

WOLVERHAMPTON CCG

GOVERNING BODY
11 APRIL 2017

Agenda item 9

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| TITLE OF REPORT: | Interim Arrangements – Audit and Governance and Finance and Performance Committee |
| AUTHOR(s) OF REPORT: | Peter McKenzie, Corporate Operations Manager |
| MANAGEMENT LEAD: | Claire Skidmore, Chief Finance and Operating Officer |
| PURPOSE OF REPORT: | This report asks the Governing Body to approve an interim arrangement for the Lay Member for Finance and Performance to act as Chair of the Audit and Governance Committee and for the Deputy Chair of the Audit and Governance Committee to deputise for them on the Finance and Performance Committee whilst the Lay Member for Audit and Governance is covering the Governing Body Chair vacancy. |
| ACTION REQUIRED: | <input checked="" type="checkbox"/> Decision <input type="checkbox"/> Assurance |
| PUBLIC OR PRIVATE: | This Report is intended for the public domain |
| KEY POINTS: | <ul style="list-style-type: none"> • Whilst the Lay Member for Audit and Governance is covering the CCG Chair Vacancy, it is not appropriate for him to act as Audit Chair. In particular, it is difficult for him to fully discharge the role of Conflict of Interest Guardian and the Governing Body will need to make alternative arrangements. • The Lay Member for Finance and Performance, as a Governing Body Member and former Member of the Audit and Governance Committee, is the most appropriate person to take this role on. • Cover will therefore be required for the substantive Lay role for Finance and Performance and the Deputy Chair of the Audit and Governance Committee is a qualified person available to take this role on for the interim period. |
| RECOMMENDATION: | <ol style="list-style-type: none"> 1. That Peter Price, Lay Member for Finance and Performance be appointed to act as interim Chair of the Audit and Governance Committee whilst the Lay Member for Audit and Governance is covering the Governing Body Chair 2. That Les Trigg, Deputy Chair of the Audit and Governance Committee be co-opted on to the |



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| | Governing Body to cover the role of Lay Member for Finance and Performance for the Interim Period. |
| LINK TO BOARD ASSURANCE FRAMEWORK AIMS & OBJECTIVES: | [Outline how the report is relevant to the Strategic Aims and objectives in the Board Assurance Framework – See Notes for Further information] |
| 3. System effectiveness delivered within our financial envelope | <u>Continue to meet our Statutory Duties and responsibilities</u> The responsibilities of the Audit and Governance Committee are set out in legislation. The Conflict of Interest Guardian role is established through statutory guidance. Taking proactive steps to ensure these roles are fulfilled will help to ensure that the CCG meets these obligations. |

1. BACKGROUND AND CURRENT SITUATION

- 1.1. Following the decision of the Governing Body’s decision to appoint the Lay Member for Audit and Governance as Interim Chair of the Governing Body, alternative arrangements need to be made to cover his substantive role as Chair of the Audit Committee.
- 1.2. In addition to ensuring that chairing arrangements are in place for key Audit and Governance Committee meetings over the upcoming months, including those dealing with the sign off of accounts, it will be necessary for the role of Conflict of Interest Guardian to be covered. This is a statutory role established through the national guidance on managing Conflicts of Interest

2. PROPOSED APPROACH

- 2.1. As the Chair cannot continue to act as Audit Chair, it is proposed that the Lay Member for Finance and Performance take this role on an interim basis. As a former member of the Audit and Governance Committee he has demonstrated both the skills and experience to take on the Audit Chair’s role. This will also ensure that a suitable member of the Governing Body covers the role of Conflict of Interest Guardian.
- 2.2. In order to take on the Audit and Governance Committee role, backfill arrangements will be required for the role of Finance and Performance Committee. Due to the crossover of skills and experience required, it is recommended that the Governing Body co-opts Les Trigg, the current Deputy Chair of the Audit and Governance



Committee on to the Governing Body to take on this role in the interim period. Mr Trigg has served on the Audit and Governance Committee since 2013 and has a strong background in financial matters.

- 2.3. Both Mr Trigg and Mr Price have been approached and have confirmed that they are willing to serve in these respective capacities. As this is an interim arrangement, Mr Trigg will remain as a member of the Audit and Governance Committee. As a consequence of these arrangements, Mr Price will also chair the CCG's remuneration committee and Mr Trigg will join the Primary Care Committee to act as its Deputy Chair.

3. CLINICAL VIEW

- 3.1. Not applicable.

4. PATIENT AND PUBLIC VIEW

- 4.1. Not applicable.

5. KEY RISKS AND MITIGATIONS

- 5.1. This report does not relate to any specific risks on the risk register. The recommendation mitigates potential risks associated with the Chair of the Audit Committee and Conflict of Interest Guardian role not being covered.

6. IMPACT ASSESSMENT

Financial and Resource Implications

- 6.1. These interim arrangements will involve backfill remuneration in line with the substantive Lay Member posts for Audit and Governance and Finance and Performance. This will be met from the existing running costs budget underspend as a result of vacancies.

Quality and Safety Implications

- 6.2. There are no Quality and Safety implications arising from this report.

Equality Implications

- 6.3. There are no Equality implications arising from this report.

Legal and Policy Implications



6.4. The recommendations in this report ensure that the CCG will have arrangements in place to meet the requirements of statutory guidance in relation to Conflicts of Interest Guidance.

Other Implications

6.5. There are no other implications arising from this report.

Name Peter McKenzie
Job Title Corporate Operations Manager
Date: April 2017

RELEVANT BACKGROUND PAPERS

NHS England, Managing Conflicts of Interest Guidance

REPORT SIGN-OFF CHECKLIST

This section must be completed before the report is submitted to the Admin team. If any of these steps are not applicable please indicate, do not leave blank.

| | Details/ Name | Date |
|---|--------------------------|-------------------|
| Clinical View | N/a | |
| Public/ Patient View | N/a | |
| Finance Implications discussed with Finance Team | Claire Skidmore | 29/03/2017 |
| Quality Implications discussed with Quality and Risk Team | N/a | |
| Equality Implications discussed with CSU Equality and Inclusion Service | N/a | |
| Information Governance implications discussed with IG Support Officer | N/a | |
| Legal/ Policy implications discussed with Corporate Operations Manager | Report Author | 29/03/2017 |
| Other Implications (Medicines management, estates, HR, IM&T etc.) | N/a | |
| Any relevant data requirements discussed with CSU Business Intelligence | N/a | |
| Signed off by Report Owner (Must be completed) | Peter McKenzie | 29/03/2017 |



