

NHS SOUTHEND CCG GOVERNING BODY MEETING IN PUBLIC 27TH NOVEMBER 2014

GOVERNING BODY ASSURANCE FRAMEWORK – SEPTEMBER ASSURANCES

Date of the meeting	27/11/2014
Author	Angela Paradise, Head of Corporate Services
Sponsoring Governing Body Member	Jason Skinner, Chief Finance Officer
Purpose of Report	To present the updated governing body assurance framework
Recommendation	Members of the Governing Body are invited to approve the CCG's approach to risk management to ensure the appropriate level of control and resulting assurance.
Reason for inclusion in Part II	N/A
Stakeholder Engagement	N/A
Previous GB / Committee/s, Dates	The GBAF is presented to each meeting of the Audit and Risk Committee and Governing Body meeting in public.

Monitoring and Assurance Summary

This report links to the following Assurance Domains	<ul style="list-style-type: none"> • Quality • Equality and Diversity • Outcomes • Governance 		
I confirm that I have considered the implications of this report on each of the matters below, as indicated:	Yes [e.g. ✓]	Any action required?	
		Yes Detail in report	No
All three Domains of Quality (Safety, Quality, Patient Experience)	✓	✓	
Board Assurance Framework / Risk Register	✓	✓	
Budgetary Impact	✓	✓	
Legal / Regulatory	✓	✓	
People / Staff	✓	✓	
Financial / Value for Money / Sustainability	✓	✓	
Information Management & Technology			
Equality Impact Assessment	✓	✓	
Freedom of Information	✓	✓	✓

Initials: AP

1. Introduction

- 1.1 The Governing Body Assurance Framework (GBAF) is presented to each meeting of the Audit and Risk Committee, and each Governing Body meeting in public.
- 1.2 The CCG's Governing Body needs to be assured that the appropriate controls and mitigation are in place to provide the appropriate level of assurance against each risk.

2. Key Issues

- 2.1 The CCG's Audit and Risk committee identified alternative methods by which the GBAF (and other risk registers) could be reviewed. A proposal has been put to the Chief Operating Officer to hold specific risk management meetings rather than individual risk owner updates. These will commence during December 2014 and will provide a more robust mechanism for updating risk by virtue of collective discussions.
- 2.2 All risks should align to the CCG's strategic plan and the governing body's role is to challenge the CCG's management of risk overall and seek assurance thereof.
- 2.3 All risks have been reviewed thoroughly and progress updates clearly identified. No risk scores have increased this month; the CCG is satisfied that all mitigation is being applied. No risks are proposed for closure and no new risks have been added.
- 2.4 Some risks were present during 2013/14 and that year's score is also shown to demonstrate year on year comparison. Such risks are likely to always feature on a risk register due to their nature, for example, quality, finance, performance or compliance risks; the health service is never risk free by virtue of the services it provides. What is important is the awareness of risk and the controls put in place.
- 2.5 It is worth noting that a consistent, unchanging score does not mean that a risk has not been managed effectively; rather, it means that all possible controls and mitigations are in place and there is nothing further than can be done at the current time.
- 2.6 The updated GBAF is attached at Appendix 1.

3.0 Recommendations

Governing Body members are invited to:

- 3.1 Approve the CCG's approach to risk management to ensure the appropriate level of control and resulting assurance.

Author's name and Title : Angela Paradise, Head of Corporate Services

Date : 18th November 2014

APPENDICES	
Appendix 1	Governing Body Assurance Framework (GBAF)