

<b>Meeting: CCG Governing Body</b>			
<b>Meeting Date</b>	23 March 2022	<b>Action</b>	Receive
<b>Item No.</b>	6	<b>Confidential</b>	No
<b>Title</b>	ICS / CCG Closedown Update		
<b>Presented By</b>	Clare Postlethwaite		
<b>Author</b>	Clare Postlethwaite		
<b>Clinical Lead</b>	Cathy Fines		

<b>Executive Summary</b>
<p>The closedown of the CCG and transition to new Integrated Care Organisational (ICO) arrangements were originally planned for 1<sup>st</sup> April 2022. In December 2021, notification was received that these timescales were to be delayed by three months with a transition date of 1<sup>st</sup> July 2022 now anticipated.</p> <p>Despite the delay in the proposed transition date, work continues in readiness and this report details work completed to date relating to CCG closedown and ICB transition.</p> <p>The report also details the specific improvements being put in place to strengthen CCG closedown processes in response to a recent internal audit report.</p>
<b>Recommendations</b>
<p>To note the contents of this report and in particular work completed to date along measures being put in place to further improve the closedown processes in place locally.</p>

<b>Links to CCG Strategic Objectives</b>	
<b>SO1 - To support the Borough through a robust emergency response to the Covid-19 pandemic.</b>	<input checked="" type="checkbox"/>
<b>SO2 - To deliver our role in the Bury 2030 local industrial strategy priorities and recovery.</b>	<input checked="" type="checkbox"/>
<b>SO3 - To deliver improved outcomes through a programme of transformation to establish the capabilities required to deliver the 2030 vision.</b>	<input checked="" type="checkbox"/>
<b>SO4 - To secure financial sustainability through the delivery of the agreed budget strategy.</b>	<input checked="" type="checkbox"/>
Does this report seek to address any of the risks included on the Governing Body Assurance Framework? If yes, state which risk below:	
GBAF	

<b>Implications</b>						
Are there any quality, safeguarding or patient experience implications?	Yes	<input checked="" type="checkbox"/>	No	<input type="checkbox"/>	N/A	<input type="checkbox"/>
Has any engagement (clinical, stakeholder or public/patient) been undertaken in relation to this report?	Yes	<input type="checkbox"/>	No	<input checked="" type="checkbox"/>	N/A	<input type="checkbox"/>
Have any departments/organisations who will be affected been consulted ?	Yes	<input checked="" type="checkbox"/>	No	<input type="checkbox"/>	N/A	<input type="checkbox"/>
Are there any conflicts of interest arising from the proposal or decision being requested?	Yes	<input type="checkbox"/>	No	<input checked="" type="checkbox"/>	N/A	<input type="checkbox"/>
Are there any financial Implications?	Yes	<input type="checkbox"/>	No	<input checked="" type="checkbox"/>	N/A	<input type="checkbox"/>
Is an Equality, Privacy or Quality Impact Assessment required?	Yes	<input type="checkbox"/>	No	<input checked="" type="checkbox"/>	N/A	<input type="checkbox"/>
If yes, has an Equality, Privacy or Quality Impact Assessment been completed?	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>	N/A	<input checked="" type="checkbox"/>
If yes, please give details below:						
If no, please detail below the reason for not completing an Equality, Privacy or Quality Impact Assessment:						
This work will happen as necessary at Greater Manchester level linked to establishment of the new Integrated Care Organisational arrangements.						
Are there any associated risks including Conflicts of Interest?	Yes	<input checked="" type="checkbox"/>	No	<input type="checkbox"/>	N/A	<input type="checkbox"/>
Are the risks on the CCG's risk register?	Yes	<input type="checkbox"/>	No	<input checked="" type="checkbox"/>	N/A	<input type="checkbox"/>

<b>Governance and Reporting</b>		
<b>Meeting</b>	<b>Date</b>	<b>Outcome</b>
CCG Governing Body	23/03/2022	

## ICS / CCG Closedown Update Report

### 1. Introduction

- 1.1. This report outlines the work progressed to date in relation to CCG closedown and the related transition to the new Integrated Care Organisational (ICO) working arrangements.
- 1.2. Due to the delay in appointments to key executive level appointments within the ICO, concerns have been raised by several CCGs across Greater Manchester with regard to clarifying who is acting as the receiver organisational lead during this interim period. A workshop has now been held by Su Long (Greater Manchester executive lead for CCG closedown) and this report also references the key messages from this session.
- 1.3. An initial assurance review by internal audit (MIAA) has now been undertaken, the key improvements to the internal processes that are now being put in place within Bury to respond to this assessment are outlined within this report.

