

The Governing Body Assurance Framework (GBAF) aims to identify the strategic/principal risks to the delivery of the Derby and Derbyshire CCGs strategic objectives. It sets out the controls that are in place to manage the risks and the assurances that show if the controls are having the desired impact. It identifies the gaps in control and hence the key mitigating actions required to reduce the risks towards the target or appetite risk score. It also identifies any gaps in assurance and what actions can be taken to increase assurance to the Derby and Derbyshire CCG. The table below sets out the Derby and Derbyshire CCG strategic objectives; lists the strategic/principal risks that relate to them. Further details can be found on the extract pages for each of the strategic/principal Risks.

**The 2021/22 Strategic Objectives of Derby and Derbyshire CCG are reflective of our final year of operation as a CCG and recognises the transition into the ICS:**

1. Safely and legally transition the statutory functions of the CCG into the ICS, and safely deliver the disestablishment of the CCG.
2. Deliver the commitments made in response to the Operating Plan, with a focus on reducing health inequalities and improving outcomes for the people of Derbyshire, and continuing to support the system during transition to maintain a strategic focus on overall health outcomes / health inequalities.
3. Continue with the roll out of the Covid-19 vaccination programme and ensure a sustainable planning and operational model is in place.
4. Support the development of a recovering and sustainable health and care economy that operates within available resources, achieves statutory financial duties and meets NHS Constitutional standards.
5. Support our staff in the delivery of the above and transition into an ICS, through continued health and wellbeing programmes and effective communication and engagement.
6. Continue to further develop and implement new and transformational ways of working that have been developed in response to Covid.
7. Work in partnership with stakeholders and engage with our population to achieve the above objectives where appropriate.

	<b>Strategic Risk(s)</b>	<b>Current Rating</b>	<b>Executive Lead</b>
<b>1</b>	Lack of timely data, insufficient system ownership and ineffective commissioning may prevent the ability of the CCG to improve health and reduce health inequalities. This is of particular concern during the COVID pandemic where some people may not be able to access usual services or alternatives.	<b>15</b>	Steve Lloyd
<b>2</b>	The CCG is unable to identify priorities for variation reduction and reduce or eliminate them.	<b>20</b>	Steve Lloyd
<b>3</b>	Ineffective system working may hinder the creation of a sustainable health and care system by failing to deliver the scale of transformational change needed at the pace required.	<b>12</b>	Zara Jones
<b>4A</b>	The Derbyshire health system is unable to manage demand, reduce costs and deliver sufficient savings to enable the CCG to move to a sustainable financial position.	<b>16</b>	Richard Chapman
<b>4B</b>	The Derbyshire health system is unable to manage demand, reduce costs and deliver sufficient savings to enable the system to move to a sustainable financial position	<b>16</b>	Richard Chapman
<b>5</b>	The Derbyshire population is not sufficiently engaged to identify and jointly deliver the services that patients need.	<b>9</b>	Helen Dillistone

<b>6</b>	The CCG does not achieve the national requirements for the Covid-19 Vaccination Programme and have robust operational models in place for the continuous sustainable delivery of the Vaccination Programme	<b>20</b>	Steve Lloyd
<b>7</b>	CCG staff retention and morale during the transition will be adversely impacted due to uncertainty of process and implications of the transfer to the ICS, despite the NHSEI continuity of employment promise.	<b>12</b>	Helen Dillistone
<b>8</b>	If the CCG is not ready to transfer its functions or has failed to comprehensively and legally close down the organisation, or if the system is not ready to receive the functions of the CCG, the ICS operating model cannot be fully established.	<b>10</b>	Helen Dillistone

<p align="center"><b>Strategic Objective: 2</b></p> <p>Deliver the commitments made in response to the Operating Plan, with a focus on reducing health inequalities and improving outcomes for the people of Derbyshire, and continuing to support the system during transition to maintain a strategic focus on overall health outcomes / health inequalities.</p>	<p align="center"><b>GBAF RISK 1</b></p>	<p align="center"><b>Executive Lead: Steve Lloyd</b> <b>Assigned to Committee: Quality and Performance</b></p>
<p align="center"><b>What would success look like and how would we measure it?</b></p> <ul style="list-style-type: none"> <li>• Agreement and commitment to agenda at JUCD Board with inequalities in the Terms of Reference.</li> <li>• New ICS governance structure to include addressing inequalities.</li> <li>• Strategic Long Term Conditions Programme Board to be established with a clear remit to reduce unwarranted variation in services.</li> <li>• Commissioning to focus on particular patient cohorts, with measures around services to be put in place to support reduction of inequalities.</li> <li>• Covid risk stratification work should cover health and social care inequality, as well as mental health not just physical health.</li> <li>• System Q&amp;P dashboard to include inequality measures</li> <li>• Patient experience and engagement feedback will be gathered at an early stage to inform all service change / development projects. This will be evidenced in business cases and project initiation documents.</li> <li>• Feedback about the experience of Derby and Derbyshire end of life care will be gathered and analysed to provide intelligence to support the development of services that are driven by those who use services.</li> <li>• A Quality and Equality Impact Assessment (QEIA) will be part of all service change / development projects and programmes. This will be a document that changes as benefits and risks along with mitigating actions are realised.</li> <li>• The QEIA will also include evidence to demonstrate compliance with legislative requirements in respect of public engagement.</li> <li>• Increase Patient Experience feedback and engagement.</li> </ul>	<p align="center"><b>Risk Description</b></p> <p><b>Lack of timely data, insufficient system ownership and ineffective commissioning and the impact of COVID-19 may prevent the ability of the CCG to improve health and reduce health inequalities. This is of particular concern during the COVID pandemic where some people may not be able to access usual services or alternatives.</b></p>	

Risk rating	Likelihood	Consequence	Total	GBAF Risk 1												Date reviewed	December 2021
Initial	3	3	9													<b>Rationale for risk rating (and any change in score):</b> <ul style="list-style-type: none"> <li>The Derby and Derbyshire population are unable to access their usual service or an alternative due to the impact of the Covid pandemic,</li> <li>The CCG is unable to meet its strategic aim as above due to the impact of the Covid pandemic.</li> <li>Capacity in commissioning has improved.</li> <li>PLACE areas are now supported by a CCG Functional Director.</li> <li>QIA/EIA process in place.</li> <li>Recovery and Restoration plan and process in place.</li> </ul>	
Current	5	3	15													<b>Link to Derby and Derbyshire Risk Register</b> 1,2,3,4,5,6,7,9,12,14,17,19,21,22,24,25,26,27,28	
Risk Appetite	Level	Category	Target Score														
	Moderate	Commissioning and Contracting	8														
	2	4															

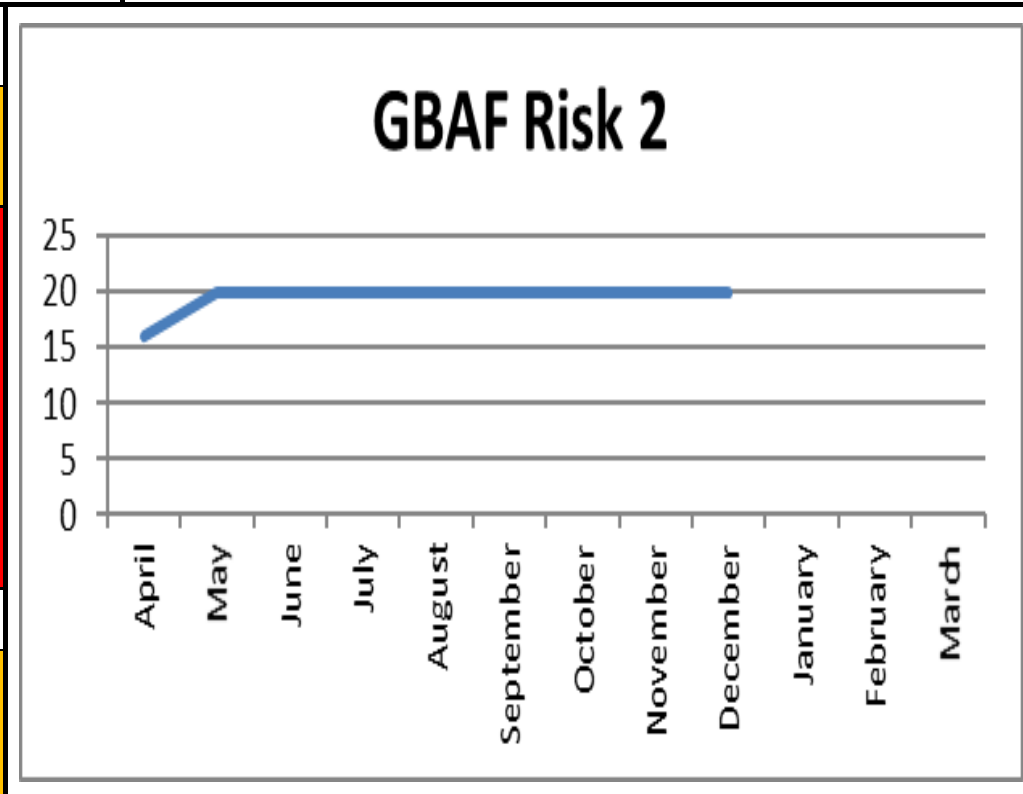
KEY CONTROLS TO MITIGATE RISK		SOURCES OF ASSURANCE	
Internal	External	Internal	External
<ul style="list-style-type: none"> <li>QIPP and Service Benefit Reviews challenge process.</li> <li>Prioritisation tool.</li> <li>Clinical &amp; Lay Commissioning Committee providing clinical oversight of commissioning and decommissioning decisions.</li> <li>Robust QIA process for commissioning/ decommissioning schemes and System QIA now in place</li> <li>Clinical Quality Review Group (CQRG) measures built into all contracts</li> <li>Recovery and Restoration (R&amp;R) Action Plan</li> <li>R&amp;R progress and assurance reported monthly to Governing Body through the Quality &amp; Performance Assurance report</li> <li>2020/2021 Commissioning Intentions published and on website</li> <li>2020/2021 Contracting approach and objectives developed</li> <li>Chief Nurse of DDCCG is the Chair of the System Quality and Performance Group</li> <li>Quality and Performance Committee meetings reinstated from June 20. As a result of the COVID 19 pandemic.</li> <li>CCG Escalated to Business Continuity Level 4 in December 2020 due to Covid 19 pandemic.</li> <li>Corporate Committees and Governing Body Meetings have not been stood down and continue to meet monthly.</li> <li>Functions continue to operate at BC level 3 and are reviewed regularly.</li> <li>Winter Planning Cell established and in place to manage the impact of winter pressures and</li> </ul>	<ul style="list-style-type: none"> <li>NHSE and NHSI assurance arrangements</li> <li>CQC inspections and associated commissioner and provider action plans</li> <li>Programme Boards</li> <li>STP Oversight</li> <li>Meetings with Local Authority to identify joint funding opportunities.</li> <li>System wide efficiency planning has commenced for 2020/2021 showing commitment to joint system working</li> <li>System Quality and Performance Group has been established and monthly meetings in place.</li> <li>System ownership of the health inequalities agenda.</li> <li>Daily System Escalation Cell (SEC) meetings established to support the management of COVID 19 across the Derbyshire System.</li> <li>Winter Planning Cell established.</li> <li>STP/ ICS Interim Accountable Officer appointed.</li> <li>Strategic Long Term Conditions Programme Board to be established or system to collate and triangulate data and agree actions.</li> <li>ICS guidance published November 2020.</li> <li>Derby and Derbyshire formally approved as an ICS.</li> <li>ICS White Paper was published in February 2021.</li> <li>JUCD system moved from Gold Command to Silver Command.</li> <li>SEC meetings were stood down in February 2021, and operational issues being fully managed by the System Operational Resilience Group (SORG)</li> <li>Transition Assurance Committee (TAC)</li> </ul>	<ul style="list-style-type: none"> <li>Quality &amp; Performance Committee</li> <li>Risk management controls and exception reports on clinical risks to Quality &amp; Performance Committee</li> <li>Performance reporting framework in place</li> <li>Lay representation within Governing Bodies and committee in common structures.</li> <li>System NHSE assurance meetings to provide assurance.</li> <li>Recovery and Restoration (R&amp;R) Action Plan and Highlight Report owned by Quality &amp; Performance Committee</li> <li>Joined Up Care 5 Year Strategy Delivery Plan 19/20 - 23/24</li> <li>STP Refresh Summary</li> <li>R&amp;R progress and assurance reported monthly to Governing Body through the Quality &amp; Performance Assurance report</li> <li>Measurement of performance targets</li> <li>System Quality and Performance Group minutes</li> <li>System Phase 3 Plan approved by Governing Body and Submitted to NHSE.</li> <li>Monthly Winter Plan Report provided to JUCD Board.</li> <li>SOC and SVOC update provided weekly to System Escalation Cell (SEC) until it was stood down in February. Now provided to SORG.</li> <li>Vaccine hesitancy updates reported to weekly Gold Call meetings</li> <li>Plan on a page for each cohort.</li> </ul>	<ul style="list-style-type: none"> <li>Quality Surveillance Group</li> <li>Recovery Action Plans</li> <li>Commissioning Boards</li> <li>Health and Well-being Boards</li> <li>Legal advice where appropriate</li> <li>NHSE System Assurance Letters</li> <li>System Quality and Performance Group minutes.</li> <li>Agreement and commitment to the Health Inequalities agenda at JUCD Board.</li> <li>SEC/SORG Agendas and Papers.</li> <li>SEC/SORG Action Logs.</li> <li>System Phase 3 Plan agreed and submitted to NHSE and is a work in progress plan.</li> <li>2021/22 JUCD Operational Plan</li> <li>ICS Transition Plan</li> <li>Transition Assurance Committee (TAC), agenda, papers and minutes</li> <li>NHSEI Net Zero Carbon Strategy</li> <li>NHS Midlands Greener NHS Board agenda and minutes</li> <li>Derbyshire ICS NHS Greener Delivery Group agenda and minutes</li> </ul>

