

Title of Meeting:	Governing Body	Agenda Item: 9.1	
Date of Meeting:	22 December 2020		
Paper Title:	Audit Committee Key Messages	Session (Tick)	
		Public	X
		Private	
		Workshop	
Responsible Governing Body Member Lead Ken Readshaw, Lay Member for Audit & Governance and Audit Committee Chair		Report Author and Job Title Ken Readshaw, Lay Member for Audit & Governance and Chair of the Audit Committee	
Purpose (this paper if for)	Decision	Discussion	Assurance
			X
Information			
Has the report (or variation of it) been presented to another Committee / Meeting? If yes, state the Committee / Meeting: No.			
Executive Summary The Audit Committee provides the Governing Body with an independent and objective view of the CCG's financial systems, financial information and compliance with laws, regulations and directions governing the CCG in so far as they relate to finance, risk management systems and emergency planning arrangements. Key Messages from the meeting held on 24 November 2020 are attached at Appendix A. Confirmed Minutes of the meeting held on 17 September 2020 are attached at Appendix B.			
Recommendations The Governing Body is asked to receive the report as assurance.			
Monitoring An assurance report on key topics discussed at the Audit Committee will be brought to each Governing Body meeting.			
Any statutory / regulatory / legal / NHS Constitution implications	The Audit Committee is accountable to the Governing Body and is required to provide key messages and confirmed minutes from all of its meetings.		
Management of Conflicts of Interest	No conflicts of interest have been identified prior to the meeting.		
Communication / Public & Patient Engagement	Key Messages are published with the Governing Body Papers and any additional update is noted in the minutes, which are also published on the CCG's website.		
Financial / resource implications	None identified.		
Significant Risks to Consider	No significant risks to consider.		
Outcome of Impact Assessments completed	Not applicable.		

Ken Readshaw, Lay Member for Audit and Governance and Audit Committee Chair

Audit Committee

Key Messages

Audit Committee 24 November 2020

The Audit Committee met on Tuesday 24 November, using Teams Meeting facility over the internet. The committee was quorate, and there were no new declarations of interest with regards to the agenda.

Minutes of the meeting held on 17 September were reviewed by the Committee: for accuracy and were approved as a true and accurate record.

Approvals

- Freedom of Information Policy
- Information Governance Policies
- IG Framework & Strategy
- Data Protection & Confidentiality
- Confidentiality Code of Conduct
- Subject Access Request
- Internal and External Auditors Effectiveness Review.

Other Matters

- The Committee receive an update on progress of the development of the NHS North Yorkshire CCG Governing Body Assurance Framework.
- The Committee were provided with an update on legal issues.
- The Committee received a verbal update on Quarterly HR Report (incorporating Stat & Man Training figures). It was noted this item has been deferred until February 2021.
- The Committee were provided with an update on the management of Conflicts of Interest.
- The Committee were provided with IGSG minutes held on 28 October 2020 and received assurance of IG compliance and work against the IG work plan.
- The Committee were provided with an update on the Annual Committee Effectiveness Review Process.
- EPRR Exercise and Testing Policy. The Committee noted the report and were assured of the testing and assessment processes proposed.

Ken Readshaw, Lay Member for Audit and Governance and Audit Committee Chair

NORTH YORKSHIRE CLINICAL COMMISSIONING GROUP

Audit Committee

Thursday 17 September 2020

14:00 – 16:00

Present	
Ken Readshaw	Lay Member for Audit (Chair)
Sheenagh Powell	Lay Member for Finance
Dr Chris Ives	GP Governing Body Member

In Attendance	
Dr Charles Parker	Clinical Chair
Julie Warren	Director of Corporate Services, Governance & Performance
Sue Peckitt	Chief Nurse
Alec Cowell	Deputy Director of Financial Services & Reporting (for item 4.0)
Sasha Sencier	Senior Governance Manager And Board Secretary to the Governing Body (for items 5.1 – 5.7)
Rosie Dickinson	Counter Fraud (for items 6.1 & 6.2)
Kim Betts	Internal Audit Manager, Audit Yorkshire (for items 7.1 & 7.2)
Mark Kirkham	Mazars (for item 8.1)
Helen Sanderson	Senior Information Governance Specialist (for item 9.1)
James Collins	Mazars
Campbell Dearden	Mazars
Catherine Gibson	(Secretariat)

Apologies	
Dr Ian Woods	Secondary Care Doctor (Vice Chair)
Amanda Bloor	Accountable Officer
Jane Hawcard	Chief Finance Officer

1.0 Apologies for Absence and Quorum

Apologies were received from: Dr Ian Woods, Secondary Care Doctor, Amanda Bloor, Accountable Officer and Jane Hawcard, Chief Finance Officer

The Chair confirmed that the meeting is quorate, taking into account any apologies for absence.

