

CWM TAF MORGANNWG UNIVERSITY HEALTH BOARD (CTMUHB)

HOSTING ASSURANCE FRAMEWORK

Assurance requirements for organisations ‘hosted’
by CTMUHB

Document Author:

Georgina Galletly, Director of Corporate Governance, CTMUHB

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1. Introduction

- 1.1. The responsibility for health and social care in Wales was devolved to the National Assembly for Wales (Welsh Government) in 1999. Since then, Wales has set its own distinctive approach to health and care provision. Integration and co-operation between health organisations is a key tenet of healthcare policy, along with a commitment to avoid duplication and 'do things once for Wales'. Central planning of services has remained and the internal market and the provider/purchase split no longer operates.

Organisations hosted by CTMUHB;

- Welsh Health Specialised Services Committee (WHSSC)
- Emergency Ambulance Services Committee (EASC)
- National Imaging Academy Wales (NIAW)

- 1.2. CTMUHB's interest in each of the hosted organisations is twofold.

Firstly;

- a) as an equal partner in NHS Wales as a member of the Joint Committees, or
- b) as user of the National Imaging Academy's Training and Development services, or

and Secondly;

- a) as the *host* statutory body.

- 1.3. This document details the characteristics of the latter. Standing Orders, Terms of Reference and Memoranda of Understanding/Agreements for the hosted bodies detail the former.

2. Hosted Bodies

JOINT COMMITTEES – WHSSC & EASC

In establishing the Joint Committees, and the organisations that support the effective delivery and function of the Joint Committee business, hosting agreements were put in place between CTMUHB (as host) and the remaining statutory Health Boards in Wales (Joint Committee Members). The Hosting Agreements detail the essential characteristics and responsibilities of CTMUHB as host and of the statutory members of the Committees (other UHBs).

WHSSC - The Welsh Health Specialised Services Committee is a joint committee of each Local Health Board (LHB) in Wales, established under the Welsh Health Specialised Services Committee (Wales)

Directions 2009 (2009/35). The Joint Committee has been established for the purpose of jointly exercising those functions relating to the planning and securing of certain specialised and tertiary services on a national all-Wales basis, on behalf of each of the seven LHBs in Wales. The WHSC Standing Orders, Standing Financial Instructions (SFI's) and the Memorandum of Agreement agreed with the seven LHBs and approved by the Joint Committee; set out the governance framework for its operation.

LHBs are responsible for those people who are resident in their areas. Whilst the Joint Committee acts on behalf of the seven LHBs in undertaking its functions, the duty on individual LHBs remains, and they are ultimately accountable to citizens and other stakeholders for the provision of specialised and tertiary services for residents within their area.

WHSC is hosted by CTMUHB on behalf of Health Boards in Wales and there is a hosting agreement in place to confirm the hosting arrangement which has been approved by the Joint Committee

EASC - The Emergency Ambulance Services Committee (Wales) Directions 2014 No.8 (W.8) detailed the framework for Health Boards in Wales to establish a joint committee to 'plan and secure emergency ambulance services for the sick and injured'. In December 2015, the Welsh Ministers directed the Health Boards under the EASC (Wales) (Amendment) Directions 2016 No.8 (W.8)¹ to be responsible for commissioning Non-Emergency Patient Transport (NEPT) services via the Emergency Ambulance Services Committee from April 2016. **The National Collaborative Commissioning Unit (NCCU)** was established by the Minister for Health and Social Services in 2015 for the purpose to improve patient outcomes and experience through the services it delivers aiming to "Lead quality assurance and improvement for NHS Wales through collaborative commissioning". NCCU is established under the organisational arrangements of EASC.

EASC is hosted by CTMUHB on behalf of Health Boards in Wales.

NATIONAL PROGRAMMES – NIAW

NIAW - The National Imaging Academy Wales was established in 2018 and is a purpose-designed state of the art facility to deliver the highest level of training to generate consultant radiologists to meet the increasing pressures imaging professions are facing.

The National Imaging Academy has an annual work plan and performance management arrangements that are agreed between the Director of the National Imaging Academy and the Collaborative Executive Group, prior to final sign off by the Collaborative Leadership Forum.

NIAW is hosted by CTMUHB on behalf of Health Boards and Trusts in Wales.

¹ the EASC (Wales) (Amendment) Directions 2016 No.8 (W.8)

<http://www.wales.nhs.uk/sitesplus/documents/1134/2016%20No%208%20%28W8%29%20The%20EASC%20%28Wales%29%20%28Amendment%29%20Directions%202016.pdf>

3. Hosting Agreements

- 3.1 Hosting Agreements are in place for each of the organisations hosted by CTMUHB. Hosting Agreements are between CTMUHB and each of the relevant statutory organisations in NHS Wales*.
- 3.2 * WHSSC and EASC hosting agreements are signed by Health Boards only. Trusts and Strategic Health Authorities are not voting members of either Committee and therefore are not party to the hosting agreements (NB (Trusts are Associate Members of WHSSC & EASC).
- 3.3 The hosting agreements in place detail the rights and obligations of all parties ensuring the hosting agreements are clear and transparent and monitoring arrangements are in place to address and resolve any practical issues that may emerge.