<p>COVID-19.</p> <ul style="list-style-type: none"> <li>System Operational Centre established and include the System Vaccination Operational Centre (SVOC)</li> <li>JUCD system moved from Gold Command to Silver Command February 2021.</li> <li>Covid-19 Vaccination Inequalities Group established and in place to support tackling vaccine hesitancy in high risk and transient communities. The first meeting was held in February 2021.</li> <li>JUCD 2021/22 Operational Plan submitted to NHSE 14<sup>th</sup> May 2021.</li> <li>Transition Assurance Committee (TAC) established and inaugural meeting took place end April and meeting monthly.</li> <li>CCG GB Chair is the Transition Assurance Committee (TAC) Chair and ICS CCG Transition Working Group Chair.</li> <li>CCG ICS Transition Working Group established and meets monthly. First meeting took place 6<sup>th</sup> May.</li> <li>Dr Robyn Dewis, Director of Public Health Derby City is Chair of Health Inequalities Group across the System.</li> <li>Helen Dillistone is SRO lead for NHS Greener/ Sustainability Programme for the Derbyshire ICS.</li> </ul>	<p>established and inaugural meeting took place end April and meeting monthly.</p> <ul style="list-style-type: none"> <li>Health Inequalities is priority focus of JUCD Board and Strategic Intent.</li> <li>Health inequalities programme of work will be supported by the strategic intent function of the ICS, the anchor institution and the future plans for data and digital management.</li> <li>ICS Design Framework published 16<sup>th</sup> June 2021</li> <li>Health and Care Bill ordered by The House of Commons 6<sup>th</sup> July 2021.</li> <li>Further ICS/ ICB Guidance published August 2021</li> <li>John MacDonald appointed as ICB Designate Chair.</li> <li>Dr Chris Clayton appointed as Chief Executive Designate of NHS Derby and Derbyshire ICB</li> <li>Greener NHS National Programme published Net Zero Carbon Strategy, cites multiple links between climate change, sustainable development, and health inequalities.</li> <li>Improving health and patient care and reducing health inequalities is one of the top three priorities of the Greener NHS National Programme.</li> <li>NHS Midlands Greener NHS Board</li> <li>Derbyshire ICS NHS Greener Delivery Group</li> <li>Joined Up Improvement Derbyshire Efficiency and Productivity PMO in place.</li> <li>Craig Cook appointed as interim Chief Digital and Intelligence Officer.</li> </ul>	<ul style="list-style-type: none"> <li>Vaccination Inequalities Group Terms of Reference and Action Plan.</li> <li>2021/22 JUCD Operational Plan</li> <li>ICS Transition Plan</li> <li>Transition Assurance Committee (TAC), agenda, papers and minutes</li> <li>CCG ICS Transition Working Group agenda, papers and minutes</li> </ul>	
<b>GAPS IN CONTROL</b>		<b>GAPS IN ASSURANCE</b>	
<p style="text-align: center;"><u>Internal</u></p> <ul style="list-style-type: none"> <li>Commissioning the specific needs to meet the demands of the Covid Pandemic</li> <li>CCG patient experience function stood down in response to COVID.</li> </ul>	<p style="text-align: center;"><u>External</u></p> <ul style="list-style-type: none"> <li>CCG does not currently have an evidence-based strategy to address inequalities.</li> <li>Programme of work for appropriate interventions, informed by public health data and incorporating the wider determinants of health.</li> </ul>	<p style="text-align: center;"><u>Internal</u></p> <ul style="list-style-type: none"> <li>CCG patient experience function stood down in response to COVID.</li> </ul>	<p style="text-align: center;"><u>External</u></p> <ul style="list-style-type: none"> <li>Understanding health data and implications of Covid including disparities of outcomes.</li> <li>Understanding direct impacts and long-term implications of Covid. Triangulating through system.</li> <li>Development of Derbyshire ICS NHS Greener Plan</li> <li>Development of ICS Health Inequalities Plan</li> </ul>
<b>ACTIONS BEING TAKEN TO ADDRESS GAPS IN CONTROL/ASSURANCE (INCLUDE TIMESCALES)</b>			
<p style="text-align: center;"><u>Internal</u></p> <ul style="list-style-type: none"> <li>Post COVID Syndrome Pathway meeting established in November and has been meeting fortnightly until w/c 15.03.21. Now meeting on a monthly basis, due to the launch of a monthly clinical forum.</li> <li>Addressing health inequalities is a key priority in the ICS System Development Plan currently being drafted for submission to NHSEI</li> <li>JUCD quality group is undertaking a review of the system quality strategies and a joint strategy will be developed in the next six months. Health inequalities will form part of that strategy.</li> </ul>	<p style="text-align: center;"><u>Timeframe</u></p> <ul style="list-style-type: none"> <li>Ongoing, monthly</li> <li>Ongoing</li> <li>December 2021</li> </ul>	<p style="text-align: center;"><u>External</u></p> <ul style="list-style-type: none"> <li>Long Term Conditions Strategy.</li> <li>Long Term Conditions Board to identify groups for focus (prioritisation work started)</li> <li>Derbyshire ICS NHS Greener Plan to be approved by ICB Board</li> <li>ICS Health Inequalities Plan to be approved by Shadow ICB Board March 2022</li> </ul>	<p style="text-align: center;"><u>Timeframe</u></p> <ul style="list-style-type: none"> <li>Ongoing</li> <li>Ongoing</li> <li>April 2022</li> <li>March 2022</li> </ul>

<p><b>Strategic Objective: 2</b> Deliver the commitments made in response to the Operating Plan, with a focus on reducing health inequalities and improving outcomes for the people of Derbyshire, and continuing to support the system during transition to maintain a strategic focus on overall health outcomes / health inequalities.</p>	<p><b>GBAF RISK 2</b></p>	<p>Executive Lead: Steve Lloyd Assigned to Committee: Quality and Performance</p>
---	---------------------------	---

<p><b>What would success look like and how would we measure it?</b></p> <ul style="list-style-type: none"> <li>• Agreement and commitment to agenda at JUCD Board with unwarranted variation in quality in the Terms of Reference.</li> <li>• JUCD to take a disease management approach to variation, rather than individual services.</li> <li>• New ICS governance structure to include addressing unwarranted variation in quality.</li> <li>• CCG to understand the variations in services across JUCD and if these are unwarranted.</li> <li>• Quality to work with commissioning teams to ensure contracts address the inequalities.</li> <li>• System Q&amp;P dashboard to used to identify the variations at system level.</li> <li>• System Q&amp;P to address the unwarranted variation identified from the dashboard, through the JUCD Programme Boards.</li> <li>• Improve Patient experience and engagement feedback and how it will be gathered to understand how varying of services is impacting on the people of Derbyshire.</li> </ul>	<p><b>Risk Description</b></p> <p><b>The CCG is unable to identify priorities for variation reduction and reduce or eliminate them.</b></p>
---	---

Risk rating	Likelihood	Consequence	Total
Initial	3	4	12
Current	5	4	20
Risk Appetite	Level	Category	Target Score
	Moderate	National Quality and Direction	8
	2	4	



Date reviewed	<b>December 2021</b>
<p><b>Rationale for risk rating (and any change in score):</b></p> <ul style="list-style-type: none"> <li>• CCG unable to identify priorities for variation reduction due to the impact of the Covid pandemic.</li> <li>• Increase in risk score as a result in losing Clinical and Medical Staff to prioritise Covid patients.</li> <li>• The STP Clinical leadership group is becoming established.</li> <li>• The Systems saving group is bringing key partners together to deliver the financial priorities and has increased joint ownership of priorities.</li> <li>• PLACE commissioning is developing.</li> </ul>	
<p><b>Link to Derby and Derbyshire Risk Register</b> 1,2,3,4,5,6,7,9,12,14,17,21,22,23,24,25,26,27,28,29</p>	

