**Agenda Item:**

**Report to:** Governing Body

**Date of meeting:** 17/02/2022

**Date paper distributed:** Click or tap to enter a date.

**Subject:** Annual Review of Board Assurance Framework

**Presented by:** Laura Whitton

**Previously distributed to:** N/A

**STATUS OF THE REPORT *(auto check relevant box****)*

**Decision required**

**For Discussion to give Assurance**  *(Only if requested by Committee member prior to meeting)*

**For Information**

**Report Exempt from Public Disclosure**   No  Yes

|  |  |
| --- | --- |
| **PURPOSE OF REPORT:** | North East Lincolnshire CCG Board Assurance Framework (hereafter CCG BAF) acts as a high-level risk identification system and provides a structure and process that enables the CCG to focus on the principal risks.  The BAF enables the Governing Body to review each of the risks, analyse the controls and assurances, clearly identify any gaps and the actions needed to address them.  To support the Governing Body in carrying out its duties effectively the Integrated Governance & Audit Committee monitors the BAF on a quarterly basis, which ensures robust and adequate progression of the risks are kept live and relevant. This Integrated Governance & Audit Committee informs and escalates any risk to the Governing Body as and when required. |
| **Recommendations:** | The Governing body are asked to note  • The update provided.  • Review the BAF and identify any gaps and  • The level of assurance received by the CCG, in relation to its strategic risks and  comment where appropriate. |
| **Clinical Engagement** | N/A |
| **Patient/Public Engagement** | N/A |
| **Committee Process and Assurance:** | Integrated Governance & Audit Committee |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Link to CCG’s Priorities** | * Sustainable services * Empowering people |  | * Supporting communities * Fit for purpose organisation |  |
| **Are there any specific and/or overt risks relating to one or more of the following areas?** | * Legal * Finance * Quality * Equality analysis (and Due Regard Duty) |  | * Data protection * Performance * Other |  |

**Provide a summary of the identified risk**

|  |
| --- |
| Failure to implement an effective risk management process could result in the CCG failing to effectively recognise and manage its principal risks which could prevent necessary mitigation being undertaken and potentially impact on our patients/community. The BAF contains key risks in relation to legal/finance/quality and performance. |

**Executive Summary**

The CCG Governing Body should have the opportunity during the financial year to monitor the assurance it has received and identify any gaps that should be addressed to be assured. Where gaps are identified, or key controls and assurances are insufficient to reduce the risk of non-delivery, action needs to be taken. Planned actions will enable the Governing Body to monitor progress in addressing gaps or weaknesses and to ensure that resources are allocated appropriately.

**Key Progress 2021- 22**

2021-22 has been another challenging year for the CCG working under different circumstances, priorities, and pressures. It was evident that we needed to re-consider our approach to risk management. Risk management become a more integrated approach covering performance and CCG priorities with a single monitoring reporting via the CCG Operational Leadership Team and reporting to the Integrated and Audit Committee. However, due to the further pressures namely in relation to COVID 19 this approach has been put on hold.

Unfortunately, the proposed Governing Body workshop for September 2021 was cancelled. It was agreed at the Integrated Governance & Audit Committee in December for the Chair, Chief Finance Officer and Corporate Assurance Officer to undertake a deep dive risk review and define the risks associated with the transition/ developments of the Integrated Care Board and the Health Care Partnership and how these will be managed.

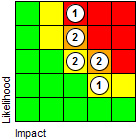
To assure the Governing Body, all risks continue to be monitored on a 3-month systematic approach.

Every year Internal Audit assesses the effectiveness of controls in place within the CCG and provides an annual opinion in support of the CCG’s Annual Governance Statement. The BAF provides the basis for the preparation of a fair and representative Annual Governance Statement. It is the subject of annual review by both Internal and External Audit. The outcome of the audit has yet to be shared with CCG, however this will form part of the annual Head of Internal Audit Opinion.

**Current Position**

|  |  |
| --- | --- |
|  | February 2022 |
| Total number of risks | 8 |
| High level risks (rated at 15+) | 1 |
| Medium to high level risks (rated at 12+) | 4 |
| Low to medium level risks (rated at 9+), | 2 |
| Low level risks (rated at 3+) | 1 |

As at the 8 February 2022, there are currently 8 risks on the Board Assurance Framework, of these, 1 has a current risk rating of high (15 or above), please refer to table below.



The table below demonstrates the principal risks (that is a risk rating of 15 and above) as of 8 February 2022

|  |  |  |  |
| --- | --- | --- | --- |
| **Risk Code** | **Risk Summary** | **Current risk rating** | **Controls** |
| CCG- BAF.3006 | COVID 19 - The NHS is currently dealing with the global health emergency created by the Covid-19 pandemic, and we have now entered into the recovery phase. The risk has possible implications for both the CCG as an organisation and providers and patients. The NHS has put in place measures to ensure the safety of patients and staff while delivering services. The NHS is currently completing plans to resume pre-Covid levels of activity whilst also planning for a potential second spike and the impact of Winter which could result in potential staffing shortages due to sickness, carers leave and increased patient attendances. The CCG premises is closed, and staff are working from home with continued support. | **16** | **Assurance on controls**  All working groups on Covid-19 have action plans which are regularly updated. The Union Outbreak Control Steering Group meets monthly and updates the NEL Outbreak Management Plan. Covid-19 is a strategic risk for NELC and both CCG and NELC staff are involved in its mitigation.  CCG Covid 19 Risk committee established and meets weekly to oversee the work undertaken and decisions made as part of the covid response on behalf of the Governing Body  **Positive Assurances**  • Leadership Team (Union)  • NEL Covid 19 outbreak control steering group  • Senior Leadership Team (CCG)  • HCV Strategic Group  • Northern Lincolnshire A&E Delivery Board  • Risk committee – oversees the emergency decisions whilst the CCG Governing Body and committees are stood down  • Humber Health Cell  **Gaps in controls**  The CCG business continuity plan has now been reviewed, but there are still some gaps in support from NELC IT including an out of hours number to call for issues. The CCG relies heavily on IT solutions as a fully agile workforce.  • Test and trace can cause absences to health and care staff due to contact tracing  • Staff absences can surge with Covid-19 spread, particularly in schools. For example, when the schools returned in both September 2020 and 2021, there was a surge in staff absence associated with children being sent home and staff needing to be off for childcare, or due to positive cases resulting from school spread. This has been mitigated slightly as a lot of restrictions in schools have now been relaxed.    **Gaps in assurances**  None |

**Supporting Papers**

* Full Board Assurance Framework Report