Audit Committee:

Noted attendance and apologies and confirmed the meeting is quorate under the requirements set out within the Terms of Reference.

2.0 Declarations of Interest in Relation to the Business of the Meeting

The Chair reminded committee members of their obligation to declare any interest they may have on any issues arising at committee meetings which might conflict with the business of NHS North Yorkshire CCG. It was noted there were no declarations of interest in relation to the business of the meeting.

Audit Committee:

Noted there were no declarations of interest in relation to the business of the meeting.

3.0 Minutes of the meeting held on 16 July 2020

Minutes of the meeting held on 16 July 2020 were reviewed by the Audit Committee: for accuracy and were approved as a true and accurate record.

Audit Committee:

Approved the minutes as a true and accurate record.

3.1 Matters arising from the Minutes

The action log was reviewed by the Audit Committee. All outstanding actions were complete and could be removed from the log.

4.1 Financial Issues Update (by exception)

Alec Cowell presented a verbal summary to the Committee.

The Committee received a financial update around performance against the plan at month 4 (initial covid19 financial regime period). It was noted that the CCG expected to break even in months 1 to 6 through the received of reimbursement of Covid costs and a further 'true-up' allocation received from NHS England.

Further guidance has just been received on the financial regime for months 7 to 12 with the expectation that The NY&Y system will receive an allocation which will include an amount of baseline allocation, an allocation for covid19 expenses (which may also include some amount of true up) and an allocation for transformation funding.

Audit Committee:

Noted the above and felt assured on the actions being taken.

4.2 Losses

Alec Cowell presented a summary of the report previously circulated and taken as read. The paper informed the committee of losses incurred and gave assurance that the appropriate steps have been followed as per the appropriate policy.

In line with the Losses & Special Payments Policy, for incurring a loss arising from the write off of bad debts, a paper was taken to FPCCC in August. The paper asked the committee to approve the writing off of five bad debts. Those five bad debts arose from salary overpayments to PCU staff, hosted by NHS Scarborough & Ryedale CCG dating back to 2016 and 2017. The total loss arising from this write off is £1,594.37.

Audit Committee:

Agreed to sign off the financial loss of £1,594.37 as detailed in the loss paper.

4.3 Single Tender Waivers

There was nothing to report this month.

Audit Committee:

Noted the above.

5.1 Risk Registers Review and Board Assurance Framework

Sasha Sencier presented an update to the Committee on progress of the development of the NY CCG Governing Body Assurance Framework and Risk Registers.

It was noted a significant amount of work has gone into the development of the new risk registers with individual directorates and prior to reports being taken to Committees the Executive Directors need to receive the risk registers in their entirety for a final review.

Key points from the discussion included:

- The Governing Body approved the Risk Management Strategy on 25 June 2020.
- Previously the Audit Committee were informed of a staged approach of the implementation of the strategy.
- Minor slippage due to covid-19 recovery priorities.
- The Audit Committee will receive the GBAF and Risk Registers in their entirety twice per year, in September and again in February.

The Chair said it was good to see the work in progress. Sasha Sencier confirmed she had shared details with Dr Charles Parker prior to sending to the Committee and he was satisfied and very re-assured too as the Clinical Chair. Having read the two sets of papers, Sheenagh Powell felt it all fits together and seems to be quite coherent.

Audit Committee:

Noted the above and felt assured on the actions being taken.

5.2 Legal Updates Report

Julie Warren presented a summary of the report, previously circulated and taken as read.

The aim of the report is to provide the Audit Committee with an update on any legal issues.

