

**Nottingham North and East CCG Governing Body  
UNRATIFIED Public Minutes of the meeting held on  
Tuesday 17 July 2018 13:30 – 15:00  
Chappell Room Civic Centre, Arnot Hill Park, Arnold, Nottingham, NG5 6LU**

**Present with voting rights:**

Dr James Hopkinson	Clinical Lead (Chair)
Terry Allen	Lay Member – Financial Management & Audit
Jonathan Bemrose	Chief Finance Officer (Great Nottingham CCGs)
Nichola Bramhall	Chief Nurse and Director of Quality (Great Nottingham CCGs)
Dr Ian Campbell	GP Representative
Janet Champion	Deputy Chair – Lay Member Patient and Public Involvement
Dr Elaine Maddock	GP Representative
Dr Paramjit Panesar	Assistant Clinical Chair
Mike Wilkins	Lay Member - Primary Care

**Present with speaking rights:**

Gary Thompson	Chief Operating Officer (on behalf of Sam Walters)
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**In attendance:**

Lucy Branson	Corporate Director
Andy Hall	Director of Outcomes and Information
Jo Simmonds	Head of Corporate Governance and Assurance (minutes)

**Apologies:**

Dr Ben Teasdale	Secondary Care Doctor
Samantha Walters	Accountable Officer

Cumulative Record of Members Attendance (2018/19)

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Name	Possible	Actual	Name	Possible	Actual
Dr James Hopkinson	2	2	Dr Paramjit Panesar	2	1
Terry Allen	2	2	Dr Caitriona Kennedy	2	1
Jonathan Bemrose	2	2	Dr Elaine Maddock	2	2
Dr Ian Campbell	2	2	Nichola Bramhall	2	1*
Janet Champion	2	2	Sam Walters	2	0*
Mike Wilkins	2	2	Dr Ben Teasdale	1	1

*\* Nominated deputies attended meetings where apologies had been received.*

## Item

### Introductory Items

**GB 18 075      Welcome and apologies for absence**

Dr James Hopkinson welcomed everyone to the open meeting of the Governing Body.

Apologies were noted from Samantha Walters and Dr Ben Teasdale

**GB 18 076      Confirmation of quoracy**

It was confirmed that the meeting was quorate.

**GB 18 077      Declarations of interest for any item on the agenda**

No interests were declared in relation to any item on the agenda. Members were reminded of their responsibility to highlight any interests should they transpire as a result of discussions during the meeting.

**GB 18 078      Management of any real or perceived conflicts of interest**

As no conflicts of interest had been identified, this was not necessary for the meeting.

**GB 18 079      Questions from the Public**

No questions from the public had been received

**GB 18 080      Minutes of the meeting held on 15 May 2018**

The minutes of the previous meeting held on 15 May 2018 were reviewed and the following clarifications were requested:

- Page 5 – Re-word last paragraph to ensure clarity of the discussion and correct formatting.
- Pages 5 & 7 – Correct Becky Stone and David Pearson's names.
- Page 7 – Expand section on Capita to describe the actual issue.

Subject to the changes being made, the minutes were confirmed as an accurate record and will be signed by the Chair.

**GB 18 081      Action log and matters arising from the meeting held on 15 May 2018**

The following items were noted as outstanding, the status of which was summarised as follows:

- GB 055/18 (Accountable Officer Report) – training data showed that NNE was already at the required level for conflicts of interest training; however, confirmation was needed for individuals who had done this via the national training hub.
- GB 056/18 (Integrated Governance Arrangements) – an update on the developing governance arrangements would be provided during the meeting.

Both actions would now be closed. All other actions were noted as completed and there were no further matters arising.

