

**Governing Body Assurance Framework
Final Quarter Review**

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Governing Body meeting

6 May 2021

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Purpose of Paper	
<p>This report presents the Governing Body Assurance Framework (GBAF) final review during 2020/21 for consideration. The report covers the period up to 31 March 2021.</p> <p>The GBAF has been circulated to members as part of the information pack for this meeting of the Governing Body. Due to the timing of the CCG's Audit and Integrated Governance Committee (AIGC) meeting this paper is presented to ahead of the next AIGC.</p>	
Key Issues	
<p>The GBAF is a "rolling" document reviewed approximately quarterly with a full refresh undertaken prior to the start of each financial year. This report sets out the final quarter position for 2020/21:</p> <ul style="list-style-type: none"> • Twenty one risks identified on the Quarter 4 GBAF - no risks have been closed and no new risks added • All Gaps in control and / or assurance have now been closed • One risk has decreased in risk score, no risks have increased • All risks have been considered in light of the Covid-19 pandemic 	
Is your report for Approval / Consideration / Noting	
Consideration	
Recommendations / Action Required by Governing Body	
The Governing Body is asked to consider and note the Quarter 4 final GBAF position	
Governing Body Assurance Framework	
<i>Which of the CCG's Objectives does this paper support?</i>	
<p>This paper relates to all risks included on the GBAF and provides assurance that the principal risks identified to delivery of the CCGs objectives are relevant, being managed and that they are discussed and appropriately actioned and/or challenged by the Audit and Integrated Governance Committee/Governing Body.</p>	

Are there any resource Implications (including Financial, Staffing etc)?
No specific resource implications
Have you carried out an Equality Impact Assessment and is it attached?
Please attach if completed. Please explain if not, why not No, There are no specific issues associated with this report.
Have you involved patients, carers and the public in the preparation of the report?
Not applicable

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1 Introduction

This paper is presented to provide an overview of the strategic risks which may threaten achievement of the Clinical Commissioning Groups (CCGs) Strategic Objectives.

The Governing Body Assurance Framework (GBAF) is an important document which provides a repository of principal risks to delivery of the CCG's objectives and which allows Governing Body members to understand and oversee management of these risks by addressing barriers to its success. The Audit and Integrated Governance Committee (AIGC) has responsibility, on behalf of the Governing Body, for scrutiny of these risks, prior to submission and oversight by Governing Body. It also provides external assurance to NHS England, internal and external audit, the public and stakeholders that the CCG is cognisant of its risks and has a robust system of internal control. Auditors expect the GBAF to be kept up to date and routinely reviewed and challenged by Governing Body.

The Governing Body needs to be confident in the systems, policies and people it has in place to efficiently and effectively drive the delivery of its objectives by focusing on minimising risk.

As part of the signing of the Annual Governance Statement (AGS) by the Accountable Officer and approval of the Annual Accounts and Annual Report, the need for the Governing Body to demonstrate they have been properly informed of the totality of their risks is paramount. Governing Body needs to be able to evidence that it has systematically identified its objectives and managed the principal risks to achieving them over the course of the year.

The GBAF formalises the process of securing assurance and scrutinising risks to the delivery of the CCG's strategic objectives and is a key piece of evidence to support and demonstrate the effectiveness of the CCG's system of internal control.

2. Key Messages

- At the end of Quarter 4 there were 21 principal risks on the GBAF
- All gaps in control and assurance have now been closed and therefore nothing to include within the 2020/2021 Annual Governance Statement
- One risk has decreased in score, there have been no increases to any risk scores since the previous review
- Three risks have reached their risk appetite and one risk is below its risk appetite
- No new risks have been added and no risks closed

3. Review up to and including 31 March 2021

At the end of the monitoring period there remained 21 principal risks facing delivery of the CCG's strategic objectives – the level of risk is set out below.

Review period	Critical	Very High	High	Medium	Low	Risks Closed	TOTAL
Up to and including 31 March 2021	0	7	9	5	0	0	21
Up to and including 1 March 2021	0	8	9	4	0	0	21
Up to and including 23 Nov 2020	0	10	9	2	0	0	21
Up to and including 31 Jul 2020	1	7	10	2	0	0	20

4 Summary GBAF

The table below summarises risk ratings (both current and previous reviews) against the initial risk score, and appetite score. Gaps in control and/or assurance are also identified.

