

NHS Cumbria CCG Governing Body	Agenda Item
17 April 2014	14

Board Assurance Framework & Risk Register

Exec Summary/Purpose of report:

The CCG is required to have a Board Assurance Framework (BAF) and Risk Register in place. These are communication and analysis tools that contribute to the CCG's on-going management arrangements to support the delivery of the CCG's objectives.

The BAF identifies risks to the strategic objectives of the organisation that may happen, to allow the CCG to examine existing controls and assurances of those controls and to identify any gaps that need to be addressed.

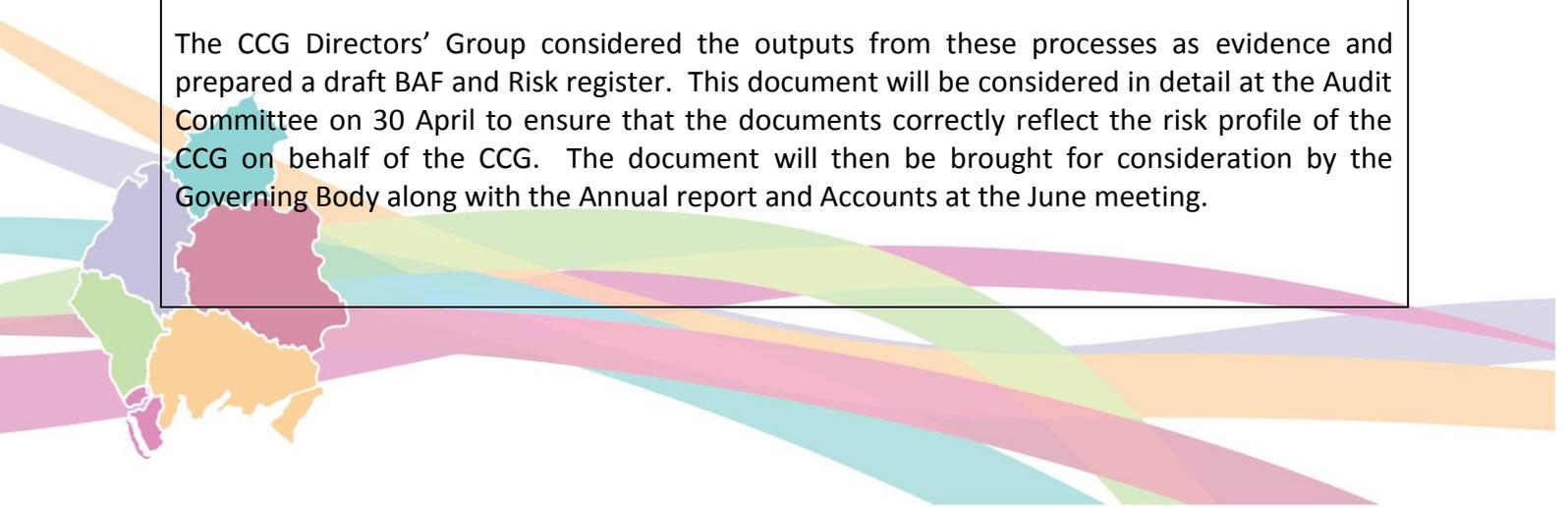
The CCG high level risk register is a document identifying the "Top 10" risks to the strategic objectives of the organisation (and these risks are referred to in the BAF).

Background & Process

The CCG inherited a risk register from NHS Cumbria PCT as part of the corporate handover. During the 2013/14 financial year there have been a number of processes established by the CCG to review the risk register and develop the BAF, including:

- Facilitated workshops with the Governing Body
- Review of key risk identified through on-going reporting to the Governing Body principally through the regular Quality & Outcomes, Performance & Financial reporting.
- On-going work to develop the CCG 5-year strategy
- Reviews of key risks against objectives by individual directors supported by the NECS team who provide management support on the risk register.

The CCG Directors' Group considered the outputs from these processes as evidence and prepared a draft BAF and Risk register. This document will be considered in detail at the Audit Committee on 30 April to ensure that the documents correctly reflect the risk profile of the CCG on behalf of the CCG. The document will then be brought for consideration by the Governing Body along with the Annual report and Accounts at the June meeting.



The BAF and Risk Register will then be maintained as “living documents” with formal reviews on a bi-annual basis.

Actions required by members:

The Governing Body is asked to NOTE the planned approach to establishing the BAF and Risk register.

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