

Item: 6.5

Report to:	CCG Board
Date of Meeting:	24 July 2020
Subject:	Board Assurance Framework 2020/21
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 2020/21 board assurance framework (BAF) for approval.

RECOMMENDATIONS:
It is recommended that Members review and comment on the BAF, 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 developed an assurance framework this 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 and monitored.

The document provides assurance to the Board, as well as the Integrated Audit and Governance Committee (IAGC) on its behalf, that appropriate controls and mitigations are maintained to the principle risks.

2. BACKGROUND

The enclosed BAF presents the updated position against the newly established CCG Strategic Objectives for 2020/21.

It reflects the risks and mitigations discussed at the Board Development Session on 26th June 2020 and subsequently reviewed by the Integrated Audit and Governance Committee.

It remains a live document and key controls and assurances will continue to be strengthened during the year.

3. UPDATES

The BAF comprises a total of 31 risks relating to the 9 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	6
High	24
Moderate	1

Highest Rated Risks

Risk	Description	Risk Rating		
		Impact	Likelihood	Rating
5.1	- The most disadvantaged local continue to experience the poorest health, further exacerbated by the continued economic impact of COVID	5 x 4 = 16		
6.1	- Lack of capacity across community providers to deliver an out of	5 x 4 = 20		

	hospital strategy with primary care	
6.2	- Patients unable or unwilling to adopt the behavioural changes required.	4 x 5 = 20
7.2	- Failure to deliver CQC DFE recommendations	4 x 4 = 16
7.3	- Increase in demand for childrens services not being met.	5 x 4 + 20
8.1	- System-wide performance ratings resulting in reliance on others to perform	4 x 4 = 16

4. RECOMMENDATIONS

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