

GOVERNING BODY REPORT

1. **Date of Governing Body Meeting:** 17th May 2018

2. **Title of Report:** **2018/19 Governing Body Assurance Framework**

3. **Key Messages:** This report presents a summary of the changes to the governing body assurance framework as at the end of April, 2018, and since the last 2017/18 assurance framework

4. **Recommendations** The governing body is asked to consider and approve the 2018/19 governing body assurance framework proposed by the executive risk sponsors, noting the summary of changes from the previous assurance framework (reported to the governing body in March 2018).

5. **Report Prepared By:** Debbie Bryce
Head of Governance

NHS WEST CHESHIRE CLINICAL COMMISSIONING GROUP GOVERNING BODY 2018/19 GOVERNING BODY ASSURANCE FRAMEWORK

INTRODUCTION

1. The [assurance framework](#) is aligned to the NHS England Improvement Assessment Categories. In accordance with the clinical commissioning group's risk management strategy, the departmental risk registers have been reviewed in April 2018.
2. An efficient and effective assurance framework is a fundamental component of good governance, providing a tool for governing bodies to identify and ensure that there is sufficient, continuous and reliable assurance on organisational stewardship and the management of the major risks to organisational success.

REVIEW

3. For ease, a summary of the changes to the governing body assurance framework, since the governing body in March 2018, are provided below.

Risk Number 2017/18	Risk Number 2018/19	Risk Sponsor/Owner	Summary of risk changes	Change to risk rating
1	1	Chief Finance Officer	<p><u>Financial Sustainability</u></p> <p>The description of the risk has been changed to reflect the delivery of financial duties. Positive assurances have changed to reflect delivery of a surplus as at 31st March 2018 and a 2018/19 financial plan that supports delivery of a £2.4m surplus.</p>	Overall risk ratings remain unchanged. Despite delivery of a surplus in 2017/18 there is a significant financial challenge in 2018/19.
2	2	Chief Finance Officer	<p><u>Organisational Governance</u></p> <p>Update to gaps in control and assurance narrative</p>	Unchanged

Risk Number 2017/18	Risk Number 2018/19	Risk Sponsor/Owner	Summary of risk changes	Change to risk rating
3	3	Chief Finance Officer	<p><u>Information Governance</u></p> <p>(The Commissioning Support Unit is leading us through the training and process of the introduction of the new General Data Protection Regulations in May 2018).</p>	Unchanged
4	4	Director of Quality & Safeguarding	<p><u>Safe/effective/harm-free care from providers</u></p> <p>Gap in control addressed on fragmentation of commissioner roles by developing a shared quality schedule across Wirral & Cheshire CCGs for Cheshire & Wirral Partnership Trust.</p>	Unchanged
5	5	Director of Quality & Safeguarding	<p><u>Safeguarding Vulnerable Children</u></p> <p>Removal of a gap in control relating to designated nurse hours, as this has now been recruited to.</p>	Unchanged
6	6	Director of Quality & Safeguarding	<p><u>Safeguarding Vulnerable Adults</u></p> <p>To address a gap in control in relation to capacity in the care sector we have established a multi-agency care home improvement programme board</p>	Unchanged
7	7	Director of Quality & Safeguarding	<p><u>Safe/quality services during financial recovery</u></p> <p>To address a gap in control in relation to the review of the quality impact assessment policy we are piloting an alternative methodology with a small number of PIDS.</p>	Unchanged

Risk Number 2017/18	Risk Number 2018/19	Risk Sponsor/Owner	Summary of risk changes	Change to risk rating
8	8	Chief Executive Officer	<u>Integrated Care Development</u> Unchanged	Unchanged
9	9	Director of Commissioning	<u>Delivery of Financial Recovery Plan (programmes)</u> Unchanged	Unchanged
10	10	Director of Commissioning & Chief Finance Officer	<u>NHS Constitutional Performance Targets</u> Unchanged	Unchanged
11	11	Chief Executive Officer	<u>Sustainable leadership to deliver an integrated health system and financial recovery plan</u> Now incorporates previous risk No. 13. Title also updated (previous title: Sustainable leadership to deliver the West Cheshire Way).	Unchanged
12	-	Chief Executive Officer	<u>Delivery of Organisation Improvement Plan</u>	Risk 12 archived for 18/19
13	-	Chief Executive Officer	<u>Integrated Care (capacity and capability)</u>	(risk 13 merged with risk 11 for 2018/19 and archived)
14	14	Chief Finance Officer	<u>Financial Sustainability (reimbursement of Hospice payroll costs)</u> Update to narrative	Unchanged
15	15	Chief Finance Officer	<u>Cyber Security</u> Update to narrative to reflect significant assurance from internal audit.	Unchanged

-	16	Director of Quality & Safeguarding	<u>Failure to adhere to best practice within the National Framework for NHS Continuing Healthcare and NHS Funded Nursing Care</u>	New risk
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RECOMMENDATIONS

4. The Governing Body is asked to consider and approve the 2018/19 governing body assurance framework proposed by the executive risk sponsors, noting the summary of proposed changes since the framework reported in March 2018, as follows:
 - a) Risk 12 to be archived as the organisational improvement plan has been delivered in 2017/18.
 - b) Risk 13 to be merged and incorporated into risk 11, due to similarities.
 - c) The addition of a new risk (risk 16) relating to NHS Continuing Healthcare and NHS Funded Nursing care, with a risk score of 16 and a residual risk score of 12.

Gareth James
Chief Finance Officer

May 2018