## Bon Accord Care - Appendix F

|            | Assurance Request   | ALEO Response  | Risk Rating |
|------------|---|--|-------------|
|            | ,   | The Hub noted that copies of the various governance documents had been provided and that on 10 February 2021, BAC's Audit Committee considered a paper relating to a recent governance audit carried out by Aberdeenshire Council as BAC's internal auditors. The Hub noted that the objective of the audit was to review the adequacy of Bon Accord Care's Scheme of Governance and its application in relation to the engagement of Board Members, and the commissioning arrangement for internal reviews. The Hub noted that the audit made a number of recommendations which were now being taken forward by BAC following the development of an action plan which had been provided and was considered by the BAC Board in March 2021.  The Hub was assured that BAC was progressing the action plan following the internal audit, however the action plan was still in its infancy and had only just been considered   |             |
|            | meet (eg pandemic-related)? If not, do you plan to make such provision?  Do you have anything to report by exception in relation to codes of conduct for Board members?   | by the Board, therefore the Hub agreed that an update on progress should be sought for a future Hub meeting and the risk rating reviewed accordingly. The Hub noted BAC's Delegation of Authority Matrix which had been approved, along with other governance documentation, at its Board meeting in March 2021, and that the Scheme of Delegation Policy was due to be submitted to the Board in May 2021. The Hub further noted that BAC planned to commission work for the Improvement Service to support the Board to develop, which contribute to the review of committees, and that more detail was due to be submitted to the next Board meeting. The Hub agreed that an update on this work would be beneficial alongside an update on progress on the action plan in response to the governance audit.  | Low         |
|            |   | The Hub was advised that the delegated powers included authority for crisis response, media and potential reputational damage, and noted that the BAC Board had formally delegated responsibility in that regard to the BAC Managing Director in consultation with the Chair of the BAC Board.   |             |
| Governance | Staff Welfare and Performance Appraisal during COVID-19 - Please provide assurance around staff welfare arrangements during COVID eg working from home procedures and guidance, including health, safety and wellbeing, updates to procedures to reflect flexible working arrangements, communications to staff on wellbeing matters. Please also provide confirmation that your performance appraisal system has continued to operate during the pandemic and how this has been applied to furloughed staff. | The Hub noted good evidence regarding staff welfare and the efforts that had been made in terms of (1) keeping in touch with staff, for example those who had been required to shield or who were on long term leave, such as sickness absence (Covid or non-Covid) or maternity/paternity leave; (2) PPE risk assessments being completed for every employee in 2020 and being kept up to date thereafter; (3) support for staff who had been required to be tested for Covid (or members of their direct household), and particularly those who received a positive test result; (4) support for those returning to work, with an agreed plan put in place, e.g. phased return; and (5) those staff who were working from home and a DSE assessment being required for their workstation, with appropriate equipment provided where there was an identified need.  The Hub was advised that BAC's performance appraisal system had continued during the pandemic, although modifications had been made – for example more informal performance feedback had been happening on a more regular basis which had been a positive from an intense period. The Hub noted that BAC had not furloughed any staff therefore there was no impact in that regard. | Very Low    |
|            | Data Protection - Please provide written assurance that the following are in place (there is no need to send documentation, just confirmation that these are in place:  • Policy and procedures which cover Data Protection (including breach handling and data protection rights requests) – in place (y/n) and date when last expirmed.   | The Hub noted strong evidence with regard to data protection with assurance provided that the relevant policies, procedures and notices were in place and regularly updated. In terms of staff training, the Hub was advised that BAC had launched a new Learning Management System, and all staff were required to complete a mandatory eLearning module on data protection which included a test to evidence understanding, and this was subject to an annual refresher, having been changed from a 3 year refresher at the end of 2020.   | Very Low    |
|            | Please provide a copy of your risk register and evidence that it has been reviewed and updated? If EU Exit risks have been closed off, please provide evidence of this. Please also include reference to recruitment of EU nationals (process) and any risks remaining.   | The Hub reviewed the risk register which is updated every two months by BAC's Risk Management Committee. This was most recently reviewed in March 2021 and there are two risks which remain serious/significant - Failure to measure, monitor or control quality within the organisation and Marketing & Communication strategy is not effective in promoting and protecting the brand. Both will be reviewed again in July 2021. The risk register includes risks being managed in relation to COVID-19. BAC have put in place a significant number of controls since the onset on the pandemic in March 2020 and the risk score has reduced from 15 to 10 which is manageable. This is due to be reviewed again in May 2021. BAC are also actively managing the risk around Brexit, particularly as this relates to workforce planning, and mitigations are proving effective.   | Very Low    |

