

## Governance Report

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### Governing Body meeting

1 July 2021

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<b>Sponsor</b>	Cath Tilney, Associate Director of Corporate Services
<b>Purpose of Paper</b>	
<p>This report updates the Governing Body on four areas of governance:</p> <ul style="list-style-type: none"> <li>• NHS England's approval of revisions to NHS Sheffield CCG's Constitution</li> <li>• Signing of NHS Sheffield CCG's Management Letter of Representation</li> <li>• An update on NHS Sheffield CCG's Year End Assessment for 2020/21</li> <li>• The proposed process for NHS Sheffield CCG's Governing Body Assurance Framework reporting in 2021/22</li> </ul>	
<b>Key Issues</b>	
<ol style="list-style-type: none"> <li>1. In January, Governing Body members approved proposed revisions to the NHS Sheffield CCG Constitution which were subsequently submitted to NHS England. These have now been approved and published.</li> <li>2. In May, Governing Body members approved that the CCG Chair and Accountable sign the CCG's Letter of Management Representations to KPMG, our external auditors, on behalf of the Governing Body. This has taken place and was submitted to NHS England within the deadline.</li> <li>3. In May, it was reported to Governing Body members that there will be a simplified approach to the annual assessment of CCGs' performance for 2020/21. The Sheffield CCG System Oversight Meeting with NHSE/I is due to take place on 30 June. To prepare for this meeting Sheffield CCG was required to complete and submit a self-assessment template (included in the Governing Body papers for noting). We understand that a narrative assessment, based on performance, leadership and finance, will replace the ratings system previously used for CCGs. We do not yet know when this will be published.</li> <li>4. The Audit and Integrated Governance Committee (AIGC) has responsibility, on behalf of the Governing Body, for scrutiny of the Governing Body Assurance Framework (GBAF) risks, prior to submission and oversight by Governing Body. Due to the timing of AIGC meetings for some of the 2021/22 review periods and the fact that the last Governing Body meeting will be in March 2022, a timetable has been proposed to enable AIGC to input into the GBAF review via email and then review in more detail at the AIGC meeting shortly afterwards.</li> </ol>	

<b>Is your report for Approval / Consideration / Noting</b>
<b>Consideration and Noting</b>
<b>Recommendations / Action Required by Governing Body</b>
<p>The Governing Body is asked to:</p> <ul style="list-style-type: none"> <li>• Note NHS England's approval of the CCG's revised Constitution</li> <li>• Note that the Management Letter of Representations was signed by the Chair and Accountable on 10 June 2021 and submitted to NHS England by the deadline of 9.00 am on Tuesday 15 June 2021 as part of the CCG's 2020/21 Annual Report and Accounts</li> <li>• Note the self-assessment submission for the CCG's year end assessment, the process for assessing the CCG's performance for 2020/21 and the consultation that has taken place for 2021/22 assessment.</li> <li>• Consider and accept the proposed GBAF reporting timetable for 2021/22.</li> </ul>
<b>Governing Body Assurance Framework (GBAF)</b>
<p><b>Assurance Framework Number:</b>  The report links to all risks identified on the GBAF and also supports the good governance arrangements in place which are integral to each of the CCG's objectives contributing to a sound system of internal control.</p> <p><b>Is this an existing or additional control:</b> Existing control</p>
<b>Are there any resource Implications (including Financial, Staffing etc)?</b>
No specific resource implications
<b>Have you carried out an Equality Impact Assessment and is it attached?</b>
<p><b>Please attach if completed. Please explain if not, why not</b>  No, there are no specific issues associated with this report.</p>
<b>Have you involved patients, carers and the public in the preparation of the report?</b>
Not applicable

## **Governance Report**

### **Governing Body meeting**

**1 July 2021**

#### **1. Introduction**

This report updates the Governing Body on four areas of governance:

- NHS England's approval of revisions to NHS Sheffield CCG's Constitution
- Confirmation of the signing of NHS Sheffield CCG's Management Letter of Representation
- An update on NHS Sheffield CCG's Year End Assessment for 2020/21
- The proposed process for NHS Sheffield CCG's Governing Body Assurance Framework reporting for 2021/22

#### **2. Revisions to the NHS Sheffield CCG Constitution**

At the January meeting of the Governing Body members approved a number of proposed revisions to the NHS Sheffield CCG Constitution which were subsequently submitted to NHS England.

NHS England has agreed that the proposed changes comply with the particular requirements of the National Health Service Act 2006 (as amended by the Health and Social Care Act 2012) and accordingly, the changes are now formally approved. Therefore, in accordance with section 14J of the Act, the revised constitution is now published and available at:

[NHSSCCG Constitution approved by NHSE 3.6.21.pdf \(sheffieldccg.nhs.uk\)](#)

#### **3. NHS Sheffield CCG's Management Letter of Representation**

On 20 May 2021 Governing Body received a suite of papers relating to the adoption of NHS Sheffield CCG's Audited Financial Accounts for 2020/21. As part of this suite of papers Governing Body approved that the CCG Chair and Accountable sign the CCG's Letter of Management Representations to KPMG, our external auditors, on behalf of the Governing Body.

