

Item: 5.9

Report to:	NHS Hull Clinical Commissioning Board
Date of Meeting:	22 May 2020
Subject:	Board Assurance Framework 2019/20
Presented by:	Mike Napier, Associate Director of Corporate Affairs
Author:	Mike Napier, Associate Director of Corporate Affairs / CCG Risk Owners

STATUS OF THE REPORT:

To approve	<input checked="" type="checkbox"/>	To endorse	<input type="checkbox"/>
To ratify	<input type="checkbox"/>	To discuss	<input type="checkbox"/>
To consider	<input type="checkbox"/>	For information	<input type="checkbox"/>
To note	<input type="checkbox"/>		

PURPOSE OF REPORT:
The purpose of this report is to present the current board assurance framework (BAF) for approval for consideration.

RECOMMENDATIONS:
It is recommended that the CCG Board approve the BAF provided and comment, as appropriate.

REPORT EXEMPT FROM PUBLIC DISCLOSURE No Yes

If yes, grounds for exemption
(FOIA or DPA section reference)

CCG STRATEGIC OBJECTIVE

The BAF sets out, by definition, the identified risks against all of the organisation's strategic objectives.

IMPLICATIONS:	
Finance	Financial implications of individual risks assessed on a case by case basis in accordance with the CCG risk identification matrix.
HR	No adverse implications identified

Quality	Risks identified on a case by case basis
Safety	Risks identified on a case by case basis

ENGAGEMENT:

The risks within the board assurance framework have been established the CCG Board and the controls / assurances against these subsequently developed by relevant senior officers of the CCG.

LEGAL ISSUES:

No explicit adverse issues identified, however, any legal implication for specific assurance framework entries would be identified as part of the risk description.

EQUALITY AND DIVERSITY ISSUES:

	<i>Tick relevant box</i>
An Equality Impact Analysis/Assessment is not required for this report.	√
An Equality Impact Analysis/Assessment has been completed and approved by the lead Director for Equality and Diversity. As a result of performing the analysis/assessment there are no actions arising from the analysis/assessment.	
An Equality Impact Analysis/Assessment has been completed and there are actions arising from the analysis/assessment and these are included in section xx in the enclosed report.	

THE NHS CONSTITUTION:

This report supports the NHS pledge to staff and all aspects of the patients' rights.

NHS HULL CCG BOARD ASSURANCE FRAMEWORK

1. INTRODUCTION

The CCG has maintained an assurance framework as an essential part of its governance arrangements to ensure that the principal threats to achievement of the organisation's strategic aims and objectives are clearly identified, mitigated and monitored. In-year review allows the CCG Board and Integrated Audit and Governance Committee (IAGC) to maintain an appropriate focus on risks to the delivery of key objectives.

The Board Assurance Framework (BAF) provides an important source of assurance.

2. BACKGROUND

The enclosed BAF presents the updated position against the assessed risks to these strategic objectives.

The Framework is updated within the context of the current national state of emergency in response to the coronavirus pandemic discussions at the Integrated Audit and Governance Committee.

Priority has been given to existing *or new* risks which related to the pandemic. For the remaining existing risks, attention has been given to any risks where it is believed there is deterioration in the controls, assurances or risk rating.

A full re-cast of the Framework will be undertaken following confirmation of the finalised 2020/21 strategic objectives.

3. UPDATES

The BAF comprises a total of 23 risks relating to the 5 strategic objectives of the CCG for 2019/20.

The risk ratings within the BAF are broken down as follows:

Risk Category	Number of risks
Extreme	2
High	13
Moderate	8

Highest Rated Risks

Risk	Description	Risk Rating		
		Impact	Likelihood	Rating
1.5	- Workforce risks	4 x 4 = 16		

3.1	- System-wide performance ratings resulting in reliance on others to perform	4 x 4 = 16
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4. RECOMMENDATIONS

It is recommended that Members approve the BAF provided and comment, as appropriate.