

Item 15

Date	Tuesday, 10 November 2015
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Title of paper	Board Assurance Framework
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Presenter	Ben Westmancott, Director of Compliance			
Author	Various Directors – Coordinated by the Director of Compliance			
Responsible Director	Clare Parker, Chief Officer			
Clinical Lead	CCG 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:

note the Assurance Framework (BAF – at Annex B), which incorporates the controls and assurances to mitigate the key risks to delivering our strategic objectives.

The Governing Body is asked to approve the changes made since September, review the current version of the BAF and propose any changes for consideration.

Summary of purpose and scope of report

The BAF sets out the key risks to achieving our strategic objectives, the controls in place to reduce the risk and the assurances we have to let us know if the controls are having the desired effect. Mitigating actions and current performance information are also summarised for each risk. The document was discussed in a number of fora across the Summer, and feedback has been captured and incorporated as appropriate. This process of review is an on-going one throughout the year and changes are captured as and when the need for such is identified.

Annex A sets out the changes arising from and since the September round of Governing Body meetings. Changes to the detail of mitigations etc proposed by CCGs' Managing Directors are flagged in Annex B via tracked changes.

Given the timing of the Governing Body's meeting, this version of the BAF is also being taken to the Committees. Any comments etc arising from this process will be collated and considered alongside the Governing Body's and tabled for consideration at the January 2016 meetings. A form is attached (at Annex C) to aid the capture of comments and suggested amendments.

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

The BAF has a significant focus on the identification, control and mitigation of safeguarding and provider related quality risks.

Finance, resources and QIPP

There are no additional resources being requested.

Equality / Human Rights / Privacy impact analysis

N/A

Risk

This document sets out the key risks to the delivery of our strategic objectives.

Mitigating actions

Controls, assurances and action plans are in place to address these key risks.

Supporting documents

Annex A – Schedule of Changes arising from September 2015 Governing Body meetings

Annex B – CWHHE Board Assurance Framework

Annex C – Proposed changes template, for completion

Governance and reporting

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

Committee name	Date discussed	Outcome
CWHHE SMT	19 October 2015	Agreed version to be tabled at Governing Bodies
Relevant Committees of the Governing Bodies	September – November	Proposed amendments flagged at Annex A
Governing Body	September 2015	Approved – changes set out at Annex A
Governing Body Seminars/CCG Committees/LEC/SMT	August 2015	Draft BAF Review and Feedback

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Governing Body Meetings	July 2015	Outline BAF agreed
Senior Management Team	22/06/2015	Key risks refined and managerial responsibilities allocated
Governing Body Seminar	June/July 2015	Key risks agreed
Governing Body Meetings	May/June 2015	Strategic Objectives agreed