KEY CONTROLS TO MITIGATE RISK		SOURCES OF ASSURANCE	
Internal	External	Internal	External
<ul style="list-style-type: none"> <li>• Clinical &amp; Lay Commissioning Committee providing clinical oversight of commissioning and decommissioning decisions</li> <li>• Robust QIA process for commissioning/ decommissioning schemes and new System QIA panel in place</li> <li>• Clinical Quality Review Group (CQRG) measures built into all contracts</li> <li>• Executive Team and Finance Committee oversight.</li> <li>• Contract Management Board (CMB) oversight</li> <li>• Quality &amp; Performance Committee</li> <li>• Recovery and Recovery (R&amp;R) Plan</li> <li>• R&amp;R progress and assurance reported monthly to Governing Body through the Quality &amp; Performance Assurance report</li> <li>• Brigid Stacey, Chief Nurse of Derby and Derbyshire CCG is the Chair of the System Quality &amp; Performance Group</li> <li>• Internal resource planning work led by HR</li> <li>• Quality and Performance Committee meetings reinstated from June 20 as a result of the COVID 19 pandemic.</li> <li>• Winter Planning Cell established and in place to manage the impact of winter pressures and COVID-19</li> <li>• CCG Escalated to Business Continuity Level 4 in December 2020 due to Covid 19 pandemic.</li> <li>• Corporate Committees and Governing Body Meetings have not been stood down and continue to meet monthly.</li> <li>• Functions continue to operate at BC level 3 and are reviewed regularly.</li> <li>• JUCD system moved from Gold Command to Silver Command February 2021.</li> <li>• Covid-19 Vaccination Inequalities Group established and in place to support tackling vaccine hesitancy in high risk and transient communities.</li> <li>• JUCD 2021/22 Operational Plan submitted to NHSE 14<sup>th</sup> May 2021.</li> <li>• Transition Assurance Committee (TAC) established and inaugural meeting took place end April and meeting monthly.</li> <li>• CCG GB Chair is the Transition Assurance Committee (TAC) Chair and CCG ICS Transition Working Group Chair.</li> <li>• CCG ICS Transition Working Group established and meets monthly. First meeting took place 6<sup>th</sup> May.</li> <li>• Dr Robyn Dewis, Director of Public Health Derby City is Chair of Health Inequalities Group across</li> </ul>	<ul style="list-style-type: none"> <li>• NHSE System assurance arrangements</li> <li>• Provider Governance arrangements are clear and include any subcontracting responsibilities.</li> <li>• CQC inspections and associated commissioner and provider action plans</li> <li>• STP Oversight</li> <li>• System Quality &amp; Performance Group established and meets on a monthly basis</li> <li>• Winter Planning Cell established</li> <li>• STP/ ICS Interim Accountable Officer appointed</li> <li>• System Quality and Performance Group meetings stood down from March 2020 to July 2020 due to COVID 19 pandemic.</li> <li>• ICS guidance published November 2020.</li> <li>• Derby and Derbyshire formally approved as an ICS.</li> <li>• System Quality and Performance Group meetings continue to meet and are not stood down at level 4</li> <li>• ICS White Paper was published in February 2021.</li> <li>• JUCD system moved from Gold Command to Silver Command.</li> <li>• SEC meetings were stood down in February 2021, and operational issues being fully managed by the System Operational Resilience Group (SORG).</li> <li>• Transition Assurance Committee (TAC) established and inaugural meeting took place end April and meeting monthly.</li> <li>• Health Inequalities is priority focus of JUCD Board and Strategic Intent.</li> <li>• Health inequalities programme of work will be supported by the strategic intent function of the ICS, the anchor institution and the future plans for data and digital management.</li> <li>• ICS Design Framework published 16<sup>th</sup> June 2021</li> <li>• Health and Care Bill ordered by The House of Commons 6<sup>th</sup> July 2021.</li> <li>• Health and Care Bill ordered by The House of Commons 6<sup>th</sup> July 2021.</li> <li>• Further ICS/ ICB Guidance published August 2021</li> <li>• John MacDonald appointed as ICB Designate Chair.</li> <li>• <b>Dr Chris Clayton appointed as Chief Executive Designate of NHS Derby and Derbyshire ICB</b></li> <li>• <b>Greener NHS National Programme published Net Zero Carbon Strategy, cites multiple links between climate change, sustainable development, and health inequalities.</b></li> <li>• <b>Improving health and patient care and reducing health inequalities is one of the top three priorities</b></li> </ul>	<ul style="list-style-type: none"> <li>• Quality &amp; Performance Committee</li> <li>• Risk management controls and exception reports on clinical risk to Quality &amp; Performance</li> <li>• Performance reporting framework</li> <li>• Lay and Council representation within Governing Bodies and committees structure.</li> <li>• Clinical Committee established at Place,</li> <li>• Quality assurance visits</li> <li>• NHSE system assurance meetings to provide assurance.</li> <li>• R&amp;R Plan and Highlight Report owned by Quality &amp; Performance Committee</li> <li>• Joined Up Care 5 Year Strategy Delivery Plan 19/20 - 23/24</li> <li>• STP Refresh Summary</li> <li>• R&amp;R progress and assurance reported monthly to Governing Body through the Quality &amp; Performance Assurance report</li> <li>• Brigid Stacey, Chief Nurse of Derby and Derbyshire CCG is the Chair of the System Quality &amp; Performance Group.</li> <li>• Daily System Escalation Cell meetings established to support the management of COVID 19 across the Derbyshire System.</li> <li>• System Phase 3 Plan approved by Governing Body and Submitted to NHSE.</li> <li>• Monthly Winter Plan Report provided to JUCD Board.</li> <li>• Vaccine hesitancy updates reported to weekly Gold Call meetings</li> <li>• Plan on a page for each cohort.</li> <li>• Vaccination Inequalities Group Terms of Reference and Action Plan.</li> <li>• Decision making principles to be applied to each cohort to ensure consistent approach.</li> <li>• 2021/22 JUCD Operational Plan</li> <li>• ICS Transition Plan</li> <li>• Transition Assurance Committee (TAC), agenda, papers and minutes</li> <li>• CCG ICS Transition Working Group agenda, papers and minutes</li> </ul>	<ul style="list-style-type: none"> <li>• Collaboration with Healthwatch</li> <li>• Health and Well-being Boards</li> <li>• NHSE/I assurance meetings</li> <li>• CQC Inspections and action plans</li> <li>• Quality Surveillance Group</li> <li>• Minutes of System Quality &amp; Performance Group</li> <li>• System Phase 3 Plan agreed and submitted to NHSE and is a work in progress plan</li> <li>• 2021/22 JUCD Operational Plan</li> <li>• ICS Transition Plan</li> <li>• Transition Assurance Committee (TAC), agenda, papers and minutes</li> <li>• System Outcomes Based Accountability Steering Group has commenced work looking at health outcomes.</li> <li>• <b>NHSEI Net Zero Carbon Strategy</b></li> <li>• <b>NHS Midlands Greener NHS Board agenda and minutes</b></li> <li>• <b>Derbyshire ICS NHS Greener Delivery Group agenda and minutes</b></li> </ul>

<p>the System.</p> <ul style="list-style-type: none"> <li>Helen Dillistone is SRO lead for NHS Greener/ Sustainability Programme for the Derbyshire ICS</li> </ul>	<p>of the Greener NHS National Programme.</p> <ul style="list-style-type: none"> <li>NHS Midlands Greener NHS Board</li> <li>Derbyshire ICS NHS Greener Delivery Group</li> <li>Joined Up Improvement Derbyshire Efficiency and Productivity PMO in place.</li> <li>Craig Cook appointed as interim Chief Digital and Intelligence Officer</li> </ul>		
<b>GAPS IN CONTROL</b>		<b>GAPS IN ASSURANCE</b>	
<p style="text-align: center;"><u>Internal</u></p> <ul style="list-style-type: none"> <li>CCG unable to identify priorities for variation reduction due to the impact of the Covid pandemic.</li> <li>CCG patient experience function stood down in response to COVID.</li> </ul>	<p style="text-align: center;"><u>External</u></p> <ul style="list-style-type: none"> <li>Identify variation caused through system processes and work with system partners to eliminate or reduce.</li> <li>Priorities which carry the most significant at-scale benefits for early action.</li> </ul>	<p style="text-align: center;"><u>Internal</u></p> <ul style="list-style-type: none"> <li>Development of STP planning and refresh.</li> <li>CCG patient experience function stood down in response to COVID.</li> </ul>	<p style="text-align: center;"><u>External</u></p> <ul style="list-style-type: none"> <li>Differentiate which variation is appropriate for elimination and which is not; develop a prioritised plan for the former.</li> <li>Agree dataset to measure improvement in outcomes and patient experience.</li> <li>Development of Derbyshire ICS NHS Greener Plan</li> <li>Development of ICS Health Inequalities Plan</li> </ul>
<b>ACTIONS BEING TAKEN TO ADDRESS GAPS IN CONTROL/ASSURANCE (INCLUDE TIMESCALES)</b>			
<p style="text-align: center;"><u>Internal</u></p> <ul style="list-style-type: none"> <li>Establishment of Quality &amp; Performance Committee Task &amp; Finish Group to provide scrutiny and challenge.</li> <li>Addressing health inequalities is a key priority in the ICS System Development Plan currently being drafted for submission to NHSEI</li> <li>JUCD quality group is undertaking a review of the system quality strategies and a joint strategy will be developed in the next six months. Health inequalities will form part of that strategy.</li> </ul>	<p style="text-align: center;"><u>Timeframe</u></p> <ul style="list-style-type: none"> <li>Ongoing monthly</li> <li>Ongoing</li> <li>December 2021</li> </ul>	<p style="text-align: center;"><u>External</u></p> <ul style="list-style-type: none"> <li>Increased system working with system partners to deliver transformation change.</li> <li>Refer issues to System Quality and Performance Group.</li> <li>Strategic Long Term Conditions Programme Board to address variation. (Working on risk stratification with BI / Board are reviewing priorities)</li> <li>Right Care Evidence and Data (awaiting updated data packs)</li> <li>Working with the LTC Board to agree Priorities at System Event.</li> <li>Working with the LTC Board to agree Strategic Long Term Conditions Programme Board to agree dataset measurement.</li> <li>Derbyshire ICS NHS Greener Plan to be approved by ICB Board</li> <li>ICS Health Inequalities Plan to be approved by Shadow ICB Board March 2022</li> </ul>	<p style="text-align: center;"><u>Timeframe</u></p> <ul style="list-style-type: none"> <li>Ongoing</li> <li>Monthly System Quality &amp; Performance Group</li> <li>Ongoing</li> <li>Ongoing</li> <li>TBC</li> <li>Ongoing</li> <li>April 2022</li> <li>March 2022</li> </ul>



<p><b>Strategic Objective: 6</b> Continue to further develop and implement new and transformational ways of working that have been developed in response to Covid.</p>				<p><b>GBAF RISK 3</b></p>				<p>Executive Lead: Zara Jones Assigned to Committee: Clinical &amp; Lay Commissioning</p>					
<p><b>What would success look like and how would we measure it?</b> Safe delivery of our Phase 3 and winter plan through effective system oversight of delivery and escalation and resolution of issues. Retaining the benefits of learning and transformation through wave 1 COVID-19. Improved / sustained relationships with system partners – increased collaboration and strengthened planning and delivery, less duplication and more shared accountability for delivery.</p>				<p><b>Risk Description</b> <b>Ineffective system working may hinder the creation of a sustainable health and care system by failing to deliver the scale of transformational change needed at the pace required.</b></p>									
<p><b>Risk rating</b></p>		<p><b>Likelihood</b></p>	<p><b>Consequence</b></p>	<p><b>Total</b></p>					<p><b>Date reviewed</b></p>		<p>December 2021</p>		
<p>Initial</p>		<p>3</p>	<p>4</p>	<p>12</p>					<p><b>Rationale for risk rating (and any change in score):</b></p> <ul style="list-style-type: none"> <li>• System working through the last few months remains at the same level in terms of collaboration and mutual support.</li> <li>• Measures are not easily measurable making the score more subjective.</li> </ul>				
<p>Current</p>		<p>3</p>	<p>4</p>	<p>12</p>									
<p><b>Risk Appetite</b></p>		<p><b>Level</b></p>	<p><b>Category</b></p>	<p><b>Target Score</b></p>	<p><b>Link to Derby and Derbyshire Risk Register</b> 1,2,3,4,5,6,9,10,12,14,17,19,22,23,24,25,26,27,28,29</p>								
		<p>Moderate</p>	<p>Collaborative working</p>	<p>8</p>									
<p><b>Internal</b></p> <ul style="list-style-type: none"> <li>• Senior members of staff are fully involved in STP/ ICS workstreams</li> <li>• Link with STP</li> <li>• Strong CEO lead and influence on STP</li> <li>• Good clinical engagement i.e. Medical Director a key player in CPRG</li> <li>• CPAG and new Clinical Pathways Forum</li> <li>• Commissioning Intentions 20/21 finalised and agreed with Providers and published on website</li> <li>• Clinical Leadership Framework in place</li> <li>• Deep Dives on areas of poor performance involving provider partners e.g. Q&amp;P deep dives</li> <li>• Lessons learned application to 20/21 planning and delivery through Finance Committee and shared with GB and system</li> <li>• Clinical and Lay Commissioning Committee meetings reinstated June 2020 a result of the COVID 19 pandemic.</li> <li>• Clinical Cell established to manage COVID 19 issues, Steve Lloyd Medical Director is the lead</li> </ul>		<p><b>External</b></p> <ul style="list-style-type: none"> <li>• Governance structure embedded</li> <li>• Good CEO/DoF system engagement</li> <li>• JUCD Board now fully functioning as a group of system leaders and meeting in public since January 2021.</li> <li>• Systems Savings Group</li> <li>• Future in Mind Plan agreed by the CCG, Derby City Council and Derbyshire County Council</li> <li>• System Quality and Performance Group established to support in-year delivery strategically, linked to the transformation agenda</li> <li>• System Planning leads oversight of contracting and planning for 20/21, linked to DoFs group to ensure we set the right framework for delivery of our transformation as a system.</li> <li>• System Clinical and Professional Reference Group established and meets monthly.</li> <li>• System intelligence – one version of the truth</li> <li>• Winter Planning Cell established</li> <li>• STP/ ICS Executive Lead appointed</li> <li>• ICS guidance published November 2020.</li> <li>• Derby and Derbyshire formally approved as an ICS.</li> </ul>				<p><b>Internal</b></p> <ul style="list-style-type: none"> <li>• Clinical &amp; Lay Commissioning Committee meetings</li> <li>• Governing Body</li> <li>• Executive Team</li> <li>• Recovery and Restoration Action Plan</li> <li>• Recovery and Restoration Plan Highlight Report owned by Clinical &amp; Lay Commissioning Committee</li> <li>• Clinical &amp; Lay Commissioning Assurance Report provided to Governing Body.</li> <li>• STP System Refresh</li> <li>• Draft Joined Up Care 5 Year Delivery Plan 19/20 – 23/24</li> <li>• Commissioning Intentions 20/21 published and available on the CCGs website.</li> <li>• System Phase 3 Plan approved by Governing Body and Submitted to NHSE.</li> <li>• Winter Planning Cell established and in place to manage the impact of winter pressures and COVID-19.</li> </ul>				<p><b>External</b></p> <ul style="list-style-type: none"> <li>• JUCD Board</li> <li>• System Forums including delivery boards, planning leads</li> <li>• CEO/DoF meetings</li> <li>• CPRG meetings</li> <li>• NHSE/I reviews</li> <li>• Derby City Council</li> <li>• Derbyshire County Council</li> <li>• Future in Mind Plan published on Derby City Council website</li> <li>• Future in Mind Plan published on Derbyshire County Council website</li> <li>• STP refresh</li> <li>• System Clinical and Professional Reference Group Minutes</li> <li>• System Phase 3 Plan agreed and submitted to NHSE and is a work in progress plan.</li> </ul>			

