

# NHS Herts Valleys Clinical Commissioning Group

## Board Meeting

5<sup>th</sup> November 2015

<b>Title</b>	HVCCG Board Assurance Framework (BAF)	<b>Agenda Item: 16</b>
<b>Purpose (tick one only)</b>	Approval <input type="checkbox"/> Discussion <input checked="" type="checkbox"/> Information <input type="checkbox"/> Consideration <input type="checkbox"/> Noting <input type="checkbox"/>	
<b>Responsible Director(s) and Job Title</b>	Diane Curbishley, Acting Director of Nursing & Quality	
<b>Author and Job Title</b>	Katy Patrick, Risk Manager	
<b>Recommendations/ Action Required by the Committee</b>	<p>The Board is asked to:</p> <ul style="list-style-type: none"> <li>Note the current BAF for 2015/16 and movements that have taken place since Q1.</li> </ul>	
<b>Classification</b> <i>Is this report exempt from public disclosure? (ie. FOIA or DPA)</i>	No	
<b>Impact on Patients/Carers/Public</b>	Not applicable	
<b>Engagement with Stakeholders/Patient/Public</b>	Not applicable	
<b>Links to Strategic Objectives</b>	<p><b>Objective 1.</b> We will continually improve engagements with member practices, patients, the public and carers to contribute to and influence the work of Herts Valleys CCG.</p> <p><b>Objective 2.</b> We will commission safe, high quality services that meet the needs of the population, reducing health inequalities and supporting local people to avoid ill health and stay well.</p> <p><b>Objective 3.</b> Work with health and social care partners to transform the delivery of care through the implementation of “Your Care, Your Future”, the Strategic Review in West Hertfordshire.</p> <p><b>Objective 4.</b> We will ensure that there is a financially sustainable and affordable healthcare system in West Hertfordshire. To be reviewed annually.</p>	
<b>Board Assurance Framework</b> <i>Does this report provide evidence of assurance for the Board Assurance Framework?</i>	Not applicable	
<b>Does this report mitigate risk that is included in the Corporate Risk Register?</b>	The BAF as part of the fundamental core of the CCG’s internal control system identifies all risks which potentially threaten the CCG’s Strategic Objectives. The BAF and Corporate Risk Register (CRR) interact dynamically	
<b>Resource Implications</b>	All the risks on the CRR and BAF have an actual or potential resource implication.	
<b>Equality and Diversity</b> (Has an Equality Analysis been completed?)	Not applicable	
<b>Legal/Regulatory Implications</b>	To comply with the legal requirements of the Health and Social Care	

	Act 2012
<b>Sustainability Implications</b>	Not applicable
<b>NHS Constitution</b>	<p><b>Principle 1</b> The NHS provides a comprehensive service available to all</p> <p><b>Principle 2</b> Access to NHS services is based on clinical need, not an individual's ability to pay</p> <p><b>Principle 3</b> The NHS aspires to the highest standards of excellence and professionalism</p> <p><b>Principle 4</b> The NHS aspires to put patients at the heart of everything it does</p> <p><b>Principle 5</b> The NHS works across organisational boundaries and in partnership with other organisations in the interest of patients, local communities and the wider population</p>
<b>Report History</b>	<p><b>2015/16 BAF</b> Audit Committee 1<sup>st</sup> October 2015 Senior Executive Team Moderation 12<sup>th</sup> October 2015 Quality and Performance Committee 29<sup>th</sup> October 2015</p>
<b>Appendices</b>	2015/16 Board Assurance Framework

## 1. Introduction

The Board Assurance Framework (BAF) as part of the fundamental core of the CCG's internal control systems identifies all risks which potentially threaten the CCG Strategic Objectives.

This paper provides the Board with a summary of the updated BAF, following Audit Committee on 1<sup>st</sup> October, Senior Exec Team, 12<sup>th</sup> October 2015 and Quality and Performance Committee 29<sup>th</sup> October 2015.

