

**WOLVERHAMPTON CCG**

**GOVERNING BODY  
14 NOVEMBER 2017**

**Agenda item 7**

<b>TITLE OF REPORT:</b>	<b>Governing Body Assurance Framework</b>
<b>AUTHOR(s) OF REPORT:</b>	Peter McKenzie, Corporate Operations Manager
<b>MANAGEMENT LEAD:</b>	Mike Hastings, Director of Operations
<b>PURPOSE OF REPORT:</b>	To present the latest updated Governing Body Assurance Framework (GBAF) and Corporate Risk Register for the Governing Body's consideration.
<b>ACTION REQUIRED:</b>	<input type="checkbox"/> <b>Decision</b> <input checked="" type="checkbox"/> <b>Assurance</b>
<b>PUBLIC OR PRIVATE:</b>	This Report is intended for the public domain. Any confidential information relating to any risks has been redacted.
<b>KEY POINTS:</b>	<ul style="list-style-type: none"> <li>• This report includes the latest updated version of the GBAF and Strategic level risks.</li> <li>• Updates impacting on the risk profile for each objective in the GBAF are included that have led to the development of the overall scoring.</li> <li>• Further detail on the development of overall risk management arrangements will be reported in the Private Session</li> </ul>
<b>RECOMMENDATION:</b>	<p>That the Governing Body</p> <ul style="list-style-type: none"> <li>• Considers the Governing Body Assurance Framework</li> <li>• Notes movement/progression of high level risks</li> </ul>
<b>LINK TO BOARD ASSURANCE FRAMEWORK AIMS &amp; OBJECTIVES:</b>	This report details progress with developing the overall Board Assurance Framework and is therefore relevant to all of the aims and objectives.



## 1. BACKGROUND AND CURRENT SITUATION

- 1.1. The Governing Body considered a first iteration of a re-aligned Governing Body Assurance Framework (GBAF) in September 2017. This links to the strategic objectives articulated by the Governing Body in March 2017. The updated version of this framework is set out at **Appendix 1**.

## 2. ASSURANCE FRAMEWORK UPDATE

- 2.1. Since the last update to the Governing Body, each of the Governing Body committees has begun to develop and manage their individual risk profiles. Further detail on this, as well as on progress with the action plan from the internal audit report is included in a further paper on the private agenda.
- 2.2. The updated GBAF gives an update on the risk profile against each of the defined Corporate Objectives. Whilst there are updates for each of the objectives, the score for each objective has been assessed as the same as the previous version. This is supported by the Strategic Risk Register outlined at **Appendix 2**. No new strategic risks have been identified since the last report to the Governing Body and details of the trend for each risk is identified in the Appendix.
- 2.3. The Governing Body is asked to consider the updated GBAF and discuss any areas where greater assurance is required. Views are also requested on how the presentation of the GBAF can be optimised to enable the Governing Body to be fully assured that actions and mitigations are having the appropriate impact. This would include how the updates to each area of risk are described and how actions are being undertaken and managed.

## 3. CLINICAL VIEW

- 3.1. A clinical view has not been sought for the purpose of this report; however, if relevant, a clinical view is always sought via the appropriate committee membership.

## 4. PATIENT AND PUBLIC VIEW

- 4.1. Not applicable for the purpose of this report.

## 5. KEY RISKS AND MITIGATIONS

- 5.1. The CCG BAF and Risk Register on-going refresh work is critical, as failure to identify and manage risks is a risk to the achievement of the CCG's strategic objectives.





## 6. IMPACT ASSESSMENT

### *Financial and Resource Implications*

6.1. There are no financial implications arising from this report at this stage.

### *Quality and Safety Implications*

6.2. Quality is at the heart of all CCG work and whilst no impact assessment has been undertaken for the purpose of this report, all risks have a patient safety and quality impact assessment

### *Equality Implications*

6.3. There are no Equality Implications associated with this report.

### *Legal and Policy Implications*

6.4. There are no legal implications arising from this report.

### *Other Implications*

6.5. There are no other implications arising from this report

<b>Name</b>	Peter McKenzie
<b>Job Title</b>	Corporate Operations Manager
<b>Date:</b>	November 2017

### **ATTACHED:**

Appendix 1 Governing Body Assurance Framework  
Appendix 2 Corporate Risk Register



### REPORT SIGN-OFF CHECKLIST

**This section must be completed before the report is submitted to the Admin team. If any of these steps are not applicable please indicate, do not leave blank.**

	<b>Details/ Name</b>	<b>Date</b>
Clinical View	Not Applicable	
Public/ Patient View	Not Applicable	
Finance Implications discussed with Finance Team	Not Applicable	
Quality Implications discussed with Quality and Risk Team	Not Applicable	
Equality Implications discussed with CSU Equality and Inclusion Service	Not Applicable	
Information Governance implications discussed with IG Support Officer	Not Applicable	
Legal/ Policy implications discussed with Corporate Operations Manager	Report Owner	November 2017
Other Implications (Medicines management, estates, HR, IM&T etc.)	Not Applicable	
Any relevant data requirements discussed with CSU Business Intelligence	Not Applicable	
<b>Signed off by Report Owner (Must be completed)</b>	<b>Peter McKenzie</b>	<b>06/11/2017</b>