Objective	Risk Reference	Risk Owner	Risk Owner	Risk Initial Score	Current Risk Score				Risk Target or Appetite Score	Are there Gaps in Control?	Are there Gaps in Assurance?
					Q1	Q2	Q3	Q4			
					Position at 31.03.21						
Reduce the impact of health inequalities on peoples' health and wellbeing through working with SCC and partners	1.1	Failure to make sufficient progress on our Joint Commissioning priorities	BH	12	12	12	9↓	9	9	No	No
	1.2	Fail to make sufficient progress on our goal of best start in life	SB	12	12	12	12	12	6	No	No
	1.3	Fail to make sufficient progress on delivering our all age mental health objectives	SB	12	12	12	12	12	9	No	No
Lead the improvement of quality of care and standards	2.1	Organisations fail to meet quality standards	AW	12	16↑	16	16	16	9	No	No
	2.2	System wide or specific provider capacity problems.	SB	15	15	15	15	15	9	No	No
	2.3	Fail to effectively communicate with the public and involve patients	BH	12	16↑	16	16	16	8	No	No
	2.4	Insufficient workforce to be able to maintain safe, efficient and high quality services	AW	12	12	12	12	12	9	No	No
	2.5	Insufficient preparedness to deal with significant emergency events	BH	15	15	15	15	15	8	No	No

	2.6	Unable to meet flu vaccine requirements set by NHSE of 75% against each cohort	AW	16		16	16	8↓	9	No	No
Bring Care Closer to Home	3.1	Insufficient capacity and resources to support development of Primary Care Networks (PCNs) and primary care at scale working	SB	12	12	12	12	12	9	No	No
	3.2	Insufficient resilience in primary and community care.	SB	16	16	16	16	16	6	No	No
	3.3	Inability to secure active engagement with/participation of Member Practices	ZM	12	9↓	9	8↓	8	8	No	No
Improve health care sustainability and affordability	4.1	The financial challenges of our own organisation & that of our system partners distort our priorities	JM	16	20↑	16↓	9↓	9	9	No	No
	4.2	Lack of maturity of place based relationships result in failure to address efficiency, workforce & quality gaps	ZM	12	12	12	12	12	6	No	No
	4.3	Policy drive for system integration ahead of legislative change may risk the development of partnerships	LS	12	12	12	12	12	6	No	No
	4.4	The digital infrastructure is inadequately maintained/ developed.	CT	16	16	16	16	16	9	No	No
	4.5	The estates infrastructure is inadequately maintained/ developed	JM	12	12	12	12	12	9	No	No
	4.6	Fail to address the impact that the services that we commission have on the environment.	ZM	12	12	12	12	12	9	No	No
	4.7	Our internal QIPP plan does not deliver the level of efficiency changes required	SB	16	16	16	12↓	12	9	No	No
	4.8	Our collective risk appetite is insufficient to realise the potential of our plans	JM	12	12	16↑	16	16	8	No	No
Be a caring employer that values diversity and maximises the potential of our people	5.1	Insufficient internal workforce, talent management and succession planning	LS	9	9	9	6↓	6	4	No	No

9 SMT Review

The Senior Management Team met on 14th April to review the final quarter GBAF. SMT confirmed that as a significant review of the GBAF had been undertaken at its meeting at the end of February, there was little change to the Q4 report. However, it was agreed that the gap in control with regard to risk 2.6 should be closed as the risk related to 2020/21.

The further gap in control relating to the IT service risk at 4.4 could also be closed.

10 2021/2022 GBAF Refresh

The refreshed GBAF was approved by Governing Body at its meeting in May (private) and the first quarter review will be presented to Governing Body in July 2021.

Risk profile of refreshed GBAF 2021/2022

Review Period	Critical	Very High	High	Medium	Low	Risks Closed	TOTAL
Summary Refresh	2	10	13	1	0	1	26

Profile	No of risks
New risks identified	6
Risks amended following review	10
Risks closed (2 risks merged)	1
Risks carried forward with no change	10

10. Head of Internal Audit Opinion

A revised draft Head of Internal Audit (HOIA) Opinion has been issued which confirmed that the GBAF format and content remained fit for purpose and covered the majority of required elements. As previously noted, the report highlighted the actions previously recommended in order to develop the GBAF for 2021/2022.

11 Recommendations

The Governing Body is asked to consider and note the Quarter 4 final GBAF position

Paper prepared by Sue Laing, Corporate Services Risk and Governance Manager

On behalf of Cath Tilney, Associate Director of Corporate Services

April 2021