

Title of Meeting:	NY CCG Governing Body	Agenda Item: 8.2										
Date of Meeting:	23 June 2022	<table border="1"> <tr> <th colspan="2">Session (Tick)</th> </tr> <tr> <td>Public</td> <td>X</td> </tr> <tr> <td>Private</td> <td></td> </tr> <tr> <td>Development Session</td> <td></td> </tr> </table>			Session (Tick)		Public	X	Private		Development Session	
Session (Tick)												
Public	X											
Private												
Development Session												
Paper Title:	ICB Transition and Due Diligence Update											
Responsible Governing Body Member Lead Julie Warren, Director of Corporate Services, Governance and Performance		Report Author and Job Title Sasha Sencier, Board Secretary and Senior Governance Manager										
Purpose – this paper is for:	<table border="1"> <tr> <th>Decision</th> <th>Discussion</th> <th>Assurance</th> <th>Information</th> </tr> <tr> <td>X</td> <td></td> <td></td> <td></td> </tr> </table>				Decision	Discussion	Assurance	Information	X			
Decision	Discussion	Assurance	Information									
X												
Has the report (or variation of it) been presented to another Committee / Meeting? If yes, state the Committee / Meeting: Yes. The Annual Report and Accounts was approved by the Audit Committee on 6 June 2022.												
Executive Summary The purpose of this report is to provide an update to the Governing Body on the due diligence processes linked to the organisational transition to the Humber and North Yorkshire Integrated Care Board. It aims to provide assurance that the process is being managed with appropriate controls and processes to ensure a smooth transition which is safe and free from challenge.												
Recommendations The Governing Body is being asked to: <ul style="list-style-type: none"> • Receive assurance that the CCG continues to monitor, manage, and maintain robust governance arrangements and controls during the transition to the ICS. • Note that the Audit Committee has received assurance that the CCG is managing the due diligence process effectively during this period of transition. 												
Monitoring Due diligence continues to be monitored at CCG level by the Director of Corporate Services, Governance and Performance, and through the PMO at ICB level.												
CCG Strategic Objectives Supported by this Paper												
	CCG Strategic Objectives			X								
1	Strategic Commissioning: <ul style="list-style-type: none"> • To take the lead in planning and commissioning care for the population of North Yorkshire by providing a whole system approach and to support the development of general practice. • To make the best use of resources by bringing together other NHS organisations, local authorities and the third sector to work in partnership on improving health and care. • To develop alliances of NHS providers that work together to deliver care through collaboration rather than competition. 											
2	Acute Commissioning: We will ensure access to high quality hospital-based care when needed.											
3	Engagement with Patients and Stakeholders: We will build strong and effective relationships with all our communities and partners.											
4	Financial Sustainability: We will work with partners to transform models of care to deliver affordable, quality and sustainable services.											
5	Integrated / Community Care: With our partners and people living in North Yorkshire we will enable healthy communities through integrated models of care.											
6	Vulnerable People: <ul style="list-style-type: none"> • We will support everyone to thrive [in the community]. • We will promote the safety and welfare of vulnerable individuals. 											
7	Well-Governed and Adaptable Organisation: In supporting our objectives we will be a well-governed and transparent organisation that promotes a supportive learning environment.			X								

CCG Values underpinned in this paper

	CCG Values	X
1	Collaboration	X
2	Compassion	X
3	Empowerment	X
4	Inclusivity	X
5	Quality	X
6	Respect	X

Does this paper provide evidence of assurance against the Governing Body Assurance Framework?

YES		NO	X
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Any statutory / regulatory / legal / NHS Constitution implications	The CCG has a statutory and regulatory obligation to ensure that systems of control are in place to minimise the impact of all types of risk, which could affect patients, staff, public resources, and the function of the CCG.
Management of Conflicts of Interest	No conflicts of interest have been identified prior to the meeting.
Communication / Public & Patient Engagement	Not applicable.
Financial / resource implications	No financial or resource implications identified.
Outcome of Impact Assessments completed	No impact assessments are required.

Sasha Sencier, Board Secretary and Senior Governance Manager

NHS North Yorkshire CCG Governing Body Meeting

Governance: CCG Transition and Due Diligence Update

1.0 Introduction

The purpose of this report is to provide an update to the Governing Body on the due diligence processes linked to the organisational transition to the Humber and North Yorkshire Integrated Care Board. It aims to provide assurance that the process is being managed with appropriate controls and processes to ensure a smooth transition which is safe and free from challenge.

