

**Audit and Governance Committee**  
**RATIFIED minutes of the meeting held on**  
19/05/2022, 09:00-10:00  
Via MS Teams

**Members present:**

Sue Sunderland	Non-Executive Director (Chair)
Eleri de Gilbert	Non-Executive Director
Jon Towler	Non-Executive Director

**In attendance:**

Majid Aisha	KPMG
Craig Bevan-Davies	Counter Fraud Specialist, 360 Assurance
Lucy Branson	Associate Director of Governance
Michael Cawley	Operational Director of Finance
Sian Gascoigne	Head of Corporate Assurance
Ian Livsey	Deputy Director of Finance
Audrey McDonald	Assistant Director of Finance
Andrew Morton	Operational Director of Finance
Stuart Poynor	Chief Finance Officer
Richard Walton	Director, KPMG
Sue Wass	Corporate Governance Officer (minutes)
Kevin Watkins	Client Manager, 360 Assurance

**Apologies:**

None

Cumulative Record of Members' Attendance (2022//23)					
Name	Possible	Actual	Name	Possible	Actual
Eleri de Gilbert	1	1	Jon Towler	1	1
Sue Sunderland	1	1			

**Introductory Items**

- AG 22 001 Welcome and apologies**  
Sue Sunderland welcomed everyone to the meeting of the Audit and Governance Committee, which was held on MS Teams due to the current Covid-19 situation.
- There were no apologies.
- AG 20 002 Confirmation of quoracy**  
The meeting was declared quorate.
- AG 22 003 Declaration of interest for any item on the agenda**  
No interests were noted on any item on the agenda.
- Sue Sunderland reminded members of their responsibility to highlight any interests should they transpire as a result of discussions during the meeting.

**AG 22 004 Management of any real or perceived conflicts of interest**

This item was not required, as no interests were declared.

**AG 22 005 Minutes from the meeting held on 3 March 2022**

The minutes of the meeting held on 3 March 2022 were agreed as an accurate record of the discussions held.

**AG 22 006 Action log and matters arising from meeting held on 3 March 2022**

There were no outstanding actions and there were no other matters arising.

**Year End reporting**

**AG 22 007 Draft Annual Report 2021/22**

Lucy Branson presented this item and highlighted the following key points:

- a) The draft Annual Report had been submitted to NHS England by the deadline of 26 April and circulated to members at the time. NHS England had since confirmed that it was compliant in all areas.
- b) Further work would be undertaken ahead of the final submission on 22 June and the report had been brought to the meeting for review.
- c) Recent guidance had been received regarding reporting requirements for the period April-June 2022 and further detail on the level of detail a report covering this period should contain was awaited. It would be the responsibility of the ICB to ensure a report for this period was drafted and submitted.

The following points were raised in discussion:

- d) Members proposed that the Annual Report gave more detail on the CCG's responsibilities regarding the oversight of the Nottingham University Hospitals Trust Maternity Services Improvement Plan, which was agreed.
- e) Members queried whether the Fair Pay Disclosure could be accompanied by an explanatory note to clarify that the pay increases were not driven by the CCG but were ICB designate appointments. The External Auditor noted that this was a complicated disclosure and would check how other CCGs were treating ICB designate employees. It was agreed to draft an explanatory note.
- f) Members queried whether CCG concerns regarding Nottinghamshire Healthcare Foundation Trust should be explicitly referenced. It was noted that for the timeframe of the report, there had been signs of improvement, it was only in recent months that deterioration in performance had been evident.
- g) Members thanked the CCG Team for a well written and comprehensive document.

The Committee:

- **REVIEWED** the Draft Annual Report 2021/22

**AG 22 008 Unaudited Accounts 2021/22**

Michael Cawley presented this item and highlighted the following key points:

- a) The unaudited accounts had been submitted to NHS England by the deadline of 26 April and circulated to members at the time.
- b) Despite the challenges, the CCG had met all its financial targets, subject to external audit scrutiny.

The following points were raised in discussion:

- c) Members thanked the CCG Team for a comprehensive set of accounts.

The Committee:

- **REVIEWED** the Unaudited Accounts

**AG 22 009 External Audit Progress Report**

Richard Walton gave a verbal update and highlighted the following key points:

- External Audit colleagues were making good progress, with no major issues to report to date.

