

Board Assurance Framework - October 2013

Objective:		KINGSTON CCG 2a: Genuinely involve patients in service design and evolution.												
Risk		Inherent			Controls	Current			Assurance Source	Assurance Gaps	Actions	Target		
Ref	Description	C	L	Total		C	L	Total				C	L	Total
610	Support the Better Services, Better Value consultation during 2013/14 David Smith - Managing Director for Kingston	3	4	High (12)	BSBV Consultation Programme	3	4	High (12)	BSBV pre-consultation business case and consultation plan		Agree timeline for consultation with BSBV team	3	2	Moderate (6)
					BSBV programme team				BSBV Programme Board minutes		Tonia Michaelides			
					Existing forums in place				Patient and Public Forum reports and evaluations	No established Timetable for consultation events	31/10/13 Ensure local focus			
					Joint Committee of CCGs				Reports to and minutes of the Joint Committee		Tonia Michaelides 31/10/13			

Objective:		KINGSTON CCG 3a: Delivery of the 13/14 financial & service plans												
Risk		Inherent			Controls	Current			Assurance Source	Assurance Gaps	Actions	Target		
Ref	Description	C	L	Total		C	L	Total				C	L	Total
608	Overactivity in acute services Tonia Michaelides	5	3	Very High (15)	Monthly acute contract meetings	5	2	High (10)	Minutes and papers of acute contract meetings		Agree year end balances	5	2	High (10)
					Monthly Clinical Quality Review Group Meetings				Minutes and papers of Clinical Quality Review Group Meetings		Neil Ferrelly - Director of Financial Planning			
					Review of acute activity				Minutes and papers of Finance Committee		31/12/13 Monitor acute activity and finance			
											Neil Ferrelly - Director of Financial Planning			
											31/03/14			
609	Failure to deliver 13/14 QIPP savings target Tonia Michaelides	3	4	High (12)	Performance measures	3	4	High (12)	Performance reports to Integrated Governance Committee		Escalate concerns	3	2	Moderate (6)
					Performance review meetings with providers				Minutes of performance review meetings with providers		Neil Ferrelly - Director of Financial Planning			
					Progress reports				Minutes and papers of Integrated Governance Committee		31/03/14			
					Review of Trajectories				QIPP Review reports					

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Objective:		KINGSTON CCG 3a: Delivery of the 13/14 financial & service plans												
Risk		Inherent			Controls	Current			Assurance Source	Assurance Gaps	Actions	Target		
Ref	Description	C	L	Total		C	L	Total				C	L	Total
612	Statutory Financial obligations Neil Ferrelly - Director of Financial Planning	3	4	High (12)	Regular reports to Finance Committee Reserves built into CCGs financial plans to offset risks Risk share agreement	3	4	High (12)	Finance Committee reports and minutes Reports to Finance Committee and Governing Body Minutes of Finance Committee Email correspondence		Agree year end settlement with acute providers to mitigate risk Neil Ferrelly - Director of Financial Planning 31/12/13 Specialist commissioning adjustment Neil Ferrelly - Director of Financial Planning 29/11/13	3	3	High (9)
680	Acute Contracts Neil Ferrelly - Director of Financial Planning	4	3	High (12)	Regular reports to Finance Committee on the Acute Contracting position. Reserves built into CCG's financial plans to offset risks	4	3	High (12)	Finance Committee reports and minutes Integrated Reports from MDT at CSU Finance Reports to Finance Committee and Governing Body		Maintain regular monitoring of Acute contracts by Finance Committee Jennifer Sinnott 31/03/14	4	1	Moderate (4)

Objective:		KINGSTON CCG 3c: Innovation												
Risk		Inherent			Controls	Current			Assurance Source	Assurance Gaps	Actions	Target		
Ref	Description	C	L	Total		C	L	Total				C	L	Total
651	Inability to take forward essential business due to information governance restrictions Jill Pearse	4	5	Very High (20)	Information Governance Framework	4	5	Very High (20)	Information Governance Policy and Framework Terms of Reference of IGSG IGSG Minutes and papers Published Information Governance Toolkit	Accredited Safe Haven (ASH) application guidance yet to be published	Apply for Accredited Safe Haven (ASH) status Jill Pearse 31/10/13	3	4	High (12)

Objective:		KINGSTON CCG 4a: Effective arrangements for oversight of the quality and safety of commissioned services												
Risk		Inherent			Controls	Current			Assurance Source	Assurance Gaps	Actions	Target		
Ref	Description	C	L	Total		C	L	Total				C	L	Total