<p>for the cell.</p> <ul style="list-style-type: none"> <li>• Zara Jones, Executive Director of Commissioning and Operations is the lead for the System Planning Cell.</li> <li>• Daily System Escalation Cell meetings established to support the management of COVID 19 across the Derbyshire System (currently stood down)</li> <li>• System Planning and Operations Cell established to manage and determine recovery plans and future planning.</li> <li>• Established intelligence and baseline data on finance, activity and workforce to enable scenario modelling to inform decision making.</li> <li>• CCG Escalated to Business Continuity Level 4 in December 2020 due to Covid 19 pandemic.</li> <li>• Corporate Committees and Governing Body Meetings have not been stood down and continue to meet monthly.</li> <li>• Functions continue to operate at BC level 3 and are reviewed regularly.</li> <li>• JUCD system moved from Gold Command to Silver Command February 2021</li> <li>• JUCD 2021/22 Operational Plan submitted to NHSE 14<sup>th</sup> May 2021.</li> <li>• System Transition Assurance Committee established and inaugural meeting took place end April and meeting monthly.</li> <li>• CCG GB Chair is the System Transition Assurance Committee Chair.</li> <li>• CCG Governing Body received Derbyshire ICS Boundary Update at their meeting in public 2<sup>nd</sup> September 2021.</li> <li>• Joint Derby Derbyshire CCG and Tameside and Glossop CCG Transition Steering Group established to lead four main workstreams.</li> <li>• Four workstreams comprising of specialist leads across both systems for Communications and Engagement, Finance IT and Contracting, Neighbourhood Development and Statutory Duties, Risks and People Impact Assessment.</li> </ul>	<ul style="list-style-type: none"> <li>• ICS White Paper was published in February 2021.</li> <li>• JUCD system moved from Gold Command to Silver Command.</li> <li>• SEC meetings were stood down in February 2021, and operational issues being fully managed by the System Operational Resilience Group (SORG)</li> <li>• System Transition Assurance Committee established, and inaugural meeting took place end April and meeting monthly.</li> <li>• Secretary of State for Health and Social Care decision taken in August 2021 to amend the ICS boundary so that Glossop will move from the Greater Manchester ICS into the Derbyshire ICS</li> <li>• Dr Chris Clayton appointed as Chief Executive Designate of NHS Derby and Derbyshire ICB</li> <li>• John MacDonald appointed as ICB Designate Chair.</li> <li>• Joined Up Improvement Derbyshire Efficiency and Productivity PMO in place</li> </ul>	<ul style="list-style-type: none"> <li>• SOC and SVOC update provided weekly to System Escalation Cell (SEC) until it was stood down in February. Now provided to SORG.</li> <li>• 2021/22 JUCD Operational Plan</li> <li>• System Transition Assurance Committee, agenda, papers and minutes</li> <li>• CCG submitted its Engagement Report to NHSEI in June 2021.</li> <li>• Joint Transition Steering Group minutes and action log.</li> <li>• Derbyshire ICS Transition Plan</li> </ul>	<ul style="list-style-type: none"> <li>• SEC/SORG Agendas and Papers.</li> <li>• SEC/SORG Action Logs</li> <li>• 2021/22 JUCD Operational Plan</li> <li>• System Transition Assurance Committee, agenda, papers and minutes</li> <li>• Joint Transition Steering Group minutes and action log.</li> </ul>
--	---	---	---

GAPS IN CONTROL		GAPS IN ASSURANCE	
<p style="text-align: center;"><u>Internal</u></p> <ul style="list-style-type: none"> <li>• Not able to influence decisions</li> <li>• Limited CCG capacity to contribute to all meetings Clinical and Lay Commissioning Committee meetings stood down from March 2020 to June 2020 due to CCG operating at level 4 Business Continuity Escalation as a result of the COVID 19 pandemic.</li> <li>• Withdrawal of Turnaround approach</li> <li>• <b>Development of communications and engagement plan with stakeholders, patients and public.</b></li> <li>• <b>Contracting and Commissioning implications on broader geography and population</b></li> <li>• <b>Place/ PCN planning and Primary Care development to include Glossop</b></li> </ul>	<p style="text-align: center;"><u>External</u></p> <ul style="list-style-type: none"> <li>• National directives</li> <li>• 'Club v's country' i.e. organisational sovereignty over system</li> <li>• System Clinical and Professional Reference Group meetings stood down due to COVID 19 pandemic.</li> <li>• Workforce plans to be established across the system to provide the necessary competency and capacity to deliver healthcare, including contingency plans for staff reductions due to Covid-19.</li> <li>• Suspension of operational planning</li> <li>• Suspension of Systems Savings Group and PMO</li> <li>• Necessary delays in some transformation work</li> </ul>	<p style="text-align: center;"><u>Internal</u></p>	<p style="text-align: center;"><u>External</u></p> <ul style="list-style-type: none"> <li>• System Clinical and Professional Reference Group Minutes not available due to current Position.</li> <li>• Quantify residual health need resulting from Covid infection and factor into capacity and demand planning.</li> </ul>
ACTIONS BEING TAKEN TO ADDRESS GAPS IN CONTROL/ASSURANCE (INCLUDE TIMESCALES)			
<p style="text-align: center;"><u>Internal</u></p> <ul style="list-style-type: none"> <li>• System savings work in place and ongoing</li> <li>• Joined Up Care Derbyshire Workstream Delivery Boards / Assurance</li> <li>• Strategic commissioner and ICS / ICP development</li> <li>• Virtual urgent decisions can be made by CLCC as per the Terms of Reference as required.</li> <li>• Weekly 30 minute Confidential GB Virtual Meetings established, with focused agenda have been established for urgent decision making and any urgent committee business.</li> <li>• Clinical Cell established to manage COVID 19 issues, Steve Lloyd Medical Director is the lead for the cell.</li> <li>• Zara Jones, Executive Director of Commissioning and Operations is the lead for the System Planning Cell.</li> <li>• <b>Glossop transition Communications and Engagement Plan with stakeholders, patients and public.</b></li> <li>• <b>Contracting and Commissioning Plan to include broader geography and population</b></li> <li>• <b>Place/ Primary Care Network (PCN) Plan and Primary Care Plan to include Glossop</b></li> </ul>	<p style="text-align: center;"><u>Timeframe</u></p> <ul style="list-style-type: none"> <li>• Monthly review</li> <li>• Ongoing</li> <li>• Ongoing</li> <li>• Ongoing</li> <li>• Ongoing</li> <li>• Ongoing</li> <li>• Since March 2020 and ongoing</li> <li>• <b>Ongoing</b></li> <li>• <b>Ongoing</b></li> <li>• <b>Ongoing</b></li> <li>• <b>Ongoing</b></li> </ul>	<p style="text-align: center;"><u>External</u></p> <ul style="list-style-type: none"> <li>• Continued work with system partners to develop and deliver transformation plans</li> <li>• Development of Direct Enhanced Services during 2021/22 through PCCC.</li> <li>• System Escalation Cell/ SORG meetings established to support the management of COVID 19 across the Derbyshire System.</li> <li>• System Planning and Operations Cell established to manage and determine recovery plans and future planning.</li> </ul>	<p style="text-align: center;"><u>Timeframe</u></p> <ul style="list-style-type: none"> <li>• Monthly review</li> <li>• June 2021</li> <li>• Ongoing</li> <li>• Ongoing</li> </ul>

<p><b>Strategic Aim: 4</b> Support the development of a recovering and sustainable health and care economy that operates within available resources, achieves statutory financial duties and meets NHS Constitutional standards.</p>				<p><b>GBAF RISK 4A</b></p>				<p>Executive Lead: Richard Chapman Assigned to Committee: Finance Committee</p>				
<p><b>What would success look like and how would we measure it?</b></p> <ul style="list-style-type: none"> <li>Delivery of agreed 2021/22 financial position.</li> </ul>				<p><b>Risk Description</b></p> <p>The Derbyshire health system is unable to manage demand, reduce costs and deliver sufficient savings to enable the <u>CCG</u> to move to a sustainable financial position.</p>								
<p><b>Risk rating</b></p>		<p><b>Likelihood</b></p>	<p><b>Consequence</b></p>	<p><b>Total</b></p>					<p><b>Date reviewed</b></p> <p>December 2021</p>		<p><b>Rationale for risk rating (and any change in score):</b></p> <ul style="list-style-type: none"> <li>Identify underlying system position, current and forward-looking</li> <li>The risk score for GBAF risk 4A has been increased to a very high score of 16. Work remains ongoing to monitor and manage the 2020/21 position, but also to understand the recurrent expenditure position as the CCG and system partners begin planning for 2021/22. The CCG is working with system partners to understand the recurrent underlying position and early work suggests there is a considerable system financial challenge moving into 2021/22.</li> <li>The Derbyshire NHS system has a gap of c. £43m between expenditure assessed as required to meet delivery plans and notified available resource. The CCG is working with system partners to agree how these resources are used and what remaining financial risk there is, where this risk will be held and how it can be mitigated.</li> </ul>	
<p>Initial</p>		<p>5</p>	<p>5</p>	<p>25</p>								
<p>Current</p>		<p>4</p>	<p>4</p>	<p>16</p>								
<p><b>Risk Appetite</b></p>		<p><b>Level</b></p>	<p><b>Category</b></p>	<p><b>Target Score</b></p>	<p><b>Link to Derby and Derbyshire Risk Register</b> 11,30</p>							
		<p>Low</p>	<p>Financial Statutory Duties</p>	<p>10</p>								
		<p>2</p>	<p>5</p>									
<p><b>KEY CONTROLS TO MITIGATE RISK</b></p>					<p><b>SOURCES OF ASSURANCE</b></p>							
<p><b>Internal</b></p> <ul style="list-style-type: none"> <li>Contract management incl. validation of contract information, coding and counting challenges etc.</li> <li>Internal management processes – monthly confirm and challenge by Executive Team &amp; Finance Committee.</li> <li>Recovery and Restoration (R&amp;R) Plan.</li> <li>R&amp;R progress and assurance reported monthly to Governing Body through the Finance Committee Assurance report.</li> <li>Finance Committee meetings reinstated from June 2020</li> <li>Temporary financial regime in place within the CCG for the 6 month period 1st April to 30th September 2020 as a result of COVID-19.</li> <li>NHSEI have provided guidance of a new financial for the period to March 2021. The allocations</li> </ul>			<p><b>External</b></p> <ul style="list-style-type: none"> <li>Standardised contract governance in line with national best practice.</li> <li>System Finance Oversight Group (SFOG) established.</li> <li>Daily System Escalation Cell meetings established to support the management of COVID 19 across the Derbyshire System</li> <li>System Savings Group established and in place</li> <li>System Finance Oversight Group in place and reinstated and continuing to meet at BC level 4.</li> <li>The Derbyshire NHS system has a gap of c. £43m between expenditure assessed as required to meet delivery plans and notified available resource. The CCG is working with system partners to agree how these resources are used and what remaining financial risk there is, where</li> </ul>			<p><b>Internal</b></p> <ul style="list-style-type: none"> <li>Monthly reporting to NHSE/NHSI, Finance Recovery Group and Finance Committee.</li> <li>Internal Audit 20/21 Integrity of the general ledger, financial reporting and budgetary control Audit giving significant assurance.</li> <li>Recovery and Restoration Action Plan.</li> <li>R&amp;R progress and assurance reported monthly to Governing Body through the Finance Committee Assurance report</li> <li>Finance Committee Minutes</li> <li>Service Development Funding received end September 20.</li> <li>SOC and SVOC update provided weekly to System Escalation Cell (SEC) until it was stood down in February. Now provided to</li> </ul>			<p><b>External</b></p> <ul style="list-style-type: none"> <li>Regulator review and oversight of monthly financial submissions</li> <li>System Finance Oversight Group Minutes</li> <li>2021/22 JUCD Operational Plan</li> <li>ICS Transition Plan</li> <li>System Transition Assurance Committee, agenda, papers and minutes</li> </ul>			

