

Bon Accord Care- Appendix F

Area of Assurance	Assurance Request	ALEO Response and Hub Commentary	Risk Rating
Governance	<p>Assurance that all governance documentation is regularly reviewed and supports the organisation's governance framework. The following are examples of documents which may be requested:</p> <ul style="list-style-type: none"> - Delegated powers - Codes of Conduct - Procurement Regulations 	<p>The Hub noted that governance documentation had been provided and that it was clearly set out in the delegation of authority (DoA) that changes to those documents would be reviewed via the Board and Managing Director. The Hub further noted that the good practice of having a modifications log throughout the year was utilised and that the documentation was reviewed with annual approval by the Board, and although minutes had not been provided to evidence this review, the Hub noted that the DoA and procurement policy were currently under review to be presented in November for approval. The Hub agreed to request the revised documents once these were approved. Similarly, the Hub noted that the Counter Fraud Policy was under review in November, and also agreed to request this document once it was approved.</p> <p>The Hub noted that there was a data protection policy in place, last reviewed in May 2021 and were assured by the information that as part of the SLA, all BAC staff had to undertake data protection training, with a one year refresher. It was noted that 83.6% staff had undertaken the training, and the Hub agreed to seek assurance that arrangements were in place to ensure that the remaining members of staff undertook the training. The Hub further noted that the course had been updated in May 2022 to ensure it remained fit for purpose.</p>	Very Low
	Complaints Procedure	<p>The Hub was advised that the complaints procedure was currently under review through the company wide policy review group, however assurance was provided that the current procedure followed the model complaints handling procedure. The Hub agreed to follow up on this for the next committee and request a copy of the procedure once it had been reviewed.</p>	Low
	<p>Assurance that risks are being regularly reviewed in accordance with the organisation's agreed risk management policy, are kept under regular review with control actions monitored to completion, and are linked to the achievement of outcomes for the ALEO and the Council.</p>	<p>BAC confirmed that the risk register is reviewed and updated by the BAC Executive Team. Changes and updates are highlighted for discussion with the Board and a copy and copies of the Board papers covering the July and September 2022 were provided as examples of the review.</p> <p>BAC continue to demonstrate effective risk management and are in the process of producing risk registers that contain the risks relating to BAC committees including; Audit and Assurance, Clinical and Governance and People and Development.</p> <p>A copy of the Financial Risk Register was provided, this register contained financial and operational risks identified by the organisation including risks around inflationary costs pressures whilst the existing Corporate Risk Register contains risks including Recruitment and Retention of Staff and Gobar Pandemic.</p> <p>The Hub will review the additional committee risk registers in the next reporting cycle.</p>	Very Low - (No change)

Risk Management	Assurance that ALEOs are actively considering risk appetite in their decision making.	<p>BAC provided a copy of the Board Governance Handbook which contains the Risk Appetite Statement (RAS) approved by the Board in April 2022.</p> <p>The RAS will be reviewed by the Board on an annual basis and sets out how BAC balances both risks and opportunities in order to achieve strategic objectives. The Risk Appetite summary section sets out the types of risks recognised by BAC and the risk grading table set out the tolerance from Zero/Minimal to Moderate/High. Supporting narrative provides summary detail of BAC appetite and tolerance for each type of risk.</p>	Very Low
	Assurance that appropriate business continuity arrangements are in place including testing and exercising arrangements or schedules; that each organisation has an awareness of the Council's responsibilities as a Cat 1 responder under the Civil Contingencies Act and has agreed mechanisms in place to support these; and that each organisation is fully conversant with the implications for their operations of the CONTEST Strategy (UK Govt strategy for counter-terrorism)	BAC has a Business Continuity arrangements in place supported by a Business Continuity Policy and Plans. The last Business Continuity test/exercise was conducted in July 2021 and BAC confirmed that an exercise will be undertaken by December 2022. The Hub will follow up on the outputs from the planned exercise in the next reporting cycle.	Very Low - (No change)
Finance	Assurance that accounts are being managed within budget, that the level of financial risk to the Council is low and that there is compliance with the Following the Public Pound Code of Practice.	<p>Quarterly Management Accounts have been provided to the Hub. Based upon their quarter 1 results, and current actions being taken to monitor areas of financial challenge BAC is currently forecasting to achieve a break even position by year end. The effect of the recent pay award on the trading position requires to be finalised. Funding for a 3% pay award was provided within the current year but the nature of the BAC staff is such that the average pay award may be 7-8%. BAC will need to examine ways in which to mitigate these additional costs in order to bring in a balanced budget for 2021-22 and how this will affect their 2022-23 budget.</p> <p>The Hub will require evidence of how BAC intend to manage pay awards, in order to reduce the risk rating.</p>	Medium (Change from Low)
	Assurance that ALEOs undertake medium-term financial planning or have incorporated medium term planning into a Business Plan to provide assurance that ALEOs are prepared for core funding pressures. Again this ensures compliance with the Following the Public Pound Code of Practice.	Will not be available for review until next cycle. The Hub will review the MTFP when it has been completed and will provide any comments when appropriate.	Low (No change)
	Assurance that accounts are being managed within budget, are in line with statutory requirements and Following the Public Pound Code of Practice, and that the level of financial risk to the Council is low.	The Hub noted that Audited Accounts have been provided and the auditors have expressed no concerns.	Low (No change)