4. Accountabilities

- 4.1 Generally, the basic principle governing the responsibilities of CTMUHB in relation to acting as 'host' to any organisation is to act as the statutory body and provide the statutory framework to;
- Enable the employment of staff (e.g. contracts, remuneration & occupational health)
 - Be the Statutory Body to enable hosted organisations to enter into legal contracts (e.g. tenders, procurements etc)
 - Provide banking and accountancy services
 - Provide Corporate Services (including advice, as outlined in the individual hosting agreements)
 - Provide assurance arrangements via the CTM Audit & Risk Committee (e.g. inclusion in Annual Report, Annual Governance Statements and internal audit outcomes)
 - Hold Professional Accountability for Professional Clinical Staff within the host organisation
 - Hold Corporate responsibility for Board-level requirements (e.g Caldicott Guardian)
- 4.2 It is clear in the Directions and Hosting Agreements that CTMUHB is **NOT** responsible or accountable for planning, funding, and securing relevant services in respect of WHSSC or EASC (save in respect of the residents within the geographical area of responsibility of CTMUHB). Hosting therefore allows the hosted organisation to operate at 'arm's length', providing employment, governance framework and corporate support.
- 4.3 There is a lead Director for all organisations hosted by CTM and the table in figure 1 summarises the accountabilities and reporting arrangements;

Figure 1

Role	Appointed By	Accountable to	Performance monitored by:
WHSSC			
Managing Director	Joint Committee & CTMUHB Chief Executive Officer (CEO)	CEO's of Constituent Local Health Boards (LHBs)	WHSSC Chair & CTMUHB CEO
EASC (& NCCU)			
Chief Ambulance Services Commissioner	EASC Chair & CTMUHB CEO	CEO's of Constituent LHBs	EASC Chair & CTMUHB CEO

Figure 1 Contd.

Role	Appointed By	Accountable to	Performance Area	Monitored by
NIAW				
Academy Director	Lead CEO for Imaging	NHS CEO Lead (Steve Moore) (Non-Financial) CTMUHB (Financial)	Annual Plan and Performance Arrangements 3 monthly meetings with CTMUHB Executive Lead – (DoPP)	Collaborative Executive Group (NHS Wales)

4.4 DISCHARGING ACCOUNTABILITIES

4.4.1 Accountabilities of the lead Director of each of the hosted organisations tend to fall within two broad themes; for performance and for governance. The following outlines the practical arrangements for each.

4.4.2 **THE DIRECTOR OF THE HOSTED BODY IS DIRECTLY ACCOUNTABLE FOR PERFORMANCE OF THE HOSTED BODY** including;

- Proper stewardship of public money;
- Ensuring expenditure is accounted for in accordance with the Financial Reporting and Accounting Manual and in line with CTMUHB SOs and SFIs;
- Financial performance including appropriate discharge of for the management of the staff and functions of the hosted organisation;
- Performance in relation to service delivery and quality against the plans and directions set/agreed by the Joint Committee;
- Reporting and informing WG/Constituent LHBs of any risks or incidents to as appropriate in accordance with policy and regulation;

- Properly safeguarding resources including information;
- Establishing effective arrangements for Internal Audit and Counter Fraud;
- Ensuring appropriate advice is tendered to Welsh Ministers, the Welsh Government and the NHS in Wales on all matters to support effective and efficient prudent and economic administration in relation to the functions of the hosted body.
- Effective management of incidents, complaints and risks, including remedial action, monitoring and learning lessons from these events;
- Workforce compliance *(NB - Redundancy & VERS to be referred to CTMUHB Workforce for advice on appropriate governance route.)*

**THESE ISSUES WILL BE REPORTED AND MONITORED BY THE RELEVANT 'SPONSOR' AS DETAILED
IN FIGURE 1**

4.4.3. This accountability is principally discharged by structured performance reporting to the relevant Joint Committee or to WG/NHS Wales by the Senior Responsible Owner (NIAW).

4.4.4. THE DIRECTOR OF THE Hosted Body IS DIRECTLY ACCOUNTABLE TO THE CHIEF EXECUTIVE OF CTMUHB FOR governance, including;

- Acting at all times within the corporate governance framework of CTMUHB;
- Ensuring that proper financial procedures have been followed and that accounting records were maintained in a form suited to the requirements of management as well as in the form prescribed for published accounts;
- Ensuring that assets such as land, buildings or other property, including stores and equipment, are controlled and safeguarded;
- Ensuring that all items of expenditure, including payments to staff, fall within the legal powers of the CTMUHB;
- Acting within the scheme of delegation assigned by the CTMUHB Board (and as directed by WG);
- Ensuring that, in the consideration of policy proposals relating to the expenditure or income, all relevant financial considerations, including any issues of propriety, regularity or value for money, are taken into account, and where necessary will be brought to the attention of the Chief Executive of CTMUHB, as Accountable Officer for CTMUHB;
- Attending any Board or sub-committee meeting of CTMUHB in relation to performance or governance issues that may affect the operational, financial or reputational performance of CTMUHB;
- Compliance with such reporting structure as is reasonably required by the CTMUHB Board in relation to the delivery of obligations;
- Compliance with regulation and legislation;

