

Governing Body

5 August 2020

Corporate Assurance Report 2020-21 Qtr 1

Lead Executive:	Chris Edwards, Chief Officer
Lead Officer:	Ruth Nutbrown

Purpose:
To provide intelligence to Governing Body members on Corporate Business for the periods April to June 2020 (Qtr 1 20-21).
Background:
This is a quarterly report presented to Governing Body members to provide assurance regarding the following elements of corporate business: Risk management, external assessment, corporate governance, information governance and staffing governance.
Analysis of key issues and of risks
There are no key risks highlighted in this report.
Patient, Public and Stakeholder Involvement:
Nil
Equality Impact:
Nil
Financial Implications:
Nil
Human Resource Implications:
Nil
Procurement Advice:
Nil
Data Protection Impact Assessment:
Nil
Approval history:
Qtr 1 report has been presented to the AQuA committee at its 5 August 2020 meeting
Recommendations:
That Governing Body members note the activity during the quarter. Paper is for noting.

Corporate Assurance Report

Quarter 1 2020-2021

1 April to 30 June 2020

C o n t e n t s

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National Incident																																																								
CAR 331	<p>On the 25th January 2020 The Foreign and Commonwealth Office advised against all travel to China's Hubei province due to an outbreak occurring. This followed swiftly with the declaration of a level 4 National Incident on the 30th January and on the 31st January the first 2 cases of Coronavirus in the UK were confirmed.</p> <p>A level 4 incident is one that required NHS England to put in place national Command and Control to support the NHS response. On the 16th March 2020 the Prime Minister Boris Johnson told the UK to stop non-essential contact with others and to stop all unnecessary travel, and to start to work from home.</p> <p>NHS Rotherham CCG responded to this by hosting the April GB meeting virtually, whilst enacting a suspension to its Standing Orders allowing the GB to meet in confidential session only during this time.</p> <p>The CCG also set up its own command and control structure linking into the Rotherham Place structure, AQUA and GB members have been briefed on this in previous meetings. The Incident Control Team (ICT) commenced meeting on the 16th March and have continued to meet regularly throughout the pandemic. Latest guidelines are these meetings will continue during phase 3. Along with the ICT was an issues log which is updated at every meeting. Again AQUA and GB have seen copies of the issue log and this replaced the GBAF, Risk Register and Issues Log during the Pandemic.</p> <p>Throughout this report the Covid-19 Pandemic and Social distancing guidelines are referred to.</p>																																																							
Ref 1 Risk Management																																																								
CAR 332	<p>Governing Body Assurance Framework (GBAF)</p> <p>The Assurance Framework is used for recording strategic risks (i.e. risks affecting achievement of the CCG's strategic objectives). The GBAF was presented to AQUA on 7th January 2020 and Governing Body on 8th January 2020.</p> <p>GBAF</p> <table border="1"> <thead> <tr> <th>Score</th> <th>Risk Rating</th> <th>End of Q4 (Jan-Mar)</th> <th>End of Q1 (Apr-Jun)</th> <th>End of Q2 (Jul-Sept)</th> <th>End of Q3 (Oct-Dec)</th> <th>End of Q4 (Jan-Mar)</th> </tr> </thead> <tbody> <tr> <td>1 – 5</td> <td>Low</td> <td>0</td> <td>0</td> <td></td> <td></td> <td></td> </tr> <tr> <td>6 - 11</td> <td>Medium</td> <td>2</td> <td>2</td> <td></td> <td></td> <td></td> </tr> <tr> <td>12 - 15</td> <td>High</td> <td>1</td> <td>1</td> <td></td> <td></td> <td></td> </tr> <tr> <td>16 - 20</td> <td>Very High</td> <td>3</td> <td>3</td> <td></td> <td></td> <td></td> </tr> <tr> <td>25</td> <td>Extreme</td> <td>0</td> <td>0</td> <td></td> <td></td> <td></td> </tr> <tr> <td></td> <td></td> <td>6</td> <td>6</td> <td></td> <td></td> <td></td> </tr> </tbody> </table> <p>Following the review and approval of the organisational objectives at Governing Body in February 2020 a new layout for the GBAF was introduced. There is a change of descriptors, instead of the first column talking about the risk to the objective this is now based around assurance. The risk ratings are the same as above.</p> <p>The current risk appetite linked to the risk matrix is shown in the table below.</p> <table border="1"> <thead> <tr> <th>Ref</th> <th>Strategic Objective</th> <th>Risk Appetite</th> </tr> </thead> <tbody> <tr> <td>1</td> <td>Quality - improve safety, patient</td> <td>A score of 12 = HIGH, Cautious -</td> </tr> </tbody> </table>	Score	Risk Rating	End of Q4 (Jan-Mar)	End of Q1 (Apr-Jun)	End of Q2 (Jul-Sept)	End of Q3 (Oct-Dec)	End of Q4 (Jan-Mar)	1 – 5	Low	0	0				6 - 11	Medium	2	2				12 - 15	High	1	1				16 - 20	Very High	3	3				25	Extreme	0	0						6	6				Ref	Strategic Objective	Risk Appetite	1	Quality - improve safety, patient	A score of 12 = HIGH, Cautious -
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	experience and reduce variations in outcomes and health inequalities and ensure our providers' services are safe.	Preference for safe options that have a low degree of risk and may only have limited potential for reward.
2	Transformation & Delivery - Plan and contract for high quality, positive, equitable health outcomes within the Rotherham Place and across the wider SY&B system	A score of 16 = VERY HIGH, Open Willing to consider all potential options and choose the one most likely to result in successful delivery, while also providing an acceptable level of reward and value for money
3	System sustainability - Deliver system wide improvements innovations and efficiencies across the Integrated Care Partnership, SY&B system, to support sustainable services	A score of 12 = HIGH, Cautious - Preference for safe options that have a low degree of risk and may only have limited potential for reward.
4	Safeguarding – Work with partners to ensure all children and vulnerable adults are protected from harm, with continued focus on Child Sexual Exploitation.	A score of 10 = MEDIUM, Minimal - Preference for ultra-safe options that are low risk and only have potential for limited reward
5	Leadership & Accountability - ensure that the CCG, and the Integrated Care Place Partnership is effective, well led and well governed, and fully supporting the on-going development of the wider ICS	A score of 12 = HIGH, Cautious - Preference for safe options that have a low degree of risk and may only have limited potential for reward.