It is important to recognise that, as a CCG, we remain accountable for delivery of our statutory functions until the new Integrated Care Board is formally established.

The CCG is also accountable for ensuring that due diligence is undertaken to allow the legal transfer of people, property and liabilities.

The Audit Committee has played a key role in gaining assurance regarding the governance of change and transition. This report provides a progress update regarding the delivery of the different elements of the due diligence process, leading up to the formal closedown of the CCG in June 2022.

2.0 Approach to Due Diligence

2.1 HCV ICS

A key element of the HCV ICS Transition Programme is ensuring the safe transfer of people (staff) and property (in its widest sense) from CCGs to the Integrated Care Board (ICB), and the legal processes used for transfer, establishment, and closedown. This includes the need to complete a robust due diligence process.

A CCG Transition Programme has been established (owned by the CCG Accountable Officers, assured by the ICS) which brings together the six CCGs and the current ICS to ensure robust implementation and due diligence related to the closedown and transfer of statutory functions to the new statutory NHS Humber and North Yorkshire ICB.

NHS England / Involvement (NHSE/I) has produced due diligence guidance and a checklist which CCGs are using to ensure a consistent approach across the system. Led by Julie Warren, Director of Corporate Services, Governance and Performance, the CCG continues to update this checklist regularly in the lead up to the transition on 1 July 2022.

Progress to date includes:

- All actions in the checklist assigned to a CCG lead
- Individual discussions with each CCG lead to provide and initial assessment of the status and any comments or actions required.
- Ongoing process of assessment through regular meetings with the CCG leads.
- Cross CCG discussions with CCG governance leads through the PMO to ensure consistency in approach.

The table below provides a summary of progress against the 337 items detailed on the due diligence checklist. This summary is correct at the time the report was submitted on 27 May 2022, however it should be noted that this is an iterative document with changes being made daily.

It should be noted that the CCG's due diligence document has been reviewed in full at the recent Audit Committee on 6 June 2022 and were assured by progress made.

	RED Not on Target Significant Concerns	AMBER Progress Made Minor Concerns	GREEN On Target No Concerns	NOT POSSIBLE TO START	COMPLETED	ICB / OTHER LED / NA	TOTAL
1.0 Core Due Diligence Checklist	0	1	53	0	8	30	92
2.1 HR Due Diligence Checklist	0	2	25	0	0	0	27
3.1 Financial – Governance	0	2	6	0	7	13	28
3.2 Financial – Accs & Audit	0	3	5	2	2	6	18
3.3 Financial – Ledger	0	5	17	0	3	26	52
3.4 Financial – Banking	0	1	9	0	1	6	17
3.5 Financial – Contracts	0	4	4	0	1	2	11
3.6 Financial – Assets	0	0	4	2	9	3	18
3.7 Financial – Liabilities	0	3	18	2	2	6	31
4.0 IT Assets, IT and Records	0	1	20	0	8	3	32
5.0 DSPT Checklist							
6.0 ODS Reconfig Checklist							
7.0 Quality DD Checklist	0	0	1	0	1	10	12
TOTAL	0	22	162	6	42	105	337

The summary shows that a significant proportion of the items on the checklist are either **completed, on target with no concerns or are being led by the ICB** (92%).

There are no items of significant concern. Any items on the checklist with a RAG status of amber, where progress has been made but with minor concerns, are considered to have a legitimate basis for not being completed at the time of writing but will be completed by 1 July 2022.

2.2 Accountable Officer Due Diligence Letter

The Accountable Officer of NHS NY CCG was required to provide a due diligence assurance letter to the Designate ICB Chief Executive to provide assurance that the CCG has followed a robust due diligence process to prepare for closedown and for the safe transfer of staff and property (in its widest sense) to Humber and North Yorkshire ICB on 1 July 2022.

It should be noted that this letter was received by Audit Committee on 6 June 2022, for assurance.

2.3 Internal Audit Review of Due Diligence

Audit Yorkshire undertook an internal audit of the due diligence processes undertaken by North Yorkshire CCG and concluded that that a robust process has been followed for the due diligence exercise and that any outstanding issues have been identified for completion by 30 June 2022 or will form part of the legacy transition to the HNYICB.

It should be noted that this report was received by Audit Committee on 6 June 2022, for assurance.

3.0 Recommendations

The Governing Body is being asked to:

- **Receive assurance** that the CCG continues to monitor, manage, and maintain robust governance arrangements and controls during the transition to the ICS.
- **Note** that the Audit Committee has received assurance that the CCG is managing the due diligence process effectively during this period of transition.

END