**GB 18 082      Accountable Officer Report**

In Sam Walter's absence, Gary Thompson presented this item. The following key points were highlighted and discussed:

- (a) The Audit and Governance Committee had approved the CCG's Annual Report and Accounts 2017/18 at its meeting on 24 May 2018. The Annual Public Meeting is scheduled for September 2018 and details will be sent on to members shortly..
- (b) NHS England has recently published the annual Improvement and Assessment Framework ratings for 2017/18. Nottingham North and East CCG has received a rating of 'Good'.
- (c) Further to the Governing Body's approval of the joint governance arrangements with the Greater Nottingham CCGs, a decision has been taken to dis-establish the planned Corporate Assurance Committee and allocate its delegated duties to other existing forums. Whilst it had also been planned to disband the South County CCG's Information Governance, Management and Technology Committee, this will now continue with a slightly revised terms of reference and the inclusion of NHS Nottingham City CCG.
- (d) Work has commenced to review whether there is potential for the four Greater Nottingham CCG Primary Care Committees to meet 'in common'. Discussions on the feasibility of this approach will be led by Mike Wilkins.
- (e) Work is planned to review the four Clinical Cabinets to ensure that the correct links are made between these forums and the Joint Commissioning Committee and to enable development of appropriate governance arrangements in line with the move to an Integrated Care System.
- (f) An evaluation of engagement arrangements across the Greater Nottingham CCGs is also to be completed in view of the impending system changes. A steering group comprising representatives of each of the Patient and Public Involvement Committees is currently being established.
- (g) A memorandum of understanding between the four Greater Nottingham CCGs is being developed to set out how the CCGs will work together and formalise the joint arrangements.
- (h) With regard to the Care Homes project, it was queried as to whether the outputs were overly optimistic and could be backed up with fact. Gary explained that this was variable and that some Care Homes were having a definite impact but this was not consistent.

**ACTION:**

**Gary Thompson to provide further information on the Care Homes Project.**

Gary was thanked for presenting the Accountable Officer Report.

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- **RECEIVED** the Accountable Officer Report for information;
- **APPROVED** the dis-establishment of the Corporate Assurance Committee; and
- **ENDORSED** the outlined changes to the IGMT Committee's existing terms of reference, pending receipt of the full terms of reference for virtual approval when finalised.

## GB 18 083

### Policies for Approval

Lucy Branson and Jo Simmonds presented this item, highlighting the following key points to members:

- (a) The purpose of this item is to present a key number of policies for the Governing Body's consideration and approval. These policies are joint policies to reflect the shared staffing and governance arrangements; and aligned systems and processes for the Greater Nottingham CCGs.
- (b) Members can be assured that the development of these policies has been built on policies already in existence and no radical changes have been made.
- (c) Whilst the policies apply to the Greater Nottingham CCGs, accountability for statutory duties still sits with each individual organisation. The policies reflect this important fact.
- (d) Management of Conflicts of Interest Policy:
  - This policy is based on the national guidance. The only changes of note are the addition of a section on managing conflicts of interest in new models of care, the introduction of a joint register of declared interests for the four CCGs and that the Corporate Governance team will lead on a bi-annual exercise to provide assurance that the register is accurate.
  - Whilst the national guidance advises that the register is only required to be published for 'decision-making staff', the criteria for a 'decision-maker' is particularly broad; it is therefore proposed that the CCGs continue to publish the full register.
- (e) Gifts, Hospitality and Sponsorship Policy:
  - This policy is in line with the national guidance and describes the CCGs' aligned processes for managing this.
  - Work is ongoing with the Sustainable Transformation Partnership (STP) to develop a protocol on working with the pharmaceutical industry to be utilised across the STP footprint.
- (f) Raising Concerns (Whistleblowing) Policy:
  - This policy has been developed in line with national guidance. In addition to setting out the shared processes for raising concerns across the CCGs, members are asked to note the policy statements around the importance of a culture that recognises the value of whistleblowing and encourages staff to raise genuine concerns.
  - The policy includes advice for staff on how to raise concerns, both internally and externally, as well as advice for managers on how to deal with concerns that have been raised. The policy also provides

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details on the four CCGs' Freedom to Speak up Guardians and these roles will be enacted by each CCG's Audit and Governance Committee Chair.

(g) Procurement Policy:

- This policy describes how the four CCGs will meet the legal requirements for procurement. The policy also addresses the Social Care Value Act.

(h) Information Governance Management Framework:

- Changes of note for this framework are the introduction of the EU General Data Protection Regulation and the new NHS Digital reporting pathway and grading system for Information Governance serious incidents.