There has been an additional risk added to the GBAF due to COVID-19. The risk descriptor is:

- COVID-19 is being managed within the CCG and wider to provide the best possible response for Staff and the public of Rotherham, as well as managing the impacts of COVID-19 on all our objectives. The risk appetite is **16**.

Risk Register

At the end of Q1 we had **22** risks on the risk register with **1** of these risks being rated at extreme and **4** of these risks being rated as very high and have action plans to treat the risk. The high risks are:

- RR5 - Reputational risk to NHS RCCG and individual risk to one or more Looked After Children. Risk Rating **16**. Risk Appetite **10**.
- RR14 - Failure to deliver A&E standards. Risk Rating **16**. Risk Appetite **12**.
- RR16 - Risk of some hospital services not being sustainable. Eg Stroke / Gastro / Maternity / Paeds / Urgent Care Services are currently commissioned on South Yorkshire & Bassetlaw footprint and sustainability of hospital services is being reviewed. Risk Rating **16**. Risk Appetite **12**.
- RR30 - Financial risk due to medication either not being available, necessitating the substitution on a more expensive alternative, or not available at the agreed drug tariff price. The risk is that levels of such inflation in any one year significantly exceed the levels seen in any previous year. Risk Rating **16**. Risk Appetite **12**.
- RR47 - Coronavirus (COVID19) outbreak in Wuhan China spreading across the globe to the UK. Risk Rating **25**. Risk Appetite **16**

There are 6 risks rated above the Risk Appetite:

- RR5 - Reputational risk to NHS RCGG and individual risk to one or more Looked After Children. Risk Rating **16**. Risk Appetite **10**.
- RR14 - Failure to deliver A&E standards. Risk Rating **16**. Risk Appetite **12**.
- RR15 - Failure to implement Special Educational Needs and Disability (SEND) reforms (part 3) of the Children and Families Act 2014/SEND Code of Practice. Risk Rating **12**. Risk Appetite **10**.
- RR 16 - Risk of some hospital services not being sustainable. Eg Stroke / Gastro / Maternity / Paeds / Urgent Care Services are currently commissioned on South Yorkshire & Bassetlaw footprint and sustainability of hospital services is being reviewed. Risk Rating **16**. Risk Appetite **12**.
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There was **2** new risks added in Q1:

- RR48 - People facing the greatest deprivation are experiencing a higher risk of exposure to Covid-19 and existing poor health puts them at risk of more severe outcomes if they contract the virus. BME were at higher risk of contracting the virus and have poorer health outcomes. Risk Rating **9**.
- RR49 - Vulnerability of voluntary sector partners post-Covid-19. Risk Rating **9**

There was no risk removed in Q1.

Score	Risk Rating	End of Q4 (Jan-Mar)	End of Q1 (Apr-Jun)	End of Q2 (Jul-Sept)	End of Q3 (Oct-Dec)	End of Q4 (Jan-Mar)
1 – 5	Low	0	0			
6 - 11	Medium	5	7			
12 - 15	High	9	9			
16 - 20	Very High	4	4			
25	Extreme	1	1			
		20	22			

- RR46 - The CCG is required to manage fraud risk in line with its overall risk management policy. A range of risks exist relating to potential fraud, and are identified as part of the counter fraud risk assessment process. This risk assessment has identified 28 Primary Fraud Risk areas, and is documented separately. Rather than duplicate the 28 areas within this register, this entry in the risk register is to acknowledge a separate risk assessment exists. [Has no specific risk rating. The risk rating is set out in the Counter Fraud Risk Assessment.](#)

Claims and Legal Issues

No claims or legal issues have been received during the quarter.

2	External assessments
CAR 333	No external assessments have taken place during the quarter.
3	Corporate Governance
CAR 334	<p>Complaints & MP contacts</p> <p>Complaints</p> <p>A complaint was received regarding the decline of an Individual Funding Request (IFR) for a knee replacement. Investigation revealed that the patient did not meet the criteria, a response was provided however, the patient remains dissatisfied. A further response is currently being prepared. Ongoing</p> <p>A complaint was received regarding a prescription change in relation to the quantity of medication being provided. Further information is required from the provider of the service and from the patients GP. Up to the time of writing the patient has not provided consent for this. Ongoing</p> <p>MP contacts</p> <p>During the quarter one query was raised by a MP which related to the decline of an IFR for a knee replacement. Investigation had already taken place as the patient had made a formal complaint to the CCG which had been responded to. Closed</p> <p>A query has been raised regarding a change to administering vitamin B-12 injections by a GP practice. Investigation has found that a switch to offering alternative therapy has been made to reduce unnecessary practice visits. This is in line with NICE and DOH professional societies advising practices on ways to manage drug therapy during the restriction brought about due to the Covid-19 pandemic. Closed</p> <p>An enquiry regarding delays in the performing of his replacement surgery has been received. An explanation regarding the current restrictions on performing elective surgery during the Covid-19 pandemic was provided. Closed</p>
CAR 335	<p>Declarations of Interest</p> <p>The 2020-21 annual collection of conflict of interest declaration forms has been completed. 28 day reminders continue to be sent out to all staff with a note to line-managers to remember to ensure new members of staff complete and sign a declaration.</p> <p>Submission of the Conflict of Interest indicator : Part one (annual return) and Part two (quarterly assessment) has been suspended until further notice due to the Covid-19 pandemic.</p>
CAR 336	<p>Equality and Diversity</p> <p>The Equality and Diversity Steering Group met on 22 May 2020. The Equality and Diversity terms of reference were reviewed to ensure they were still relevant to the organisation.</p>
CAR 337	<p>Health & Safety fire and Security</p> <p>Annual Inspections</p> <p>The Annual inspections were undertaken at Oak House on 15 April 2020. The visit to Oak House adhered with Government and infection control guidance with regards social distancing and the use of hand sanitisers</p> <p>The inspections found 3 low risk hazards within the CCG demised areas which</p>

require remedial action:

Fire risk assessment

1. CHC area of the ground floor - Missing floor cable organiser plates, increased risk of accumulation of dust and waste, increased likelihood of fire.