### 2. Background

- 2.1. It had been anticipated that the CCG would be formally disestablished on 1<sup>st</sup> April 2022 to allow commencement of the new Integrated Care Organisational arrangements, a national decision has now been made to delay this transition until 1<sup>st</sup> July 2022.
- 2.2. The CCG closedown working group continues to progress the necessary work to enable the transition and continues to use the nationally issued due diligence checklist to guide this work.
- 2.3. This report details work completed to date via the working group that has been established and outlines specific actions that are being taken to strengthen internal processes further to a recent internal audit report.

### 3. Key Work Areas Completed to Date

- 3.1. Whilst the end date of transition has been postponed, work within each key area continues at pace to ensure that the CCG is fully prepared once the transitional requirements of the Integrated Care Organisation become clearer.
- 3.2. Recognising that many items within the due diligence list are 'business as usual' reports and monitoring documents, the focus of the work continues to be establishing where current version/position statements for each item are held plus keeping abreast of any specific risks emerging and pertinent to CCG transition. This approach is consistent with the direction provided at the recent meeting chaired by Su Long (CCG executive closedown lead.)
- 3.3. Summarised here are key areas of work completed to date within each workstream

area :-

### 3.4 Human Resources

- 3.4.1 First cut of Electronic Staff Record (ESR) now undertaken and submitted. The date for the second and final cut has not yet been confirmed but, will need to be within 28 days of the CCG closedown date. Date awaited for final cut ESR submission.
- 3.4.2 Meetings with all staff and managers are in the process of being conducted in order to inform the second ESR data collation exercise. Managers are being asked to focus on ensuring that key items e.g. flexible working arrangements, are fully documented on the system.
- 3.4.3 Bury is near completion of the move to electronic personal files and work ongoing currently is in addition to the base requirements originally proposed.
- 3.4.4 Consultation relating to key executive roles continues.
- 3.4.5 All members of the CCG Governing Body have confirmed their willingness to remain until the transition date of 31 June 2022. Vacancies remain at clinical director level moving forward. Greater Manchester submission submitted to detail local position and related risks.
- 3.4.6 Proposals to extend a number of key contracts need approval in view of the fact that the Greater Manchester proposal is to retender a number of these services effective from 01/04/23. These proposals have now been presented to the Finance, Contracting and Procurement Committee.

### 3.5 Corporate

- 3.5.1 A full summary record has now been collated to detail where key documents are held and the process for regular update and reviews as required.
- 3.5.2 Detailed work is now nearing completion to ensure all relevant clinical and non-clinical policies are held centrally to aid transition process.
- 3.5.3 Planning is being progressed to schedule meetings as required during the three month extended period – in particular, a June 2022 Audit Committee and Governing Body meeting is being proposed.
- 3.5.4 Assessments are being undertaken with regard to meeting quoracy moving forward in view of current vacancies within the CCG at clinical director level (only one clinical director is in post currently) – there are options under the CCG constitution that could be utilised if necessary for decision making purposes during this extended period.
- 3.5.5 Plans are being collated to ensure a celebratory meeting to mark the closure of the CCG in an appropriate manner.
- 3.5.6 A number of CCG's have made approaches to the Greater Manchester team to clarify the exact information requirements and sign-off requirements that will be required as the due diligence process regarding CCG closedown – a response is awaited.

### 3.6 Finance and Contracts

- 3.6.1 Agreement has been reached with regard to finance items to be completed locally and those that will be led by the Greater Manchester Shared Services (GMSS) team.
- 3.6.2 Work within the CCG continues in readiness for financial yearend closedown and the related annual reporting process. No significant risks relevant to CCG transition have been identified to date.