The Letter of Representations was signed by the Chair and Accountable Officer on 10 June 2021 and submitted to NHS England by the deadline of 9.00 am on Tuesday 15 June 2021 as part of the CCG's 2020/21 Annual Report and Accounts.

#### **4. Update on NHS Sheffield CCG's Year End Assessment for 2020/21**

The Performance and Delivery Report presented to Governing Body on 6 May included a section on CCG regulatory oversight and the legal duty held by NHS England to annually assess the performance of each CCG.

For the year which has just ended, 2020/21, a simplified approach to the annual assessment of CCGs' performance is taking place as a result of the continued impact of COVID-19. The Accountable Office and Chair are due to attend the Sheffield CCG System Oversight Meeting with NHSE/I on 30 June, the day before the Governing Body meeting. The assessment will consider the duties of CCGs to improve the quality of services; reduce health inequalities; obtain appropriate advice; involve and consult the public; and comply with financial duties. It will take account of the different circumstances and challenges CCGs face in managing recovery across the phases of the NHS response to the pandemic.

To prepare for this meeting Sheffield CCG was required to complete and submit a self-assessment template which has been included in the Governing Body papers for noting. Much of the content is taken from the 2021/21 Annual Report with additional material as required from relevant CCG colleagues.

We understand that a narrative assessment, based on performance, leadership and finance, will replace the ratings system previously used for CCGs. We do not yet know when this will be published.

Looking ahead, NHS England / NHS Improvement are currently consulting on the assessment and support framework which will be in place for 2021/22 and beyond. The proposals are designed to align towards Integrated care System working, although there will still be assessment of each organisation within the system. The CCG contributed to the consultation which closed on 14 May. A further update will be presented to Governing Body when the detail is known about the future oversight and assessment framework.

#### **5. The Process for NHS Sheffield CCG's Governing Body Assurance Framework reporting for 2021/22**

The Governing Body Assurance Framework (GBAF) is an important document which provides a repository of principal risks to delivery of the CCG's objectives and which allows Governing Body members to understand and oversee management of these risks by addressing barriers to its success. The refreshed 2020/21 GBAF was approved by Governing Body at its private meeting in April.

The Audit and Integrated Governance Committee (AIGC) has responsibility, on behalf of the Governing Body, for scrutiny of these risks, prior to submission and oversight by Governing Body. Due to the timing of AIGC meetings in 2021/22 the first public Governing Body meeting in which the GBAF review can be formally presented is November. This is over half way through the year and therefore it is proposed that an earlier review is presented to the September public Governing Body meeting with AIGC members given the opportunity to comment in advance via email and then a more detailed AIGC can take place following Governing Body.

Table 1 is the proposed reporting timetable for 2021/22. We are awaiting national guidance to establish the process for reviewing the final months of the 2021/22 GBAF during 2022/23.

Table 1 – proposed GBAF reporting timetable 2021/22

<b>GBAF Reporting Period</b>	<b>SMT Review</b>	<b>AIGC Papers deadline</b>	<b>AIGC Meeting</b>	<b>GB papers deadline</b>	<b>GB Meeting in public</b>
<b>Apr-Jul</b>	5 Aug	n/a	email members 6 Aug with fuller discussion at meeting on 23 Sep	23 Aug	2 Sept
<b>Aug-Nov</b>	24 Nov	29 Nov	9 Dec	27 Dec	13 Jan
<b>Dec-Feb</b>	24 Feb	7 Mar	17 Mar	tbc	tbc
<b>Mar</b>	tbc	tbc	tbc	tbc	tbc

Governing body is asked to consider and accept this proposed timetable.

### **Recommendations**

The Governing Body is asked to:

- Note NHS England’s approval of NHS Sheffield’s CCG’s revised Constitution
- Note that the Management Letter of Representations was signed by the Chair and Accountable Officer on 10 June 2021 and submitted to NHS England by the deadline of 9.00 am on Tuesday 15 June 2021 as part of the CCG’s 2020/21 Annual Report and Accounts
- Note the self-assessment submission for the CCG’s year end assessment, the process for assessing the CCG’s performance for 2020/21 and the consultation that has taken place for 2021/22 assessment.
- Consider and accept the proposed GBAF reporting timetable for 2021/22.

Paper prepared by Carol Henderson, Corporate Governance Manager

On behalf of Cath Tilney, Associate Director of Corporate Services

June 2021