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REPORT CLASSIFICATION	✓	CATEGORY OF PAPER	✓
Official	✓	Proposes specific action	✓
Official: Sensitive Commercial		Provides assurance	
Official: Sensitive Personal		For information only	

BOARD MEETING	
1 JULY 2022	
Report Title:	Confirmation of Special Lead Roles
Purpose of report	
To seek confirmation from the Board on the required special lead roles as set out in the attached paper.	
Key points	
<p>In line with current legislation, statutory guidance and best practice, NHS North East and North Cumbria Integrated Care Board (the ICB) is required to identify Board level leadership for specialist functions as follows:</p> <ul style="list-style-type: none"> • Conflicts of interest Guardian • Caldicott Guardian • Freedom to Speak Up Guardian • Senior Information Risk Owner • Accountable Emergency Officer • Statutory Safeguarding roles • Mental Health Lead • Data Protection Officer • Chief Information Officer • Equality, Diversity and Inclusion Champion <p>A brief description of each role is included in the attached report, along with suggested nominations to undertake these roles. Please note a nomination for the mental health lead role will be put forward in the meeting. The Board is asked to consider and confirm the proposed leads.</p>	
Risks and issues	
The risk is if the lead roles are not confirmed or are not undertaken at the right senior leadership level, the ICB will not be able to provide assurance it is discharging its statutory functions effectively or in line with required legislation and guidance.	

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Assurances						
By identifying Board level representatives to undertake these roles, the ICB Board will ensure it is sighted on key issues in relation to these specialist areas and ensure it discharges its duties in an effective and robust way.						
Recommendation/Action Required						
The Board is asked to:						
<ul style="list-style-type: none"> • Agree the named leads as identified in the report to undertake the special Board roles as highlighted. • Confirm the mental health Board level lead. 						
Sponsor/approving director	C Riley, Executive Director of Corporate Governance, Communications, and Involvement (Designate)					
Report author	D Cornell, Associate Director of Operations, South Tyneside CCG					
Link to ICB corporate aims (please tick all that apply)						
CA1: Improve outcomes in population health and healthcare						✓
CA2: tackle inequalities in outcomes, experience and access						✓
CA3: Enhance productivity and value for money						✓
CA4: Help the NHS support broader social and economic development						✓
Relevant legal/statutory issues						
Health and Care Act 2022, NHS England guidance						
Any potential/actual conflicts of interest associated with the paper? (please tick)	Yes		No		N/A	✓
If yes, please specify						
Equality analysis completed (please tick)	Yes		No		N/A	✓
If there is an expected impact on patient outcomes and/or experience, has a quality impact assessment been undertaken? (please tick)	Yes		No		N/A	✓
Key implications						
Are additional resources required?	None required.					
Has there been/does there need to be appropriate clinical involvement?	Yes, to identify the appropriate leads.					

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Has there been/does there need to be any patient and public involvement?	Not applicable as internal control only.
Has there been/does there need to be partner and/or other stakeholder engagement?	Yes, as part of the Board.

Specialist Lead Roles within NENC Integrated Care Board

1. Introduction

In line with current legislation, statutory guidance and best practice, NHS North East and North Cumbria Integrated Care Board is required identify Board level leadership for the following specific functions:

- Conflicts of interest Guardian
- Caldicott Guardian
- Freedom to Speak Up Guardian
- Senior Information Risk Owner
- Accountable Emergency Officer
- Statutory Safeguarding roles
- Mental Health Lead
- Data Protection Officer
- Chief Information Officer
- Equality, Diversity and Inclusion Champion

A brief description of each of the roles is detailed in section 2 below along with an appropriate nomination for each role detailed in section 3.

2. Specialist Roles

2.1 Conflicts of Interest Guardian

Everyone is responsible for managing conflicts of interest, but the Chief Executive has overall accountability in the ICB.

In addition, ICBs have been asked to appoint a Conflicts of Interest Guardian to further strengthen scrutiny and transparency of the ICB's decision-making processes. This role should be undertaken by the Audit Chair (provided they have no provider interests), supported by the ICB's governance lead (who has responsibility for day-to-day conflicts of interest matters).

The role of the Conflicts of Interest Guardian is to act as a conduit for anyone with concerns relating to conflicts of interest; to be a safe point of contact for employees or workers of the ICB to raise concerns; to support the application

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of the principles and policies for managing conflicts, and to provide independent advice and judgment on managing conflicts of interest.

2.2 Caldicott Guardian

A Caldicott Guardian is a senior role for an organisation which processes health and social care personal data. They make sure that the personal information about those who use the organisation's services is used legally, ethically and appropriately, and that confidentiality is maintained. Caldicott Guardians should be able to provide leadership and informed guidance on complex matters involving confidentiality and information sharing.

The importance of the Caldicott Guardian acting as "the conscience of the organisation" remains central to trusting the impartiality and independence of their advice. The Caldicott Guardian has an advisory role and is responsible for ensuring that the principles of confidentiality and data protection set out in the Caldicott Guidelines and the Data Protection Legislation are implemented systematically.

