

**Month 9 Exception Reporting Template for CCG Annual Governance Statement and Annual Report and Accounts 2015-16**

<b>CCG Name:</b> NHS Thurrock Clinical Commissioning Group	<b>Date completed:</b> 18th January 2016
<b>Reviewer:</b> See Note 1 Mandy Ansell (Acting) Interim Accountable Officer, Midlands and East	<b>Approved by:</b> See Note 3 Name, Title and Regional Office

**Notes**

Note 1: This template should be completed by those who lead on regional assurance. Operational colleagues should be consulted as necessary.

Note 2: [For further guidance, please refer to the SharePoint Finance Library.](#)

Note 3: Approval indicates that the region is content to provide assurance that any significant control or governance issues have been identified with appropriate action planned or undertaken. It is recommended that the Regional Directors or Directors of Commissioning undertake this approval.

Note 4: Please submit your completed templates via the CCG SharePoint Folder by 21 January as part of the Month 9 data collection. Nil returns are required. For support in completing this template, please email [england.yearendaccounts@nhs.net](mailto:england.yearendaccounts@nhs.net).

Ref.	Please use this column to report any significant governance and control issues that have been / are being experienced by the CCG in 2015-16. See Note 2	FOR COMPLETION BY REGION		
		Rating <i>RED: There are issues at the CCG which have not been resolved.</i> <i>AMBER: Issues experienced during the year which have been fully resolved.</i> <i>GREEN: No issues experienced during the year.</i>	Justification Please list evidence to support and explain the rating provided.	Action What actions have already addressed during the period or are planned to be undertaken (by whom / when)?
E1	<p><i>Please detail any issues that are judged to be significant to the organisation as a whole relating to:</i></p> <ul style="list-style-type: none"> <li>- performance</li> <li>- failure to discharge statutory duties</li> <li>- lapses in control</li> <li>- information governance breaches</li> <li>- other serious concerns.</li> </ul> <p><i>In the case of a Nil Return, write 'Nil Return'.</i></p>	<p>Green: No action required.</p>	Nil Return	No Actions Required
E2		<p>Green: No action required.</p>		
E3		<p>Amber: Action may be required.</p>		
E4		<p>Green: No action required.</p>		
E5		<p>Green: No action required.</p>		