<p>have been based on the first 6 months of the financial year and includes additional system allocations for COVID-19, Top-up and Growth.</p> <ul style="list-style-type: none"> <li>• CCG Escalated to Business Continuity Level 4 in December 2020 due to Covid 19 pandemic.</li> <li>• Corporate Committees and Governing Body Meetings have not been stood down and continue to meet monthly.</li> <li>• Functions continue to operate at BC level 3 and are reviewed regularly.</li> <li>• JUCD system moved from Gold Command to Silver Command February 2021.</li> <li>• JUCD 2021/22 Operational Plan submitted to NHSE 14<sup>th</sup> May 2021.</li> <li>• System Transition Assurance Committee established, and inaugural meeting took place end April and meeting monthly.</li> <li>• CCG GB Chair is the System Transition Assurance Committee Chair and ICS CCG Transition Working Group Chair.</li> <li>• CCG ICS Transition Working Group established and meets monthly. First meeting took place 6<sup>th</sup> May.</li> <li>• CCG Finance Committee integrated with System and Finance Estates Committee from January 2022.</li> </ul>	<p>this risk will be held and how it can be mitigated.</p> <ul style="list-style-type: none"> <li>• ICS guidance published November 2020.</li> <li>• Derby and Derbyshire formally approved as an ICS.</li> <li>• ICS White Paper was published in February 2021.</li> <li>• JUCD system moved from Gold Command to Silver Command.</li> <li>• SEC meetings were stood down in February 2021, and operational issues being fully managed by the System Operational Resilience Group (SORG)</li> <li>• System Transition Assurance Committee established and inaugural meeting took place end April and meeting monthly.</li> <li>• Dr Chris Clayton appointed as Chief Executive Designate of NHS Derby and Derbyshire ICB</li> <li>• John MacDonald appointed as ICB Designate Chair.</li> <li>• Joined Up Improvement Derbyshire Efficiency and Productivity PMO in place</li> </ul>	<p>SORG.</p> <ul style="list-style-type: none"> <li>• 2021/22 JUCD Operational Plan</li> <li>• ICS Transition Plan</li> <li>• System Transition Assurance Committee, agenda, papers and minutes</li> <li>• CCG ICS Transition Working Group agenda, papers and minutes</li> </ul>	
<b>GAPS IN CONTROL</b>		<b>GAPS IN ASSURANCE</b>	
<u><b>Internal</b></u>	<u><b>External</b></u>	<u><b>Internal</b></u>	<u><b>External</b></u>
<ul style="list-style-type: none"> <li>• Consistent and regular reporting of timely, accurate and complete activity data with associated financial impact.</li> </ul>	<ul style="list-style-type: none"> <li>• Absence of integrated system reporting of the health financial position.</li> <li>• System Finance Oversight Group meetings to be reinstated September 2020.</li> <li>• Establish common system objective to deliver financial sustainability on a system-wide basis.</li> <li>• Identify underlying system position, current and forward-looking.</li> <li>• Establish system-wide monitoring, efficiency and transformational delivery process.</li> </ul>	<ul style="list-style-type: none"> <li>• Regularisation of integrated activity, finance and savings reporting incorporating activity trajectory matched to provider capacity to deliver and associated commissioner financial impact</li> </ul>	<ul style="list-style-type: none"> <li>• Absence of commitment to open-book reporting with clear risk identification.</li> <li>• System Finance Oversight Group Minutes</li> </ul>
<b>ACTIONS BEING TAKEN TO ADDRESS GAPS IN CONTROL/ASSURANCE (INCLUDE TIMESCALES)</b>			
<u><b>Internal</b></u>	<u><b>Timeframe</b></u>	<u><b>External</b></u>	<u><b>Timeframe</b></u>
<ul style="list-style-type: none"> <li>• Strengthening of activity data reporting to ensure improved business intelligence to support decision making.</li> <li>• Development of an integrated Activity Finance &amp; Savings report in place</li> </ul>	<ul style="list-style-type: none"> <li>• Ongoing</li> <li>• Ongoing</li> </ul>	<ul style="list-style-type: none"> <li>• Transparency of open book reporting through System Savings Group</li> <li>• Output from Demand &amp; Capacity Workstream on waiting list growth (reduction) and consider in financial sustainability terms.</li> </ul>	<ul style="list-style-type: none"> <li>• Ongoing</li> <li>• May 2021</li> </ul>

<p><b>Strategic Aim: 4</b> Support the development of a recovering and sustainable health and care economy that operates within available resources, achieves statutory financial duties and meets NHS Constitutional standards.</p>				<p><b>GBAF RISK 4B</b></p>				<p>Executive Lead: Richard Chapman Assigned to Committee: Finance Committee</p>																													
<p><b>What would success look like and how would we measure it?</b></p> <ul style="list-style-type: none"> <li>Delivery of agreed 2021/22 financial position on a system basis.</li> </ul>				<p><b>Risk Description</b></p> <p>The Derbyshire health system is unable to manage demand, reduce costs and deliver sufficient savings to enable the <u>system</u> to move to a sustainable financial position.</p>																																	
<b>Risk rating</b>		<b>Likelihood</b>	<b>Consequence</b>	<b>Total</b>		<b>Date reviewed</b>		<b>December 2021</b>																													
Initial		5	4	20				<p><b>Rationale for risk rating (and any change in score):</b></p> <ul style="list-style-type: none"> <li>Identify underlying system position, current and forward-looking.</li> <li>The system does not currently have a functional efficiency programme or agreed structures to implement such a programme.</li> <li>The risk score for GBAF risk 4B has been increased to a very high score of 16. Work remains ongoing to monitor and manage the 2020/21 position, but also to understand the recurrent expenditure position as the CCG and system partners begin planning for 2021/22. The CCG is working with system partners to understand the recurrent underlying position and early work suggests there is a considerable system financial challenge moving into 2021/22.</li> <li>The likelihood was increased based on initial assessment that the NHS system has a gap of c. £43m between expenditure assessed as required to meet delivery plans and notified available resource. Since this initial risk the CCG is working with system partners and we have, as a result of a much-improved CCG position, been able to report that the system are forecasting a break-even position, with the providers reporting a combined £5.0m surplus against the CCGs £5.0m deficit. Work remains ongoing to monitor and manage this position, particularly in relation to where the risks are and how these can be mitigated.</li> </ul>																													
Current		4	4	16																																	
<b>Risk Appetite</b>		<b>Level</b>	<b>Category</b>	<b>Target Score</b>																																	
		Low	Financial Statutory Duties	10																																	
		2	5																																		
<p style="text-align: center;"><b>GBAF Risk 4B</b></p> <table border="1"> <caption>GBAF Risk 4B Score History</caption> <thead> <tr> <th>Month</th> <th>Score</th> </tr> </thead> <tbody> <tr><td>April</td><td>16</td></tr> <tr><td>May</td><td>16</td></tr> <tr><td>June</td><td>16</td></tr> <tr><td>July</td><td>16</td></tr> <tr><td>August</td><td>16</td></tr> <tr><td>September</td><td>16</td></tr> <tr><td>October</td><td>16</td></tr> <tr><td>November</td><td>16</td></tr> <tr><td>December</td><td>16</td></tr> <tr><td>January</td><td></td></tr> <tr><td>February</td><td></td></tr> <tr><td>March</td><td></td></tr> </tbody> </table>												Month	Score	April	16	May	16	June	16	July	16	August	16	September	16	October	16	November	16	December	16	January		February		March	
Month	Score																																				
April	16																																				
May	16																																				
June	16																																				
July	16																																				
August	16																																				
September	16																																				
October	16																																				
November	16																																				
December	16																																				
January																																					
February																																					
March																																					
						<p style="text-align: center;"><b>Link to Derby and Derbyshire Risk Register</b> 11,30</p>																															

KEY CONTROLS TO MITIGATE RISK		SOURCES OF ASSURANCE	
Internal	External	Internal	External
<ul style="list-style-type: none"> <li>Internal management processes – monthly confirm and challenge by Executive Team and Finance Committee</li> <li>Integrated financial reporting incorporating I&amp;E and savings positions and risk</li> <li>Recovery and Restoration (R&amp;R) Plan.</li> <li>Clinical Leadership Framework in place across the system to support governance and clinical workstreams.</li> <li>R&amp;R Plan progress and assurance reported monthly to Governing Body through the Finance Committee Assurance report</li> <li>Finance Committee meetings reinstated from June 2020</li> <li>NHSEI have provided guidance of a new financial for the period to March 2021. The allocations have been based on the first 6 months of the financial year and includes additional system allocations for COVID-19, Top-up and Growth.</li> <li>CCG Escalated to Business Continuity Level 4 in December 2020 due to Covid 19 pandemic.</li> <li>Corporate Committees and Governing Body Meetings have not been stood down as continue to meet monthly.</li> <li>Functions continue to operate at BC level 3 and are reviewed regularly.</li> <li>JUCD system moved from Gold Command to Silver Command February 2021.</li> <li>JUCD 2021/22 Operational Plan submitted to NHSE 14<sup>th</sup> May 2021.</li> <li>System Transition Assurance Committee established and inaugural meeting took place end April and meeting monthly.</li> <li>CCG GB Chair is the System Transition Assurance Committee Chair and ICS CCG Transition Working Group Chair.</li> <li>CCG ICS Transition Working Group established and meets monthly. First meeting took place 6<sup>th</sup> May.</li> <li>CCG Finance Committee integrated with System and Finance Estates Committee from January 2022.</li> </ul>	<ul style="list-style-type: none"> <li>Standardised contract governance in line with national best practice.</li> <li>System Finance Oversight Group (SFOG) established</li> <li>Requirement to agree a multi-year system recovery plan with regulator in order to mitigate impact score</li> <li>The Derbyshire NHS system has a gap of c. £43m between expenditure assessed as required to meet delivery plans and notified available resource. The CCG is working with system partners to agree how these resources are used and what remaining financial risk there is, where this risk will be held and how it can be mitigated.</li> <li>ICS guidance published November 2020.</li> <li>Derby and Derbyshire formally approved as an ICS.</li> <li>SFOG continue to meet at BC Level 4, December</li> <li>ICS White Paper was published in February 2021.</li> <li>JUCD system moved from Gold Command to Silver Command.</li> <li>SEC meetings were stood down in February 2021, and operational issues being fully managed by the System Operational Resilience Group (SORG) 2020 onwards.</li> <li>System Transition Assurance Committee established and inaugural meeting took place end April and meeting monthly.</li> <li>Dr Chris Clayton appointed as Chief Executive Designate of NHS Derby and Derbyshire ICB</li> <li>John MacDonald appointed as ICB Designate Chair.</li> <li>Joined Up Improvement Derbyshire Efficiency and Productivity PMO in place</li> </ul>	<ul style="list-style-type: none"> <li>Monthly reporting to NHSE/NHSI, Executive Team and Finance Committee.</li> <li>Recovery and Restoration Plan.</li> <li>Clinical Leadership Framework in place across the system to support governance and clinical workstreams.</li> <li>Recovery and Restoration Programme progress and assurance reported monthly to Governing Body through the Finance Committee Assurance Report</li> <li>Finance Committee Minutes</li> <li>SOC and SVOC update provided weekly to System Escalation Cell (SEC) until it was stood down in February. Now provided to SORG.</li> <li>2021/22 JUCD Operational Plan.</li> <li>ICS Transition Plan.</li> <li>System Transition Assurance Committee, agenda, papers and minutes. CCG ICS Transition Working Group agenda, papers and minutes.</li> </ul>	<ul style="list-style-type: none"> <li>Regulator review and oversight of monthly financial submissions</li> <li>System Finance Oversight Group Minutes</li> <li>2021/22 JUCD Operational Plan</li> <li>ICS Transition Plan</li> <li>System Transition Assurance Committee, agenda, papers and minutes</li> </ul>