### Context

The BAF brings together the principal risks potentially threatening the CCG's Strategic Goals. It outlines specific control measures that the CCG has put in place to manage the identified risks and the independent assurances relied upon by the Board to demonstrate that these are operating effectively. Whilst this framework identifies the significant potential risks which may threaten achievement of the CCG's Strategic Objectives, any related short term risks requiring specific mitigating actions are cross referenced and documented fully with the CCG's Corporate Risk Register.

The BAF is reviewed quarterly ensuring that the principal risks, actions being taken and all other aspects of the framework are thoroughly reviewed. The full quarterly review cycle involves the Quality & Performance Committee, with the Audit Committee providing assurance to the Board as part of the process and the routine quarterly review cycle is carried out by the Audit Committee on behalf of the Board.

## 2. 2015/16 BAF SUMMARY

The Q2 position shows **residual** risk movement since Q1 for each Strategic Objective.

<b>Risk Deteriorating</b> ↓		<b>Risk Improving</b> ↑	<b>No Movement</b> →	
<b>STRATEGIC OBJECTIVE 1:</b> 1 We will continually improve engagements with member practices, patients, the public and carers to contribute to and influence the work of Herts Valleys CCG				
Ref	Risk Owner	Risk	Q1 15/16 Risk Score (Residual)	Q2 15/16 Risk Score (Residual)
1.1	SE	<b>Risk score improving from 12 to 8</b> "Risk that we fail to engage effectively with a range of our patients, population and stakeholders"	12	8 ↑
1.2	SE	<b>Risk score improving from 12 to 8</b> "Risk that member practices do not see the potential positive impact of their engagement with HVCCG"	12	8 ↑
<b>STRATEGIC OBJECTIVE 2:</b> We will commission safe, high quality services that meet the needs of the population, reducing health inequalities and supporting local people to avoid ill health and stay well				
Ref	Risk Owner	Risk	Q1 14/15 Risk Score (Residual)	Q2 14/15 Risk Score (Residual)
2.1	CA	<b>Risk score improving from 16 to 12</b> "Risk that we do not deliver on all NHS Constitutional pledges, key national targets and priorities"	16	12 ↑
2.2	DC	<b>Risk score unchanged at 16</b> "Risk that we are unable to ensure high quality, safe and sustainable services for the population and patients of West Herts "	16	16 →
2.3	SE	<b>Risk score unchanged at 12</b> "Risk of poor health outcomes for our population, especially in areas of deprivation"	12	12 →

<b>STRATEGIC OBJECTIVE 3: Work with health and social care partners to transform the delivery of care through the implementation of “Your Care, Your Future”, the strategic review in West Hertfordshire</b>				
<b>Ref</b>	<b>Risk Owner</b>	<b>Risk</b>	<b>Q2 15/16 Risk Score (Residual)</b>	<b>Q2 15/16 Risk Score (Residual)</b>
3.1	SE	<b>Risk score unchanged at 12</b> “Lack of resource and commitment from national bodies and key stakeholders to successfully transform the delivery of care in West Hertfordshire”	<b>12</b>	<b>12 →</b>
3.2	SE	<b>Risk Score unchanged at 12</b> “Failure to implement successfully the Strategic Review across the local health and social economy due to workforce issues.”	<b>12</b>	<b>12 →</b>
<b>STRATEGIC OBJECTIVE 4: We will ensure that there is a financially sustainable and affordable healthcare system in West Hertfordshire</b>				
<b>Ref</b>	<b>Risk Owner</b>	<b>Risk</b>	<b>Q1 14/15 Risk Score (Residual)</b>	<b>Q2 14/15 Risk Score (Residual)</b>
4.1	AW	<b>Risk score unchanged at 16</b> “Failure to deliver the QIPP programme”	<b>16</b>	<b>16→</b>
4.2	AW	<b>Risk score unchanged at 16</b> “Failure to achieve financial balance for 2015/16”	<b>16</b>	<b>16→</b>

## **2.1 ACTION/ RECOMMENDATION**

The Board is asked to note the Q2 position for the 2015/16 BAF and areas of limited assurance.

## **APPENDIX**

2015/16 BAF October 2015