

NHS DORSET CLINICAL COMMISSIONING GROUP**GOVERNING BODY MEETING****17 JUNE 2020****SPECIAL MEETING - MINUTES**

A special meeting of the Governing Body, of the NHS Dorset Clinical Commissioning Group was held virtually at 11am on 17 June 2020.

- Present:**
- Forbes Watson, Chair (FW)
 - Mary Armitage, Secondary Care Consultant Member (MA) (Part)
 - Vanessa Avlonitis, Registered Nurse Member (VA)
 - Tim Goodson, Chief Officer (TG)
 - Martin Longley, Governing Body GP Member (Dorset Council area) (ML)
 - Mufeed Ni'Man, Governing Body GP Member (Bournemouth, Christchurch and Poole Council area) (MN)
 - Ravin Ramtohal, Governing Body GP Member (Bournemouth, Christchurch and Poole Council area) (RR)
 - David Richardson, Governing Body GP Member (Bournemouth, Christchurch and Poole Council area) (DR)
 - Nick Robinson, Governing Body Lay Member for Governance and Audit Committee Chair (NR)
 - Nikki Rowland, Chief Finance Officer (NRo)
 - Jacqueline Swift, Governing Body Lay Member, Primary Care Commissioning Committee Chair and Deputy CCG Chair (JS)
 - Kay Taylor, Governing Body Lay Member for Public and Patient Involvement (KT)
- In attendance:**
- Sally Banister, Deputy Director, System Integration (SB) (Part)
 - Kate Calvert, Deputy Director of Primary and Community Care (KC)
 - Steph Lower, Corporate Office Manager (minute taker) (SL)
 - Vanessa Read, Director of Nursing and Quality (VR) (Part)
 - Sally Sandcraft, Director of Primary and Community Care (SSa)
 - Charles Summers, Director of Engagement and Development (CS) (Part)

The Chair took section 4 of the agenda in the following order: 4.1, 4.3, 4.4, 4.5, 4.6, 4.7, 4.2, 4.8

1. Apologies

1.1 Apologies were received from:

Hay-Ming Blunt, Governing Body GP Member (Dorset Council area)
Karen Kirkham, Assistant Clinical Chair

2. Quorum

2.1 It was agreed that the meeting could proceed as there was a quorum of members present.

3. Declarations of Interest, Gifts or Hospitality

3.1 There were no Declarations of Interest, Gifts or Hospitality made.

4. 2019/2020 Annual Accounts

4.1 Audit Chair's Annual Report on behalf of the Committee (regarding work in support of the Annual Governance Statement)

4.1.1 The Governing Body Lay Member for Governance and Audit Committee Chair introduced the Audit Chair's Annual Report on behalf of the Committee.

K Calvert joined the meeting.

4.1.2 The report provided the Governing Body with an independent view from the Audit Committee regarding the organisation's governance including the CCG's assurance framework and the embedding of risk management within the organisation. The Audit Committee Chair confirmed that the Audit Committee was content to recommend the Annual Governance Statement and Annual Report and Accounts to the Governing Body for approval.

C Summers joined the meeting.

4.1.3 Regarding paragraph 4.5, the Governing Body noted further discussion was planned at the forthcoming Governing Body Development Workshop regarding the corporate objectives and links to the overall ICS governance arrangements.

4.1.4 The Governing Body **noted** the recommendation set out in the Audit Chair's Annual Report on behalf of the Committee.

4.2 **Annual Governance Statement (Statement of Internal Control)**

This item was taken after agenda item 4.7.

4.2.1 The Director of Nursing and Quality introduced the Annual Governance Statement.

4.2.2 The Annual Governance Statement was a templated document based on the revised guidance issued by the Department of Health and NHS England.

4.2.3 The Governing Body noted there were no gaps in assurance identified to date.

4.2.4 Regarding progress against the actions set out in the Safeguarding Children Internal Audit which was raised under agenda item 4.6, the Director of Nursing and Quality said following staff turnover, the Safeguarding team was fully recruited including the appointment of a new Head of Safeguarding. All the actions identified in the internal audit report including drafting a strategy, having a clear work priority plan and structured working with partners and multi-agencies, were being worked through. Regular further updates would be provided through the routine Governing Body reporting.

4.2.5 The Governing Body **approved** the Annual Governance Statement.

4.3 **Annual Report and Accounts (Financial Statements – March 2020)**

This item was taken before item 4.2.

4.3(i).1 The Chief Finance Officer introduced the Financial Statements for the year ended 31 March 2020 (including checklists).

4.3(i).2 Although a challenging year financially, the Governing Body noted the CCG's £2M surplus target had been achieved.

4.3(i).3 Governing Body thanks were noted to all those involved in the work towards the Annual Report and Accounts, particularly in light of the current challenging remote working

environment.

- 4.3(i).4 The Governing Body **approved** the Financial Statements for the year ended 31 March 2020 (including checklists).
- 4.3(ii).1 The Chief Finance Officer introduced the Annual Report and Accounts 2019-20.
- 4.3(ii).2 The Governing Body noted the incorrect Term of Office dates for the Lay Member for Patient and Public Involvement on page 53 and directed that they be corrected to read 1 April 2019 and 31 March 2022.
- 4.3(ii).3 The Governing Body **approved** the Annual Report and Accounts 2019-20.