- Ensuring accountabilities are appropriately discharged in accordance with a sound system of internal control and a scheme of delegation that is detailed in the CTMUHB SOs;
- Ensuring that there are appropriate procedures established for Information Governance to ensure that all data/information is managed in accordance with all relevant legislation (i.e. Data Protection Act 2018, General Data Protection Regulations, Freedom of Information Act 2000, and Access to Health Records 1990), NHS standards and guidance's issued by the Welsh Government, the Information Commissioner's Office and other professional bodies;
- Escalating any risks or incidents to CTMUHB, WG and the NHS in Wales as appropriate.
- Ensuring a Senior Officer of the hosted body can act on behalf of the Director in their absence;
- Completing an Annual Governance Statement and contributing as required to the annual statutory reporting requirements of CTMUHB.

**THESE ISSUES WILL BE REPORTED AND MONITORED BY CTMUHB AUDIT & RISK
COMMITTEE AT PERIODS DETERMINED BY THE CTMUHB BOARD.**

5. Reporting Requirements in relation to Hosting

- 5.1 The following provides and outline of the requirements (not exhaustive) to satisfy the CTMUHB Board in relation to seeking assurance on the governance arrangements in hosted bodies. This list can be reviewed at any time, as determined by the CTMUHB's Audit & Risk Committee.
- 5.2 CTMUHB will convene an Audit & Risk Committee at a frequency determined by the CTMUHB Board, but not less than 4 times a year, to consider matters relating to the organisations hosted by CTMUHB.
- 5.3 Regular, standing agenda reporting to the CTMUHB **Audit & Risk Committee for Hosted Organisations** include;
- Internal and External Audit Plans (*)
 - Internal and External Audit Reports with completed management action plans
 - Progress reports against audit recommendations (Audit Tracker) NB - to be highlighted to Joint Committee and/or Lead Sponsor if progress is deemed unsatisfactory
 - Assurance Framework Report and Risk Register
 - Compliance and activity governed by CTMUHB Standards of Behaviour Policy (i.e. Declarations of Interest, Gifts & Hospitality)
 - Single Tender Actions
 - Breach or waivers to Standing Orders and/or Standing Financial Instructions
- 5.4 (*) *It is for CTMUHB Audit & Risk Committee to ensure there is an audit plan in place, but not to determine what is agreed to be within the plan, this is for the host body to agree with Joint Committee Members or SRO. This does not preclude any audit areas that CTMUHB may wish*

to instruct Internal Audit to review in relation to gaining assurance from hosted body activities in relation to the hosting relationship.

- 5.5 Other routine information will be monitored by the Joint Committee/SRO Performance meetings and where necessary, may be appropriate/necessary to report to and be scrutinised by any relevant CTMUHB Committee.
- 5.6 Taking advice from CTMUHB's Director of Corporate Governance, hosted bodies will also be expected to report on novel or contentious issues relating to any activity governed by CTMUHB Policy.
- 5.7 The CTMUHB Audit & Risk Committee will undertake an annual assessment of effectiveness, with reference to this assurance framework. The self-assessment will inform continuous improvement of the arrangements and will be included in the Committee's annual report to the CTMUHB Board.

6. Role of CTMUHB Board

- 6.1 The CTMUHB Board will routinely receive Highlight Reports from all Audit & Risk Committee meetings for Hosted Organisations in line with the agreed Board Assurance Framework. The Board may, at any time, request specific information relating to the hosting of services, and this will be addressed as necessary with advice from the Director of Corporate Governance.
- 6.2 The Director of Corporate Governance will monitor the time commitment awarded to the scrutiny of the hosted body assurance reports and keep it under review to determine appropriate time is given to the management of business.
- 6.3 Internal and/or External Audit processes will pick up exception reporting relating to specific issues requiring individual organisational attention, with oversight by CTMUHB as required.
- 6.4 The Chair of Audit & Risk Committee reserves the right to report any concerns directly to the Chief Executive of CTMUHB, Director of the Hosted Organisation, or the NHS Wales CEO or Chairs of Audit Committees from all/any of the health bodies in NHS Wales to raise awareness of specific issues relating to their organisation.
- 6.5 Regular engagement meetings will be held between the Director of Governance and the relevant equivalent Officer from the hosted body to ensure the obligations of the hosting agreement and the Assurance Framework are being met and the arrangements in place are effective.

7. Contact Information

CTMUHB	Georgina Galletly, Director of Corporate Governance	Georgina.Galletly2@wales.nhs.uk
WHSSC	Jacqueline Evans, Committee Secretary	Jacqueline.Evans8@wales.nhs.uk
EASC	Gwenan Roberts, Committee Secretary	Gwenan.Roberts@wales.nhs.uk
NIAW	Victoria Whitchurch, Academy Manager	Victoria.Whitchurch2@wales.nhs.uk