(i) Integrated Risk Management Framework:

- This framework describes the joint risk architecture for the four CCGs and recognises that risk is an inherent aspect of the CCGs' business.
- Oversight of the CCGs' risk management processes is the responsibility of the CCGs' Audit and Governance Committees; as such, the committees will receive an assurance report on how the framework is being implemented during their meeting 'in common' in September 2018.
- In particular, members are asked to comment on the CCGs' joint risk appetite statement and risk tolerance level. This has been derived from previous discussions with each CCG's Governing Body and further discussions with senior managers.

The following points were raised in discussion:

- (j) Concern was expressed that the proposed risk tolerance level of 12 may be perceived differently across the organisation and this could lead to risks becoming 'normalised'. Jo advised that committees were only able to 'tolerate' risks that were primarily influenced by external factors and where there were no further actions that the CCG could take. This approach would ensure that such risks remained visible and would be re-visited every six months to check if the situation had changed.
- (k) It was queried as to whether the 'pursuit' of risk was the right terminology for the CCGs' joint risk appetite statement. Jo advised that she was capturing comments from each of the Governing Bodies in July and would consider them in totality with Senior Managers before making any changes.

Lucy and Jo were thanked for presenting the policies.

### **The Governing Body:**

**APPROVED each of the presented policies.**

## Financial Stewardship

**GB 18 084**

### **Detailed Financial Policies**

Jonathan Bemrose presented this (verbal) item and explained the following

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key points:

- (a) The existing Detailed Financial Policies for the South Nottinghamshire CCGs and Nottingham City CCG are currently being aligned to reflect the CCGs' joint governance arrangements and new staffing structure.
- (b) Other changes required include updating the policies to reflect the new Procurement Policy and the agreement of financial limits for commissioning decisions between the GNJCC and the Clinical Commissioning Executive Group.
- (c) Members are asked to delegate approving rights of the Detailed Financial Policies to the GNJCC.

### **The Governing Body:**

**AGREED** to delegate approval of the Greater Nottingham CCGs' Detailed Financial Policies to the GNJCC.

## Quality Improvement

### **GB 18 085**

#### **Nottinghamshire Child Safeguarding Board Highlight Report**

Nichola Bramhall presented this item, explaining the following key points to members:

- (a) The report provided a comprehensive overview of highlights from the Nottinghamshire Child Safeguarding Board meeting held on 13 June 2018. The full minutes would follow once ratified.
- (b) A number of items were highlighted for the Governing Body's assurance and information. No items discussed at the Board meeting warranted escalation to the Governing Body.
- (c) Members were updated on the new safeguarding arrangements; noting that the revised guidance had been published since the Board meeting and discussions with the relevant partner organisations had already taken place to consider the local response. An update on this will be presented at the next Governing Body meeting.
- (d) It has been confirmed that the Independent Inquiry into Child Sex Abuse (IICSA) will be reviewing historical arrangements in Nottingham and Nottinghamshire in October 2018. A paper on the interim findings of the review to date was provided for members' review at agenda item GB 18 086. The final report will be issued in 2020.
- (e) Elaine Maddock reported that she had recently attended a safeguarding meeting and advised that the pathway to provision was not the same for City and County. It was noted that financial contributions made to the Safeguarding Board were not the same across the partners and that the CCGs were looking at a tapered arrangement.
- (f) Services for survivors of sexual abuse were confirmed as bespoke arrangements. Nichola is working with local providers and Nottinghamshire Healthcare NHS Foundation Trust around building capacity and capability.
- (g) The ratified minutes from the Board meeting held on 14 March 2018 were provided for information. Members were reminded that a highlight

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report for this meeting had already been received.

Nichola was thanked for her comprehensive update.

**The Governing Body:**

**NOTED** the contents of the highlight report.

- GB 18 086**      **Independent Inquiry into Child Sexual Abuse – Interim Findings**  
Members had reviewed and discussed this report as part of agenda item GB 18 085.

