

Item 19

Date	Tuesday, 08 November 2016
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Title of paper	Board Assurance Framework
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Presenter	Ben Westmancott, Director of Compliance				
Author	Various Directors – Co-ordinated 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 latest iteration of the Board Assurance Framework (BAF v4.2 - top level RAG ratings at Annex A, and BAF 4.2- CWHHE Board Assurance Framework v4.2 at Annex B),
- **provide any comments** regarding further assurances or clarification needed & on how this information is best presented to enable effective discussion to the CWHHE Governance team, with a view to approving,
- **note** that the relevant Committees of the Governing Body, and CWHHE Senior Team will subject the BAF to scrutiny and further development before bringing it back to Governing Bodies in January 2017 for scrutiny and approval; and
- **note** that, following discussion at management level regarding Risk 12, which relates to assurance and regulation, has been mitigated as far as possible; a subsequent risk has been identified and included in the additional comments box – the Governing Body is asked to consider this new risk and provide further input to allow the lead Director to describe it in more detail;
- **note** the change in the wording of risk 5, from 'Local Services' to 'primary care' is to recognise the risks' focus is on the sectors capacity, rather than the CCGs' Local Services Programme; and
- **note** that, following discussion at the CWHHE Senior Management Team, a new stand-alone BAF entry regarding Mental Health transformation and delivery will be developed and proposed in the next iteration of the BAF.

Summary of purpose and scope of report

1. Since the last iteration of the BAF that was presented to the Governing Body in September the CWHHE governance team has worked with risk owners to ensure

that the narrative that is included for each risk provides a more robust reflection of the current position and plans for the management of the risks going forward.

2. The BAF summary page now outlines clearly any variation in risk score in line with the agreed risk appetite and brings this to attention using the RAG system, for which a key can be found on the first page of Annex A.
3. 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 presented at each stage.
4. The Governing Body has been central to the development and consideration (at seminars) of this BAF and this is the first formal version for 2016/17 presented for approval. It is, therefore and in places, still a work in progress. Further work is planned between now and September to develop not only the BAF entry but also the lines of assurance that underpin it – the CWHHE Senior Team and Governing Body Committees will be integral to that process.
5. The Governing Body's view on areas for SMT and Committees to focus on should be valuable to steer the work above. Thanks go to all those whom have already contributed to the work so far.

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	Controls, assurances and action plans are in

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delivery of our strategic objectives.

place to address these key risks.

Supporting documents

Annex A – BAF v4.2 - Annex A - top level RAG ratings

Annex B- BAF v4.2 - CWHHE BAF November GBs

Governance and reporting

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

Committee name	Date discussed	Outcome
Risk owners and business areas	September / October	Refinement of and additions to content, as reflected in Annex A
CWHHE Governing Bodies	September 2016	Review of progress to date
CWHHE SMT	September / October 2016	Review of entries and population of Framework
CWHHE Governing Bodies (seminars)	April 2016	Review of the priorities and risks for 2016-17