

**MINUTES OF WILTSHIRE AUDIT AND ASSURANCE COMMITTEE MEETING  
HELD ON TUESDAY, 7 JULY 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
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
Duncan Laird	DL	External audit, KPMG
Lynn Pamment	LP	Internal audit, PwC
Susannah Long	SL	Governance and Risk Manager
Diana Hargreaves	DJH	Board Administrator

**Apologies:**

Natalie Tarr	NT	Internal audit, PwC
Paul Travers	PT	Security Management Specialist
Steve Perkins	SP	Deputy Chief Financial Officer

Item Number	Item	Action
AAC/15/07/01	<p><b>Welcome and apologies for absence</b></p> <p>PL welcomed everybody to the meeting noting the apologies above.</p>	
AAC/15/07/02	<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> <p><b>There were none declared.</b></p>	
AAC/15/07/03	<p><b>Previous Minutes</b></p> <p>AAC meeting held 12 May 2015.</p> <p><b>The minutes were agreed as an accurate record.</b></p>	
AAC/15/07/04	<p><b>Matters Arising</b></p> <p><b>AAC/15/05/06</b> – The suggestion that case studies from other CSUs</p>	

	could be offered proactively across the SCWCSU patch to establish best practice, had not yet been taken up.	
<b>AAC/15/07/05</b>	<p>Action Tracker</p> <ul style="list-style-type: none"> <li>• <b>AACex/15/04/07</b> - STr explained that HMRC rules state that GPs have to disclose that they are paying the correct amount of tax; the CCG is offering new GPs the opportunity to come onto the pay roll which makes it easier to abide by HMRC rules. STr will take a paper about reimbursement of GPs through the next Remuneration Committee meeting. A further control imposed from NHSE states that CCGs are not permitted to spend over £50k on consultancy, without NHSE approval. A third control means that CCGs need to declare and gain approval for any employees paid over the amount of the PM's salary of £142,500. <b>COMPLETE.</b></li> </ul> <p>PL spoke for several Members who were unaware of how GPs are compensated and requested some training on this subject.</p> <p><i>AC joined the meeting at 09:40hrs</i></p> <ul style="list-style-type: none"> <li>• <b>AAC/15/01/05</b> - STr had asked Wiltshire Council about the internal audit work being done on the Better Care Fund and had agreed with PwC an initial allocation of 5 days: however, the JCB had approved a further 10 days, making a total of 15 days, 10 days to be funded through the BCF and 5 days from the CCG. This will enable PwC to carry out a rigorous audit of the BCF in the early part of Q3. <b>COMPLETE.</b></li> <li>• <b>AAC/15/01/15</b> - SL explained that the CSU RR was not workable and was too difficult to use. DJN and SL have looked in detail at the RR and the new format means that some of the columns have been hidden, which will improve its readability. <b>COMPLETE.</b></li> <li>• <b>AAC/15/05/16</b> – The Counter Fraud survey had identified that whistle-blowing was an issue for staff and SL had produced a piece published in '14 Days'. <b>COMPLETE.</b></li> </ul>	<p><b>STr</b></p> <p><b>STr/SP</b></p>
	<b>ITEMS FOR DECISION</b>	
<b>AAC/15/07/06</b>	<p><b>Revised Internal Audit Plan 2015/16</b></p> <p>LP introduced the paper which included the Audit Universe and Risk Assessment, Annual Plan and timeline and Key Performance Indicators.</p> <p>Whilst the Finance Director at Wiltshire Council had approved the BCF audit, James Cawley, the budget holder had yet to agree to it, although not to approve the audit would be to contravene Section 75 of the Act.</p> <p><b>The Committee received and approved the final Internal Audit Plan.</b></p>	
<b>AAC/15/07/07</b>	<b>Standards of Business Conduct Policy</b>	

