

# Board of Directors

# Report

**Subject:** Board Assurance Framework Report  
**Date:** 23<sup>rd</sup> November 2016  
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## Executive Summary

The Board of Directors has identified the following Principal Risks for inclusion in the Trust's Board Assurance Framework:

- AF1 – Safe and effective patient care
- AF2 – Managing emergency demand
- AF3 – Managing elective demand
- AF4 – Financial sustainability
- AF5 – Organisational sustainability
- AF6 – Staff engagement and morale
- AF7 – Staffing levels
- AF8 – Senior leadership stability

Each Principal Risk on the BAF is assigned to a Lead Director, who regularly reviews the risk and ensures that an appropriate mitigation plan is in place; and a Lead Committee, which reviews assurances as to the effectiveness of those plans in managing the risk.

In addition, the Board Risk Committee reviews the full BAF every month to provide assurance that Principal Risks are being managed effectively; and the Audit and Assurance Committee ensures that the BAF remains an effective component within the Trust's internal control framework.

Following review of the BAF at the meeting of the Board Risk Committee on 17<sup>th</sup> November 2016 the following changes were agreed:

- AF4 – Financial sustainability – has been updated to reflect the challenging control totals in the next 2 years, with the rating increased from 10 (High) to 15 (Significant)
- AF5 – Organisational sustainability – has been updated to reflect that the Lead Director and Lead Committee have agreed that there are no material gaps in control and no outstanding improvement actions, and the Target Risk Rating has been achieved

No material changes have been made to any other Principal Risks.

## Recommendations

The Board of Directors are invited to:

1. Review the updated BAF
2. Consider removing AF5 – Organisational sustainability – from the BAF.

Relevant Strategic Priorities (please mark in bold)	
Ensure the highest standards of safe care are consistently delivered by, and for, individuals, teams and departments	Ensure that patients experience the very best care, building on good practice and listening and learning from both negative and positive feedback and events
Provide timely access to diagnosis, treatment and care when people need it and safely reduce the time patients spend in hospital	Raise the level of staff engagement through strong leadership, communication, feedback and recognition
Reduce the scale of our financial deficit by reducing costs, improving utilisation of resources and productivity, and achieving best value for money	Work in partnership to keep people well in the community, and enable them to return as soon as they are ready to leave hospital
Develop and implement a programme of work in conjunction with Nottingham University Hospital NHST to create a new combined organisation	

How has organisational learning been disseminated	Through management teams, internal governance structures and the use of the Datix risk register.
Links to the BAF	All BAF Risks are reviewed by the BRC.
Financial Implications/Impact	None specific to this report.
Legal Implications/Impact	None specific to this report.
Partnership working & Public Engagement Implications/Impact	None specific to this report.
Committees/groups where this item has been presented before	Board Risk Committee.