The Committee:

- **NOTED** the verbal update

### Internal Audit

**AG 22 010 Internal Audit Progress Report**

Kevin Watkins presented this item and highlighted the following key points:

- Since the last meeting, two reports had been issued that provided 'significant assurance': the draft Head of Internal Opinion report and the Data Security Standards report.
- The report on patient engagement had also been issued, which was more of a forward-looking audit, and as such, did not provide an opinion.
- The draft reports for the remaining three outstanding audits had been issued and it was anticipated the outcome of the audits could be reported to the next meeting, therefore completing the Internal Audit Plan for 2021/22.
- The CCG had demonstrated a positive response to the implementation of actions, with an implementation rate at the first follow up of 92% and currently there were no outstanding actions.

The Committee:

- **RECEIVED** the progress report and **NOTED** the key messages and progress being made with the delivery of planned assurances for 2021/22.

### Counter Fraud

**AG 22 011 Counter Fraud Annual Work Plan 2022/23**

Craig Bevan Davies presented this item and highlighted the following key points:

- The draft plan summarised the proposed work to be undertaken in relation to counter fraud activity.
- The report had been divided into primarily CCG-related activity for quarter one, with remaining actions required to meet the Counter Fraud Functional Standard and produce an annual report. Currently all components were marked as green.
- From quarter two onwards activity within the ICB would continue to meet all mandatory standards for 2022/23.
- The time commitment would remain the same at 80 days.

The following points were raised in discussion:

- Members queried whether a move into the wider system would necessitate a change in the focus of work for counter fraud. It was noted that it was the intention to understand how fraud risks may be impacted by the move to the ICB and had left time in the proactive fraud prevention area of the workplan for this.

The Committee:

- **APPROVED** the Counter Fraud Annual Work Plan

## Corporate Assurance

### AG 22 012 2021/22 Health and Safety, Security and Fire Compliance Annual Report

Sian Gascoigne presented this item and highlighted the following key points:

- a) The report gave an overview of the arrangements in place across the CCG to meet both 'business as usual' and Covid-19 health, safety and security requirements for the 2021/22 financial year.
- b) The Health and Safety Steering Group had continued to meet to ensure CCG compliance with all relevant health and safety legislation, with a significant focus on compliance with new requirements regarding '*Working safely during Covid-19 in offices and contact centres*'.
- c) Focus had also remained on ensuring training compliance rates and delivering training for nominated first aiders and fire wardens, as well as ensuring the completion of data screen equipment assessments and lone worker assessments.
- d) The review of relevant policies ahead of the transfer of functions to the ICS was work in progress.

The following points were raised in discussion:

- e) Regarding fire wardens and first aiders, members queried whether the CCG was always legally compliant in all offices. It was noted that in Sir John Robinson House and Birch House the CCG was compliant. For other less well used offices there was a reliance on other site staff at times. The Team was contacting the respective property management companies of these offices to confirm compliance.
- f) Members sought assurance that all lone workers with direct contact with members of the public had completed assessments and undergone specific training requirements. It was noted that the Team had worked with those teams in regular contact with the public and no members of staff currently fell into the criteria.
- g) Members requested that an update on health and safety compliance at CCG offices to be given at the next meeting.

#### **ACTION:**

- **Sian Gascoigne to provide confirmation on the number of lone workers within NHS Nottingham and Nottinghamshire CCG, with support from the Senior Leadership Team, and report this to the next meeting of the Audit and Governance Committee.**

The Committee:

- **ENDORSED** the CCG's 2021/22 Health and Safety, Security and Fire Compliance Annual Report

## Risk Management

### AG 22 013 Risk Management Arrangements Year-End Update

Sian Gascoigne presented this item and highlighted the following key points:

- a) The report provided the year-end update on work undertaken to embed the CCG's strategic and operational risk management arrangements during 2021/22.
- b) The report provided assurance that the Risk Management Policy had been kept up to date; that robust processes were in place to enable a regular review of the assurance Framework by the Governing Body and gaps in assurance continued to be mitigated.
- c) An analysis of the CCG's operational risks was detailed.
- d) Regarding the risks that sat under the Committee's remit, risk 141, relating to covid-

- 19 guidance, was proposed for archiving, following the easing of restrictions.
- e) A progress report on the development of risk management arrangements for the ICB was also given.

The Committee:

- **NOTED** the full Corporate Risk Register;
- **APPROVED** the archiving of risk RR 141 (non-compliance with HM Government Working safely during COVID-19 guidance); and
- **NOTED** the development of risk management arrangements for the NHS Nottingham and Nottinghamshire Integrated Care Board (ICB).

### Closing Items

- AG 22 014**     **Any other business**  
There was no other business.
- AG 22 015**     **Key messages to escalate to the Governing Body**
- Assurance
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- AG 22 016**     **Date of the next meeting:**  
16/06/2022  
Via MS Teams