

Item 17

Date	8 March 2016
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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 Committee is asked to:

- note the Assurance Framework (BAF – at Annex A), which incorporates the controls and assurances to mitigate the key risks to delivering our strategic objectives; and
- approve the current version of the BAF and propose any further changes.

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 is reviewed throughout the year by senior management and Governing Body Committees to enable Governing Bodies’ scrutiny at each public meeting (ie every two months). Proposed changes from this rolling review process are captured and ultimately agreed to by the Governing Body.

The Risk Owners and CWHHE SMT have undertaken an in depth review of current risks, controls, mitigations and scoring and proposed changes are flagged in dark orange text in Annex B.

The RAG ratings alongside each risk in Annex A have been assigned according to the following principles:

- **Red** = risks has not reduced since the start of the year;
- **Amber** = risk has reduced somewhat but not down to the risk appetite; and
- **Green** = risk has reduced to the risk appetite.

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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	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

Annex A – CWHHE Board Assurance Framework – RAG ratings

Annex B – CWHHE Board Assurance Framework – detailed overview of each risk

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 Committees	February 2016	Review of amendments (on-going)
SMT	February 2016	Review, amendments proposed
Governing Bodies	January 2016	BAF Agreed
CCG Committees	December 2015	Amendments proposed
SMT	30 November 2015	Risk owners to review entries in preparation for January Governing Bodies
Governing Bodies	November 2015	BAF agreed.
CCGs' Committees	October 2015	BAF reviewed and amendments for

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		proposing to GBs agreed.
SMT	October 2015	BAF reviewed and amendments for proposing to GBs agreed.
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
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