

PUBLIC BOARD MEETING

26 October 2017

Paper Title:	Board Assurance Framework 2017/18 (Quarter 3)
Section:	Public
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Agenda Item:	12
Presented For:	Assurance
Paper Category:	Governance & Compliance

Executive Summary:

The 2017/18 BAF, as at October 2017, is presented for discussion on a quarterly basis with a particular focus on the key risks, mitigations, proposed actions and timescales.

Recommendations:

That the Board:

- consider the risk scores, any gaps in assurance or further actions required;
- identifies any new areas that warrant addition to the BAF; and
- confirms that the additional safeguard reporting helps to maintain a consistent audit trail.

Governance/Audit Trail:

Meetings where this item has previously been discussed (please mark with an X):							
Audit Committee		Quality & Safety Committee		Remuneration Committee		Finance, Business & Investment Committee	
Executive Management Team	√	Directors		Chair of Committee Meetings		Mental Health Legislation Committee	
Council of Governors							

This report supports the achievement of the following strategic aims of the Trust: (please mark those that apply with an X):	
Consolidation of Market Share : being great in our patch	√
Manage the impacts of the whole system of reduced health and social care funding: working in partnership to develop cost effective out of hospital services and pathways to support the delivery of sustainable services	√
Secure Funding for new or expanded services	√

This report supports the achievement of the following Regulatory Requirements:	
Safe: People who use our services are protected from abuse and avoidable harm	
Caring: Staff involve people who use our services and treat them with compassion, kindness, dignity and respect	
Responsive: Services are organised to meet the needs of people who use our services	
Effective: Care, treatment and support achieves good outcomes, helps to maintain quality of life people who use our services and is based on the best available evidence.	
Well Led: The leadership, management and governance of the organisation make sure it's providing high-quality care that is based around individual needs, encourages learning and innovation, and promotes an open and fair culture.	√
NHSI Single Oversight Framework	

Equality Impact Assessment :
Not applicable.

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

Board Assurance Framework (BAF) 2017/18

1. Background and Context

The Board currently reviews the BAF on a quarterly basis and through these discussions identifies whether further assurance/scrutiny is required at either a Board Committee, Forward 2 Excellence session or Board development meeting.

At its meeting in July, the Board agreed a revised wording for its three strategic objectives as shown below:

- Strategic objective 1: **Quality and Workforce** – to provide high quality, evidence-based services delivered by a diverse, motivated and engaged workforce;
- Strategic objective 2: **Integration and Partnerships** – to be influential in the development of new models of care locally and more widely across the West Yorkshire and Harrogate STP;
- Strategic objective 3: **Sustainability and Growth** – to maintain our financial viability whilst actively seeking appropriate new business opportunities

2. Current risks on the BAF

There are 16 risks currently on the BAF (now allocated a risk number on Safeguard) linked to the three strategic objectives:

Quality and Workforce:

- Risk 1964: If demand exceeds capacity then service quality, safety and performance could deteriorate;
- Risk 1973: If regulatory standards are not met then we may experience intervention from regulators or damage to our reputation;
- Risk 1974: If we do not provide a positive service user/carer experience then we may not be responsive to local communities or commissioners' needs;
- Risk 1975: If we fail to recruit and retain a diverse workforce then the quality of our services may deteriorate and our agency costs increase;
- Risk 1976: If we do not develop an engaged and motivated workforce then the quality of our services may deteriorate; and
- Risk 1977: If we fail to develop an innovative learning culture with staff then we may not exploit new opportunities that emerge.

Integration and Partnerships

- Risk 1978: If partners (including BDCFT) fail to deliver a robust West Yorkshire and Harrogate STP then there could be financial and quality implications for the wider health economy;
- Risk 1979: If partners (including BDCFT) fail to deliver a robust Bradford and Craven STP then there could be financial and quality implications for the local health economy;
- Risk 1965: If partners (including BDCFT) fail to develop a robust and sustainable ACS across AWC then there will not be the system-wide change needed to manage resources vs demand; and

- Risk 1980: If partners (including BDCFT) fail to develop a robust and sustainable ACS in Bradford then there will not be the system-wide change needed to manage resources vs demand.

Sustainability and Growth

- Risk 1981: If we are unable to facilitate a dynamic culture of innovation then we are unlikely to meet future quality and financial challenges which threaten our performance and sustainability in the market place;
- Risk 1982: If we do not have a clear and viable vision for business growth we will not be able to respond confidently and creatively to opportunities;
- Risk 1983: If we do not create resilience and invest capacity within the organisation to support transformation and transition we will stifle innovation, create disengagement and not achieve our vision for sustainability and growth;
- Risk 1984: If public sector finances tighten then our financial position could deteriorate;
- Risk 1985: If productivity and VfM are not improved then we may gradually lose contracts to more competitive providers and become unviable; and
- Risk 1986: If commissioners reduce the value of contracts then we may not be able to cover fixed costs with adverse consequences to our financial viability.

Lead Directors have reviewed their BAF risks; no new risks have been added to or removed from the BAF in Quarter Three – see Appendix A.

3. Implications

3.1 Legal and Constitutional

The BAF is a key assurance process that allows the Board to monitor high level risks that might prevent the delivery of the Trust's strategic objectives. It provides assurance to our auditors and regulators that we have robust governance controls in place and helps to inform our annual governance statement.

3.2 Resource

The population of the BAF continues to be through Lead Directors, coordinated by the Trust Secretary, with support from the Risk Management team.

4. Risk Issues Identified

There are no specific risks to highlight not already included in the BAF.

6. Communication and Involvement

Communications of the revised strategic objectives will form part of the consultation on the new organisational strategy.

7. Monitoring and review

It is proposed that the Board will continue to discuss the BAF quarterly at public Board meetings and have more in-depth discussions every 6 months in the private part of the Board meetings (alongside a review of the strategic priorities – June and December).

8. Timescales/Milestones

The transfer of the BAF information has now been transferred onto Safeguard. Further work will be explored with the Risk Management team on how other reports relating to the BAF/CRR could be used.