



Wiltshire

Clinical Commissioning Group

**FINAL MINUTES OF WILTSHIRE AUDIT AND ASSURANCE COMMITTEE MEETING  
HELD ON TUESDAY, 12 JANUARY 2016 AT 09:30  
AT SOUTHGATE HOUSE, DEVIZES**

**Present:**

Peter Lucas	PL	Chair, Lay Member
Christine Reid	CR	Vice Chair, Lay Member
Dr Anna Collings	AC	GP Vice Chair, NEW

**In Attendance:**

Simon Truelove	STr	Chief Financial Officer
David Noyes	DJN	Director of Planning, Performance and Corporate Services
Jonathan Brown	JB	External audit, KPMG
Lynne Baber	LB	Internal audit, PwC
Natalie Tarr	NT	Internal audit, PwC
Tracey Spragg	TS	Counter Fraud Specialist
Paul Travers	PT	Security Management Specialist
Susannah Long	SL	Governance and Risk Manager
Diana Hargreaves	DJH	Board Administrator

**Apologies:**

Mark Smithies	MS	Secondary Care Doctor
---------------	----	-----------------------

Item Number	Item	Action
AAC/16/01/01	<p><b>Welcome and apologies for absence</b></p> <p>PL welcomed everybody to the meeting noting the apology above.</p>	
AAC/16/01/02	<p><b>Declarations of Interest</b></p> <p>Members were reminded of their obligation to declare any interest they may have on any issues arising at the meeting which might conflict with the business of Wiltshire CCG.</p>	
AAC/16/01/03	<p><b>Previous Minutes</b></p> <p>Audit and Assurance Committee meeting held 10 November 2015.</p> <p><b>The minutes were agreed as an accurate record.</b></p>	
AAC/16/01/04	<p><b>Matters Arising</b></p> <p><b>AAC/15/11/07</b> CR was informed that there was still no resolution to the dispute mentioned on P3, 11<sup>th</sup> bullet point.</p> <p><b>AAC/15/11/13</b> STr informed the Committee that the Lead Provider</p>	

	Framework had been delayed and the CCG had negotiated a year's extension with the CSU, which had been secured but not yet signed.	
<b>AAC/16/01/05</b>	<p><b>Action Tracker</b></p> <p><b>AAC/15/01/05</b> - Internal Audit gave a verbal briefing on the draft findings of the BCF audit. It was agreed that, as Audit Chair, PL would write to WC's Finance Director to arrange a meeting with the CCG, WC and PwC. <b>COMPLETE.</b></p> <p><b>AAC/15/09/06</b> - Would be discussed as part of the Internal Audit Progress Report. <b>COMPLETE.</b></p> <p><b>AAC/15/09/11</b> - An amended Finance and Performance Committee Terms of Reference was in place. <b>COMPLETE.</b></p> <p><b>AAC/15/09/13</b> - DJN said that the assurance process was changing and the assurance framework from NHS England was not yet ready. <b>COMPLETE.</b></p> <p><b>AAC/15/09/14</b> - <b>COMPLETE.</b></p> <p><b>AAC/15/09/17</b> - Is in the report. <b>COMPLETE.</b></p> <p><b>AAC/15/11/14</b> - SL said the first bullet was incorrect and the score of C – 14/035 would not be adjusted. <b>COMPLETE.</b></p>	<b>PL</b>
	<b>ITEMS FOR DECISION</b>	
<b>AAC/16/01/06</b>	<p><b>Agreement of Final Accounts Timetable and Plans</b></p> <p>The Committee received the report and agreed the Final Accounts Timetable and Plans.</p>	
<b>AAC/16/01/07</b>	<p><b>Health and Safety Policy</b></p> <p>Changes had been highlighted in green and all were accepted.</p> <p>The Committee received the report and agreed to recommend the Health and Safety Policy to the Governing Body for approval.</p>	
<b>AAC/16/01/08</b>	<p><b>Learning and Development Policy</b></p> <p>Changes had been highlighted in green and all were accepted.</p> <p>The Committee received the report and approved the Learning and Development Policy.</p>	
<b>AAC/16/01/09</b>	<p><b>Vexatious Applicants Policy</b></p> <p>The Committee received the report and approved the Vexatious Applicants Policy.</p>	
<b>AAC/16/01/10</b>	<p><b>Sickness Absence Policy</b></p> <p>Changes had been highlighted using tracked changes and all were accepted.</p> <p>The Committee received the report and approved the Sickness Absence Policy.</p>	
<b>AAC/16/01/11</b>	<b>Shared Parental Leave Policy</b>	

	<b>The Committee received the report and approved the Shared Parental Leave Policy.</b>	
	<b>ITEMS FOR DISCUSSION</b>	
<b>AAC/16/01/12</b>	<p><b>AAC Self-Assessment Checklist</b></p> <p>PL explained to the Members that there had not been the opportunity to meet to discuss the Checklist. This would be an agenda item on the next AAC meeting in March.</p>	
<b>AAC/16/01/13</b>	<p><b>Internal Audit Progress Report 15/16</b></p> <p>LB presented the report, drawing Members' attention to the 2016/17 Internal Audit plan and asking for comments on the areas for review, following a discussion with CCG management.</p> <p>The Members agreed that Clinical leadership was a good area and would be welcomed by clinicians if communicated correctly. AC offered to meet with PwC to discuss this further.</p> <p>CR suggested adding public engagement within stakeholder engagement area.</p> <p>From the Other review areas, Members favoured:</p> <ul style="list-style-type: none"> <li>• Corporate Governance</li> <li>• Partnership working</li> <li>• Clinical Governance</li> </ul> <p>It was agreed that it would be useful to do some auditing of the commissioning of Children's and Adult Community contracts once the new contracts had been mobilised.</p> <p>Under progress of work to date, DJN said that he would like assistance in getting the Legal Framework in place and would therefore request additional days be attributed to this assignment.</p> <p><b>The Committee received and discussed the report.</b></p>	<p><b>AC</b></p> <p><b>PwC</b></p>
<b>AAC/16/01/14</b>	<p><b>Internal Audit Tracker 15/16</b></p> <p>NT presented the report updating Members on all outstanding internal audit recommendations reported in the tracker.</p> <p>CR was concerned about the number of incomplete actions from as far back as 2013/14. These related to Business Continuity planning and were reliant on the engagement of Property Services which was not forthcoming.</p> <p>Members requested that additional information be pulled into the summary sheet, which gave a more detailed picture of the level of risk around the outstanding issues.</p> <p>DJN reassured Members that ongoing work in the areas of Continuing Healthcare and Clinical Governance would reduce the outstanding actions.</p>	<b>PwC</b>