Key points from the discussion included:

- Legal service is now hosted by NYCCG (from 1 April 2020) – MOU and Legal Services Agreement have been updated and signed off by NYCCG & ERYCCG.
- Implementation of Liberty Protection Safeguards (LPS) under the Mental Capacity Act (MCA) is delayed. Implementation was originally planned for 1 October 2020. We await an update on the new implementation date.
- Despite the restrictions in place due to Covid-19 the legal team continue to work with the CCG's best interest's assessor to prepare community DoLS applications for submission to the Court of Protection.
- NYCCG currently has 4 contentious cases before the Court of Protection.

Julie Warren advised that Natalie Hider would like a steer as to whether the detail in the report sufficiently covers assurance in this area. Feedback from Audit Committee would be beneficial for future reporting.

Dr Chris Ives asked if the Committee could receive further details on the four contentious cases. Julie Warren confirmed she would provide full details to the Committee on that for the next report to ensure we are sighted on any clear potential issues.

Action:

- **Julie Warren to provide further details on the four contentious cases at the next Audit Committee in November 2020.**

Audit Committee:

Noted the above and felt assured on the actions being taken.

5.3 IG Update and DPO Update report

This agenda item was covered under 9.1.

5.4 Annual Committee Effectiveness Review

Sasha Sencier presented a verbal update to the Committee.

It was noted the item is on the forward plan as normally we would have completed an annual review at the end of the financial year. As we are a newly established CCG this was not carried out and therefore a mid-year review is not required.

Sasha Sencier advised that the CCG is planning on carrying out the annual review of effectiveness in Q4 and the report will come to the Audit Committee in February 2021.

Audit Committee:

Noted the above and felt assured on the actions being taken.

5.5 List of Policies and Timescales Reserved to the Committee (as required)

Sasha Sencier provided a verbal update to the Committee.

The Senior Governance Manager is working with the Corporate Manager to undertake a piece of work to list the policies reserved to the Committee including timescales which will be appended to the forward plan. This will be available at the November meeting.

Action:

- **Sasha Sencier to provide a further update on the policies reserved to the Committee including timescales at the Audit Committee in November 2020.**

5.6 Annual Review of Each Committee's Work Plans

Sasha Sencier presented a summary of the report, previously circulated and taken as read.

The aim of the report is to provide assurance that the Committee Forward Plans have been developed and is in place to support Committees to fulfil their duties.

Sasha Sencier asked for a steer on whether the detail sufficiently covered assurance in this area and a suggestion was made on when a meeting is complete whether we should ask for crosses to be replaced by ticks however it was agreed that this could be onerous.

Sasha Sencier confirmed all of the Secretariats are completing the Decision Register at the end of each meeting and therefore Members can be assured that all decisions are being accurately recorded for audit purposes.

A discussion took place around the possibility of moving Audit Committee from November 2020 onwards as they occur on the same date as the Finance, Performance, Contracting and Commissioning Committee. The change would help to support the secretariat with the management of the meetings. The Committee agreed to change the dates and asked Catherine Gibson to send out some proposed dates.

The Chair pointed out that we have some joint committees and he asked if we could think about how we can present to the Governing Body on where the connections are with other Committees particularly the ones where we have formal delegation. Sasha Sencier advised that she meets with Dr Charles Parker on a monthly basis and after further discussions said she will be able to share the piece of work in the next few weeks. Sheenagh Powell felt it would be good to have a picture particularly on how we interrelate with other organisations.

Action:

- **Catherine Gibson would look at moving Audit Committee from November and send out some proposed dates.**
- **Sasha Sencier to bring back a paper regarding joint committees and the governance arrangements in terms of where they report into the CCG committees**

Audit Committee:

Noted the above and felt assured on the actions being taken.

