

Slough CCG Governing Body in public										
Date of Meeting		04/10/16		Paper Number			8.2			
Title				Assurance Framework						
Sponsoring Director (name and job title)				Nigel Foster, Chief Finance Officer/ Sarah Bellars						
Sponsoring Clinical / Lay Lead (name and job title)										
Author(s)				Jo Greengrass (Associate Director of Quality) and risk owners.						
Purpose				<p>The Assurance Framework highlights the major risks to the successful achievement of the CCGs' strategic objectives.</p> <p>For 2016/17 NHS England have introduced a new CCG Improvement and Assessment Framework to replace both the existing CCG assurance framework and CCG performance dashboard. This new framework provides a greater focus on assisting improvement alongside the statutory assessment function.</p>						
The xxx Committee is required to (please tick)										
Decision	<input checked="" type="checkbox"/>	Review	<input type="checkbox"/>	<input type="checkbox"/>	Discuss	<input checked="" type="checkbox"/>	Note	<input type="checkbox"/>	Recommend	<input type="checkbox"/>
Risk and Assurance <i>(outline the key risks / where to find mitigation plan in the attached paper and any assurances obtained)</i>				The Assurance Framework provides details of each of the risk scenarios, the risk owner, the risk rating and the controls and assurance that are in place; along with a risk mitigation plan.						
Legal implications/regulatory requirements				Depending on the nature of the risk, a particular risk may have legal implications and or regulatory requirements - the risks have been evaluated against these requirements and the implications of any breaches.						
Has an equality impact screening been undertaken? If so please attach				Evaluation of risks will include CCGs' compliance with the Equality, Diversity and Human Rights agendas.						
Links to the NHS Constitution (relevant patient/staff rights)				All risks are evaluated with the NHS Constitution standards and other statutory and regulatory obligations in mind.						
Strategic Fit				Managing the risks outlined in the Assurance Framework is essential to delivery of the CCGs' strategic objectives.						

<p>Commercial and Financial Implications <i>(Identify how the proposal impacts on existing contract arrangements and have these been incorporated?)</i></p> <p><i>Include date Deputy CFO has signed off the affordability and has this been incorporated within the financial plan. Include details of funding source(s)</i></p>	<p>The financial implications associated with specific risk scenarios are taken into consideration in evaluation of the “rating”. In addition, the Assurance Framework is supported by a Finance Risk Register.</p> <p>Date Deputy CFO sign off</p>
<p>Quality Focus <i>(Identify how this proposal impacts on the quality of services received by patients and/or the achievement of key performance targets)</i></p> <p><i>Include date the Director of Nursing has signed off the quality implications)</i></p>	<p>The quality implications associated with specific risk scenarios are taken into consideration in evaluation of the “rating”. In addition, the Assurance Framework is supported by a Quality Risk Register</p> <p>Date Director of Nursing sign off.....</p>
<p>Clinical Engagement <i>Outline the clinical engagement that has been undertaken</i></p>	<p>Clinicians are involved in a number of areas where risks have been identified and particularly through consideration of risks at Quality Committee and in Operational Leadership Teams.</p>
<p>Consultation, public engagement & partnership working implications/impact</p>	
<p>NHS Outcomes <i>Please indicate (highlight) which Domain this paper sits within by highlighting or ticking below: Please note there may be more than one Domain.</i></p>	<p>Domain 1 Preventing people from dying prematurely; ✓</p> <p>Domain 2 Enhancing quality of life for people with long-term conditions; ✓</p> <p>Domain 3 Helping people to recover from episodes of ill health or following injury; ✓</p> <p>Domain 4 Ensuring that people have a positive experience of care; ✓ and</p> <p>Domain 5 Treating and caring for people in a safe environment; and protecting them from avoidable harm. ✓</p>
<p><u>Executive Summary</u> 1. Background</p> <p>The Assurance Framework highlights high and extreme risks to the Governing Body. The Framework provides details of the actions being taken to mitigate the risks and a risk rating.</p> <p>This paper summarises the key risks that significantly affect the delivery of the CCGs’ strategic objectives. The GB Assurance Framework comprises those high and extreme risks linked to the CCGs’ strategic objectives.</p>	

Information included in the report identifies:

- Controls that have been put in place to manage the risks;
- Assurances that have been received to demonstrate if the controls are having the desired impact;
- Details of any gaps in the assurance, and
- Comments and further actions required.

2. Assurance Framework April 2016/17

There are 14 risks in total • 9 amber 'high' rated risks • 2 red 'extreme' rated risks.

Of the fourteen risk scenarios on the Assurance Framework ten have remained unchanged in terms of the net risk exposure rating.

For one risk the rating has deteriorated:

"RS07 GB_23" "IF we do not develop and utilise the local health and local authority estate in the most effective way THEN there may be unacceptable financial and service consequences".

For three risks the rating have improved:

"RS02 GB_20" "IF we do not have the right skills, knowledge and capacity in our leadership, management teams and our commissioning support services THEN we may not be able to manage both our day to day operations and the delivery of our strategic objectives "

RS06 "IF we do not accelerate and embed the adoption of technology and information sharing in clinical and corporate areas THEN we will be unable to transform services and deliver the best possible care for our citizens"

RS14 "IF the CCG partnership working arrangements fail to identify and uncover any threats to the financial sustainability of our local NHS providers and local authorities, THEN we may not be able to commission the right services in the right settings with the right outcomes for our patients, at an affordable price."

Recommendation(s)

The Governing Body is asked to:

- Review the risks, controls, assurances and any gaps and actions on the Assurance Framework
- Note the risk movement on the Assurance Framework