

2018/19 Assurance Framework: Opening Position

1. Introduction

The purpose of this paper is to present the opening position of the Greater Nottingham Clinical Commissioning Partnership's (GNCCP) 2018/19 Assurance Framework for comment and endorsement of the proposed strategic risks.

2. Background Information: The Role of the Assurance Framework

The purpose of an assurance framework is to provide a source of evidence that links an organisation's strategic objectives to risks, controls and assurances and provide confidence and evidence to management that 'what needs to be happening is actually happening in practice'.

The opening position of the GNCCP Assurance Framework has been developed alongside the GNCCP's draft strategic objectives. The draft strategic objectives were endorsed by the Greater Nottingham Joint Commissioning Committee (GNJCC) in June 2018 and following further development work with the GNJCC; will be formally presented to each of the Governing Bodies at their meetings in October 2018.

The draft strategic objectives are as follows:

Strategic Aim:

1. To deliver health and care system sustainability via a new model of care for Greater Nottingham

Strategic Objectives:

1. Higher quality for patients
2. Improve health outcomes and healthy life expectancy
3. Reduce health inequalities
4. Bring care close to home, through sustainable, local services

Enabling Functions:

1. Structure ourselves appropriately for the future
2. Embed a strong organisational culture and competency

3. Monitoring and Scrutiny Roles and Responsibilities

An important element of the CCGs' joint commissioning and governance structure is the establishment and implementation of sound risk management arrangements. The CCGs' Governing Bodies have overall accountability for risk management and as such, need to be satisfied that appropriate arrangements are in place and that internal control systems are functioning effectively. The GNCCP's Integrated Risk Management Framework has now been developed to set out specific roles, responsibilities and reporting arrangements and is due for review and approval at each CCG Governing Body meeting in July 2018.

4. GNCCP Assurance Framework: Annual Reporting Cycle

The following table sets out the annual reporting cycle for the GNCCP Assurance Framework for 2018/19:

	May	June	July	Aug	Sept	Oct	Nov	Dec	Jan	Feb	Mar	Apr
Governing Body: <i>Full Assurance Report</i>			✓			✓						✓
Joint Commissioning Committee <i>Full Assurance Report</i>					✓							✓
Audit and Governance Committees: <i>Deep Dive Strategic Risk and Assurance Reports</i>					✓		✓		✓		✓	

5. GNCCP Assurance Framework: Opening Position

The GNCCP Assurance Framework is currently comprised of 20 strategic risks in the following areas:

Membership Engagement	Expert Professional Advice	Patient Engagement	Equality Duties
Promoting Research and Research Evidence	Probity in Decision-making	Procurement, Patient Choice and Competition	Environmental and Social Sustainability
Collaborative and Joint commissioning Arrangements	Effective Workforce and Leadership Model	Quality Improvement	Performance Monitoring and Reporting
Productivity and Efficiency	Delivery of Commissioning Priorities	Safeguarding Children and Adults	Health System Resilience
Investment and Disinvestment Decisions	Financial Management and Reporting Arrangements	Health and Social Care Transformation	Primary Care Delegation Agreement

The current residual risk profile is summarised below.

Very High		7	3		
High		5	5		
Medium					
Low					
Very Low					
	Rare	Unlikely	Possible	Likely	Almost Certain

It's important to remember that the GNCCP's strategic risk profile is expected to be high due to the nature of the risks contained within the GNCCP Assurance Framework (i.e. if their impact rating isn't high or very high, then it's questionable whether they should be classified as strategic risks to the organisation).

The complete GNCCP Assurance Framework is attached at **Appendix A**.

6. Next Steps

Following approval of the proposed strategic risks, further work will take place with senior managers, the Audit and Governance Committees and Internal Audit colleagues to develop the GNCCP Assurance Framework to its full potential.

7. Recommendations

The Governing Body is requested to:

- **APPROVE** the proposed strategic risks as shown in the opening position of the 2018/19 GNCCP Assurance Framework
- **NOTE** that further work is necessary to develop the GNCCP Assurance Framework to its full potential.

Lucy Branson
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