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4.4 **ISA260 Audit Findings Report 2019/2020**

- 4.4.1 The Chief Finance Officer introduced the ISA260 Audit Findings Report 2019/2020 of the External Auditors, Grant Thornton.
- 4.4.2 There was an incomplete sentence on page 13 of the report under the Written Representations heading and this would be updated for the final version.
- 4.4.3 The Governing Body noted the percentage Quality, Innovation, Productivity and Prevention (QIPP) delivered for Primary Care Commissioning on page 18 of the report should read 74% not 26%. This would be updated for the final version.
- 4.4.4 On page 19, the figure of £46.5M should read £35M.
- 4.4.5 The Action Plan on page 23 of the report referenced that there would be a report on progress with the recommendations during the course of the 2020-21 audit, however it was noted that Grant Thornton would no longer provide external audit services to Dorset CCG.
- 4.4.6 The audit work had not identified any issues arising from Covid-19 which would impact on the audit report over and above the already difficult challenges being experienced across the country in relation to the financial architecture and associated processes/governance. The current Covid-19 financial arrangements would potentially be extended until the end of October 2020 and there remained uncertainty in relation to what any new financial architecture might look like. Discussions were ongoing with a national

finance group formed to look at financial recovery. Regular updates would continue to be provided to the Governing Body.

- 4.4.7 The Governing Body **approved** the recommendations set out in the ISA260 Audit Findings Report 2019/2020 of the External Auditors, Grant Thornton.

4.5 **Management Representations**

- 4.5.1 The Chief Finance Officer introduced the Management Representations report.

- 4.5.2 The Governing Body **approved** the recommendations set out in the Management Representations.

4.6 **Internal Audit Annual Report and Head of Internal Audit Opinion**

- 4.6.1 The Chief Finance Officer introduced the Internal Audit Annual Report and Head of Internal Audit Opinion.

- 4.6.2 The Internal Audit opinion given was that of moderate assurance which was the second highest assurance rating. This demonstrated that on the whole there were good processes in place within the CCG which could be built upon further.

- 4.6.3 Regarding the moderate assurance for the Safeguarding Children Internal Audit, the Governing Body noted there would be a more detailed report on each particular area of finding than provided in the summary.

- 4.6.4 Positive progress had been made since the appointment of the new Head of Safeguarding and the Governing Body would seek an update from the Director of Quality and Nursing when she joined the meeting.

M Armitage joined the meeting.

- 4.6.5 In relation to the moderate assurance for the Cyber Security Internal Audit, there was confidence that there had been an improving picture which should be reflected in the next Cyber Security Audit. An appointment had been made to a dedicated cyber IT role which would link to data protection and security. The Data Protection Toolkit itself had two outstanding areas with the completion deadline for the end of September 2020.

4.6.6 The Governing Body **noted** the Internal Audit Annual Report and Head of Internal Audit Opinion.

4.7 **Independent Service Auditor Reports
(International Standards on Assurance Engagements
(ISAE) 3402 Report 2019/2020)**

4.7.1 The Chief Finance Officer introduced the Independent Service Auditor Reports (International Standards on Assurance Engagements (ISAE) 3402 Report 2019/2020).

4.7.2 The Governing Body noted the NHS SBS Finance & Accounting report was qualified. Although nothing had changed in terms of the service provided by SBS, this was due to the Covid-19 lockdown in India which had prevented the auditors obtaining sufficient evidence for certain controls for the February/March 2020 period.

4.7.3 The NHS Digital GP payments area was also qualified due to system changes without evidence of the appropriate approval. The Governing Body noted that there had been a long-standing issue regarding NHS digital payments.

4.7.4 In the main, the Governing Body GP members noted improvements to the primary care support provision by Capita Business Services Ltd. There were still issues with the process and the Director of Primary and Community Care urged GP members to continue to share any issues as they arose to enable an understanding of the scale of the issues.

V Read joined the meeting.

4.7.5 Although the CCG had no direct influence regarding the national contract, there had been continued work with the Local Medical Committees (LMC) to lobby concerns.

4.7.6 The Governing Body directed that this issue be discussed further at the next Primary Care Commissioning Committee with a view to what further action might be taken.

SSa

Agenda item 4.3 was taken next.

4.7.7 The Governing Body **noted** the Independent Service Auditor Reports (International Standards on Assurance Engagements (ISAE) 3402 Report 2019/2020).

4.8 **Inspection of Registers**

- 4.8.1 The Chief Finance Officer introduced the Report on Inspection of Registers and noted that the Governing Body members had been sent the links to inspect the Registers remotely.
- 4.8.2 The Governing Body noted the verbal update regarding the two Deed of Novation entries in the CCG Seal Register for 2019.
- 4.8.3 Following a query regarding details that were out of date on the Member Practice Register, the Governing Body noted that although an annual update check was undertaken with member practices and several reminders to keep entries up to date were sent throughout the year, it was still the responsibility of each practice to advise the CCG when there had been any changes.
- 4.8.4 The Governing Body **noted** the Inspection of Registers report and confirmed that they had inspected the Registers.

5. **Any Other Business**

- 5.1 There was no other business.