GAPS IN CONTROL		GAPS IN ASSURANCE	
<p><b>Internal</b></p> <ul style="list-style-type: none"> <li>Consistent and regular reporting of timely, accurate and complete activity data with associated financial impact.</li> </ul>	<p><b>External</b></p> <ul style="list-style-type: none"> <li>Absence of a single system view of activity data which is timely, accurate and complete.</li> <li>Absence of a system planning function on which partners place reliance.</li> <li>Absence of integrated system reporting of the health financial position.</li> <li>Regulatory and statutory financial duties mitigate against system collaboration and cooperation to reduce health cost.</li> <li>System Activity Finance &amp; Savings report</li> <li>System Savings Group established and in place</li> <li>System Finance Oversight Group in place</li> <li>System Finance Oversight Group reinstated September 20 and continues to meet at BC Level 4 from December 20,</li> <li>Establish common system objective to deliver financial sustainability on a system-wide basis.</li> <li>Identify underlying system position, current and forward-looking.</li> <li>Establish system-wide monitoring, efficiency and transformational delivery process.</li> </ul>	<p><b>Internal</b></p> <ul style="list-style-type: none"> <li>Regularisation of integrated activity, finance and savings reporting incorporating activity trajectory matched to provider capacity to deliver and associated commissioner financial impact</li> </ul>	<p><b>External</b></p> <ul style="list-style-type: none"> <li>Absence of commitment to open-book reporting with clear risk identification.</li> <li>Provider rules only allow reforecasting on a quarterly basis, unable to influence this</li> <li>Provider Sustainability Fund rules incentivise delay in risk recognition meaning forecasting may not be fully objective, unable to influence this</li> <li>System Finance Oversight Group minutes not available due to current position</li> </ul>
ACTIONS BEING TAKEN TO ADDRESS GAPS IN CONTROL/ASSURANCE (INCLUDE TIMESCALES)			
<p><b>Internal</b></p> <ul style="list-style-type: none"> <li>Development of new System Activity Finance &amp; Savings report</li> </ul>	<p><b>Timeframe</b></p> <ul style="list-style-type: none"> <li>Ongoing</li> </ul>	<p><b>External</b></p> <ul style="list-style-type: none"> <li>Establish greater system working across finance teams</li> <li>Transparency of open book reporting through System Savings Group</li> <li>System Escalation Cell/ SORG meetings established to support the management of COVID 19 across the Derbyshire System</li> <li>Output from Demand &amp; Capacity Workstream on waiting list growth (reduction) and consider in financial sustainability terms.</li> </ul>	<p><b>Timeframe</b></p> <ul style="list-style-type: none"> <li>Ongoing</li> <li>Ongoing</li> <li>Ongoing</li> <li>May 2021</li> </ul>



<p><b>Strategic Aim: 7</b> Work in partnership with stakeholders and engage with our population to achieve the above objectives where appropriate.</p>				<p><b>GBAF RISK 5</b></p>				<p>Executive Lead: Helen Dillistone Assigned to Committee: Engagement Committee</p>								
<p><b>What would success look like and how would we measure it?</b> Output and delivery of comprehensive engagement programme, with % increase to Citizen's Panel membership and agreed % population engaged in planning in Yr1. Fully populated and network engagement structure, with permanent membership of Engagement Committee confirmed.</p>				<p><b>Risk Description</b> <b>The Derbyshire population is not sufficiently engaged to identify and jointly deliver the services that patients need.</b></p>												
<p><b>Risk rating</b></p>		<p><b>Likelihood</b></p>	<p><b>Consequence</b></p>	<p><b>Total</b></p>					<p><b>Date reviewed</b></p>		<p><b>December 2021</b></p>					
<p>Initial</p>		<p>4</p>	<p>3</p>	<p><b>12</b></p>					<p><b>Rationale for risk rating (and any change in score):</b></p> <ul style="list-style-type: none"> <li>The CCG recognises the risk of operating in a complex and financially challenged environment and the need to balance decision making with appropriate engagement and involvement.</li> <li>The risk likelihood was reduced from 4 to 3 in October to reflect the appetite and development to implement the Derbyshire Dialogue programme.</li> </ul>				<p><b>Link to Derby and Derbyshire Risk Register</b> 4,5,6,7,9,12,14,16,24,25,26,27,28</p>			
<p>Current</p>		<p>3</p>	<p>3</p>	<p><b>9</b></p>												
<p><b>Risk Appetite</b></p>		<p><b>Level</b></p>	<p><b>Category</b></p>	<p><b>Target Score</b></p>												
		<p>Low</p>	<p>Commissioning</p>	<p><b>6</b></p>												
		<p>2</p>	<p>3</p>													
<p><b>KEY CONTROLS TO MITIGATE RISK</b></p>					<p><b>SOURCES OF ASSURANCE</b></p>											
<p><b>Internal</b></p> <ul style="list-style-type: none"> <li>Clearly defined system strategy which identifies key health priorities and forward planning to ensure public engagement can be embedded.</li> <li>Engagement function with clearly defined roles and agreed priorities.</li> <li>Engagement Committee to provide challenge and internal scrutiny; the Committee has broad representation from provider Governors, members of the public, Local Government, Healthwatch and the Voluntary Sector.</li> <li>Alignment of CCG and JUCD communications and engagement agendas where necessary to provide streamlined and coherent approach.</li> <li>Identified involvement of communications and engagement lead involvement in all projects.</li> </ul>			<p><b>External</b></p> <ul style="list-style-type: none"> <li>Engagement Committee has dual responsibility for the alignment of JUCD and CCG communications and engagement agendas where necessary to provide streamlined and coherent approach.</li> <li>Relationship development with local parliamentary and council politicians.</li> <li>Structured approach to broader stakeholder engagement.</li> <li>Proactive formal and informal Engagement with Overview &amp; Scrutiny Committees, with clear business plan.</li> <li>Co-production approach to planning utilising existing local experts by experience (Lay Reference Groups)</li> <li>Joined Up Care Derbyshire Comms and Engagement collaboration and planning.</li> <li>Legal/Consultation Institute advice on challenging issues.</li> </ul>		<p><b>Internal</b></p> <ul style="list-style-type: none"> <li>Confirm and challenge and outputs for Engagement Committee providing assurance to GBs.</li> <li>Governing Body assurance of Engagement Committee evidence from training and development.</li> <li>Commissioning cycle to involve patient engagement.</li> <li>EIA and QIA process.</li> <li>QIA/EIA panel.</li> <li>Communications &amp; Engagement Team aligned to programme boards to maintain understanding of emerging work and implications</li> <li>Systematic completion of S14Z2 forms will provide standardised assurance against compliant decision making and recording of decisions at project level.</li> </ul>			<p><b>External</b></p> <ul style="list-style-type: none"> <li>Membership (and other stakeholder) feedback via annual 360 survey.</li> <li>Approval of commissioning strategy and associated decisions by the Clinical Lay Commissioning Committee.</li> <li>Approval of engagement and consultation processes from Overview and Scrutiny Committees.</li> <li>NHS England CCG Assurance Rating.</li> <li>INHS England Assurance on winter communications and engagement plan</li> <li>NHS England assurance on NHS 111 First communications and engagement plan</li> <li>2021/22 JUCD Operational Plan</li> <li>ICS Transition Plan</li> <li>System Transition Assurance Committee, agenda, papers and minutes</li> </ul>								

<ul style="list-style-type: none"> <li>Clearly defined offer and ownership of communications channels to support consistency of approach and clarity of message.</li> <li>QEIA panel now includes review of S14Z2 (engagement review) forms to provide early sighting on engagement requirements</li> <li>Simple engagement model now approved to support project flow through consistent process.</li> <li>Strengthening of CCG committee cover sheets to ensure committees making implementation decisions have full assurance that duties have been met.</li> <li>2020/21 Commissioning Intentions finalised and agreed with Providers.</li> <li>Population Health Management in development</li> <li>Recovery and Restoration Plan</li> <li>Governing Body</li> <li>Commissioning Intentions 2020/21 published and on website.</li> <li>Engagement Committee meetings reinstated from June 2020.</li> <li>Zara Jones, Executive Director of Commissioning and Operations is the lead for the System Planning Cell.</li> <li>Daily System Escalation Cell meetings established to support the management of COVID 19 across the Derbyshire System</li> <li>System Planning and Operations Cell established to manage and determine recovery plans and future planning</li> <li>Communications and Engagement Strategy-outline proposal of the strategy ready for January 2021 and final version in March 2021 asserting ambition for measuring success. CCG Escalated to Business Continuity Level 4 in December 2020 due to Covid 19 pandemic.</li> <li>Corporate Committees and Governing Body Meetings have not been stood down and Engagement Committee meets bi-monthly.</li> <li>Functions continue to operate at BC level 3 and are reviewed regularly.</li> <li>JUCD system moved from Gold Command to Silver Command February 2021</li> <li>JUCD 2021/22 Operational Plan submitted to NHSE 14<sup>th</sup> May 2021.</li> <li>System Transition Assurance Committee established and inaugural meeting took place end April and meeting monthly.</li> <li>CCG GB Chair is the System Transition Assurance Committee Chair and ICS CCG Transition Working Group Chair.</li> <li>CCG ICS Transition Working Group</li> </ul>	<ul style="list-style-type: none"> <li>Derbyshire Dialogue launched in September 2020 to begin process of continuous engagement with local people. Subjects covered to date include the pandemic response, primary care and mental health, with future sessions planned on UEC and cancer.</li> <li>Derby and Derbyshire formally approved as an ICS.</li> <li>ICS White Paper was published in February 2021.</li> <li>JUCD system moved from Gold Command to Silver Command.</li> <li>System Transition Assurance Committee established and inaugural meeting took place end April and meeting monthly.</li> <li>Health Inequalities is priority focus of JUCD Board during May and June 2021.</li> <li>Joined up Care Derbyshire Communications and Engagement Strategy approved at JUCD Board 15<sup>th</sup> July 2021.</li> <li>Further ICB guidance published in August 2021.</li> <li>Awaiting Health &amp; Social Care Bill to be passed in parliament.</li> <li>Dr Chris Clayton appointed as Chief Executive Designate of NHS Derby and Derbyshire ICB</li> <li>John MacDonald appointed as ICB Designate Chair.</li> </ul>	<ul style="list-style-type: none"> <li>Training for Engagement Committee membership to ensure robust understanding and application of guidance and statutory responsibility.</li> <li>2020/21 Commissioning Intentions finalised and agreed with Providers.</li> <li>Population Health Management supported by Public Health Directors and Governing Body.</li> <li>Establishment of Strategic Advisory Group.</li> <li>Governing Body developing CCG Strategy.</li> <li>Commissioning Intentions published and on website</li> <li>Significant community engagement programme in progress to support vaccine inequalities agenda.</li> <li>2021/22 JUCD Operational Plan</li> <li>ICS Transition Plan</li> <li>System Transition Assurance Committee, agenda, papers and minutes</li> <li>CCG ICS Transition Working Group agenda, papers and minutes</li> </ul>	
--	--	---	--

