

Board of Directors - Cover Sheet

Subject:	Board Assurance Framework (BAF)	Date: 18 th January 2018
Prepared By:	Paul White, Risk Manager	
Approved By:	Paul Moore, Director of Governance & Quality Improvement	
Presented By:	Paul Moore, Director of Governance & Quality Improvement	
Purpose		
To enable the Committee to take assurance that the BAF continues to function as an effective component of the Trust's internal control and assurance arrangements.		Approval
		Assurance
		Update
		Consider
Strategic Objectives		
To provide outstanding care to our patients	To support each other to do a great job	To inspire excellence
To get the most from our resources	To play a leading role in transforming health and care services	
✓	✓	✓
✓	✓	✓
✓	✓	✓
Overall Level of Assurance		
	Significant	Sufficient
	✓	
Risks/Issues		
Financial	Principal Risk AF4 concerns the Trust's financial sustainability.	
Patient Impact	Principal Risk AF1 concerns the delivery of safe and effective patient care.	
Staff Impact	Principal Risk AF7 concerns staffing levels.	
Services	Principal Risk AF2 concerns the management of emergency demand; AF3 concerns elective demand.	
Reputational	No current risks or issues. An effective BAF enhances the Trust's reputation for good governance.	
Committees/groups where this item has been presented before		
Board Risk Committee for monthly review; Lead Committees for bi-monthly review of individual Principal Risks (Quality Committee; Finance Committee).		
Executive Summary		
<p>The Board Assurance Framework (BAF) is designed to provide the Board of Directors with a simple but comprehensive method for the effective and focussed management of principal risks to the achievement of strategic objectives. The Board defines the principal risks within the BAF and ensures that each is assigned to a lead Director as well as to a lead Committee of the Board for regular review and assurance.</p> <p>The focus within the Board Assurance Framework has been on the operation of controls relating to those principal risks, which are currently being mitigated, whose impact could have a direct bearing on the achievement of strategic objectives and compliance obligations should the mitigation plans be ineffective.</p> <p>There are no material changes to risk exposures since the last update to the Board. The exposure to risk remains significant in respect of AF4 (Financial sustainability); AF2 (Non-Elective demand for care); and AF7 (Staffing levels). AF1 (Quality and safety) and AF3 (Elective demand) remain high risk. All risks in the BAF have been reviewed by the relevant assurance Committee of the Board.</p> <p>For the Board's information, a new BAF is currently being developed through the Risk Committee, which will include additional elements linking Principal Risks with performance indicators and rated sources of assurance (including internal audit). It is also proposed that this review process will result in a refreshed BAF with updated principal risks ready for use by the Board of Directors from 1st April 2018.</p>		