Area for discussion eg. care home testing.
- Committee meetings are restarting now.

Tim Render fed back that the arrangements worked really well and as a Lay member some of the discussions between Clinical and Lay members were really excellent for getting a better understanding clinically and the wider CCG priorities – Epidemiology reports were very informative.

Phillip Bond also stated that the safety issues were still being addressed in the Clinical System Oversight Group whilst the Clinical Governance Committee was paused, this group was also slimmed down and very useful, with clinical input.

Phillip Bond also felt that this period has shown how much time can be saved in staff travelling time to all these various Committees.

11 BOARD ASSURANCE FRAMEWORK

The paper was taken as read, Claire Stocks informed that the report has not been presented since March as the previous two Committees were focussed on the annual report and the annual accounts. As members would expect, there has been a lot of activity in the current climate of Covid19 with understandably a lot of the risks linked to finance and performance due to Covid19 and also the effect on some of our long term risks.

Tim Render indicated that clearly a lot has taken place over the last few months, and felt that the planned session on risk management needs to take place sooner rather than later, there were also a few things mentioned in the report that Tim would want to discuss further to understand. It was agreed that a separate meeting with Claire Stocks would be arranged to discuss.

It was noted that whilst COVID has meant a relaxation to some of the performance targets, the committee wanted assurance that the risk register reflected the impact on the populations and their health.

Claire Stocks explained that the CCG is looking to update the register so as to show the links between risks and delivery of the CCGs strategic objectives once that is completed then a deep dive discussion at a future Audit Committee was felt to be worthwhile. The high level strategic BAF needs to be reviewed to ensure that the wider impacts of Covid 19 are reflected. Laura Whitton indicated that it could then go to a Governing Body workshop.

Members noted that there is a regional risk management workshop taking place next Friday so we may have more idea how it will be taken forward.

ACTION: Claire Stocks to arrange a meeting with Tim Render

12 NEL CCG ANNUAL AUDIT LETTER 19-20 FINAL

Rob Walker informed the committee that this letter, which was taken as read, is the final piece of last years audit, and builds on signing off the accounts, it is however a requirement of code of practice and a public facing document to be added to NEL CCG website.

Please note: These minutes were approved as final at the meeting held on 07/12/2020

Members noted that next year could be different as guidance has changed, but members will be updated further as it becomes available. The VFM consultation has gone out and includes giving judgements rather than an exception basis, which is more positive, but need to know what will be key evidence. Tim Render took this opportunity to Thank everyone for their hard work in difficult circumstances.

Items sent to members for information as part of the Agenda but not discussed at this meeting were:

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| 13. | External Audit update |
| 14. | a) Internal Audit & b) Counter Fraud Update |
| 15. | Finance Report (quarterly) – to include Aged Debt Report |
| 16. | Performance Report (quarterly) |
| 17. | Schedule of Virtual Decisions |
| 18. | Hospitality Sponsorship |
| 19. | Independent Assurance Reports a) NHSLA Assessment (Claims) Report b) Findings of any Ombudsman Investigation in relation to the CCG or its services c) Determination of any Tribunal held in relation to the CCG |
| 20 a 20 b | Sub Committee Minutes (A & IG) - Information Governance (Feb and May) - Finance Assurance Sub Group |

21 ITEMS FOR ESCALATION TO THE BOARD

Tim Render indicated that not an escalation as such but on the back of work Claire Stocks has done, he will highlight to the Governing Body that we will be taking forward another look at achieving strategic risk management and making the system work better.

22 ANY OTHER BUSINESS

Nothing raised

Date and Time of Next Full Meeting:

Please note change of date: Monday 7th December Time: 10.00 – 12.00 Venue: TBC/Virtual