

Agenda Item: 05

Report to: Governing Body
Date of meeting: 11/03/2021
Date paper distributed: **08/03/2021**
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	<input type="checkbox"/>
For Discussion to give Assurance	<input checked="" type="checkbox"/> (Only if requested by Committee member prior to meeting)
For Information	<input type="checkbox"/>
Report Exempt from Public Disclosure	<input type="checkbox"/> No <input type="checkbox"/> Yes

PURPOSE OF REPORT:	<p>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.</p> <p>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.</p> <p>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.</p>
Recommendations:	<p>The Governing body are asked to note</p> <ul style="list-style-type: none"> • 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	<ul style="list-style-type: none"> • Sustainable services <input checked="" type="checkbox"/> • Empowering people <input checked="" type="checkbox"/> 	<ul style="list-style-type: none"> • Supporting communities <input checked="" type="checkbox"/> • Fit for purpose organisation <input checked="" type="checkbox"/>
Are there any specific and/or overt risks relating to one or more of the following areas?	<ul style="list-style-type: none"> • Legal <input checked="" type="checkbox"/> • Finance <input checked="" type="checkbox"/> • Quality <input checked="" type="checkbox"/> • Equality analysis (and Due Regard Duty) <input type="checkbox"/> 	<ul style="list-style-type: none"> • Data protection <input type="checkbox"/> • Performance <input checked="" type="checkbox"/> • Other <input checked="" type="checkbox"/>

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.

Impact on COVID 19

Due to the added pressures in the system and added pressure on the workforce, the mapping of the strategic objectives has been put on hold and will be developed in 2021/22. In October 2020 the lay members of the Integrated Governance and Audit Committee, together with the Chief Finance Officer and the Corporate Governance Officer met to consider how we can make our risk management processes more effective, with closely integrated. This proposal was shared with the CCG Senior Leadership Team for further consideration.

During the COVID 19 pandemic, the CCG has been working under different circumstances, priorities, and pressures in the system, therefore it is felt this is the appropriate time to consider how we identify and manage risks at both strategic and operational level. As part of the overall 2021 strategic plan, it will be vital that risk management becomes 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.

Key Progress 2020-21

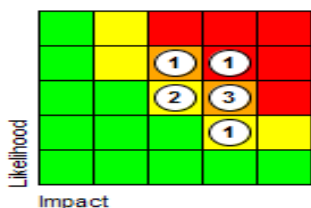
Risk Management reviews – these were completed during quarter 2 and again had a positive approach. These created a lot of activity during the first two quarters of 2020 and risks were re-shaped due to the current and the long-term impact of COVID 19, of which common themes were identified particularly in relation to our performance/finance risks. The collaboration work across the wider system has proven valuable during the pandemic which has resulted in some risks being closed or a reduced residual risk and we need to ensure this way of working remains sustainable.

Assurance Mapping – 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.

A recent internal audit of the CCG BAF has recently taken place 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

As at the 25 February 2021, 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.



	February 2021
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

The table below demonstrates the principal risks (that is a risk rating of 15 and above) as at 25 February 2021

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 entering 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	<p>Assurance on controls All working groups on COVID-19 have action plans which are regularly updated. The Union Outbreak Control Steering Group meets weekly 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 COVID19 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</p> <p>Positive Assurances</p> <ul style="list-style-type: none"> • Leadership Team (Union) • NEL COVID 19 outbreak control steering group • Senior Leadership Team (CCG) • HCV Strategic Group • HCE COVID-19 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 <p>Gaps in controls The CCG business continuity plan is currently being reviewed and needs further detail in terms of business-critical functions. Test and trace can cause absences to health and care staff due to contact tracing. The introduction of lateral flow testing for asymptomatic staff presents an issue for staffing capacity which is not fully explored. Only introduction of the initiative will show whether high positivity rates will be detected. The learning from Liverpool and other NHS Trusts is that the positivity rate is minimal.</p> <p>Gaps in assurances None</p>

Supporting Papers

- Full Board Assurance Framework Report