

GOVERNANCE COMMITTEE

Unadopted Minutes of the meeting of the Governance Committee held on
Monday 20 July 2009 15.00 – 17:00, Bessemer Room, 722 Prince of Wales Road, Sheffield

Present:

Jan Sobieraj	Chief Executive (Chair)	(JS)
David Barker	Risk and Health and Safety Adviser	(DCB)
Louise Brewins	Head of Research, Analysis and Evaluation (on behalf of the Director of Public Health)	(LB)
Jill Dentith	Head of Corporate Services	(JED)
Simon Kirk	Director of Strategy	(SK)
Sue Laing	Corporate Services & Facilities Manager	(SL)
Zak McMurray	Joint PEC Chair	(ZM)
Julia Newton	Director of Finance	(JN)
David Sloboda	Internal Audit Manager	(DS)
Sally Soady	Head of IT Services	(SS)
Chris Stocks	Head of Human Resources	(CS)
Rachel Wilson	Head of Professional Standards	(RW)

In attendance:

Jim Williams	Administrative Assistant	(JHW)
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Item

ACTION

20/09 Apologies

Beverley Baker (BB); Ian Atkinson (IA).

21/09 Statement by the Chair

As this was the inaugural meeting of the Governance Committee, JS highlighted that the new format would provide a clearer agenda and focus for Committee members. The single Commissioning brief would enable members to concentrate on the PCT's responsibilities as a statutory body. It would enable them to discern what is required to ensure that the organisation is resilient and proactive regarding the risk factors inherent in its work. He advised that this initial meeting should serve to deal with the transition from the last meeting of the Governance Group and to take up the residual action points.

22/09 Minutes of the Governance Group Meeting held on 24 June 2009

- a) SL requested that her name be added to the list of attendees of the meeting.
- b) SL requested the following amendment to **Matters Arising 27/09 Corporate Services:**

With regard to Brincliffe House, SL confirmed that John Rannigan would be taking forward a review of the options available in relation to this property but that this had not yet commenced.

In relation to the Exeter system, SL reported that capital funding had been identified to move the server to 722 Prince of Wales Road, but that the timescales had slipped given the current pressures as a result of the Swine flu pandemic.

- c) Amendment to **AOB 18/09:**

Action Point: To review the reporting arrangements for the revised Governance Committee and to produce a chart reflecting this.

- d) LB advised that the title of **10/09** should in future be amended to read **Research Governance**.

23/09 Matters Arising

a) 27/09 Corporate Services

The Group discussed the complexities surrounding the dual issue of the poor state of repair to the roof of Brincliffe House, and the risk to the equipment within the Exeter server room. Given the high risk of disruption to the service, JS requested that these issues were addressed as a priority and re-emphasised the need for a rapid solution. SL confirmed that she and JED continued to liaise with John Rannigan regarding the structural issues. SS addressed the proposed movement of the computer hardware. **Action Point: It was agreed that priority should be given to moving the Exeter hardware and server to 722 Prince of Wales Road. The option to repair the roof should also be considered as an alternative if moving the server was not feasible. SS to produce a report setting out the logistics of the move which included costings in order to resolve the issue.**

SS

b) 07/09 Corporate Services

It was noted that the identification of building managers in relation to properties occupied by Provider Services colleagues continued to be discussed. However CS explained that in the interim it had been

agreed to identify six key staff each of whom would have a portfolio of up to ten properties for which they were responsible and until building managers could be identified. An appropriate health and safety training plan was in the process of being developed which would be available for all new building managers as and when they were identified.

c) 44/09 Information Governance Group

Regarding the GP Information Governance Statement of Compliance (GPIGSoC), SS commented that there were 3 practices yet to respond. She assured the Committee that there were no outstanding consequences for the PCT and that once the remaining practices demonstrated full compliance the Information Governance Group would be in a position to sign-off this issue.

d) 45/09 Corporate Services

DCB reported on the small number of current legal actions on which there had been little progress since the last report. There were no issues likely to be of significant consequence for NHS Sheffield.

