

Area of Assurance	Assurance Request	ALEO Response and Hub Commentary	Hub Risk Rating
Governance	Assurance on the on-going training and development of Board members including any changes to Board structure, rationale for any structure changes, and training plans for Board members.	<p>The Hub noted that during 2022, the BAC Board undertook four development days which focused on risk management, strategy development and the development of internal audit process. Another four days were planned in 2023, with the next one in June.</p> <p>The Hub noted that one Board member resigned during 2022 and was replaced by Mr Jonathan Williams who was Chair of the CCPGC committee. The BAC Board consisted of five members, including the Chair, plus two executive directors. The Hub further noted that appraisals took place annually for Board members conducted by the Chair.</p>	Very Low
	Assurance that the board has clear policies and procedures for its members to ensure that potential conflicts of interests are identified, declared and acted upon.	The Hub noted the relevant section from the BAC Corporate Code of Governance which highlighted that the Code of Conduct for Board Members stated that members of the Board and Committees needed to declare any interests in the business of a meetings.	Very Low
	Assurance that ALEOs articles of association are clear, remain up-to-date, and reflective of how the ALEO functions and operates.	<p>The Hub was advised that the relevant section from the BAC Handbook illustrated the company guidance on Data Protection. However the section referred to did not seem to be included in the submission, therefore the Hub agreed that it should be requested by way of follow-up next cycle.</p> <p>The Hub noted that BAC's previous DPO left the company the replacement Compliance Manager was undergoing Data Protection training. Data Protection was part of BAC's mandatory training and participation in April and May at an average of 90%.</p> <p>The Hub was provided with copies of the Delegation of Authority approved by the Board in November 2022, as well as an updated version approved in February 2023. Furthermore, the Hub was provided with a copy of the Procurement Policy which was last updated in May 2021 and the Compliments and Complaints procedure which was currently under review. The Hub agreed that this provided a good level of assurance and to receive a copy of the updated Compliments and Complaints procedure once it had been updated and approved.</p>	Very Low
Risk Management	Assurance that risks are being regularly reviewed in accordance with the organisation's agreed risk management policy. The assurance will be provided through a short written summary of ALEOs current risk environment, including risks that been added, escalated or de-escalated rather than through provision of the risk register. This will also include an overview of activity and controls in place across the three lines of defence.	<p>BAC has well established risk management arrangements in place across the organisation and confirmed that over the past 12 months work has been undertaken to further improve the existing arrangements including policy development, further development of risk appetite and risk registers.</p> <p>Copies of the new committee-based risk register were provided, each risk register contains an overview of the risk, risk scores and controls/mitigation activities.</p> <p>Review of the risk register evidences controls spanning the Three Lines of Defence as follows:</p> <p>Financial Risk Register – financial planning, review of KPI's, qualified staff, forecasting Clinical Governance Risk Register – mandatory training, regulatory inspections, professional forums, control processes. People Risk Register – strategy development, mandatory training, induction process, external resources.</p> <p>Further development of BAC's sources of assurance and 3 lines of defence is underway and forms part of the ongoing risk management improvement at Board and Committee level and this was evidenced in the copies of the Development Day risk presentations provided.</p> <p>BAC confirmed that risks around Balanced Budget and Contractual risks have been escalated due to the 22/23 pay award which has not been support with additional funding.</p> <p>BCP testing that had been planned in December did not take place, this is now planned for Q2 2023 and testing will proceed thereafter on a 6-monthly basis. The Hub will follow up progress in this area in the next reporting cycle.</p>	Very Low

	<p>Assurance that ALEOs have risk-based internal and external audit plans in place and a process to address and close out audit recommendations to completion.</p> <p>Assurance that there have been no internal control failures or that any failures have been addressed and/or notified if they are of significance to the Council.</p>	<p>BAC's internal audit activities are undertaken by Henderson Loggie. Work on a 3-year audit programme for FY23/24 onwards is underway and will be finalised at the Board Development Session in June 2023. The Hub will review progress on the programme in the next reporting cycle.</p> <p>The following Internal audits completed during the FY22/23:</p> <ol style="list-style-type: none"> 1. Procurement and Creditors/Purchasing and General Ledger 2. Staff Recruitment/Rentention and Sickness Absence 3. Care Quality Standards/Dealing with Complaints 4. Payroll <p>Audits 1-3 have been finalised by Henderson Loggie and they concluded that no internal control failures have occurred in the areas audited. They Payroll audit is currently being finalised.</p>	Very Low
Finance	<p>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>	<p>The Hub noted that detailed budget monitoring updates reports continue to be submitted to the BAC Board, Assurance Committee and individual Board members for review and comment.</p>	Low
	<p>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.</p>	<p>Work has been completed on the latest update to the MTFP following discussion with the ACHSCP. The Service Level Agreement discussion continue to agree Service Delivery targets which in turn is allowing BAC to agree its service provision for each service and update its MTFP accordingly. The process will be completed by early summer. BAC has identified significant increasing demand for its services as well as higher levels of complex cases as well as changes in acute versus community based care due to demand being placed on the NHS.</p>	Low
	<p>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.</p>	<p>The Hub confirmed that the 2021-22 annual accounts were submitted to Companies House by the required deadline and in accordance with the Companies Act. The auditors report identified no matters of concern and concluded that the organisations use of the Going Concern basis of accounting was appropriate. The 2023-24 annual accounts are still subject to audit and will included in a future report when the audit is complete.</p>	Low