Premises inspection

2. CHC area of the ground floor - Under floor junction box cover plates missing under workstations. Potential risk of damage to the wiring which could result in damage to electrical equipment
3. CHC area of the ground floor - Under floor junction box cover plates missing under workstations. Potential tripping hazard due to exposed wiring

A comparison with the previous year's inspection findings.

	2020	2019	2018	2017	2016
Fire risk assessment	1	5	2	6	6
Premises inspection	2	2	3	3	15
Security audit	0	0	0	0	2
<i>Total</i>	3	7	5	9	23

Policies, Procedures & Assessments

The following documents went through the Governance process.

- First Aid risk assessment
- Moving and Handling Procedure
- Fire Risk Assessment
- Premises Inspection
- Security Audit
- Principles of a safe return to SY&BCCG premises and risk assessment

Health & Safety

During quarter 1 the office layout was audited to ascertain the suggested safe number of staff per room which could work from the CCG's offices in Oak House when the lockdown restrictions are lifted, with steps to be put into place to reduce the risk of infection to members of staff.

CAR
338

Incidents

Incident Control Team – COVID19

Following the activation of the CCG Emergency Plan, the Incident Control Team has been activated to manage the CCGs response to the on-going COVID19 Pandemic.

National Incident

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NHS Rotherham CCG responded to this by hosting the April GB meeting virtually,

	<p>whilst enacting a suspension to its Standing Orders allowing the GB to meet in confidential session only during this time.</p> <p>The CCG also set up its own command and control structure linking into the Rotherham Place structure, AQuA and GB members have been briefed on this in previous meetings. The Incident Control Team (ICT) commenced meeting on the 16th March and have continued to meet regularly throughout the pandemic. Latest guidelines are these meetings will continue during phase 3. Along with the ICT was an issues log which is updated at every meeting. Again AQuA and GB have seen copies of the issue log and this replaced the GBAF, Risk Register and Issues Log during the Pandemic.</p> <p>Throughout this report the Covid-19 Pandemic and Social distancing guidelines are referred to.</p>
4	Information Governance
CAR 339	<p>The Head of Information Governance is now in post at the CCG and started on the 27th April 2020. This will be followed by the employment of an IG Officer post recruitment of which will start in Quarter 2.</p> <p>Data Security and Protection Toolkit (DSPT) The 19/20 DSPT deadline has been extended to 30th September 2020 in light of the Covid-19 pandemic. Whilst the CCG's toolkit was submitted as normal on the 26th March 2020, the extension to the 19/20 deadline nationally has resulted in a delay to the release of the 20/21 toolkit which is now expected in October 2020. NHS Digital is currently reviewing what this will mean for the 20/21 toolkit in terms of deadlines for submission.</p> <p>Data Protection Impact Assessments (DPIA) The following DPIAs have been completed and approved this quarter, ensuring that the CCG remains compliant with Data Protection legislation, despite the demanding 'at pace' work in response to the Covid-19 pandemic.</p> <ul style="list-style-type: none"> • ESAS (Referral management) pilot (ON HOLD) • S12 Solutions App • RPCF contract • Zoom • MS Teams • RAIDR • Rotherhive Wellness Hub • Ieso Digital Ltd • Scriptswitch contract renewal • Covid-19 Antibody testing <p>IG Policies and Procedures A Confidentiality Policy has been developed to replace the Confidentiality Code of Conduct at the CCG and is currently progressing through the CCG's ratification process.</p> <p>The Safe Haven policy has also undergone a routine review this quarter.</p> <p>Information Governance – Primary Care A DPIA template has been created for use in Practices using video consultations as part of their Covid-19 response.</p>