| Risk    | of your organisation's process for monitoring and completing internal and external audit recommendations.  | with findings yet to be provided to BAC. The audit on the SOG was included in the paperwork reviewed by the Hub, and this showed a number of recommendations proposed by Aberdeenshire Council as internal auditors. There was evidence that these had been reviewed by the Board in March, including status updates.  The Hub will request sight of the financial audit report to next cycle.  It also advised that its Audit Committee would be considering an internal audit plan.  The Hub was also advised as follows:  The external financial audit is governed by Companies Act requirements for annual audit of the statutory accounts. No additional items for audit have been requested. The Audit Committee will review the findings of the external audit at a clearance meeting (currently scheduled for May 2021) and can speak with the external auditor in private, i.e. without executive staff present. The findings will normally be written, in the form of a Letter to Management and also in a Letter of Representations, the latter of which the Board is asked to approve. The Audit Committee then reports back to main Board on the findings of the audit.  In addition to the above, BAC also has its own internal audit quality function that reviews our compliance against our own Quality Management System (QMS). A schedule is in place to ensure all services are audited. BAC also undertake our own Health and Safety and Facilities audits for both our services and support functions. From these reviews, internal audit reports are produced that highlight any non-compliance issues and areas for improvement. Reports also highlight any best practice so this can be shared across other services.  Details were also provided on the following external inspections/audits:  - Care Inspectorate - Environmental Health - ISO 9001:2015 - Fire Service/Fire Safety | Very Low |
|---------|--|---|----------|
|         | Please confirm that your organisation makes provision for the testing of business continuity plans and confirm the process for doing this. Please confirm any lessons learned from the activation of business continuity plans over the last 12 months.  Please provide evidence that business continuity plans have been updated in the last 12 months i.e. to reflect lessons learned, changes in working/operational processes.   | The Hub reviewed BAC's business continuity policy (reviewed in November 2020) and also noted that the Business Continuity Plan had been reviewed in June and tested in July. Substantial amendments were made on the back of the pandemic and a further review is to take place in June 2021, with a scenario planning test scheduled for April 2021, based on the "provider of last resort" for a Care Home.  The level of assurance gained in respect to BAC's business continuity planning is high primarily due to the documentation having been recently refreshed but also due to the live tests conducted during the lifetime of COVID. Impacts from this have included for example, temporary loss of staff and reduced mobility between our services. The lessons learnt from this impact highlighted the need for sufficient staff capacity. This has now been actioned. Other impacts have been around the increased requirement for infection prevention/control and cleaning during the pandemic. This has led BAC to revise their operating procedures in relation to Infection Prevention and Control as they have faced dealing with the Covid Pandemic.  There has been collaborative working with ACC and Partnership with regards to the supply of staff.  BAC has supported other providers during the winter period through the supply of staff, evidencing our ability to respond as a provider of last resort to support the wider care system.  | Very Low |
|         | Please advise of any arrangements in place to support the Council with meeting its obligations as a Category 1 responder under the Civil Contingencies Act and in pursuit of the PREVENT strategy (preventing people becoming terrorists or supporting terrorism). This would include risk assessments to put in place contingency plans for emergencies, business continuity planning, emergency plans etc. Please advise if your organisation has received any training in this area, and if not, whether you would welcome a collaborative session with Council officers and all ALEOs. | The Hub noted that BAC had supported the Council in meeting its obligations as a Category 1 responder by allowing their Rosewell facility to be used by NHSG — this formed part of a mutual aid request. BAC advise that they are working on developing policies/procedures in relation to their role in supporting ACC (and ACHSCP) in their role as category 1 responders. This is being built into the Board Development plan that we are currently implementing.  With regards to the PREVENT strategy work, this had commenced pre Covid however this has had to be placed on hold during the pandemic. To be rescheduled in the next financial year and will be helped by the BAC Cultural Review exercise we commenced from 29 March 2021.  The risk rating in respect to BAC's Civil Contingencies is low however there is further work to be done in respect of PREVENT and in developing policies and procedures to support the Council's in meeting its responsibilities as a Category 1 responder.  | Low      |
| Finance | Please provide copies of any papers provided to your Board on your quarterly financial position along with any financial resilience papers that were prepared to support decisions made to manage your organisation's financial position.  | The Hub reviewed the papers/documents provided and noted the following. 2019/20 Audited Accounts - There were no issues raised during the audit of the 2019/20 accounts. Current Year 2020/21 - forecast figures for 2020/21 indicate BAC financial performance is in line or slightly better than budget. There were no other issues arising from the papers submitted. Financial Year 2021/22 - The BAC Board were presented with a budget for approval in March 2021. This included the identification of savings measures to meet financial targets. The level of financial information provided and assumption upon which the budget was considered by the Hub to be reasonable. It was noted within the papers that a large element of the budget is staff related and the annual pay increases have not yet been confirmed. As there are savings required to be made in 2021-22 these need to be monitored.  | Low      |