

GOVERNING BODY REPORT

1. **Date of Governing Body Meeting:** 21st March 2019

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

3. **Key Messages:** The report provides an updated Governing Body Assurance Framework as at the end of December 2018 and details of changes since the last Governing Body in public in January 2019.

4. **Recommendations**

The Governing Body is asked to consider and approve the 2018/19 Governing Body Assurance Framework proposed by the executive risk sponsors, including any changes since the framework reported and approved in January 2019 and the addition of a new risk relating to the potential impact of the EU Exit.

Risk 20 - An EU Exit with no deal could cause uncertainty and instability in the local system relating to resource (physical and personnel) and sharing of data. This uncertainty could lead to difficulties in providing care to our patients.

5. **Report Prepared By:** Gemma Caprio
Head of Governance

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

INTRODUCTION

1. The assurance framework can be found [here](#) and is aligned to the NHS England Improvement Assessment Categories. In accordance with the Clinical Commissioning Group's management of risk processes, the departmental risk registers have been reviewed.
2. An efficient and effective assurance framework is a fundamental component of good governance, providing a tool for the Governing Body 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 met in January 2019, 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	<u>Financial Sustainability</u> Updated narrative on positive assurance on gaps in controls and assurance	<->
2	2	Chief Finance Officer	<u>Organisational Governance</u> Updated narrative on gaps in controls and assurance	<->
3	3	Chief Finance Officer	<u>Information Governance</u> Unchanged	<->
4	4	Director of Quality & Safeguarding	<u>Safe/effective/harm-free care from providers</u> Updated narrative on gaps in controls and assurance	<->

Risk Number 2017/18	Risk Number 2018/19	Risk Sponsor/Owner	Summary of risk changes	Change to risk rating
5	5	Director of Quality & Safeguarding	<u>Safeguarding Vulnerable Children</u> Updated narrative on gaps in controls and assurance.	<->
6	6	Director of Quality & Safeguarding	<u>Safeguarding Vulnerable Adults</u> Updated narrative on gaps in controls and assurance.	<->
7	7	Director of Quality & Safeguarding	<u>Safe/quality services during financial recovery</u> Updated narrative on gaps in controls and assurance.	<->
8	8	Chief Executive Officer	<u>Integrated Care Development</u> Unchanged.	<->
9	9	Director of Commissioning	<u>Delivery of Financial Recovery Plan (programmes)</u> Unchanged.	<->
10	10	Director of Commissioning & Chief Finance Officer	<u>NHS Constitutional Performance Targets</u> Updated narrative on positive assurance and gaps in controls and assurance. .	<->
11	11	Chief Executive Officer/Director of Commissioning	<u>Sustainable leadership to deliver an integrated health system and financial recovery plan</u> Updated narrative on positive assurance and gaps in controls and assurance.	<->

14	14	Chief Finance Officer	<u>Financial Sustainability (reimbursement of Hospice payroll costs)</u> Unchanged	<->
15	15	Chief Finance Officer	<u>Cyber Security</u> 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> Updated narrative on positive assurance.	<->
	17	Chief Executive Officer	<u>Failure of the CCG to maintain business as usual in light of pressure of competing priorities: Working Together across Cheshire and Integrated Care Partnership.</u> Unchanged	<->
	18	Director of Commissioning	<u>Failure to deliver the aims of the Transforming Care Programme (Learning Disabilities) by March 2019.</u> Updated narrative on positive assurance and gaps in controls and assurance	<->
	19	Chief Finance Officer	<u>Risk relating to the financial impact on the funding available for local services from the decision to form a Cheshire Collaboration (2019/20) and the proposed merger in 2020/21, and the risk to developing a timely Financial Framework for</u>	<->

			<p><u>all parties to approve (including Membership Council).</u></p> <p>Small change to narrative on positive assurance on key controls</p>	
	20	Chief Finance Office	<p><u>An EU Exit with no deal could cause uncertainty and instability in the local system relating to resource (physical and personnel) and sharing of data. This uncertainty could lead to difficulties in providing care to our patients.</u></p>	New risk

RECOMMENDATIONS

- The Governing Body is asked to consider and approve the 2018/19 Governing Body Assurance Framework proposed by the executive risk sponsors, including any changes since the framework reported and approved in January 2019 and approve the new risk-:

Risk 20 – An EU Exit with no deal could cause uncertainty and instability in the local system relating to resource (physical and personnel) and sharing of data. This uncertainty could lead to difficulties in providing care to our patients.

**Gareth James, Chief Finance Officer / Deputy Chief Officer
March 2019**