

**MINUTES OF WILTSHIRE AUDIT AND ASSURANCE COMMITTEE MEETING
HELD ON TUESDAY, 13 JANUARY 2015 AT 09:30
AT SOUTHGATE HOUSE, DEVIZES**

Present:

Peter Lucas	PL	Chair, Lay Member
Christine Reid	CR	Vice Chair, Lay Member
Dr Mark Smithies	MS	Secondary Care Doctor
Mary Monnington	MM	Registered Nurse Member

In Attendance:

Simon Truelove	STr	Chief Financial Officer
Dr Anna Collings	AC	GP Vice Chair, NEW
David Noyes	DJN	Director of Planning, Performance and Corporate Services
Lynn Pamment	LP	Internal audit, PwC
Duncan Laird	DL	External audit, KPMG
Jonathan Brown	JB	External audit, KPMG
Tracey Spragg	TS	Local Counter Fraud
Paul Travers	PT	Security Management Specialist
Susannah Long	SL	Governance and Risk Manager
Diana Hargreaves	DJH	Board Administrator

Apologies:

Paul Dalton	PD	Internal audit, PwC
Steve Perkins	SP	Deputy Chief Financial Officer

Item Number	Item	
AAC/15/01/01	<p>Welcome and apologies for absence</p> <p>PL welcomed everybody to the meeting, wishing them a Happy New Year and noting the apologies above.</p>	
AAC/15/01/02	<p>Declarations of Interest</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> <p>There were none declared.</p>	
AAC/15/01/03	<p>Previous Minutes</p> <p>Page 3 2nd para – initials should be DF and not DL.</p> <p>The minutes were agreed as an accurate record taking note of the amendment above.</p>	

FINAL RATIFIED MINUTES

<p>AAC/15/01/04</p>	<p>Matters Arising</p> <ul style="list-style-type: none"> • DF assurance letter and response <p>PL explained why the Committee had requested attendance by DF and the Groups' GP representatives at the last meeting. After DF had presented to the Committee, she asked if Members were assured by the content of her presentation and the attached letter and response are for noting.</p>	
<p>AAC/15/01/05</p>	<p>Action Tracker</p> <p>AAC/14/11/04 STr explained that the report on the 100-Day challenge would have given the assurance the Committee required but it was not yet ready: however, this would be sent to Members in the coming weeks. Progress against targets for the BCF would be reported in the IPR. CR asked why there was a delay in the report being ready to which STr responded that difficult messages needed to be tailored to different audiences. It will be an agenda item on the public session of the Governing Body but needs to go through other committees first.</p> <p>STr stated that the Committee needed to focus on ensuring that there was more rigour and accountability re delivery of projects so that we were clear about the return on investment. In the same way that the Directors were asked before the Committee to offer assurance re risk in their directorates, they could be asked to report on progress against delivery of programmes and projects. In the first instance, RH will be asked to attend, to answer some of the questions around PMO. COMPLETE – on agenda for March.</p> <p>CR was concerned about the CCG's inability to be able to audit the joint projects with the Council. PwC will use some of the 14/15 contingency days to review at a high level and bring these findings to the March AAC. Ongoing issue.</p> <p>14/11/09 Yes. COMPLETE.</p> <p>14/11/10 DJN continues to challenge. Ongoing issue.</p> <p>14/11/11 It was decided to come back to this as the Communications Team were currently in flux. Expected completion date will be May. Update on action tracker.</p> <p>14/11/13 KPMG stated that there was inconsistency around this issue throughout the country and this has been raised up the chain. STr reported that £1.2m had been refunded to CHC but there were still significant pressures and the position in respect to our control total was difficult. There were different messages flowing through from the centre and STr questioned when the CCG should start ringing alarm bells. There was pressure put on STr and the organisation to put together a recovery plan even though we are not in financial deficit and this position will assist us next year: the recovery plan will be shared with the AAC once it has been through the Finance Committee.</p> <p>Members discussed the best method of supporting STr and the issue could be raised with NHSE at the next assurance meeting. PL will also raise it at the Audit Committee Chairs' meeting on 24</p>	<p>STr</p> <p>DJH</p> <p>PwC</p> <p>DJH</p> <p>STr</p> <p>PL</p>