5.7 Registers of Interest – Quarterly Return

Sasha Sencier presented a verbal update to the Committee. Key points from the discussion included:

- NHS England provided a list of areas that CCGs could essentially put on hold due to Covid-19 priority work and this was one of them.
- Although we have had a reprieve in this area we were very conscious of the need to ensure that progress was made, especially as a newly established CCG and the requirement for DOIs to be completed by 51 Practices and the partners/directors of those practices and also the CCG staff.
- A new form has been developed for the NY CCG that has easy to follow instructions and a number of drop down menu's which lessens the potential for errors and also ensure the administrative process of transferring to the register is more efficient and also with less room for error.
- Number of forms received from GP practices is 57. There is a requirement to receive forms from GP Partners and Directors so would expect to see a much higher number back from practices. Summer and annual leave has contributed to the delay of returns.
- For those forms not received from staff – we have emailed them and copied in their line managers asking for them to return as a priority.
- For those forms not received from practices – we have emailed the practice managers and asked for their support in ensuring the forms are returned. Dr Charles Parker will also help to support contacting practices where nil response continues.
- From those that have returned the forms, both staff and practices, positive feedback has been received that the forms have been much simpler and easier to use than previously.
- A further update on progress will be brought to the Committee in November 2020.

Action:

- **Sasha Sencier to provide an update around the Registers of Interest – Quarterly Return at the Audit Committee in November 2020.**

Dr Chris Ives asked what the new deadline for GPs is. Sasha Sencier commented that no deadline has yet been given.

Audit Committee:

Noted the above and felt assured on the actions being taken.

6.1 Counter Fraud Annual Plan

Rosie Dickinson presented a summary of the Counter Fraud Annual Report 2020/21 for North Yorkshire CCG previously circulated and taken as read.

The Counter Fraud Annual Plan set out the proposed Counter Fraud Activities to be undertaken by the Local Counter Fraud Specialist during 2020/21.

Audit Committee:

Approved the Counter Fraud Annual Plan for 2020/21.

6.2 Counter Fraud Progress Report

Rosie Dickinson presented a summary of the report, previously circulated and taken as read.

The Counter Fraud Progress Report summarised the Counter Fraud activity undertaken since the last Audit Committee meeting. The report also showed the progress against the Counter Fraud Plan for 2020/21.

Audit Committee:

Noted the above and felt assured on the actions being taken.

7.1 Annual Recommendations Status Report

Kim Betts presented a summary of the report, previously circulated and taken as read.

The paper provided an update on the status and progress in implementing audit recommendations at the CCG.

It was reported since the last report, 56 actions have been either closed or merged following the merger of the CCGs to ensure there is not duplication. Two overdue actions include the review processes of the Children Services MoU between the CCG and Vale of York CCG. A Finance lead will progress this with the Safeguarding Children team. Also, a verbal update will be provided by Sasha Sencier for the outstanding Conflict of Interest audit training audit recommendation. Due to an error it was noted that some actions for the audits had been omitted from the last action tracking report. Sue Peckitt raised a comment on who is the Children's Safeguarding Responsible Officer, she believed it said Julie Warren but it should be her and asked if that could be amended.

With the pressure of Covid it was noted that some Teams will have struggled with these deadlines.

The Chair felt it was good that we now have a streamline process and it was great to see the reduction in outstanding actions.

Audit Committee:

Noted the above.

7.2 Annual Plan Progress Report

Kim Betts presented a summary of the report previously circulated and taken as read. The update is presented to the Committee for discussion and assurance.

The report summarised activity undertaken in relation to the 2020/21 Internal Audit Operational Plan for the period 1 April 2020 to 9 September 2020. Key points from the discussion included:

- The ones listed for Safeguarding are already included in the plan.
- Kim Betts asked the Committee to ignore the figures in rate of performance.
- It was confirmed an audit has been undertaken on Governance arrangements, the final report has been issued and high assurance has been given. The Chair expressed his congratulations on the governance report to all those involved, an excellent achievement.

Sheenagh Powell advised as quality is one of the key accountabilities for Governing Body and after speaking with Kate Kennady who is Chair of the Quality and Clinical Governance Committee is content to move the audit back.

Audit Committee:

Noted the above and felt assured on the actions being taken.

8.1 Progress/Update Report

The report summarised activity undertaken in relation to the 2020/21 Internal Audit Operational Plan for the period 1 April 2020 to 9 September 2020. Key items from the discussion included:

- The results of work on the Mental Health Investment Standard for 2018/19 were published, in line with NHSE/I requirements, on 9 July 2020, alongside the CCG's confirmation of compliance with the Standard.
- External Audit advised that there will be changes to the Value for Money audit process this year.
- Annual Report replaces Annual Audit Letter. External Audit would provide an update to Committee members once further details have been received.