	<b>The Committee received and discussed the report.</b>	
<b>AAC/16/01/15</b>	<p><b>Medicines Management Internal Audit Report</b></p> <p>NT introduced the report on Medicines Management that had been rated as medium risk overall with no high risk rated findings.</p> <p>STr said that the growth in prescribing over the last 4 years could be directly tracked back to the abolition of the prescribing incentive scheme, adding that more could be done around peer challenge in relation to growth in prescribing. The Medicines Management team was doing an excellent job and would continue to be supported in a very difficult environment.</p> <p><b>The Committee received and discussed the report.</b></p>	
<b>AAC/16/01/16</b>	<p><b>Information Technology (IT) Expenditure Internal Audit Report</b></p> <p>NT presented the report on IT Expenditure that had also been rated as medium risk overall with no high risk rated findings. No significant concerns.</p> <p><b>The Committee received the report.</b></p>	
<b>AAC/16/01/17</b>	<p><b>External Audit Technical Update</b></p> <p>JB introduced the report setting out the summary of External Audit work to be completed over the next quarter and providing an update on key technical issues arising since the last AAC meeting.</p> <p><b>The Committee received the report.</b></p>	
<b>AAC/16/01/18</b>	<p><b>Review Board Assurance Framework (BAF) and Risk Register (RR)</b></p> <p>SL presented the BAF and RR, stating that the RR now records the overseeing/managing committee for each risk.</p> <p>The Committee discussed the Top 10 risks and agreed to ask Jo Cullen, at the next Governing Body meeting, the rationale behind Winter planning coming in at number 7.</p> <p><i>(AC left the meeting at 11:00hrs)</i></p> <p><b>The Committee received and discussed the BAF and RR and agreed to recommend the Top 10 risks to the Governing Body.</b></p>	<b>CR/PL</b>
<b>AAC/16/01/19</b>	<p><b>Security Management Services Progress Report 15/16</b></p> <p>PT presented the report, summarising the work carried out against the workplan between 23 October and 31 December 2015. Members thanked PT for the clear and concise report.</p> <p>DJN informed Members that he had met with Dorset HealthCare to discuss the transfer arrangements to TIAA.</p>	

	<b>The Committee received and discussed the report.</b>	
<b>AAC/16/01/20</b>	<p><b>Local Counter Fraud Progress Report 2015/16</b></p> <p>TS introduced the report, updating the Committee on activity for April – December 2015. Under Key Issues Arising – Counter Fraud Standards for Commissioners on page 3, TS said that, since the report, Virgin Care had a fraud risk assessment in place, as part of their contract.</p> <p>The benchmarking of Economic Crime Pattern Analysis was done against TIAA's client database, showing a similar pattern across the NHS, with WCCG not standing out as an outlier.</p> <p><b>The Committee received and discussed the report.</b></p>	
	<b>ITEMS FOR NOTING</b>	
<b>AAC/16/01/21</b>	<p><b>Emergency Preparedness, Resilience and Response (EPRR) Assurance</b></p> <p>DJN introduced the report outlining the assurance provided to NHSE about the CCG's EPRR arrangements and continuing work programme.</p> <p><b>The Committee received and noted the report.</b></p>	
<b>AAC/16/01/22</b>	<p><b>Information Governance Group meeting minutes</b></p> <p><b>The Committee received and noted the minutes.</b></p>	
<b>AAC/16/01/23</b>	<p><b>Aged Debtors and Creditors Report</b></p> <p>STr took Members through the CCG's receivable and payable position.</p> <p><b>The Committee received and noted the report.</b></p>	
<b>AAC/16/01/24</b>	<p><b>Losses and Special Payments Report</b></p> <p><b>None.</b></p>	
<b>AAC/16/01/25</b>	<p><b>Competitive Tender Waivers</b></p> <p>STr explained that the waiver covered the temporary appointment of Bob Deans from Attain and that the CCG had sought approval from NHSE to recruit to the post, to which they had agreed. It was decided that, in future, it would be good practice for the Chair of the AAC to ratify any waivers when they came up, rather than waiting for the next AAC meeting.</p> <p><b>The Committee received and noted the waiver.</b></p>	
<b>AAC/16/01/26</b>	<p><b>External Audit Procurement Update</b></p> <p><b>The Committee received and noted the report.</b></p>	
<b>AAC/16/01/27</b>	<b>Any Other Business</b>	

	There was no further business discussed and the meeting closed at 11:22hrs.	
--	---	--

**ITEMS FOR INFORMATION - The following papers are for information only and will not be discussed at the meeting. Printed copies can be made available to members. Should you have any questions regarding any of the papers, please contact the author.**

**Date of next Audit and Assurance Committee Meeting: 15 March 2016 09:30 – 11:30hrs**