2.3 Freedom to Speak Up Guardian

The Freedom to Speak Up Guardian (FTSUGs) is an important role identified in the Freedom to Speak Up review to act as an independent and impartial source of advice to staff at any stage of raising a concern, with access to anyone in the organisation, including the Chief Executive, or if necessary, outside the organisation.

FTSUGs are there to provide an alternative route to normal channels that people will use for speaking up. They are there to work within their organisation to identify and tackle barriers to speaking up and operate independently, impartially and objectively, whilst working in partnership with individuals and groups throughout their organisation, including their senior leadership team.

2.4 Senior Information Risk Owner

The Senior Information Risk Owner (SIRO) holds responsibility for ensuring that information is processed and held securely throughout the CCG. The role covers all the aspects of information risk, the confidentiality of patient and service user information and information sharing. The DSPT sets out clear responsibilities of the SIRO in relation to risks surrounding information and information systems, which also extend to business continuity and the role of Information Asset Owners

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2.5 Accountable Emergency Officer

The NHS Act 2006 (as amended) places a duty on relevant organisations to appoint an individual to be responsible for discharging their duties under section 252A. This individual is known as the Accountable Emergency Officer (AEO). NHS England expects all NHS funded organisations to have an AEO with regard to EPRR.

The AEO will be a Board level director responsible for EPRR and have executive authority and responsibility for ensuring that the organisation complies with legal and policy requirements. They will provide assurance to the Board that strategies, systems, training, policies and procedures are in place to ensure an appropriate response for their organisation in the event of an incident.

2.6 Statutory Safeguarding Roles

Safeguarding means protecting a citizen's health, wellbeing and human rights; enabling them to live free from harm, abuse and neglect. It is an integral part of providing high-quality health care. Safeguarding children, young people and adults is a collective responsibility.

Those most in need of protection include:

- Children and young people
- Adults at risk, such as those receiving care in their own home, people with physical, sensory and mental impairments, and those with learning disabilities.

The role involves taking a strategic and professional lead on all aspects of the health service contribution to safeguarding children, adults and looked after children (LAC) and mental capacity and the legal framework regarding deprivation of liberty. This includes care homes, children's services, and maternity.

2.7 Mental Health Lead

Section 2.2.4 of the ICB's Constitution sets out that the Chair will exercise their function to approve the appointment of the ordinary members with a view to ensuring that at least one of the Ordinary or Partner board Members will have knowledge and experience in connection with services relating to the prevention, diagnosis and treatment of mental illness.

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An appropriate nomination will be made in the Board meeting.

2.8 Data Protection Officer

The ICB is supported and advised by the Data Protection Officer (DPO) who will assist the ICB to monitor internal compliance, inform and advise on the organisation's data protection obligations, provide advice regarding Data Protection Impact Assessments (DPIAs) and act as a contact point for data subjects and the supervisory authority.

This role will be supported by the Information Governance Team within the North of England Commissioning Support Unit.

2.9 Chief Information Officer

The Chief Information Officer will lead the development and delivery of the long-term digital transformation strategy of the ICB, ensuring this reflects and integrates the strategies of all relevant partner organisations within the Integrated Care System (ICS). The Chief Information Officer role reports directly to the ICB Chief Executive and is professionally accountable to the national Chief Information Officer. They will drive the ICBs progress towards meeting the What Good Looks Like framework, and the forthcoming Target State Architecture.

2.10 Equality, Diversity and Inclusion Champion

The role of the Equality, Diversity and Inclusion (EDI) Champion is to actively promote all aspects of EDI issues and embed EDI across the ICB, ensuring all staff is aware of their responsibilities and that the Board is kept updated in such matters through regular update reports.

3. Nominated leads for NENC ICB

The following individuals have been identified for each of the specialist lead roles set out in the previous section of this report:

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Named lead Required	Appointed Board Member
Conflicts of Interest Guardian	Non-Executive Member, Audit Chair
Caldicott Guardian	Executive Medical Director
Freedom to Speak Up Guardian	Executive Chief Nurse
Senior Information Risk Owner	Executive Chief Digital and Information Officer
Accountable Emergency Officer	Executive Director of Strategy and System Oversight
Statutory Safeguarding roles	Executive Chief Nurse
Mental Health Lead	To be confirmed at the meeting
Data Protection Officer	Executive Director of Corporate Governance, Communications and Involvement (supported by NECS)
Chief Information Officer	Executive Chief Digital and Information Officer
Equality, Diversity and Inclusion Champion	Executive Chief People Officer

4. Recommendation

The Board is asked to:

- Agree the named leads to undertake the special Board roles as highlighted
- Confirm the mental health Board level lead

Report Author: **D Cornell**
Associate Director of Operations, South Tyneside CCG

Sponsoring Director: **C Riley**
Executive Director of Corporate Governance, Communications and Involvement (Designate)

Date: **17 June 2022**