

Subject:	Governing Body Assurance Framework
Presented by:	Jean Clark, Interim Head of Governance
Submitted to:	NHS West Norfolk CCG Governing Body, 29 January 2015
Purpose of Paper:	For review and discussion

The Governing Body Assurance Framework (GBAF)

The GBAF is presented this month with updated risks. The GBAF is a live document with movement of risks to reflect the organisation’s control environment and is a tool to enable the Governing Body to critically examine the effectiveness of the organisation’s internal controls and to focus on the challenges of transforming the local health and care system.

Following discussions at the November Governing Body, risk owners and committees overseeing risks have reviewed the risk ratings, particularly the target ratings.

The main changes in GBAF risk levels this month are as follows:

Significant “red” risks

There are 7 risks rated significant and are discussed in the Governing Body papers.

Increased risk rating

2 have increased in rating:

3.2 – Continuing Health Care (CHC) growing demand and cost, no clear delivery of CHC Quality, Innovation, Productivity & Prevention (QIPP): The backlog of cases is now addressed. Patient Safety & Clinical Quality Committee (PSCQC) reviews the CHC dashboard monthly. The CCG is working with providers to progress “discharge to assess”; to be put in place at The Queen Elizabeth Hospital by April 2015. CHC policies under review by County Steering Group for consultation in 2015. CCG-specific CHC group established to review new packages on weekly basis.

1.12 – Risks to clinical quality and patient safety in care homes following Internal Audit with limited assurance opinion: At the time of the audit quality visits to care homes were re-active, however with the appointment of the Care Home Quality Lead visits are now pro-active and the Care Home Forum is established. The Internal Audit action plan is reviewed by the Audit Committee and PSCQC.

Risk **2.6** in relation to Commissioning Support Unit (CSU) has been escalated from Corporate Risk Register.

Decreased risk rating

4 risks have decreased in rating:

1.8 – Norfolk Community Health and Care NHS Trust (NCH&C): Risk of impact on quality and safety of patient care due to organisational transformational change. NCH&C has put on hold its transformation programme until March to resolve workforce issues. Continuing to monitor monthly at Clinical Quality Review Meetings (CQRMs). Recruitment Plan is in place and submitted to West Norfolk CCG on a weekly basis. Positive Care Quality Commission (CQC) report.

1.13 - Safeguarding (children's) resignation of Designated Doctor: National problem of recruiting to safeguarding doctor posts. CCGs have put in place appropriate cover. Internal audit of children's safeguarding gave reasonable assurance opinion. PSCQC continues to monitor and risk to be moved to Corporate Risk Register.

6.2 - Risk that Better Care Fund will not deliver the target reduction in emergency admissions: Creation of pooled budget with Norfolk County Council (NCC) at CCG level, effective from April 2015. Section 75 agreement between CCG and NCC will be signed before March 2015. Better Care Fund (BCF) Programme Group established. Delivery of the plan is overseen at the CCG level as one of the work streams under the West Norfolk Alliance "System Sustainability" programme. Governance to be reviewed by Internal Audit in February 2015.

1.10 – Norfolk & Suffolk NHS Foundation Trust (NSFT): Risk of potential trend in unexpected deaths from April 2013 to September 2013. Risk has been lowered to target risk rating as external review showed no statistical trend, the report was shared with families and the CCG has monitored the Trust's action plan for improving incident investigation process. The remaining two cases are under review.

One risk, **2.1 - Risk of failure to commission improvements in quality and preventing ill-health:** Has been moved to the holding register as this is a generic risk.

Another risk **1.6 - Risk of impact of Cost Improvement Programme (CIP) on quality of patient care with providers:** Has been moved to the Corporate Risk Register to be monitored as an operational risk.

New Risks

None

The Governing Body is asked to note the risks and mitigations recorded on the Framework and agree any escalation/de-escalation of risks.

KEY RISKS

Clinical: Any risks not properly identified or mitigated could have a significant impact on the clinical quality of commissioned services.

Finance and Performance: Any risks not properly identified or mitigated could have a significant impact on the financial and operational performance of the CCG.

Impact Assessment (environmental and equalities): N/a

Reputation: Any risks not properly identified or mitigated could have a significant impact on the reputation of the CCG.

Legal: Any risks not properly identified or mitigated could have legal consequences for the CCG.

Patient focus (if appropriate): Any risks not properly identified or mitigated could impact on patient services.

Reference to relevant Governing Body Assurance Framework: N/a

RECOMMENDATION:

The Governing Body is asked to review, discuss and note the updated Assurance Framework.