

Board of Directors

28 November 2019

Paper title:	Board Assurance Framework	Agenda item 12
Presented by:	Paul Hogg, Director of Corporate Affairs	
Prepared by:	Paul Hogg, Director of Corporate Affairs	

Purpose of the report		
The Trust Board is asked to review the content of the Board Assurance Framework and note the changes/suggestions made at other Committees during October and November.	For approval	
	For discussion	X
	For information	

Executive summary		
<p>This paper provides an update of the risks currently included in the Board Assurance Framework. No risks have been added or removed and no scores have changed since the last report. The Quality and Safety Committee has suggested two changes which will require approval by Trust Board on 28 November 2019.</p>		
Do the recommendations in this paper have any impact upon the requirements of the protected groups identified by the Equality Act?	<p>State below 'Yes' or 'No'</p> <p>No</p>	If yes please set out what action has been taken to address this in your paper

Recommendation
<p>The Trust Board is asked to:</p> <ul style="list-style-type: none"> • Consider the format and content; • Consider the controls and assurances in place, the gaps in controls and the actions identified in mitigation; and • Identify any required actions or follow up by other Committees or by the Senior Leadership Team.

Strategic vision				
Please mark those that apply with an X				
Providing excellent quality services and seamless access	Creating the best place to work	Supporting people to live to their fullest potential	Financial sustainability growth and innovation	Governance and well-led
				X

Care Quality Commission domains				
Please mark those that apply with an X				
Safe	Effective	Responsive	Caring	Well Led
				X

Relationship to the Board Assurance Framework (BAF)	The 2019/20 Board Assurance Framework is presented to Committee at Appendices 1 and 2.
Links to the Corporate Risk Register (CRR)	Corporate risks are referenced as part of the Board Assurance Framework.
Compliance and regulatory implications	The following compliance and regulatory implications have been identified as a result of the work outlined in this report: <ul style="list-style-type: none"> • Regulation 17

Board of Directors Meeting - 28 November 2019

Board Assurance Framework

1 Purpose

The 2019/20 Board Assurance Framework is presented to Audit Committee for review. The new BAF, approved at the July Board meeting, is now aligned to the strategic goals within the organisational strategy, features a summary BAF on one page and a commentary page for each risk. The format has been produced after reviewing a number of BAF examples and discussions with NEDs.

The updated version of the BAF at Appendices 1 and 2 has been updated by relevant lead Directors.

The Finance Business and Investment Committee met on 28 October 2019 and the Director of Finance, Contracting and Facilities has updated Risks 5.1 and 5.2 to reflect the Committee discussions.

The Quality and Safety Committee reviewed its allocated risks at its last meeting on 1 November 2019. Two suggestions were made that are highlighted for decision at the November Trust Board:

- Committee members suggested that there should be consistency in the language used in the two appendices about 'target' or 'residual' risk and are recommending to Board that the phrase 'residual risk' should be used throughout the framework; and
- On Risk 2.1, it was suggested that the wording of the risk would be improved to read, "If regulatory standards are not met, then we will experience intervention from regulators and/or damage public confidence."

The Mental Health Legislation Committee is meeting on 21 November and a verbal update will be provided of any discussions to highlight to Audit Committee.

The Audit Committee will be reviewing the Board Assurance Framework at its meeting on 25 November and a written (or verbal) update will be provided to Trust Board.