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Date	Thursday, 07 March 2019
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Title of paper	NW London Board Assurance Framework
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Author/s	Ben Westmancott, Director of Compliance, NW London Collaboration of CCGs			
Responsible Director	Ben Westmancott, Director of Compliance, NW London Collaboration of CCGs			
Clinical Lead	The clinical lead for each CCG is the GP 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:

- **approve** the creation of a Risk Management Working Group as a formal working group of the Joint Committee of CCGs and their terms of reference (Appendix 1); and
- **discuss** issues relating to the Board Assurance Framework (BAF) which the Working Group may wish to consider in its initial meetings.

Summary of purpose and scope of report

- Assurance goes to the heart of the work of the Clinical Commissioning Groups (CCG). It is the bedrock of evidence that gives confidence and comfort that risks to achieving CCG strategic objectives are being controlled effectively, or conversely, highlights that certain controls are ineffective or that there are gaps that need to be addressed.
- The BAF highlights the strategic risks faced by the North West (NW) London Collaboration of CCGs in pursuit of our objectives and the controls and mitigations that are in place to address these risks. For each control it sets out the assurance we receive that tells us how well we are managing the risk.
- Through discussions with Joint Committee members, it has become clear that the detailed scrutiny which the BAF requires cannot be undertaken at the Joint Committee itself due to time commitments.
- Therefore it is proposed that the Joint Committee agree to the establishment of a Risk Management Working Group, the primary purpose of which will be to undertake detailed scrutiny and work-up of the Board Assurance Framework.

What are the benefits of this project?

The NW London Collaboration of CCGs' BAF has been reviewed and amended to be more concise and precise so as to highlight controls which have been achieved and what actions are planned to address risks within the nine 'Areas of Focus' established by the NW London Collaboration of CCGs.

The new clearer layout gives the Joint Committee a high-level view of the effectiveness of controls and the actions. Each entry has been designated to a committee whose job it is to scrutinise them on behalf of the Governing Bodies.

As flagged at the last meeting, the Collaboration Development Programme has been wound down and its entry on the BAF closed (AoF 7). Further, in response to concerns raised by the Mental Health Clinical Lead at the January Governing Body meetings, the risk score and full impact of the controls of AoF4 – serious and long term mental health needs – is to be evaluated in March with a view to agreeing a representative year-end position.

Establishment of a Risk Management Working Group

The BAF has been a standing item on each agenda of the NW London Collaboration of CCGs Joint Committee since July 2018. During this time, the framework has undergone a series of re-drafts and comments from Committee members both inside and outside of the Joint Committee meetings have been incorporated and reflected in these drafts.

It has, however, become apparent that the limited time available at Joint Committee meetings for consideration of the BAF is insufficient to do justice to the high degree of importance that should be assigned to the organisation's key strategic risks.

The Terms of Reference of the Joint Committee permit the establishment of "working groups, reporting to the committee". It is therefore proposed that in order to engage in detailed scrutiny of the NW London Board Assurance Framework, a Risk Management Working Group be established which will report to the Joint Committee each meetings on its assessment of the NW London key strategic risks and any actions taken to mitigate those risks.

This will entail an adjustment to future committee agendas – as opposed to the "NW London Board Assurance Framework", an item will instead come to future meetings of the Joint Committee entitled "Report of the NW London Risk Management Working Group". This will be a periodical update on the business which the group has considered at each of its meetings and how this scrutiny and challenge has been reflected in subsequent drafts of the BAF

Patient, staff and stakeholder engagement

Risk owners regularly review and amend the scores to assist in the maintenance a NW London overview of risks to the strategic objectives of the Collaboration. Public, staff and stakeholder engagement will be necessary in each of the areas of focus identified, but for the BAF in general, it is a high-level summary of strategic risks and therefore its engagement with the wider organisation and the public is conducted via the Joint Committee and governing bodies.

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Jargon buster

AoF: Area of Focus; specific target work streams that have been identified as integral to the fulfilment of CCG strategic objectives.

CQC: Care Quality Commission; a public body established to regulate and inspect health and social care services with respect to safety and quality matters.

CQUIN: Commissioning for Quality and Innovation

EPRP: Emergency Preparedness, Resilience and Response

GDPR: General Data Protection Regulation

HEE NL :Health Education England North London

ICS: Integrated Care Systems

ICHP: Imperial College Health Partners

NHSE: National Health Service England

PCC: Primary Care Commissioning

QIPP: Quality, innovation, productivity & prevention

WSIC: Whole Systems Integrated Care

Quality & Safety

The BAF is used to ensure the effective delivery of the strategic objectives of the collaboration including the need to deliver high-quality, safe, financially sustainable services across NW London.

Equality analysis

None undertaken, however a failure to maintain a proper risk register would have negative equalities impacts in an indirect sense.

Finance and resources

As part of the BAF the financial stability and effective delivery of services are monitored at a strategic level.

Risk	Mitigating actions
The Board Assurance Framework covers all the strategic risks to the achievement of the NW London objectives	Controls and mitigations are in place or planned to address risk issues

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Supporting documents

- Board Assurance Framework
- Risk Management Working Group Terms of Reference (Appendix 1)

Conflict of interest

There have been no conflict of interests identified.

Governance, reporting and engagement

Risk owners update the BAF on a regular basis and the Senior Management Team review the document on a quarterly basis.

Name	Date	Outcome and where in the report can you find out more
Senior Management Team	26 November 2018	Welcomed the tighter layout. There were queries about the robustness of some mitigating actions – these will be addressed for the next update.
NW London Joint Committee	6 December 2018	<p>Risk owner of AoF1 to review actions to ensure they are adequate to reduce risk to appetite</p> <p>AoF2 remains stable and comfortable that winter planning, supporting people when returning home from hospital, and reviewing the governance structures for urgent and emergency care should be sufficient to manage this risk.</p> <p>AoF3 stands at 12, below its initial risk score of 16 but above the appetite score of eight. Further partnership working across the Health and Care Partnership should be sufficient to manage this risk.</p> <p>AoF5 – financial stability – position has worsened since July 2018.</p>
NW London CCGs' Governing Bodies	January 2019	Process to ensure that all downward movements to risk ratings will first be



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