FINAL RATIFIED MINUTES

	February.	
	ITEMS FOR DECISION	
AAC/15/01/06	<p>Agreement of final accounts timetable and plans</p> <p>STr introduced the report setting out the planned year-end closedown process to be used for the CCG's annual accounts, which had been prepared by Ian Loveys, Financial Accountant and who was an excellent asset to the CCG.</p> <p>The draft External Audit plan for the 2014/15 audit will be circulated to Members by email and agreed at the March AAC meeting.</p> <p>The AAC meetings will need to link into the draft and final accounts' submission dates.</p> <p>The Committee received and agreed the timetable and plans.</p>	KPMG
AAC/15/01/07	<p>Health and Safety Policy</p> <p>SL introduced the report explaining that the minor amendments appear in green text within the policy. MM suggested that the CCG Competent Person described on p7 should be named at this point in the policy. SL to amend. COMPLETE.</p> <p>The Committee received and recommended the policy to the GB for approval, with the amendment noted above.</p>	SL
AAC/15/01/08	<p>Records Management Strategy</p> <p>STr introduced the report setting out the practical steps for the CCG to take to deliver improved compliance with the Records Management Policy.</p> <p>MM said that under 3.0 Detailed Strategy – 'its' rather than 'our' and 'the CCG must or will' rather than 'shall'. SL to amend. COMPLETE.</p> <p>The Committee received and recommended the strategy to the GB for approval, with the amendments noted above.</p>	SL
	ITEMS FOR DISCUSSION	
AAC/15/01/09	<p>AAC Self-assessment Checklist</p> <p>PL stated that not all the actions had been completed in the Self-assessment Checklist Action plan and the Lay Members will go through this at a meeting later today and report back to the next AAC meeting.</p>	PL
AAC/15/01/10	<p>Internal Audit Progress Report 2014/15</p> <p>LP introduced the report setting out the progress made against the internal audit plan for 2014/15 and pointing out that there were 10 contingency days still remaining.</p>	

FINAL RATIFIED MINUTES

	<p>The Committee received the report.</p>	
AAC/15/01/11	<p>Internal Audit Tracker</p> <p>LP introduced the report stating that PwC were waiting for further information and that a more comprehensive version would be brought to the March meeting: the formatting also needs sorting out as it is too difficult to read.</p> <p>The Committee received the report.</p>	PwC
AAC/15/01/12	<p>Local Counter Fraud Progress Report 2014/15</p> <p>TS presented the report providing information on progress with the Counter Fraud work programme for 2014/15 and commented on the ongoing enquiries and cases which would be reported on in future AAC meetings.</p> <p>In response to a question asking whether the perpetrators remain on a list once the enquiries have been closed, TS replied saying that there was a process in place to alert other areas, if it is known that the individual is moving to that area.</p> <p>TS informed Members that the Information Commissioners' Office, who are responsible for the enforcement of the Data Protection Act 1998 and also for Freedom of Information, will be given new powers from the end of February around monitoring compliance with the Data Protection Act for NHS organisations. SL added that CCG was currently under investigation by the ICO in regard to the handling of a subject access request.</p> <p>STr thanked TS for providing continuous support to the CCG during a seamless transfer to TIAA, and STr had articulated the CCG's satisfaction to TS's manager. The promotion of counter fraud within the organisation has meant that some of TS's work has come about through whistle-blowing which STr said was encouraging.</p> <p>The Committee received and discussed the report.</p>	
AAC/15/01/13	<p>External Audit Technical Update 2014/15</p> <p>DL presented the report providing an update on key technical issues that have occurred since the last update in November 2014.</p> <p>STr picked out some of the key messages:</p> <ul style="list-style-type: none"> • Planning guidance for 2015/16 – the CCG has a ring-fenced investment of £1.8m for additional mental health services • Allocation of resources – NHSE have agreed an allocation for 15/16 on a sliding scale and Wiltshire has benefited well from this with an extra £13.5m • The net increase in allocation will mean that the QIPP requirement is £11m in 15/16 which is better than the 	

