

<b>Date</b>	Tuesday, 27 March 2018
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<b>Title of paper</b>	<b>Board Assurance Framework (v4.9) 2017/18</b>
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<b>Presenter</b>	Ben Westmancott, Director of Compliance				
<b>Author</b>	Various Directors – Co-ordinated by Director of Compliance				
<b>Responsible Director</b>	Ben Westmancott, Director of Compliance				
<b>Clinical Lead</b>	CCG Chair				
<b>Confidential</b>	Yes	<input type="checkbox"/>	No	<input checked="" type="checkbox"/>	Items are only confidential if it is in the public interest for them to be so

<b>The Governing Body is asked to:</b>
<b>Discuss</b> the CWHHE Board Assurance Framework v4.9; and <b>Provide</b> any comments regarding further assurances or clarification needed, also on how this information is best presented to enable effective discussion and assurance at Governing Body meetings.

<b>Summary of purpose and scope of report</b>
<p>The Board Assurance Framework sets out the CCG’s strategic objectives and the key risks to successful delivery. Each entry describes the controls in place and the assurances that tell us whether we are on course.</p> <p>Comments from CCGs have been incorporated on the rear of each entry, together with commentary from the governance team.</p> <p>The key areas to draw attention to are:</p> <ol style="list-style-type: none"> <li>1) Risks 1.1 and 1.2, relating to ill-health prevention, do not currently have a risk owner assigned; this is an essential aspect of risk management that increases the probability of reducing the risk score to the risk appetite. There has been less focus on this objective across the STP than envisaged at the start of the year.</li> <li>2) Risk 4.2, relating to mental health services, has been reviewed but the risk score has not changed since July 2017. The Governing Body should note the new content and consider if any further actions might be required.</li> <li>3) Risks 6.1a, 6.1b and 6.1c, relating to finance, have not been updated since January. The finance reports contained elsewhere in the pack provide assurances for the current year. The budget and financial plans and financial risk management arrangements are subject to discussions.</li> <li>4) Risk 6.5, relating to IT systems, has been reviewed but the score has not changed since</li> </ol>

August 2017. An assurance relating to the new Data Protection regulations that come into effect in May 2018 appears elsewhere on the agenda and an update on the Business Intelligence system procurement is contained within the Chief Officer’s report. The governing body should consider if these assurances are sufficient to reduce the risk score.

**Quality & Safety/ Patient Engagement/ Impact on patient services:**

There are risks relating to the quality of services and impacts on patient outcomes. These specifically relate to sustainability plans and unintended consequences arising from the changes we are making. The BAF will help us to manage and improve quality.

**Finance, resources and QIPP**

The exercise has helped us to describe the risks relating to finance, particularly in the context of having to achieve a control total across the sector (NW London).

**Equality / Human Rights / Privacy impact analysis**

There is no negative impact on equalities, human rights and privacy relating to the BAF.

Risk	Mitigating actions
This document sets out the key risks to the delivery of our strategic objectives.	Controls, assurances and action plans are in place to address these key risks.

**Supporting documents**

None

**Governance and reporting**

(list committees, groups, other bodies in your CCG or other CCGs that have discussed the paper)

Committee name	Date discussed	Outcome
CCG review	January / February	Comments received were provided to risk owners
Risk owners review	January / February	Updates were provided to CWHHE Governance team