Audit Committee:

Noted the above and felt assured on the actions being taken.

9.0 Information Governance Steering Group (IGSG Minutes / Plan Update

Helen Sanderson presented a summary of the report previously circulated and taken as read. Key points from the discussion included:

- It was reported the Information Governance Steering Group has been meeting on a monthly basis to facilitate the implementation of appropriate information governance practices within the CCG. These processes are now getting underway and therefore it was agreed that those meetings would move to quarterly.
- The information asset registers from the three CCG have been amalgamated ready for review and work is currently taking place to ensure that Information Asset Owners are being identified.

- Further to this two dates have been identified to deliver training to information asset owners and administrators as to their role and responsibilities around managing information, the first of these was delivered on the 3rd of September.
- Annual Information Governance Work Plan is required in order to identify the work required to maintain and improve information governance and information security practices. It had been noted by the group that a two separate work plans had been established, one for the annual return and a second to detail the work required to bring together the information governance practices from the 3 CCG's which now form the North Yorkshire CCG. It was therefore requested that these plans were amalgamated into one which has now been completed and is being put to the Audit Committee for approval.
- It was agreed that a temperature check would be undertaken as to what staff know about who their key information governance contacts are within the CCG to ascertain whether any communications are required and that this would be sent out as part of one of the CCG's routine staff surveys. These questions have now been determined and sent to the communications team.
- Two incidents had occurred since 1 April 2020 and they were currently being investigated.
- Cyber security had been added to the agenda going forward.
- Building administrators are to review paper records in offices and access restrictions to them. Information to be provided to next meeting if possible given office access limitations.

The Chair asked if the migration move to NECS from eMBED had ran smoothly. Although some things are different Helen Sanderson felt there was nothing of any significance to raise at the current situation. Alec Cowell felt we as a CCG are quite fortunate having business as usual and having Helen Sanderson as a contact. The CCG is continuing on as we did before which seems a good likely place to be.

Audit Committee:

Noted the work to date against the Information Governance agenda and approved the Information Governance Work Plan for 2020/21.

11.0 Any Other Business

There being no other business the Chair declared the meeting closed.

12.0 Date and Time of Next Meeting

Thursday 24 November 2020, 14:00 p.m.

Audit Committee:

Noted the above.

Follow up actions

The actions required as detailed in these minutes are attached at Appendix A.

Appendix A

**North Yorkshire Clinical Commissioning Group
Actions from the Audit Committee on 23 June 2020**

Meeting Date	Item	Action	Responsibility	Action Completed / Due to be Completed (as applicable)
23 June 2020	5.5 NHS Harrogate and Rural District Clinical Commissioning Group 2019/20 Annual Report 5.6 NHS Scarborough and Ryedale Clinical Commissioning Group 2019/20 Statutory Accounts 5.7 NHS Hambleton, Richmondshire and Whitby Clinical Commissioning Group 2019/20 Statutory Accounts	Statutory Accounts for the three North Yorkshire CCGs were presented to the Committee for approval. The Committee formally approved Statutory Accounts, Annual Governance Statements and Annual Reports of HaRD CCG, HRW CCG and SR CCG and will be submitted to NHS England on 25 June and shared at a combined Annual General Meeting later in the year.		Completed

Meeting Date	Item	Action	Responsibility	Action Completed / Due to be Completed (as applicable)
16 July 2020	3.0 Minutes of the meeting held on 23 June 2020	Catherine Gibson to amend the minutes.	Catherine Gibson	Minutes amended - Completed
17 September 2020	5.2 – Legal Updates	Julie Warren to provide further details on the four contentious cases at the next Audit Committee in November 2020.	Julie Warren	
17 September 2020	5.7 Registers of Interest – Quarterly Return	Sasha Sencier to provide a further update on the policies reserved to the Committee including timescales at the Audit Committee in November 2020.	Sasha Sencier	
17 September 2020	5.6 Annual Review of Each Committee’s Work Plans	Sasha Sencier to bring back a paper regarding joint committees and the governance arrangements in terms of where they report into the CCG committees	Sasha Sencier	