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Date	Tuesday, 15 January 2019
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Title of paper	NW London Board Assurance Framework
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Responsible Director	Ben Westmancott, Director of Compliance, NW London Collaboration of CCGs		
Clinical Lead	The clinical lead for each CCG is the GP chair.		
Confidential	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

The Governing Body is asked to:

Consider the extent to which the Board Assurance Framework (BAF) is an accurate reflection of the CCGs' principle risks to achieving NW London strategic objectives and comment on the strength of the controls and assurances.

Summary of purpose and scope of report

- Assurance goes to the heart of the work of the Clinical Commissioning Groups (CCG). It is the bedrock of evidence that gives confidence and comfort that risks to achieving CCG strategic objectives are being controlled effectively, or conversely, highlights that certain controls are ineffective or that there are gaps that need to be addressed.
- The BAF highlights the strategic risks faced by the NW London Collaboration of CCGs in pursuit of our objectives and the controls and mitigations that are in place to address these risks. For each control it sets out the assurance we receive that tells us how well we are managing the risk.
- The BAF will be reported to the Governing Body at each meeting after review at the Joint Committee.

What are the benefits of this project?

The NW London Collaboration of CCGs' BAF has been reviewed and amended to be more concise and precise so as to highlight controls which have been achieved and what actions are planned to address risks within the nine 'Areas of Focus' established by the NW London Collaboration of CCGs.

The new clearer layout gives the Governing Body a high-level view of the effectiveness of controls and the actions. Each entry has been designated to a committee whose job it is to

scrutinise them on behalf of the Governing Bodies.

Across the nine areas one; Delivery of Financial Sustainability, has increased its risk score from 15 to 20 whilst all other NW London BAF risks remain at the same level or are reducing.

Assurance from the Joint Committee

This version of the BAF was reviewed by the Joint Committee on 6 December. At that meeting, the committee was asked to consider the extent to which it was assured of the risks described within the report. They did this by:

- Confirming that each risk had been assigned to a senior person from the CCGs and that each risk had been assigned to a Committee where it was scrutinised.
- Confirming that the Senior Management Team had reviewed the document.
- Requesting that the outpatient risk reflected both the work done on improving the quality and consistency of GP referrals into secondary care *as well as* work to manage consultant to consultant referrals. It was also confirmed that the outpatient programme board was looking at this as well as implementing an improved soft-triage process for acute trusts in early 2019.
- Requesting that there was a greater focus on outcomes, particularly in mental health and workforce entries.

The chair of the committee commented that the Board Assurance Framework was a good quality report and the committee considered itself assured by the Board Assurance Framework.

Key points for Governing Bodies to note in each of the nine areas of focus:

Development of general practice at scale to be in a strong position to contribute to integrated care systems (AoF1) remains level since June 2018 at 16, below the initial score but above the appetite score of 12. The risk owner is considering the actions to ensure they are sufficient to reduce the level of risk.

Development of a NW London urgent and emergency care strategy and delivery of the associated plan (AoF2) remains unchanged since June 2018 at a score of 12, below the initial score of 16. Winter planning, supporting people when returning home from hospital, and reviewing the governance structures for urgent and emergency care should be sufficient to manage this risk.

Development and delivery of a North West London outpatient transformation programme (AoF3) since September 2018 stands at 12, below its initial risk score of 16 but above the appetite score of eight. Further partnership working across the Health and Care Partnership should be sufficient to manage this risk.

To improve outcomes for children and adults with Serious and Long Term Mental Health needs (AoF4) since September 2018 reduced to 12 against an initial score of 16 but above the appetite score of eight.

Delivery of financial sustainability (AoF5) shows an increase in its risk score since July 2018

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to a level of 20 against the initial score of 15. The appetite for this risk is 10. A financial recovery plan is on the agenda for today's meeting which provides assurance that we have controls in place. However, we need to do more to mitigate this risk.

To support the development of a workforce that will deliver the NW London agreed areas of focus towards new models of integrated care (AoF6) has not changed since April suggesting that the controls have not had the desired impact. We should review the controls and actions to be content that they are fit for purpose.

The Collaboration Development Programme (AoF7) score is now at the risk appetite. The new arrangements have been designed and are being implemented. Once this has been reported to the governing bodies in January, this risk will be closed.

Working with partners across the system (including social care) to develop whole system integrated care (AoF8) has remained at a score of 16 since June 2018. The actions should be sufficient to mitigate this risk.

Enhancing the use of technology to improve care delivery (AoF9) score reduced in October 2018 to 12 against an initial risk score of 16. The remaining risk is around investment required to maximise the use of digital solutions for improving healthcare.

Patient, staff and stakeholder engagement

Risk owners regularly review and amend the scores to assist in the maintenance a NW London overview of risks to the strategic objectives of the Collaboration. Public, staff and stakeholder engagement will be necessary in each of the areas of focus identified, but for the BAF in general, it is a high-level summary of strategic risks and therefore its engagement with the wider organisation and the public is conducted via the Joint Committee and governing bodies.

Jargon buster

AoF: Area of Focus; specific target work streams that have been identified as integral to the fulfilment of CCG strategic objectives.

CQC: Care Quality Commission; a public body established to regulate and inspect health and social care services with respect to safety and quality matters.

CQUIN: Commissioning for Quality and Innovation

EPRP: Emergency Preparedness, Resilience and Response

GDPR: General Data Protection Regulation

HEE NL :Health Education England North London

ICS: Integrated Care Systems

ICHP: Imperial College Health Partners

NHSE: National Health Service England

PCC: Primary Care Commissioning

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QIPP: Quality, innovation, productivity & prevention
WSIC: Whole Systems Integrated Care

Quality & Safety

The BAF is used to ensure the effective delivery of the strategic objectives of the collaboration including the need to deliver high-quality, safe, financially sustainable services across NW London.

Equality analysis

None undertaken, however a failure to maintain a proper risk register would have negative equalities impacts in an indirect sense.

Finance and resources

As part of the BAF the financial stability and effective delivery of services are monitored at a strategic level.

Risk	Mitigating actions
The Board Assurance Framework covers all the strategic risks to the achievement of the NW London objectives	Controls and mitigations are in place or planned to address risk issues

Supporting documents

- November (v10) Board Assurance Framework

Conflict of interest

There have been no conflicts of interests identified.

Governance, reporting and engagement

Risk owners update the BAF on a regular basis and the Senior Management Team review the document on a quarterly basis.

Name	Date	Outcome and where in the report can you find out more
Senior Management Team	26 November 2018	Welcomed the tighter layout. There were queries about the robustness of some mitigating actions – these will



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		be addressed for the next update.
Joint Committee	6 December 2018	The chair of the committee commented that the Board Assurance Framework was a good quality report and the committee considered itself assured by the Board Assurance Framework.