

Agenda Item: 19

Nikki Cocks
 NHS Norwich CCG Governing Body
 Tuesday 24 November 2015



Norwich

Clinical Commissioning Group

Subject:	Governing Body Assurance Framework
Presented By:	Nikki Cocks Director of Operations and Delivery
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Purpose of Paper:	Information

Summary:

The purpose of this paper is to present the Governing Body Assurance Framework (GBAF) which contains those risks identified as potentially impacting on the ability of the CCG to meet its key objectives. The GBAF is a live document with movement of risks to reflect the organisation's control environment. The principles and detail of this process are contained within the Governing Body Risk Management Strategy and Policy which is currently being updated. Mitigating action, outstanding action and proposals to address are included in order to bring the risk to a level that is acceptable and manageable to the CCG.

Work is on-going with risk owners to review specific risks and the GBAF as a whole, incorporating internal audit recommendations and best practice. This has resulted in some consolidation of risks and enhancements to risk wording, assurances and gaps. The committee responsible for overseeing each risk has been added. This work is iterative and compliments the assurance mapping process underway.

High Risk Items:

- 1.10 (Risk to NNUH meeting the needs of unplanned and planned care admissions – due to the high level of growth in emergency activity and high bed occupancy). This is being mitigated by contractual levers in the short term whilst medium/long term working with provider on Project Domino, Pre Hospital Improvement Board workstreams, YourNorwich programme initiatives and longer term with primary care new models of care. This risk was reviewed in depth at October's Audit Committee and has been merged with Risk 2.3. *Discussed in Paper 9.*
- 1.13 (Risk to Sustainability of General Practice due to the pressure on GPs regarding increasing workload and reducing income). Confirming primary care commissioning arrangements with NHS England. Primary Care Summit held on 11th November, themes will be presented to the November Council of members and a proposal for future direction will be produced by the end of December. *Discussed in Paper 13.*
- 1.14 (Risk to Looked After Children (LAC)). The Trust continues to breach 28 day statutory requirement for assessment. Continuing to monitor NCC remedial action plan, CCG facilitated workshop agreed model with work continuing to develop. This risk was reviewed in depth at October's Audit Committee. The Joint Commissioning Committee is reviewing LAC as part of its workplan. The risk was reviewed by the October Audit Committee. *Discussed in Paper 8.*
- 1.21 (Risk of poor service and lack of compliance with CQC standards at NSFT). Continuing to monitor Trust improvement plan to address CQC recommendations.

Mock CQC visit planned. CCG has escalated concerns with pace of change to NHS England. *Discussed in Paper 8.*

- 1.23 (merged with 1.19 in October) (Risk of lack of agreed process for commissioning children's complex cases) The Business Case has been approved by the CCG but not as yet by Norfolk & Waveney Chief Officers. The CCG SMT has proposed a mechanism for taking forward the plan. Norwich CCG is taking the Chair of Complex Case Review Panel (CCRP) and reviewing its Terms of Reference. *Discussed in Papers 8, 14.*
- 1.25 (The implementation of the IT Lorenzo system has a significant impact on the reporting of clinical and performance information. Impacting on patient safety and service delivery). The Trust has been asked to review CCG reporting priorities. Concerns have been escalated to SNCCG Interim Director of Quality and also to NCCG Contracting team. Validated clinical reports are due by the end of November. *Discussed in Paper 8.*
- 4.6 (Risk to seamless delivery of 111/OOHs service at contract end 31/08/14). Risk has increased with GP resourcing issues post mobilisation which are being addressed through regular communications with the provider and at System Resilience Group (SRG). A GP resource plan has been developed, to be agreed with commissioners. *Discussed in Paper 9*

Increased Risk Rating:-

- 1.23 (merged with 1.19) increased in rating in November (see above).
- 4.5 (Risk to financial resources as a result of the CCG being held financially liable for void and underused NHS estates within its geography) has increased because of the dispute over Turnstone Court. Discussions are underway with NHS Property Services.

Decreased Risk Rating:-

None

New Risks:-

None

The GB Assurance Framework:

- Is informed by regular review by the Senior Management Team.
- Is updated monthly, reviewed by the Executive Committee and used to inform the Governing Body agenda. Items rated high risk will be part of the agenda.
- Is scrutinised by the Audit Committee. Risk owners will attend Audit Committee on a cyclical basis to present mitigating action and answer member questions.

Recommendation:

The Governing Body is asked to note the GBAF and actions being taken to mitigate risks.