<p>established and meets monthly. First meeting took place 6<sup>th</sup> May.</p> <ul style="list-style-type: none"> <li>• Dr Robyn Dewis, Director of Public Health Derby City is Chair of Health Inequalities Group across the System.</li> </ul>			
<b>GAPS IN CONTROL</b>		<b>GAPS IN ASSURANCE</b>	
<p style="text-align: center;"><u><b>Internal</b></u></p> <ul style="list-style-type: none"> <li>• A robust engagement programme that supports the health inequalities and commissioning agendas at the planning stage, with full population analysis to support reaching seldom heard groups.</li> <li>• Finalise construct of engagement mechanisms from PPG level, through PCN, Place, ICP to Engagement Committee level, subject to system structure agreement.</li> <li>• Embed clear and robust statements and processes relating to the desire to engage in CCG strategic policies.</li> <li>• Communication and Engagement not appropriately funded to ensure effectiveness in crowded public sector messaging space.</li> </ul>	<p style="text-align: center;"><u><b>External</b></u></p> <ul style="list-style-type: none"> <li>• Multiple public sector messages resulting in CCG cut through being a challenge</li> </ul>	<p style="text-align: center;"><u><b>Internal</b></u></p> <ul style="list-style-type: none"> <li>• Embed insight gathering processes into BAU for health service commissioning, with programme support identification of behaviours and issues that affect service commissioning and health inequalities</li> <li>• CCG Communications and Engagement Strategy requires refresh, including alignment with JUCD approach</li> </ul>	<p style="text-align: center;"><u><b>External</b></u></p> <ul style="list-style-type: none"> <li>• CCG Communications and Engagement Strategy requires refresh, including alignment with JUCD approach</li> </ul>
<b>ACTIONS BEING TAKEN TO ADDRESS GAPS IN CONTROL/ASSURANCE (INCLUDE TIMESCALES)</b>			
<p style="text-align: center;"><u><b>Internal</b></u></p> <ul style="list-style-type: none"> <li>• Training support for project managers in development on commissioning cycle to standardise processes, building on recent project management training.</li> <li>• Fully populated and network engagement structure, with permanent membership of Engagement Committee confirmed.</li> <li>• Funding proposal developed to support implementation and ambition of Communications and Engagement Strategy</li> </ul>	<p style="text-align: center;"><u><b>Timeframe</b></u></p> <ul style="list-style-type: none"> <li>• Q4 2021/22 (paused during Level 4 Business Continuity arrangements)</li> <li>• Ongoing</li> <li>• Q4 2021/22 (in line with national and system financial planning processes for 21/22)</li> </ul>	<p style="text-align: center;"><u><b>External</b></u></p> <ul style="list-style-type: none"> <li>• Engagement Committee re-established bi-monthly.</li> <li>• Insight programme in progress but requires longer-term funding model</li> <li>• Funding proposal developed to support implementation and ambition of Communications and Engagement Strategy</li> </ul>	<p style="text-align: center;"><u><b>Timeframe</b></u></p> <ul style="list-style-type: none"> <li>• Bi-monthly 2021/22</li> <li>• Q4 2021/22</li> <li>• Q4 2021/22 (in line with national and system financial planning processes for 21/22)</li> </ul>

<p align="center"><b>Strategic Objective: 3</b></p> <p>Continue with the roll out of the Covid-19 vaccination programme and ensure a sustainable planning and operational model is in place.</p>	<h2>GBAF RISK 6</h2>	<p>Executive Lead: Steve Lloyd</p> <p>Assigned to Committee: Quality and Performance Committee</p>
--	----------------------	--

<p><b>What would success look like and how would we measure it?</b></p> <ul style="list-style-type: none"> <li>95% of the Derby and Derbyshire CCG population receive 1<sup>st</sup> and 2<sup>nd</sup> doses of a Covid-19 vaccination</li> <li>Phase 3 of Vaccination Programme is implemented from September 2021</li> </ul>	<p><b>Risk Description</b></p> <p><b>The CCG does not achieve the national requirements for the Covid-19 Vaccination Programme and have robust operational models in place for the continuous sustainable delivery of the Vaccination Programme.</b></p>
---	--

Risk rating	Likelihood	Consequence	Total	<h3>GBAF Risk 6</h3>	Date reviewed	December 2021
Initial	4	5	20		<p><b>Rationale for risk rating (and any change in score):</b></p> <p>VOC on the rise within Derbyshire requiring significant surge planning amidst workforce shortages and constrained vaccine supply.</p>	
Current	4	5	20			
Risk Appetite	Level	Category	Target Score		<p><b>Link to System Wide Risk Register Risk 10</b></p>	
	5	Clinical Quality & Patient Safety	5			

KEY CONTROLS TO MITIGATE RISK		SOURCES OF ASSURANCE	
Internal	External	Internal	External
<ul style="list-style-type: none"> <li>Vaccination Operations Cell (VOC) established and in place to coordinate and oversee the JUCD Covid-19 vaccination programme</li> <li><b>Permanent recruitment to vaccination programme underway as instructed by NHSEI</b></li> <li>Fully established VOC rota to manage and deliver the vaccination programme.</li> <li>Dr Steve Lloyd, Medical Director is the SRO for the Vaccination Programme.</li> <li>Senior Leadership, Lead Provider and Workstream leads managing the VOC and vaccination programme.</li> <li>Silver and Gold Command Operation Group</li> <li>JUCD 2021/22 Operational Plan submitted to NHSE 14<sup>th</sup> May 2021.</li> <li>Linda Syson-Nibbs is Chair of Health Inequalities Group across the System which also reviews hesitancy within groups of patients</li> <li>Vaccination sites across Derby and Derbyshire to deliver vaccination programme</li> <li>Health Protection Board actions for early warning of delta variants and other VOC's.</li> <li><b>Modelling of further cohorts in Phase 3 for booster</b></li> </ul>	<ul style="list-style-type: none"> <li>System Escalation Cell</li> <li>System Operational Resilience Group</li> <li>System Demand and Capacity Group</li> </ul>	<ul style="list-style-type: none"> <li>VOC email inbox and dedicated phone line</li> <li>Standing Operating Procedure (SOP) for the VOC</li> <li><b>VOC draft structure developed</b></li> <li>Fully established Governance cycle of vaccination meeting to support delivery of the programme</li> <li>2021/22 JUCD Operational Plan</li> <li>VOC Risk register</li> <li><b>Gold report being revised to include all elements of Phase 3 performance reporting to enable targeted uptake where necessary</b></li> <li>Health Protection Board</li> <li>Development of the vaccine programme as a strategic delivery board within the ICS structure, signed off by JUCD leadership</li> <li><b>Weekly Phase 3 planning meeting now stood down as implemented. Fortnightly Flu cell remains for operational issues, reporting into Silver Operational Group.</b></li> <li>QEIA in development for Phase 3</li> <li>DPH and LA engagement in schools</li> </ul>	<ul style="list-style-type: none"> <li>2021/22 JUCD Operational Plan</li> <li>Weekly demand and capacity briefing</li> <li>NHSE regular returns for Health and Social Care Worker uptake across health and social care systems</li> <li>Weekly plan submitted to NHSE</li> <li>Weekly stocktakes submitted to NHSE</li> <li><b>Phase 3 planning return submitted monthly with revisions</b></li> <li><b>JUCD representation across all NHSEI Phase 3 planning meetings</b></li> <li><b>JUCD representation at national level on children's programme</b></li> <li><b>National Maternity Board representation by Dr Steve Lloyd</b></li> <li><b>JUCD SAIS representation at C &amp; YP NHSEI meetings</b></li> </ul>

<p>being undertaken, including vaccinating of 5-11 year olds to understand the impact on workforce and vaccine requirements.</p> <ul style="list-style-type: none"> <li>• Planning for phase 4 to begin imminently to assess estate and workforce requirements</li> </ul>		<p>programme, working closely with SAIS team</p>	
GAPS IN CONTROL		GAPS IN ASSURANCE	
<p><u>Internal</u></p> <ul style="list-style-type: none"> <li>• Influence and impact on system planning regarding restoration and recovery and co-delivery of the vaccination programme</li> <li>• Infrastructure to support new model to deliver suggested Phase 3 including Flu and sustainable delivery as a programme of work including operational delivery i.e. site leads</li> <li>• Any changes made in relation to phase 3 guidance giving very short notice affecting decisions/priorities and impact of opt-in/out of vaccine delivery</li> </ul>	<p><u>External</u></p> <ul style="list-style-type: none"> <li>• Community Pharmacy contracting</li> <li>• National guidance including JCVI and Green Book publications</li> <li>• NHSEI financial model for vaccinations does not cover the costs incurred against low vaccine uptake, as an example SAIS</li> <li>• Pfizer vaccine supply has been capped</li> </ul>	<p><u>Internal</u></p> <ul style="list-style-type: none"> <li>• Do not have access to booking information for local booking services</li> </ul>	<p><u>External</u></p>
ACTIONS BEING TAKEN TO ADDRESS GAPS IN CONTROL/ASSURANCE (INCLUDE TIMESCALES)			
<p><u>Internal</u></p> <ul style="list-style-type: none"> <li>• Enhanced communications approach looking at new and innovative ways to reduce hesitancy within cohorts of patients not receiving first or second vaccinations.</li> <li>• Surge planning being undertaken in areas with variants of concern (VOC) delta variant, in partnership with PH.</li> <li>• Call to arms for staffing shortages</li> <li>• Reviewing allocation at site level to make best use of Pfizer allocations to under achieving areas</li> <li>• Phase 3 planning guidance published. Expressions of interest continue for Community Pharmacies to address any gaps in delivery</li> <li>• Reviewing published PCN Enhanced Service guidance for Phase 3, providing JUCD system support to PCNs where required to support continuation of opt-in.</li> <li>• Gap analysis undertaken to ensure geographical coverage of vaccination sites.</li> <li>• Process established to understand system stock and forward bookings of patients. System email to all sites circulated to increase uptake of Moderna assured sites to cover off Pfizer supply issues.</li> </ul>	<p><u>Timeframe</u></p> <ul style="list-style-type: none"> <li>• Ongoing</li> <li>• Immediate/ ongoing</li> <li>• Ongoing</li> <li>• Ongoing</li> <li>• Ongoing</li> <li>• Ongoing</li> </ul>	<p><u>External</u></p> <ul style="list-style-type: none"> <li>• Escalating to NHSEI regional team regarding vaccine supply and surge planning issues with supply</li> <li>• Escalation to NHSEI regional team regarding financial modelling for vaccinations against low vaccine uptake</li> </ul>	<p><u>Timeframe</u></p> <ul style="list-style-type: none"> <li>• Weekly and daily as required</li> <li>• Weekly and daily as required</li> </ul>

<p align="center"><b>Strategic Objective: 5</b></p> <p>Support our staff in the delivery of the above and transition into an ICS, through continued health and wellbeing programmes and effective communication and engagement</p>	<h2>GBAF RISK 7</h2>	<p><b>Executive Lead: Helen Dillistone</b></p> <p><b>Assigned to Committee: Governance Committee</b></p>
--	----------------------	--

<p><b>What would success look like and how would we measure it?</b></p> <ul style="list-style-type: none"> <li>The CCG workforce will transition over to the Integrated Care System (ICS).</li> <li>All employees to have effective communication on developments and structures within the ICS.</li> <li>Having robust health and well-being programmes in place to support staff.</li> </ul>	<p align="center"><b>Risk Description</b></p> <p align="center"><b>CCG staff retention and morale during the transition will be adversely impacted due to uncertainty of process and implications of the transfer to the ICS, despite the NHSEI continuity of employment promise.</b></p>
--	---

<b>Risk rating</b>	<b>Likelihood</b>	<b>Consequence</b>	<b>Total</b>		<b>Date reviewed</b>	December 2021
Initial	2	4	8		<p><b>Rationale for risk rating (and any change in score):</b></p> <p>The CCG has concerns about losing staff and the impact of that is higher than the previous score of 2. The score then aligns the with the ICB Transition risk 1 within the register.</p>	
Current	3	4	12			
<b>Risk Appetite</b>	<b>Level</b>	<b>Category</b>	<b>Target Score</b>		<p align="center"><b>Link to Derby and Derbyshire Risk Register</b></p> <p>The ICS Transition Programme has a Risk Register managed at CCG and system level. Risk is a standing agenda item for the Transition Working Group who report up to the Governing Body each month</p>	
	Low	Statutory and mandatory compliance and governance	5			

