

BOARD MEETING

28 January 2016

Paper Title:	Board Assurance Framework
Section:	Public
Lead Director:	Paul Hogg, Trust Secretary
Paper Author:	Paul Hogg, Trust Secretary
Agenda Item:	13
Presented For:	Discussion

1. Purpose of this Report

This report presents the Board Assurance Framework (BAF) as at January 2016 for review.

The paper reflects evidence received at Board and Committee meetings over the last quarter and also the Board's recent development sessions during the same period. As with the previous reporting period, it is suggested that this paper is considered alongside the Corporate Risk Register (CRR) agenda item.

The recent Forward to Excellence session on risk appetite provided useful information and context on how the BAF could be refreshed for 2016/17 to (i) more closely reflect the new strategic objectives in the Annual Plan and (ii) be better presented to illustrate changes and evidence during each reporting period.

The Chair has requested that a Forward to Excellence session takes place in May 2016 to present the new format to the Senior Leadership Team for review.

2. Summary of Key Points

The BAF and risk movement summary have been updated (in **blue** text). There are currently nine strategic risks and these are set out in summary, table form at Appendix 1. No new items have been identified and no existing items have been removed.

In summary, the following updates are highlighted:

- BAF 1.1 – demand and capacity: negotiations with CCGs and Local Authority over next year's contracts could impact significantly on the Trust's financial position but a robust plan is in place to address ongoing issues through EMT, FBIC and escalation to Board as necessary;
- BAF 1.2 – failure to deliver transformation and organisational change: Change Programme Board continues to oversee performance and identify alternative CIPs where necessary;
- BAF 1.4 – failure to respond to quality challenges: outcome from the CQC follow-up inspection awaited and positive peer review of Quality and Safety Committee now received (see agenda item 12);

- BAF 2.1 – failure to secure benefits from system leadership: work on West Yorkshire Urgent and Emergency Care Vanguard is progressing well with Trust leading on mental health element;
- BAF 2.2 – failure to respond to commissioners’ requirements: new Children’s Directorate established and Board provided input on new model at its recent development session in December;
- BAF 3.1 – failure to secure new business: strengthening of marketing resources introduced to address revenue shortfalls in new business models, further work being undertaken as part of annual planning process and update due to FBIC; and
- BAF 3.3 – failure to respond to competition: new Children’s Directorate aimed at mitigating threats to existing services.

The BAF and CRR are now considered quarterly at the same meeting and this report was discussed at the Directors meeting on 19 January.

3. Board Consideration

The Board is asked to discuss and consider issues that may present or mitigate risks to the Trust’s strategy, focussing on gaps in control and assurance and negative assurances. The Board is therefore invited to identify any future work or agenda items that it requires as a result of the BAF (and CRR) discussion. These can then be confirmed during the agenda item on the Board Business Cycle. Executive Directors will address issues raised at the Board meeting where they have a lead responsibility.

4. Financial Implications

There are no direct financial implications set out in this report.

5. Legal Implications

There are no known legal implications arising from this report.

6. Equality Impact Assessment

An equality impact assessment has not been undertaken on this report.

7. Previous Meetings/Committees Where the Report Has Been Considered:

Audit Committee	<input type="checkbox"/>	Quality & Safety Committee	<input type="checkbox"/>	Remuneration Committee	<input type="checkbox"/>	Finance Business & Investment Committee	<input type="checkbox"/>
Executive Management team	<input checked="" type="checkbox"/>	Directors’ Meeting	<input checked="" type="checkbox"/>	Chair of Committees’ Meeting	<input type="checkbox"/>	MH Legislation Committee	<input type="checkbox"/>

8. Risk Issues Identified for Discussion

The BAF identifies potential risks in relation to the Trust’s strategic objectives.

9. Links to Strategic Drivers

Patient Experience	Quality	Value for Money	Relationships
The content of the Board Assurance Framework has a direct bearing on all of the strategic aims.			

10. Publication Under Freedom of Information Act

This paper has been made available under the Freedom of Information Act.

11. Recommendations

That the Board:

- **discusses** and **considers** issues that may present or mitigate risks to the Trust's strategy;
- **identifies** whether any future agenda items are required as a result of the BAF (and CRR) discussion;
- **notes** a refresh of the BAF will be undertaken to align with the 2016/17 Annual Planning process; and
- **notes** the Forward to Excellence session scheduled for May 2016.

Appendices

Appendix 1 - Board Assurance Framework

Appendix 2 – Risk Movement Summary