	A signed Data Processing Deed has also been put in place between the CCG and Practices to comply with Data Protection legislation to cover those activities where the CCG acts as a Processor on behalf of Practices (such as Medicines Management and Data Quality).																																												
CAR 340	<p>Freedom of Information</p> <p>During Quarter 1, 24 requests were received all of which (100%) were acknowledged within two working days. A marked decline in comparison with the final quarter of 2019-20 when 46 requests were received</p> <p>Of the 24 requests, 21 (88%) were responded to within 20 working days, with 3 (13%) remaining part way through the responses process and still within the 20 day response timeline.</p> <p>The table below describes the type of requester and the number of requests:</p> <table border="1"> <thead> <tr> <th>Requester Type</th> <th>Number</th> <th>%</th> </tr> </thead> <tbody> <tr> <td>Unknown</td> <td>8</td> <td>33</td> </tr> <tr> <td>Publications</td> <td>6</td> <td>25</td> </tr> <tr> <td>Healthcare Service Providers/Support</td> <td>3</td> <td>13</td> </tr> <tr> <td>Researcher/Student</td> <td>3</td> <td>13</td> </tr> <tr> <td>NHS</td> <td>1</td> <td>4</td> </tr> <tr> <td>Television</td> <td>1</td> <td>4</td> </tr> <tr> <td>Advertising</td> <td>1</td> <td>4</td> </tr> <tr> <td>Counselling Services</td> <td>1</td> <td>4</td> </tr> <tr> <td>Total</td> <td>24</td> <td>100%</td> </tr> </tbody> </table> <table border="1"> <thead> <tr> <th>The most common themes this quarter have been:</th> <th>%</th> </tr> </thead> <tbody> <tr> <td>Spend/Funding/Rebate Schemes</td> <td>29%</td> </tr> <tr> <td>Pathways, Procedures and Protocols</td> <td>13%</td> </tr> <tr> <td>Covid-19</td> <td>8%</td> </tr> <tr> <td>Primary Care Networks</td> <td>8%</td> </tr> <tr> <td>Drugs and Pharmacy</td> <td>8%</td> </tr> <tr> <td>Telephony</td> <td>8%</td> </tr> </tbody> </table>	Requester Type	Number	%	Unknown	8	33	Publications	6	25	Healthcare Service Providers/Support	3	13	Researcher/Student	3	13	NHS	1	4	Television	1	4	Advertising	1	4	Counselling Services	1	4	Total	24	100%	The most common themes this quarter have been:	%	Spend/Funding/Rebate Schemes	29%	Pathways, Procedures and Protocols	13%	Covid-19	8%	Primary Care Networks	8%	Drugs and Pharmacy	8%	Telephony	8%
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CAR 341	<p>Subject Access Request (SAR)</p> <p>One Subject Access Request (SAR) was received and acknowledged during the quarter, however up to the time of writing relevant ID has not been provided by the requester. Therefore the requested information has not been provided.</p>																																												
5	Organisational Development & Staffing Governance																																												
CAR 342	<table border="1"> <thead> <tr> <th>Starters/leavers</th> <th>Apr 2020</th> <th>May 2020</th> <th>Jun 2020</th> </tr> </thead> <tbody> <tr> <td>Starters</td> <td>3</td> <td>2</td> <td>2</td> </tr> <tr> <td>Leavers</td> <td>0</td> <td>0</td> <td>0</td> </tr> <tr> <th colspan="3">Gender</th> <th>Headcount</th> </tr> <tr> <td colspan="3">Female</td> <td>97</td> </tr> </tbody> </table>	Starters/leavers	Apr 2020	May 2020	Jun 2020	Starters	3	2	2	Leavers	0	0	0	Gender			Headcount	Female			97																								
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Male	26
Sexual Orientation	
Gay/Lesbian	3
Heterosexual	101
Unspecified	1
Not stated (person asked but declined to provide a response)	18
Disability	
No	113
Not Declared	5
Unspecified	2
Yes	3
Religious Belief	
Atheism	8
Christianity	82
Hinduism	2
Islam	1
Not disclosed	21
Other	7
Sikhism	1
Unspecified	1
Ethnic Origin (headcount)	
White British	110
White – Any Other White background	2
Asian or Asian British – Indian	4
Asian or Asian British – Pakistani	1
Asian or Asian British – Any other Asian background	1
Not Stated	5
Age (headcount)	
<20	1
21-30	6
31-40	21
41-50	46
51-60	39
61-65	10