**Corporate Assurance**

- GB 18 087**      **Greater Nottingham Joint Committee Quarterly Assurance Report**  
Lucy Branson presented the report and highlighted the following points:
- a) This is the first assurance report from the Greater Nottingham Joint Commissioning Committee (GNJCC) to the Governing Body, so feedback on its fitness for purpose is welcome.
  - b) The report is structured to update the Governing Bodies on the work the JCC has undertaken so far and provide assurance that it is effectively discharging its delegated duties. The report covers:
    - An update as to how the GNJCC has established its sub-committee structure and gains assurance as to how these committees are operating;
    - The work undertaken to develop the Greater Nottingham CCGs' shared strategic objectives;
    - Reports received by the GNJCC on quality and performance and an overview of any actions taken;
    - The GNJCC's endorsement of the Operational Plan and the development of a programme of thematic reviews incorporating priority areas.
    - The GNJCC's established monthly financial reporting requirements, covering the overall financial position, statutory financial duties and delivery of the Financial Recovery Plan.
    - An overview of major risks reviewed by the GNJCC
    - Updates from the Nottingham and Nottinghamshire STP Leadership Board.
  - c) The GNJCC also received an update on the NHS Treatment Centre re-procurement and approved the proposed governance arrangements to oversee this.
  - d) With regards to finance, Jonathan Bemrose advised that more recent information was now available and this had been discussed at the Finance Committee that morning. Members were updated as follows:
    - Each Greater Nottingham CCG was over on acute spend and prescribing. This equated to £6.5 million for quarter one 2018/19 and was being balanced by contingencies.
    - Work is ongoing with financial recovery to re-visit the level of risk attributed to schemes. This would be considered further by the

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Clinical Commissioning Executive Group.

- Specialised Commissioning had advised of a large under-spend at the Contract Executive Board that morning. Nottingham University Hospitals NHS Trust (NUHT) had reported a large amount of un-coded activity, which was now being investigated by the CCGs' performance team.
- In summary, further work was needed to improve the financial position and at this stage of the year and the CCGs were not on track to achieve the control total for 2018/19. CCG reviews had shown ways to make more savings, particularly in managing demand and these, along with other potential opportunities, would be progressed further with managers.
- The current financial situation did not warrant the CCGs going into the escalation process; however, it had been raised with NHS England as an offline risk to ensure early transparency of the situation.
- The CCGs' position was still favourable when benchmarked against peer organisations.
- A meeting was planned with Tracey Taylor (Chief Executive of NUHT) to get assurance on actions around NUHT's performance.

The following points were raised in discussion:

- e) With regard to finance, it was queried as to whether the decline in position was forecasted. Jonathan responded that the target to save £52M was always ambitious; adding that there was a predicted under-spend when STPs first formed, so this was somewhat expected.
- f) It was observed that the Quality section of the report appeared light compared to other sections. It was explained that this due to the timing of the quarterly Quality reports to the GNJCC and that the next report would contain more detail.
- g) With regards to the format of the report, members requested that finance information be broken down by CCG and to consider adding an executive summary of the contents which clearly highlighted any issues.

### **ACTION:**

**Lucy Branson to consider members' comments on the format of the report in advance of the next meeting.**

### **The Governing Body:**

**RECEIVED** the GNJCC's Quarterly Assurance Report and provided feedback on future reporting requirements.

## **GB 18 088**

### **Assurance Framework**

Lucy Branson presented the Assurance Framework and summarised the following key points to members:

- a) A joint Governing Body Assurance Framework has now been developed for the CCGs and this has been based on the CCGs' draft strategic objectives. Internal Audit colleagues have been involved in the development process to ensure it is fit for purpose and will meet the



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- requirements of the year-end Head of Internal Audit Opinions.
- b) Work is still needed to fully populate the Assurance Framework and ensure it fulfils its potential as a valuable source of assurance to the Governing Bodies.
  - c) Approval of the proposed strategic risks is requested at this stage to enable further work to progress.