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Objective:		KINGSTON CCG 4a: Effective arrangements for oversight of the quality and safety of commissioned services												
Risk		Inherent			Controls	Current			Assurance Source	Assurance Gaps	Actions	Target		
Ref	Description	C	L	Total		C	L	Total				C	L	Total
166	Risk to patient safety and Safeguarding Adults David Smith	5	3	Very High (15)	Alert system	5	2	High (10)	Safeguarding Adults Local Protocol (Sept 2013)		Establish Multi-Agency Safeguarding Hub (MASH)	5	2	High (10)
					Development of Integrated Adult Safeguarding Team						Jill Pearce			
					Joint Health & Social Care Service Adult Safeguarding team in place				- London multi-agency policy and procedures to safeguard adults from abuse - Kingston Adult Safeguarding Local Protocol	Formal Protocol for escalation needs to be agreed.	31/12/13 Implement LGA Peer Review Action Plan			
					Safeguarding Adults Partnership Board				Minutes of Meetings	Awaiting national guidance from Stephen Dorrell re. statutory arrangements etc	Tonia Michaelides 30/06/14 Recruit to Nurse Lead for Adult Safeguarding			
											Tonia Michaelides 30/10/13			
314	Effectiveness of multi-agency arrangements for Safeguarding children and looked after children services David Smith	5	3	Very High (15)	CQC/Ofsted Report - Kingston Health Action Plan	4	3	High (12)	Kingston Health Action Plan		Complete Annual Review for 2012/13 (Safeguarding Children and LAC)	4	2	High (8)
					Designated Nurse for Kingston CCG				Job description and work plan		Christine Robjohn			
					Quarterly reports and monthly exception reporting to IGC				Minutes and papers of IGC		31/10/13			
					RBK Project Manager & Action Plan				RBK Action Plan		Complete Serious Case reviews			
					Safeguarding framework in place				Safeguarding Children Annual Report 2011/12 LAC report 2012 complete		Christine Robjohn 31/03/14			
					Safeguarding Improvement Board in place				Minutes of SIB		Recruit LAC Named Doctor			
											Elizabeth Brandhill 29/11/13			

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Objective:		KINGSTON CCG 4b: Compliance with statutory duties												
Risk		Inherent			Controls	Current			Assurance Source	Assurance Gaps	Actions	Target		
Ref	Description	C	L	Total		C	L	Total				C	L	Total
621	Fraud and Bribery Tina Jones	3	3	High (9)	Fraud and bribery awareness	3	3	High (9)	Historic training records for PCT staff	No formal fraud and bribery training given to staff, current or new. No intranet for publicity material.	Co-ordinate implementation of Action Plan arising from LCFS Proactive Report Tina Jones 31/03/14	3	2	Moderate (6)
					Policies				Policy documents	Polices in place but require fraud proofing	Fraud Risk Assessment & Action Plan			
					Process and procedures				Process and procedure documentation	Process and procedure in place but not tested from a fraud and bribery aspect.	Tina Jones 31/10/13			
622	Conflicts of Interest Nazim Jivani	3	4	High (12)	Awareness of Conflicts of interest	3	4	High (12)	Minutes of Governing Body and IGC		Conflict of Interests policy	3	2	Moderate (6)
					Kingston CCG Constitution				Conflict of Interests section (P75) and detailed (appendix 6)	Updating required to reflect 2013 guidance	Nazim Jivani 30/11/13 Escalation process Nazim Jivani 30/11/13			

Objective:		KINGSTON CCG 5b: Effective discharge of our lead commissioning arrangements with Kingston Hospital NHS Trust , South West London and St Georges NHS trust and Your Healthcare CIC.												
Risk		Inherent			Controls	Current			Assurance Source	Assurance Gaps	Actions	Target		
Ref	Description	C	L	Total		C	L	Total				C	L	Total
163	Risk of non compliance with CQC Essential Standards for Quality & Safety. Risk of future lapse in management and monitoring of Serious Incidents for of Mental Health Commissioned Services. Sylvie Ford	5	3	Very High (15)	Mental Health Contract in place with key performance indicators and performanc	5	2	High (10)	Minutes of CQRG Minutes of Performance Monitoring Meetings SWL&StG reports and action plans		To receive Action plan to implement CQC recommendations Sylvie Ford	5	1	Moderate (5)
					Performance management framework				-Minutes of Performance Monitoring Meetings -Contract documentation		06/11/13			