e) 62/09 Risk Report

The Committee noted that an update concerning the Health and Safety Executive Report was an item on the Agenda.

f) 27/09 (29.04.09 Meeting)

Regarding the risk of causing harm through the use of medical equipment, DCB confirmed the reduction of this risk to medium. Committee members approved this change.

g) 80/09 Corporate Services

a) DCB reported that Helen Stevens had agreed to work with him to publicise risk reporting within the PCT, which would initially be through the newly revised Health and Safety webpage. The need to measure the effectiveness of the publicity was recognised and CS suggested that the Staff Survey may prove an effective tool to do this.

b) DCB confirmed that the Terms of Reference for the Information Security Forum had been circulated. He added that he was satisfied that the ToFR expressed the remit of the Forum. The Forum would seek to create informal links throughout the organisation and would monitor security related issues on an ongoing basis. **Action Point: DCB to report progress to the September meeting of the Committee.**

DCB

i) 05/09 Board Assurance Framework

The Committee members agreed that sufficient mechanisms were in place to monitor the Commissioner BAF.

j) 08/09 Corporate Services

a) DCB confirmed that he had spoken with Alison Hales regarding a comprehensive training programme for those appointed to take up responsibilities for building management. The Committee noted that this matter appeared as an Item on the present Agenda (within Paper O – the Health and Safety Inspection Report).

b) DCB confirmed that should any SUIs arise as a result of commissioning activity, these would be presented to the Governance Committee, all other SUIs would be presented the Assurance Committee.

24/09 Board Assurance Framework

The Committee received and noted the following papers regarding the Board Assurance Framework: a) BAF Report July 2009 (Paper C); b) Commissioner BAF (Paper D).

a) Members noted the need to continually review the BAF and to ensure links were maintained with Non-executive Directors (NEDs) as well as David Barron, the World Class Commissioning (WCC) Programming Manager, particularly as governance and risk were a key focus of WCC. The Committee noted that it had not received the Provider Services BAF but that in future this would be reviewed through the Provider Services governance structure. **Action Point: JN to raise formally at the Provider Services Management Board and ensure that a copy of the Provider Services BAF is made available to JED/SKL.**

JN

b) SK and JS highlighted the need for the Committee to remain vigilant and proactive concerning the issues, developments and changes facing the PCT, and therefore effectively providing assurances to the Board. JED informed members that deputies were now meeting on a monthly basis with the Deputy Head of Internal Audit to review and update the BAF. Guidelines had also been developed to review the principal risks and to review the assurances within the BAF in an attempt to enhance the level of review and challenge to these assurances. JN reiterated the need for the Committee to focus on the concerns pertinent to Sheffield PCT, rather than simply those that technically fulfil requirements. **Action Point: JED to update the Governance Committee on progress in relation to development of the BAF.**

JED

c) Regarding Business Continuity in the light of the Swine Influenza Pandemic, JS emphasised the necessity for a robust and flexible staffing structure. Moreover, he stated the importance of monitoring the associated risks. SK highlighted the need for closer links between the BAF and Risk Register reports in order to aid concentration on the fundamental issues.

25/09 Information Governance Group

The Committee received and noted the following papers from the Information Governance Group: a) Information Governance Group Meeting Minutes 03.06.09 (Paper E); b) Information Asset Owner – Draft Job Description (Paper F); c) System Security Policies Document (Paper G); d) Freedom of Information Report – June 2009 (Paper H); e) Freedom of Information Requests – June 2009 (Paper I); f) Information Governance and Encryption (Paper J).

SS addressed Paper J (the letter from Rob Cooper of NHS Yorkshire and the Humber regarding Information Governance and Encryption). She stated that the encryption of all laptops and memory sticks used by Sheffield PCT would be completed by the end of July. Moreover, the remaining areas formerly classified as amber would reach green status, also by the end of July. Furthermore, NHS Sheffield (Commissioning) would produce a Register of Information Assets with an accompanying list of Asset Owners.