The following points were raised in discussion:

- d) Members queried whether risk 20 around the delivery of delegated Primary Care commissioning function was scored highly enough as there are clear pressures impacting on the Primary Care workforce. Lucy advised that the risk was specific to the delegated duties and that workforce pressures were captured separately as operational risks on the Risk Register.
- e) It was felt that risk 18 around financial reporting arrangements did not reflect the specific risk to achieving the control total. It was explained that the framework should provide assurance that controls are in place to monitor this and any actual operational risks should be on the Risk Register.

Lucy was thanked for presenting the item.

### **ACTION:**

**Lucy Branson to consider members comments on the risks prior to the next review of the Assurance Framework.**

### **The Governing Body:**

- **APPROVED** the proposed strategic risks as shown in the opening position of the 2018/19 GNCCP Assurance Framework; and
- **NOTED** that further work is necessary to develop the GNCCP Assurance Framework to its full potential.

## **GB 18 089**

### **Primary Care Commissioning Committee Report**

The Governing Body received the minutes and highlight report from the Primary Care Commissioning Committee meeting held on 13 March 2018. It was noted that:

- A self-reported assessment of compliance in relation to Primary Care polices would be included in the annual Primary Care Activity Report.
- The GP Enhanced Delivery Scheme and other Enhanced Services for 2018/19 was presented to the committee and this highlighted the need for a contract variation to the 2017/18 enhanced service in relation to the prescribing of antiviral drugs throughout the flu season.
- The Committee were updated on plans to align the commissioning of primary care across the four Greater Nottingham CCGs, specifically non-core services. Proposals had been developed to align all Local Enhanced Services, including any "GP enhanced specifications" with effect from 1 April 2018.

### **The Governing Body:**

**NOTED** the work of the Primary Care Commissioning Committee.

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### **GB 18 090      Audit and Governance Committee Report**

The Governing Body received the minutes and highlight report from the Audit and Governance Committee meeting held on 24 May 2018. It was noted that:

- The Greater Nottingham CCGs' Annual Reports and Final Head of Internal Audit Opinions were presented. Each CCG had been issued with an opinion of significant assurance.
- The final version of the Annual Reports and Accounts 2017/18 was approved and signed by Sam Walters following the meeting.

#### **The Governing Body:**

**NOTED** the work of the Audit and Governance Committee.

### **GB 18 091      Clinical Cabinet Report**

The Governing Body received the minutes and highlight report from the Clinical Cabinet meeting held on 16 May 2018. It was noted that:

- An update had been received on the work undertaken for progression towards a federated way of working. The federation had been invited to tender by NHS England to provide an extended out of hours service which would begin October 2018. The practices would need to formally agree to federated working in order to tender for this service.

#### **The Governing Body:**

**NOTED** the work of the Clinical Cabinet.

### **GB 18 092      Patient and Public Involvement Committee Report**

The Governing Body received the minutes and highlight report from the Patient and Public Involvement Committee meetings held on 9 January and 29 March 2018. It was noted that:

- Updates had been received on the engagement plan for Urgent Care; the Waste Medicines and Over the Counter (OTC) campaigns and the work of being performed by Connected Notts.

#### **The Governing Body:**

**NOTED** the work of the Patient and Public Involvement Committee.

## Information Items

### **GB 18 093      Quality and Risk Committee Report**

The minutes of the South County CCGs' last Quality and Risk Committee were received for information. It was noted that this was the last meeting in the previous CCG governance arrangements.

## Closing Items

### **GB 18 101      Any other business**

Janet Champion gave her apologies for the October 2018 meeting.

No other business was raised.

### **GB 18 102      Risks identified during the course of the meeting**

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No risks were identified to add to the risk register

**GB 18 103**

**Date of next meeting:**

Tuesday 16 October 2018

*Chappell Room Civic Centre, Arnot Hill Park, Arnold, Nottingham, NG5 6LU*

**Confidential Motion**

The Governing Body resolved that representatives of the press and other members of the public were excluded from the remainder of this meeting on the basis that, having regard to the confidential nature of the business to be transacted, publicity would be prejudicial to the public interest. (Section 1[2] Public Bodies [Admission to Meetings] Act 1960).

**SIGNED** ..... **Chair**

**DATE** .....