	<p>SL presented the paper with the updated policy detailing the expectations regarding standards of business conduct for the CCG, including the management of conflicts of interest, gifts and hospitality and sponsorship.</p> <p>Members commented:</p> <ul style="list-style-type: none"> <li>• The CCG Terms and Conditions require all staff to declare any conflicts of interest and the Register of Interests is made public</li> <li>• The CCG expects all employees to be honest and open about their declarations</li> <li>• The point at which commissioning decisions are made is the point where any conflicts need to be managed, with openness and transparency</li> <li>• GP practices receive many gifts from their patients and it is about exercising balanced judgement as to whether or not to declare</li> <li>• The policy should apply to paid individuals of the CCG and be amended to clarify which elements of the policy apply to which parties</li> </ul> <p>STr advised employees to use their discretion and judgement re the gifts and hospitality policy and PwC will audit.</p> <p><b>The Committee received and approved the policy, taking into account an amendment re accommodation of Member practices.</b></p>	<b>SL</b>
AAC/15/07/08	<p><b>Information Governance Group (IGG) Terms of Reference (TOR)</b></p> <p>STr introduced the paper with the TOR for the IGG.</p> <p>Whilst primary care information governance (IG) is the responsibility of NHSE, a light-touch approach had been adopted in the past. However, a much greater awareness and confidence around IG was needed for primary care, as the health system was moving rapidly to Integrated Care Records and Single View of the Patient. There is a likelihood, therefore, that primary care matters will be brought to the IGG and STr has spoken to Debra Elliott, the NHSE Commissioning Director, who agrees that this is a good way forward.</p> <p>MS expressed concern about the resources that would be needed for the CCG to take on fully delegated commissioning of primary care. STr said that NHSE recognised this issue but were probably not in a position to come up with any additional funding. The probability of the CCG taking on fully delegated commissioning of primary care is the reason that the CCG has gone through the process of restructuring.</p> <p>SL pointed out the key change for the responsibilities of the IGG at 4.13.</p> <p><b>The Committee received and approved the IGG TOR.</b></p>	
<b>ITEMS FOR DISCUSSION</b>		
AAC/15/07/09	<p><b>Internal Audit Tracker</b></p> <p>LP introduced the paper giving an update on all outstanding internal audit recommendations reported in the April tracker.</p>	

	<p>DJN said that the 7 out of 8 Business Continuity Planning findings all related to Property Services and the CCG was reliant on that organisation to take forward the recommendations.</p> <p><b>The Committee received and discussed the paper.</b></p>	
<b>AAC/15/07/10</b>	<p><b>External Audit Annual Audit Letter</b></p> <p>DL introduced the Annual Audit Letter summarising the findings and conclusions from the 2014/15 audit and formally closing off the audit.</p> <p><b>The Committee received the paper.</b></p>	
<b>AAC/15/07/11</b>	<p><b>External Audit Technical Update</b></p> <p>DL presented the paper providing an update on key technical issues that have occurred since the last technical update in May 2015.</p> <p><b>The Committee received the paper.</b></p>	
<b>AAC/15/07/12</b>	<p><b>Review Board Assurance Framework (BAF) and Risk Register (RR)</b></p> <p>DJN presented the BAF identifying risks to the strategic objectives of the organisation that may happen, and the high level RR identifying the top risks to the organisation, including the Top 10 risks.</p> <p>It was agreed that N-14/019 was a subset of C-14/038. The date that the risks first appeared had been removed from the RR as a hidden column. There would be a paper coming to the Governing Body in July to explain the updates in Mental Health.</p> <p><b>The Committee received and discussed the paper.</b></p>	
<b>AAC/15/07/13</b>	<p><b>Review Gifts and Hospitality Register 2015/16</b></p> <p>There was no paper as there had been no declarations.</p>	
	<b>ITEMS FOR NOTING</b>	
<b>AAC/15/07/14</b>	<p><b>Information Governance Group Minutes – 21 May and 25 June</b></p> <p><b>The Committee received and noted the minutes.</b></p>	
<b>AAC/15/07/15</b>	<p><b>Aged Debtors and Creditors Report</b></p> <p>Outstanding Creditors - STr explained that the GWH figure related to invoices that should have been cancelled by GWH. This will be picked up in the contact review meeting tomorrow.</p> <p>Outstanding Debtors –</p> <ul style="list-style-type: none"> <li>• The CCG is in dispute with WC about the Section 28a agreement for LD patients</li> <li>• NHSE – The CCG is working hard to repatriate back into Wiltshire one of the Winterbourne View clients and we are in discussion with NHSE about which organisation should be</li> </ul>	

	<p>paying for the individual</p> <p>MS expressed his concern about the CCG's lack of system learning, which was not just about financial, but also reputational risk.</p> <p>Members requested that DMcA attend a future AAC meeting to present on CHC, to offer Members assurance on the processes in place to meet the increasing demand for FNC and CHC.</p> <p><b>The Committee received and noted the paper.</b></p>	<b>DJH</b>
<b>AAC/15/07/16</b>	<p><b>Losses and Special Payments Report</b></p> <p>None to report.</p>	
<b>AAC/15/07/17</b>	<p><b>Competitive Tender Waivers</b></p> <p>None to report.</p>	
<b>AAC/15/05/18</b>	<p><b>Any Other Business</b></p> <p>There was no further business discussed and the meeting closed at 10:47hrs.</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: 8 September 2015 09:30 – 11:30hrs**