JS commented that the letter from Yorkshire and the Humber had proved useful, as it provided a high-level view of the requirements necessary to demonstrate compliance. **Action Point: Mark Wilkinson to prepare the reply to Rob Cooper’s letter for signature by JS.**

MW

26/09 Corporate Services

The Committee received and noted the following papers from Corporate Services: a) Risk Report July 2009 (Paper K); b) Risk Register Report – July 2009 (Paper L); c) Updated Governance Structure (Paper M).

a) DCB confirmed that directorates were starting to take ownership of the Risk Register. Members considered the contingency plans regarding the Influenza Pandemic. The risk ranking remained at High, therefore the Controls and Business Continuity Plans in place needed to be robust in order to maintain the PCT’s core business capability.

SK suggested that there should be a mechanism within the Risk Register that recorded who had contributed updates and when alterations had been made. It was also suggested that the Directors should control the access to the Register.

Action Point: DCB to enhance the Risk Register to provide an ongoing record of updated information.

DCB

DCB to establish an access control system for Directors.

DCB

DCB to speak with Paul Redgrave (PR) regarding any potential risks regarding contractual aspects of the Pandemic Influenza plans.

DCB

b) Turning to Paper M, the Updated Governance Structure was discussed. Work to review the structure of groups reporting into the Governance Committee was also underway. In relation to the Corporate Equality and Human Rights Group, the Internal Safeguarding Children Group and the Human Resources Governance

Group it was agreed to look towards and amalgamation of all of these groups. **Action Point: DCB will arrange for the subsequent amendments to the Governance Structure Chart.**

DCB

c) Action Point: JED agreed to meet with Penny Brooks Cordon to discuss the possibility a joint group to review Corporate Equality and Human Rights, internal safeguarding and HR Governance. JED to provide an update to the September Committee meeting regarding this.

JED

JED

27/09 Health and Safety Executive Report

The Committee received and noted the following papers regarding the Health and Safety Executive Report: a) Health and Safety Executive Report – Summary of Recommendations (Paper N); b) Health and Safety Inspection Report – Final Audit Report (Paper O).

Using Paper N (Health and Safety Executive Report – Summary of Recommendations), DCB outlined the Action Plan assembled to monitor the PCT's response to the Health and Safety Executive (HSE) Report. He stated that the PCT had made good progress in many of the categories and that the PCT was on course for meeting the HSE deadlines in relation to Improvements.

JED informed members that the Health and Safety Group meeting on 27.07.09 would receive the Draft Health and Safety Policy. JS advised that all policies should reflect the reality of the situations facing Sheffield PCT. **Action Point: DCB to table the Draft Health and Safety Policy at the forthcoming Health and Safety Group. The policy would be submitted to the September meeting of the Board for approval.**

DCB

28/09 Approval of Policies

The Committee received and approved the Investigation of Incidents, Complaints and Claims Policy (Paper P).

Members noted that the Committee now held the authority to approve policies, thus removing the need for submission to the Board. Approval of the Investigation of Incidents, Complaints and Claims Policy was based on guidance issued by the NHS Litigation Authority (NHSLA). In response to a question from SK, JED explained that both the Commissioning and Provider Services Governance bodies may now approve policies.

Action Point: Following advice from RW that the Policy requires an Equality Impact Assessment, JED agreed to take this forward within her team.

JED

29/09 Safeguarding Children Group

The Committee received and noted the Safeguarding Children Activity Report (Paper Q).

It was agreed that the paper should be received by the Assurance Committee. RW commented that the Care Quality Commission Safeguarding Review would address employer concerns in relation to staff training. It was agreed that these issues should also be picked up by the Assurance Committee. **Action Point: RW to submit the paper to the Assurance Committee.**

RW

30/09 Financial Governance

JN stated that she would inform the Committee of any exceptional financial matters. The Committee agreed that Financial Governance would remain as a standing item on the Agenda.

31/09 Any Other Business

JS advised that the Committee should in future focus its attention on the BAF, Risk and Health and Safety issues, and Information Governance. He stressed that an important function of the Committee was to debate any actions which arise from the papers submitted for consideration.

32/09 Date, Time and Venue of Next Meeting

Monday 21 September 2009, 14:00 – 16:00, Boardroom.