3.6.3 Various contract database reconciliations continue to be updated and reconciled on a regular basis to inform the ICB set-up work at a Greater Manchester level.

### 3.7 Information Technology

3.7.1 An initial audit of software packages installed across the CCG has been undertaken. A number of these packages are to be managed by GMSS at a Greater Manchester level but, there are some local decisions that will need to be made in advance of the Head of IT appointment start date (now confirmed as May 2022.) A list of key contracts is now being reviewed and where necessary next steps being agreed in each case.

3.7.2 An initial hardware audit has also been undertaken but, responses received to date are low (around 30% response from staff to date.) A follow-up request to all staff, supported by the Executive lead, went out to encourage additional submissions to be made to inform this important piece of work however, submissions received still remain lower than hoped for. A summary note is to be taken to the next CCG internal closedown meeting to formally review position achieved to date and to agree whether or not further progress on the audit is essential prior to the date of transition.

3.7.3 A dedicated room has now been secured to allow the team to store and control IT kit and the related returns and issues moving forward, this is an important step to ensure that records are kept as accurate as possible as the transition date approaches.

### 3.8 Information Governance

3.8.1 Baseline assessment of current position and compliance with current regulations is being undertaken to identify any gaps in information that need filling before transition.

3.8.2 Data Security and Protection Toolkit (DSPT) audit was undertaken in February 2022 by the MIAA internal audit team.

3.8.3 Online questionnaires have been submitted to all staff to allow an evaluation of information governance positions in readiness for transition. To date, responses from all but, one department have been received – follow-up meetings with departments have now been held where necessary to inform this piece of work.

### 3.9 Quality

3.9.1 A detailed central log of the key quality related documents is now in place to ensure ease of access to key information during the CCG closedown process.

3.9.2 In view of the fact that many of the due diligence items in this area are core business items, the workstream review meetings are rightly focusing on key changes and risks to transition in each of the areas identified.

3.9.3 The System, Quality, Safeguarding and Performance Assurance Committee is now in place (commenced January 2022) to enable the ongoing handling and review of key areas moving forward towards transition.

3.9.4 A number of new items have been added in this area to the most recently issued version of the due diligence spreadsheet – each item has now been reviewed by the workstream lead in this area with actions agreed in each case.

#### **4. Assurance of Closedown Processes – Internal Audit (MIAA)**

- 4.1 Over recent weeks, a detailed review has been undertaken by the internal audit team to assess the robustness of CCG closedown processes that are in place currently.
- 4.2 Whilst the report provided assurance that the CCG has robust processes in place to support CCG closure, the report did also outline some potential options that could be adopted locally to further improve these processes.
- 4.3 Work has already commenced to put in place the additional checks and assurances locally as recommended within the report and as summarised below :-
- Local risk log to be introduced at workstream level.
  - More detailed work plan at workstream level to be documented.
  - Additional regular assurance of updates to the due diligence checklist by both workstream leads and executive leads to be undertaken.
  - Formal revision to the terms of reference of the CCG closedown working group to reflect that this is a group with no decision-making powers.

#### **5 Mitigation of Risk**

- 5.1 No additional risks have been included within the CCG corporate risk register. The two risks relating to staff capacity/reliance and Greater Manchester direction as a receiver organisation have been reviewed and re-scored as appropriate.
- 5.2 A local risk log at workstream level is being put in place as outlined within the recent assurance report conducted by internal audit.

#### **6 Actions Required**

- 6.1 The Governing Body are asked to note the content of this report and in particular to note the following :-
- Additional assurances and documentation being put in place to respond to the internal audit assurance report recommendations.
  - The need to extend some key contracts in line with Greater Manchester direction and procurement proposals.
  - The information gaps in existence currently following initial approaches to staff with regard to both information technology and information governance data collation.
  - The need to agree position on some information technology items in advance of the start date of new CCG appointment.

**Clare Postlethwaite**

Associate Director of Finance