

Agenda Item 13: Paper 13

Meeting: Buckinghamshire, Oxfordshire, and Berkshire West CCGs (BOB) Governing Bodies Meetings in Common (in public)

Date of Meeting	10 June 2021
Title of Paper	Corporate Governance Report
Lead Director	Catherine Mountford, Director of Governance
Author(s)	BOB CCGs Governance Leads
Paper Type	Assurance
Action Required	The Board members are asked to note the attached paper as assurance

Executive Summary

Currently the three BOB CCGs have different approaches and mechanisms for the providing of assurance in relation to governance matters. Work is underway to look at a common approach and design and this will be reflected in the Corporate Governance Report to the September 2021 meeting.

This report contains the Buckinghamshire CCG governance report to its Audit Committee, the Berkshire West CCG and Oxfordshire CCG Corporate Governance report presented at Governing Body Meetings.

Corporate and Information Governance Assurance – Head of Governance/Data Protection Officer report May 2021

1. Risk Management escalations

It was previously reported that RSM had completed the annual risk management audit with “*substantial assurance*” achieved, but with high level findings and actions owned by the Head of Governance and deliverable by March 2021. A status update on this audit is provided within the internal audit report.

Meanwhile an engagement letter and terms of reference has been agreed for a review of current risk management arrangements across the three CCGs (items 13a/13b). The outcomes from this review will be discussed in due course through audit committees in common.

2. Conflicts of Interest exceptions

CCGs are required to demonstrate compliance with the conflicts of interest indicator within the NHS England Oversight Framework. CCGs submit to NHS England quarterly and annual self-assessments. Collection was suspended by NHS England during 2020/2021. However, CCGs have continued to complete self-assessments for their own assurance purposes; details are published on individual CCG websites. As at Q4 (January to March) full compliance was recorded with no conflicts of interest policy breaches. Buckinghamshire CCG details are published [here](#)

Statutory and mandatory training

Self-assessments include training compliance with three modules, all of which require 100% relevant staff offered and 90% to complete by 31 January each year. Although below target at 31 January for module 1, all three modules were compliant by 31 March following numerous staff reminders.

Training module compliance	31 Jan	31 Mar
Module 1: All CCG staff.	83%	93%
Module 2: individuals in decision-making roles, e.g. managers of contracts, commissioning etc.	100%	97%
Module 3: Senior CCG staff with high exposure to conflicts of interest, e.g. governing body members, directors and GPs.	99%	98%

3. Gifts, Hospitality, sponsorship and joint working agreements

No new sponsorship or joint working agreements are known to have been entered into during quarter 4 2020/2021.

4. Data Protection Officer (DPO) Report – Quarter 4 2020/2021

Submission of the NHS Digital Data Security and Protection Toolkit by NHS organisations: currently 30/06/2021. A baseline assessment was completed by 28 February 2021 with full Toolkit compliance and submission on track.

Berkshire West CCG Corporate Governance Report

Introduction

This report provides an assurance summary in relation to governance matters.

1. Conflicts of Interest

1.1 Annual and quarterly self-certifications

CCGs are required to demonstrate compliance with the conflicts of interest indicator within the NHS England Oversight Framework. The CCGs submit annual and quarterly self-certifications to NHS England. At Q3 (Oct – Dec) full compliance was recorded with no conflicts of interest policy breaches.

Collection was suspended by NHS England during 2020/2021. However, BW CCG have continued to complete self-assessments for its own assurance purposes; details are published on the [CCG](#) website.

1.2 NHSE Training compliance

Self-assessments include training compliance with three modules, all of which require 100% relevant staff offered and 90% to complete by 31 January each year. Although below target on 31 January, all three modules were compliant by 31 March following staff reminders.

Training modules	Compliance (up to 31 March 2021)	
	31 Jan 21	31 Mar 21
Module 1: All CCG staff.	83%	100%
Module 2: individuals in decision-making roles, e.g., managers of contracts, commissioning etc.	69%	100%
Module 3: Senior CCG staff with high exposure to conflicts of interest, e.g., governing body members, directors and GPs.	69%	100%

2. Statutory and Mandatory Training

As at the 31 March 2021, BW CCG reported 100% compliance across all training requirements.

3. Gifts, Hospitality, sponsorship and joint working agreements

No new sponsorship or joint working agreements are known to have been entered into during quarter 4 2020/2021; details can be found on the [CCG](#) website.

4. Data Protection Officer (DPO) Report – Quarter 4 2020/2021

Submission of the NHS Digital Data Security and Protection Toolkit by NHS organisations: currently 30/06/2021. A baseline assessment was completed by 28 February 2021 with full Toolkit compliance and submission on track.

5. Freedom of Information (FOI) – Annual Report

For 2021/21 BW CCG received a total of 197 new requests between April 2020 and March 2021 (Q1-Q4).

- 98% of FOIs were acknowledged and completed within the 20-day statutory time frame.
- Two breaches occurred between September and October 2020. This was as a consequence of the CCGs decision to follow government guidelines in affording those members of staff who are facing *unprecedented challenges related to the coronavirus (COVID-19) pandemic*; where resources are being diverted to support colleagues within the organisation, as well as colleagues in partner organisations; specifically, those diverted to support our front-line staff, the opportunity to provide a response outside of the 20-day deadline as appropriate.

For 2019/20 the CCG achieved 99% compliance with one reported breach in March 2020 (also attributed to covid-19).

Use of the Seal

The OCCG seal has been used once during the period March 2021 – June 2021:

Date Seal Used	Parties Involved	Details	OCCG Signatory	OCCG Witness
13 May 2021	1. Oxfordshire Clinical Commissioning Group (OCCG) 2. OxFed Health & Care Limited (OxFed)	Signing of the agreement between OCCG and OxFed following transfer of OxFed operations, assets and contract to Oxford Health NHS Foundation Trust, for OCCG to renew the original Run-off Cover for seven years from 1 June 2021 and to pay any excess in respect of any claim.	Catherine Mountford, Director of Governance	Lesley Corfield, Governance Manager

Single Tender Action Waivers: March 2021 – June 2021

Supplier	Justification	Cost
JACK Media Oxfordshire Ltd, Chilbrook, Suite 4, Oasis Business Park, Stanton Harcourt Road, Eynsham, Oxford, OX29 4TP	To advertise on Jack FM and Jack 2 the benefits of getting the COVID-19 vaccine and to help GP practices manage the vaccination programme by waiting to be contacted. Jack FM is the only radio station in the country that reaches the required demographic of people OCCG needs to target.	£5,734.00

Declaration of Hospitality: March 2021 – June 2021

There have been no declarations of hospitality in the period March 2021 – June 2021.

Declaration of Interest Register

Oxfordshire CCG details are published [here](#)