FINAL RATIFIED MINUTES

	<p>£20m expected before the extra allocation</p> <ul style="list-style-type: none"> • Primary Care Co-commissioning – the CCG’s preferred option is to put in an expression of interest for joint commissioning • Commissioning Support Unit – received notification last week from Suzanne Tewkesbury that the CSCSU will be merging with SW CSU and South Coast CSU. The CSCSU is working through with us the consequences of the merger, in the way services are provided. There are still many issues with the CSCSU, although it is less of a concern than it was, and the continuity of staff is one of the biggest concerns for them. The HR team has provided excellent support to the CCG with some very difficult issues <p>The Committee received and discussed the report.</p>	
<p>AAC/15/01/14</p>	<p>Security Management Services Progress Report 2014/15</p> <p>PT introduced the report summarising the work carried out against the workplan and explaining that the piece of work on obtaining assurance that providers had the required standards in place was ongoing as PT had been unable to get the information from the CSU.</p> <p>The Committee received the report.</p>	
<p>AAC/15/01/15</p>	<p>Review Board Assurance Framework and Risk Register</p> <p>SL presented the BAF which was agreed by the Members.</p> <p>Members were concerned that the DToC risk (W-13/036) had first appeared on the RR on 02/10/13 and that it still had not been sorted in 18 months. Members questioned whether, as a CCG, there was enough challenge to the risks that were on the RR. As this was a key risk around patient safety and quality of service, and had been discussed on numerous previous occasions, Members decided to raise this at the Governing Body meeting later this month. It was identified that the Ambleside risk (N-14/017) was linked to the risk described above and so the two risks would be amalgamated. COMPLETE. Members asked SL to track back these two risks. COMPLETE.</p> <p>The Committee agreed that it would be helpful to track the risks on the RR for future meetings.</p> <p>STr reminded Members that the AAC was required to provide assurance to the GB that the CCG was dealing with the risks on the RR: and so it was important to think about which messages should be articulated to the GB.</p> <p>AC said that GPs did not feel that the impact of the 111 service had reduced so the risk should not have been decreased. The score had gone down because of local mitigation but there was no evidence for whether or not the local provider was performing. AC went on to say that there were two issues – one was providers</p>	<p>SL SL</p> <p>SL</p>

FINAL RATIFIED MINUTES

	<p>not performing and the other was that the 111 service in itself was flawed. Although some Members did not believe that there was anything that could be done about the latter, as it was a national mandate, nonetheless AC will raise the issue at the next GB meeting.</p> <p>The Committee received and discussed the report.</p>	
	ITEMS FOR NOTING	
AAC/15/01/16	<p>Information Governance (IG) Group Minutes and IG action plan – November 2014</p> <p>SL reported that, as of yesterday afternoon, there were no outstanding FOIs which was the first time that she had experienced such a situation since 2005, when the FOI Act came into force.</p> <p>P1 of the minutes – the titles of individuals had dropped down. SL to amend. COMPLETE.</p> <p>The Committee received and noted the report.</p>	SL
AAC/15/01/17	<p>Aged Debtors and Creditors Report</p> <p>STr reported that the RUH issues have now been resolved: and ‘others’ related to specialist commissioning and the CCG had been charged inappropriately.</p> <p>The Committee received and noted the report.</p>	
AAC/15/01/18	<p>Losses and Special Payments Report</p> <p>None to report.</p>	
AAC/15/01/19	<p>Competitive Tender Waivers</p> <p>None to report.</p>	
AAC/15/01/20	<p>Any Other Business</p> <p>PL suggested that the AAC needed to meet to review the Annual Report information before the submission of the draft accounts: there is a GB seminar scheduled for 21 April from 10:00 – 12:30hrs so the AAC (apart from PT and TS) could meet then, either before or after the seminar.</p>	

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: 10 March 2015 09:30 – 11:30hrs