

## Appendix B – High level summary of the Assurance Framework

Ref	Risk	Key Controls Established					Internal Oversight and Scrutiny			External Assurance (Received or Expected*)	Actions to Address Gaps in Controls and/or Assurance	Current Risk Score (Impact x Likelihood)	Target Risk Score (Impact x Likelihood)
		Executive Lead	Director Lead(s)	Systems and Processes	Policy	Training and Awareness	Committee Oversight	Governing Body/GNJCC Oversight	Specific Lay Member Responsibilities				
1.	Arrangements for engaging and communicating with member GP practices may not be sufficiently robust	✓	✓	✓	N/A	N/A	✓	✓	N/A	✓ (NHS England 360 Survey)	Actions in place to address 2017/18 360° Survey results	14 x L3 <b>12</b>	14 x L3 <b>12</b>
2.	The Clinical Commissioning Group's delegated functions relating to primary medical services may not be delivered	✓	✓	✓	✓	N/A	✓	✓	N/A	✓* (Internal Audit Review)	Work underway to align Primary Care Commissioning across the CCGs.  Ability of providers to provide safe high quality care due to the difficulties in being able to recruit, develop and retain an effective workforce	14 x L3 <b>12</b>	14 x L2 <b>8</b>
3.	Arrangements for ensuring openness, transparency and accountability in decision-making	✓	✓	✓	✓	✓	✓	✓	✓	✓* (Internal Audit Review)	Assurance required that internal reporting mechanisms	15 x L2 <b>10</b>	15 x L2 <b>10</b>

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	may not be suitably robust										established in the shared governance structure are effective.  Central mechanisms need to be established to enable effective monitoring of training		
4.	The organisation may not be successful in recruiting, developing and retaining an effective workforce and leadership model	✓	✓	X	✓	N/A	✓	✓	N/A	✓* (Internal Audit Review and 2018/19 Staff Survey)	Actions in place to address the risk of low morale/dis-engagement during period of ongoing change.  Actions in place to ensure accurate reporting of staff sickness absence  Actions in place to address the risk of loss of organisational	I4 x L3  12	I4 x L2  8

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											memory during period of ongoing change.  Development of the Organisational Development Plan.		
5.	Children and vulnerable adults may not be appropriately safeguarded in accordance with legislative and statutory frameworks and guidance	✓	✓	✓	✓	✓	✓	✓	N/A	✓ (Safeguarding Self-assessment submission to NHSE)	Joint Safeguarding policies for the Greater Nottingham CCGs need to be developed (separate CCG policies still in place)  Central mechanisms need to be established to enable effective monitoring of training	15 x L2 <b>10</b>	15 x L2 <b>10</b>
											Central mechanisms need to be established to enable effective		

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											monitoring of training.		
6.	Arrangements for collaborative commissioning with other CCGs in Nottinghamshire and joint commissioning with the local authority may not be suitably robust	✓	✓	✓	N/A	N/A	✓	✓	N/A	X	<p>Actions in place to ensure the robustness of the CCGs' contract management processes.</p> <p><i>Absence of external assurance to be reviewed by the Audit and Governance Committees.</i></p>	14 x L2 <b>8</b>	14 x L2 <b>8</b>
7.	Commissioning priorities to reduce health inequalities and improve health outcomes (as defined within the strategic objectives and Operational Plan) may not be delivered	✓	✓	✓	✓	✓	✓	✓	N/A	✓ (NHSE Improvement and Assessment Framework)	Aligned Commissioning Policy for the Greater Nottingham CCGs needs to be developed	14 x L3 <b>12</b>	14 x L3 <b>12</b>
8.	Patient and public consultation and engagement may not be fully	✓	✓	✓	✓	N/A	✓	✓	✓	✓	Joint Engagement	15 x L2	15 x L2

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	embedded within all stages of the commissioning cycle										Policy for the Greater Nottingham CCGs needs to be developed.  Work underway to review the CCGs PPI forums.	10	10
9.	General and specific public sector equality duties may not be met	✓	✓	✓	X	✓	✓	✓	✓	-	Shared CCG Equality Objectives need to be agreed.  Internal monitoring and reporting system for training compliance needs to be established and improve existing training compliance across CCGs  <i>Absence of external assurance to be reviewed by the Audit and</i>	15 x L2 <b>10</b>	15 x L2 <b>10</b>

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											<i>Governance Committees.</i>		
10.	Procurement, patient choice and competition arrangements may not be compliant with current legislative requirements	✓	✓	✓	✓	✓	✓	✓	N/A	X	Procurement training needs to be formalised within the CCGs' mandatory training requirements  <i>Absence of external assurance to be reviewed by the Audit and Governance Committees</i>	15 x L2  <b>10</b>	15 x L2  <b>10</b>

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11.	Improvements in the quality (patient safety, patient experience and clinical effectiveness) of commissioned services may not be achieved	✓	✓	✓	✓	N/A	✓	✓	N/A	✓	Ability of our providers to provide safe high quality care due to the difficulties in being able to recruit, develop and retain an effective workforce  Joint Complaints Policy for Greater Nottingham CCGs needs to be developed.	15 x L3  15	15 x L3  15
12.	The CCG may not have robust procedures in place to monitor national and local performance indicators, including the access targets set out in the NHS Constitution	✓	✓	✓	✓	N/A	✓	✓	N/A	✓ NHSE Improvement and Assessment Framework	Joint Data Quality Policy for Greater Nottingham CCGs needs to be developed	14 x L2  10	14x L2  10

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13.	The organisation may fail to identify and achieve recurrent financial savings.	✓	✓	✓	N/A	N/A	✓	✓	✓	✓ (Internal Audit Report – Limited Assurance)	Actions in place in response to the Internal Audit Review of the CCGs Financial Recovery PMO.	14 x L3 <b>12</b>	14 x L3 <b>12</b>
14.	Appropriate and effective financial management and reporting arrangements may not be in place	✓	✓	✓	✓	X	✓	✓	✓	✓* (Internal Audit Report and Financial Management Self-Assessment submission to NHSE)	Financial management training to be formalised within the CCGs' mandatory training requirements	15 x L2 <b>10</b>	15 x L2 <b>10</b>
15.	Investment and disinvestment decisions may not be robust and consistent when considering the prioritisation of existing or planned healthcare	✓	✓	✓	✓	N/A	✓	✓	N/A	-	Joint Commissioning Policy for Greater Nottingham CCGs needs to be developed  <i>Absence of external assurance to be reviewed by the Audit and Governance Committees.</i>	15 x L2 <b>10</b>	15 x L2 <b>10</b>



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16.	Health community resilience to known and potential increases in demand may significantly exceed capacity within our major providers	✓	✓	N/A	N/A	N/A	✓	✓	N/A	✓ EPRR plan submitted to NHS England	Oversight of Local Authority budgetary pressures and the potential impact on health services	15 x L3 <b>15</b>	15 x L3 <b>15</b>
17.	System transformation in Nottinghamshire may not deliver the required system reconfiguration or financial sustainability across the health and social care system within the required timeframe	✓	✓	N/A	N/A	N/A	✓	✓	N/A	✓* Internal Audit Follow-up report	Assurance is required that that the Gntp and STP governance arrangements are functioning effectively	15 x L3 <b>15</b>	15 x L2 <b>10</b>