KEY CONTROLS TO MITIGATE RISK		SOURCES OF ASSURANCE	
<p align="center"><u>Internal</u></p> <ul style="list-style-type: none"> <li>JUCD 2021/22 Operational Plan submitted to NHSE 14<sup>th</sup> May 2021.</li> <li>Transition Assurance Committee (TAC) established and inaugural meeting took place end April and meeting monthly.</li> <li>CCG GB Chair is the Transition Assurance Committee (TAC) Chair and ICS CCG Transition Working Group Chair.</li> <li>CCG ICS Transition Working Group established and meets monthly. First meeting took place 6<sup>th</sup> May.</li> <li>Governance Committee has oversight of the NHS People Plan and ICS transition.</li> <li>Comprehensive communications and engagement plan which places staff knowledge, information and ability to be involved at the heart of the transition.</li> </ul>	<p align="center"><u>External</u></p> <ul style="list-style-type: none"> <li>Transition Assurance Committee (TAC) established and inaugural meeting took place end April and meeting monthly</li> <li>ICS Design Framework published 16<sup>th</sup> June 2021</li> <li>Health and Care Bill ordered by The House of Commons 6<sup>th</sup> July 2021.</li> <li>Final HR Framework published August including commitment of employment guarantee.</li> <li>Further ICS/ ICB Guidance published August 2021</li> <li>John MacDonald appointed as ICB Designate Chair.</li> <li>Dr Chris Clayton appointed as Chief Executive Designate of NHS Derby and Derbyshire ICB</li> </ul>	<p align="center"><u>Internal</u></p> <ul style="list-style-type: none"> <li>'People Matter' HR newsletter emailed to all CCG staff.</li> <li>2021/22 JUCD Operational Plan</li> <li>ICS/CCG Transition Plan</li> <li>CCG ICS Transition Working Group agenda, papers and minutes</li> <li>CCG Team Talks</li> <li>CCG Staff Bulletins</li> <li>Bespoke communications activity in relation to the transition</li> <li>CCG Turnover and sickness absence statistics</li> <li>Health and Wellbeing information available on the CCG Intranet for all CCG Staff.</li> </ul>	<p align="center"><u>External</u></p> <ul style="list-style-type: none"> <li>2021/22 JUCD Operational Plan</li> <li>ICS Transition Plan</li> <li>Transition Assurance Committee (TAC), agenda, papers and minutes</li> </ul>

<ul style="list-style-type: none"> <li>THRIVE Mental Health Provider providing briefing sessions to support CCG staff through the transition to ICB.</li> </ul>			
<b>GAPS IN CONTROL</b>		<b>GAPS IN ASSURANCE</b>	
<u>Internal</u>	<u>External</u>	<u>Internal</u>	<u>External</u>
<ul style="list-style-type: none"> <li>Further ICS Guidance to be published</li> </ul>	<ul style="list-style-type: none"> <li>Health and Care Bill still to be passed in Parliament</li> </ul>	<ul style="list-style-type: none"> <li>Communications content limited in detail while awaiting Bill.</li> </ul>	
<b>ACTIONS BEING TAKEN TO ADDRESS GAPS IN CONTROL/ASSURANCE (INCLUDE TIMESCALES)</b>			
<u>Internal</u>	<u>Timeframe</u>	<u>External</u>	<u>Timeframe</u>
<ul style="list-style-type: none"> <li>Communications and Engagement Plan to be finalised</li> <li>Attendance at all national ICS communications briefings to keep track of timescales and emerging guidance.</li> </ul>	January 22  Ongoing		

<p><b>Strategic Objective: 1</b> Safely and legally transition the statutory functions of the CCG into the ICS, and safely deliver the disestablishment of the CCG</p>				<p><b>GBAF RISK 8</b></p>				<p><b>Executive Lead: Helen Dillistone</b> <b>Assigned to Committee: Governance Committee</b></p>																								
<p><b>What would success look like and how would we measure it?</b> The CCG would meet all critical timescales as described in the programme plan in readiness for the ICS to launch as a statutory organisation in April 2022 and would receive the appropriate confirmation of a safe and legal transfer of duties and closure of the CCG from NHSEI.</p>				<p><b>Risk Description</b> <b>If the CCG is not ready to transfer its functions or has failed to comprehensively and legally close down the organisation, or if the system is not ready to receive the functions of the CCG, the ICS operating model cannot be fully established.</b></p>																												
<p><b>Risk rating</b></p>		<p><b>Likelihood</b></p>	<p><b>Consequence</b></p>	<p><b>Total</b></p>	<p style="text-align: center;"><b>GBAF Risk 8</b></p> <table border="1"> <caption>GBAF Risk 8 Score History</caption> <thead> <tr> <th>Month</th> <th>Score</th> </tr> </thead> <tbody> <tr><td>April</td><td>20</td></tr> <tr><td>May</td><td>20</td></tr> <tr><td>June</td><td>20</td></tr> <tr><td>July</td><td>16</td></tr> <tr><td>August</td><td>16</td></tr> <tr><td>September</td><td>16</td></tr> <tr><td>October</td><td>16</td></tr> <tr><td>November</td><td>16</td></tr> <tr><td>December</td><td>10</td></tr> </tbody> </table>				Month	Score	April	20	May	20	June	20	July	16	August	16	September	16	October	16	November	16	December	10	<p><b>Date reviewed</b></p>		<p>December 2021</p>	
Month	Score																															
April	20																															
May	20																															
June	20																															
July	16																															
August	16																															
September	16																															
October	16																															
November	16																															
December	10																															
<p>Initial</p>		<p>4</p>	<p>5</p>	<p>20</p>	<p><b>Rationale for risk rating (and any change in score):</b> Version 2 of Due Diligence update now received and being incorporated into project plans. 360 Audit have joined the CCG Transition Project Group which will provide assurance on the management of the project. Draft Due Diligence Checklist was presented to CCG Audit Committee on 17th December and subsequently submitted as part of the regional submission due by end December 21 and uploaded 20th December 21. The risk is now aligning with the score for risk 7 on the Transition Risk Register.</p>																											
<p>Current</p>		<p>2</p>	<p>5</p>	<p>10</p>	<p><b>Link to Derby and Derbyshire Risk Register</b> The ICS Transition Programme has a Risk Register managed at CCG and system level. Risk is a standing agenda item for the Transition Working Group who report up to the Governing Body each month.</p>																											
<p><b>Risk Appetite</b></p>		<p><b>Level</b></p>	<p><b>Category</b></p>	<p><b>Target Score</b></p>																												
		<p>Low</p>	<p>Statutory and mandatory compliance and governance</p>	<p>5</p>																												
<p><b>KEY CONTROLS TO MITIGATE RISK</b></p>					<p><b>SOURCES OF ASSURANCE</b></p>																											
<p><b>Internal</b></p> <ul style="list-style-type: none"> <li>Chris Clayton CCG CEO is the interim Chief Executive of JUCD</li> <li>JUCD 2021/22 Operational Plan submitted to NHSE 14<sup>th</sup> May 2021.</li> <li>Transition Assurance Committee (TAC) established and inaugural meeting took place end April and meeting monthly. CCG represented.</li> <li>CCG GB Chair is the Transition Assurance Committee (TAC) Chair and ICS CCG Transition Working Group Chair.</li> <li>CCG ICS Transition Working Group established</li> </ul>			<p><b>External</b></p> <ul style="list-style-type: none"> <li>Transition Assurance Committee (TAC) established and inaugural meeting took place end April and meeting monthly.</li> <li>JUCD / ICS Governance Structure in Place</li> <li>JUCD Senior Leadership Team</li> <li>ICS Engine Room Team comprising of System Leaders</li> <li>JUCD Board meeting in public</li> <li>System Quality and Performance Committee in place</li> <li>System Finance and Estates Committee in place</li> <li>People and Culture Committee in place</li> </ul>		<p><b>Internal</b></p> <ul style="list-style-type: none"> <li>2021/22 JUCD Operational Plan</li> <li>ICS Transition Plan</li> <li>Transition Assurance Committee (TAC), agenda, papers and minutes</li> <li>CCG ICS Transition Working Group agenda, papers and minutes.</li> <li>Governing Body public and confidential minutes</li> <li>Governing Body ICS Development session notes</li> <li>ICS Programme Group minutes and meeting</li> </ul>			<p><b>External</b></p> <ul style="list-style-type: none"> <li>2021/22 JUCD Operational Plan</li> <li>ICS Transition Plan</li> <li>Transition Assurance Committee (TAC), agenda, papers and minutes</li> <li>JUCD Senior Leadership Team minutes</li> <li>Minutes of System Quality Committee</li> <li>Minutes of System Finance &amp; Estates Committee</li> <li>Minutes of System People and Culture Committee</li> </ul>																								



<p>and meets monthly. First meeting took place 6<sup>th</sup> May.</p> <ul style="list-style-type: none"> <li>ICS Project Group established to manage the operational ICS Transition Plan.</li> <li>Helen Dillistone, Executive Director of Corporate Strategy and Development is the CCG SRO for the ICS Transition.</li> <li>Governing Body supports the transition to ICS</li> <li>Governing Body ICS Development Sessions</li> <li>Executive Team</li> <li>Senior Leadership Team</li> <li>Programme Management Office support for management ICS Transition Plan</li> <li>Derbyshire Engagement Committee in place</li> <li>ICS Risk Register in place incorporating both CCG and system level risks, reviewed weekly by the Core Project Team and monthly by the CCG Transition Working Group and Transition Assurance Committee (TAC).</li> <li>Joint Derby Derbyshire CCG and Tameside and Glossop CCG Transition Steering Group established to lead four main workstreams.</li> <li>Four workstreams comprising of specialist leads across both systems for Communications and Engagement, Finance IT and Contracting, Neighbourhood Development and Statutory Duties, Risks and People Impact Assessment.</li> </ul>	<ul style="list-style-type: none"> <li>White Paper consultation published in November 2020</li> <li>ICS Design Framework published 16<sup>th</sup> June 2021</li> <li>Health and Care Bill ordered by The House of Commons 6<sup>th</sup> July 2021</li> <li>Final HR Framework published August</li> <li>Further ICS/ ICB Guidance published August 2021</li> <li>John MacDonald appointed as ICB Designate Chair.</li> <li>Dr Chris Clayton appointed as Chief Executive Designate of NHS Derby and Derbyshire ICB.</li> <li>Secretary of State for Health and Social Care decision taken in August 2021 to amend the ICS boundary so that Glossop will move from the Greater Manchester ICS into the Derbyshire ICS</li> <li>Draft ICB Constitution submitted to NHSEI 3<sup>rd</sup> December,</li> <li>Readiness to Operate Statement RAG rating and evidence submitted to NHSE by 31<sup>st</sup> December</li> <li>Due Diligence checklist approved by Audit Committee 17<sup>th</sup> December 2021 and submitted to NHSEI</li> </ul>	<p>papers</p> <ul style="list-style-type: none"> <li>ICS Risk Register</li> <li>Mapping of CCG Functions</li> <li>PMO system to support ICS Transition</li> <li>Derbyshire Engagement Committee Minutes</li> </ul>	
<b>GAPS IN CONTROL</b>		<b>GAPS IN ASSURANCE</b>	
<u>Internal</u>	<u>External</u>	<u>Internal</u>	<u>External</u>
<ul style="list-style-type: none"> <li>Potential planning gaps due to delays in passing the bill through Parliament and publication of guidance materials.</li> <li>Further ICS Guidance to be published</li> </ul>	<ul style="list-style-type: none"> <li>Health and Care Bill still to be passed in Parliament</li> </ul>		
<b>ACTIONS BEING TAKEN TO ADDRESS GAPS IN CONTROL/ASSURANCE (INCLUDE TIMESCALES)</b>			
<u>Internal</u>	<u>Timeframe</u>	<u>External</u>	<u>Timeframe</u>
<ul style="list-style-type: none"> <li>Project Team will review guidance and HR framework to assess risks to delivery and ensure alignment to programme plan.</li> </ul>	<ul style="list-style-type: none"> <li>Monthly, ongoing</li> </ul>		