

Agenda item GB14
Attachment 8

COVER SHEET : Governing Body Meeting in Public 5 February 2019 - Part 1

Title of paper	Governing Body Assurance Framework
Date	05 February 2019
Exec Lead	All Execs

Purpose	To Approve	
	To Consider	X
	To Note	

Summary of purpose and scope of report

The Governing Body Assurance Framework (GBAF) is presented to the Governing Body for consideration.

The Risk Management Process within the CCG is evolving and will be incorporated into the Risk Management Policy at its next review date. There have been some changes which the Governing Body should be made aware as they impact on how risks are managed and recorded and ultimately how they are raised at Governing Body.

The Performance and Delivery Board (PAD) which ran through the first part of 2018 was chaired by the CFO. When the organisation changes took effect and the Interim roles were introduced it was a good opportunity to look again at how the CCG manages risks. The PAD has been replaced by the Integrated Performance Meeting (IPM) and is now chaired by Rachel Darroch (Clinical Director of Improvement) to strengthen clinical oversight. The meeting brings together Finance, Performance, Quality and organisational performance and risks. As part of this, a new risk register has been developed which attempts to bring more ownership to risks at the appropriate level in the organisation. It also brings the risks together in an integrated approach into one risk register – this breaks down an overall risk into the areas which we can manage and influence in a more transparent way. This integrated risk register is discussed and reviewed at Clinical Planning and Delivery Committee and Quality and Clinical Governance Committee.

Tony Fitzgerald (Lay Member for Governance) has been included in this process and has attended an IPM and observed the new process. He has fed comments back which have been (or are in the process) of being actioned. Caroline Lovis



(Interim Associate Director of Finance) and Rob Morgan (Interim Managing Director) have also met with Clarence Mfopu (Director of Audit – TIAA, Internal Audit) to discuss the link between the risk register and the GBAF which will be taken into account in how we finalise the new strategic risks and GBAF.

At the time of writing this paper, the January IPM had recommended two red risks be reduced to Amber – this will not happen until agreed by Operational Leadership Team (OLT) and this would then be reported to Audit Committee. Hence, the position shown below summarises the risks from the December IPM which had been escalated and discussed at OLT in December.

Summary of Risks - December 18	Number of Risks				
	Red	Amber	Yellow	Green	Total
Acute Services	2	2			4
Mental Health & Learning Disability		7			7
Community Services		2			2
Continuing Care		1			1
Primary Care		1			1
PCCC			2		2
Prescribing					0
IT & Estates					0
Other		3			3
Total	2	16	2	0	20

2 red risks proposed to be downgraded to amber

The Governing Body is reminded that risks which are scored at 15 or higher on the Risk Register are always escalated on to the GBAF. Other risks may also be included which although not scored as “Red” are considered to be that important to the organisation that they should remain and be monitored. All risks on the GBAF are included in the risks summarised in the table above

The GBAF is therefore presented to this Governing Body meeting in the context of the evolving risk management process with updates having ensured that there are no new risks to add and all existing risks are still relevant

Throughout the Governing Body meeting, members should be considering if the agenda items and discussion warrant further amendments to the GBAF.

RECOMMENDATIONS

The Governing Body is asked to

	CONSIDER the strategic risks and assurances described in the GBAF and propose further amendments as necessary
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IMPLICATIONS	
Quality & Safety/ Patient Engagement/ Impact on patient services:	
The GBAF highlights risks to quality of services and patients	
Equality / Human Rights / Privacy impact analysis	
Surrey Heath CCG aims to design and implement services, policies and measures that meet the diverse needs of our service, population and workforce, ensuring that none are placed at a disadvantage over others. It takes into account the Human Rights Act 1998 and promotes equal opportunities for all. This document has been assessed to ensure that no employee receives less favourable treatment on grounds of their gender, sexual orientation, marital status, race, religion, age, ethnic origin, nationality, or disability.	
Financial and resource implications	
The GBAF highlights the various ways in which services and resources may impact on finances	
Risk	
As described in GBAF	
Legal	
Where a risk identified in the GBAF requires legal input then the CCG shall seek relevant advice	

Governance and reporting		
Committee name	Date discussed	Outcome
Governing Body	November 18 meeting	Considered and Noted