



MEETING TITLE : Trust Board		MEETING DATE 26/05/2015	
TITLE of PAPER	Board Assurance Framework 2015/16	PAPER REF	5.7
STRATEGIC OBJECTIVE	All		
PURPOSE OF THE PAPER	To inform the board on the risks recorded within the BAF and Corporate Risk Register and to provide assurance on the effective management of corporate risks		
For Approval	<input type="checkbox"/>	For Assurance	<input type="checkbox"/>
For Decision	<input type="checkbox"/>	Discussion/Information	<input checked="" type="checkbox"/>
AUTHOR / LEAD	Becky Monaghan, Associate Director Risk and Safety	ACCOUNTABLE DIRECTOR	Steve Page, Director of Standards and Compliance
<p>DISCUSSED AT / INFORMED BY The BAF and CRR are subject to the quarterly cycle of peer review through Risk and Assurance Group, Trust Executive Group and Board Committees.</p> <p>The key risks and mitigations were discussed at the Board Development Meeting in February 2015 from which this first iteration of the BAF 2015/16 has been derived.</p>			
PREVIOUSLY AGREED AT:	Committee/Group: Not Applicable	Date:	
RECOMMENDATION	It is recommended that the Board notes the new risks identified and agrees the Gaps in Assurance and subsequent actions required.		
RISK ASSESSMENT		Yes	No
Corporate Risk Register and/or Board Assurance Framework amended <i>If 'Yes' – expand in Section 4. / attached paper</i>		<input checked="" type="checkbox"/>	<input type="checkbox"/>
Resource Implications (Financial, Workforce, other - specify) <i>If 'Yes' – expand in Section 2. / attached paper</i>		<input type="checkbox"/>	<input checked="" type="checkbox"/>
Legal implications/Regulatory requirements <i>If 'Yes' – expand in Section 2. / attached paper</i>		<input type="checkbox"/>	<input checked="" type="checkbox"/>
Equality and Diversity Implications <i>If 'Yes' – please attach to the back of this paper</i>		<input type="checkbox"/>	<input checked="" type="checkbox"/>
ASSURANCE/COMPLIANCE			
Care Quality Commission	All		
Monitor Quality Governance Framework	All		

1. PURPOSE/AIM

- 1.1 To inform the board on the risks recorded within the BAF and Corporate Risk Register and to provide assurance on the effective management of corporate risks

2. BACKGROUND/CONTEXT

- 2.1 There was a presentation to Board Development Meeting in February 2015, where all risks and mitigations on the BAF were discussed with a view to closing down the 2014/15 BAF and proposing continuation of existing risks or the addition of new risks for the 2015/16 BAF which are included in this first iteration.
- 2.2 The strategic objectives on the BAF are underpinned by Risk Registers and high level risks from other sources, covering the full range of Trust business.

3. REVIEW OF KEY RISKS FOR 2015/16

- 3.1 The Board Assurance Framework was reviewed in the Board Development Meeting in February and a number of developments were proposed as mentioned below, taking into account current Trust performance and developments in the wider operating environment.
- 3.2 Risk Number 1a “Adverse clinical outcomes due to failure of reusable medical devices and equipment.” to remain on the BAF for 15/16 until completion of the planned department restructure. Additional actions have been added following review of the operational risks.
- 3.3 Risk Number 2b 14/15 “Reduced ability to evidence that patient care is of a sufficiently high standard, due to inadequate capacity to audit clinical practice” was removed from the BAF and be managed at Directorate Level within the Risk Register Process.
- 3.4 Risk Number 3a “Inability to deliver performance targets and clinical quality standards” has been revised for 15/16 with the main risk area identified as A&E Operations.
- 3.5 Risk Number 3b “Lack of compliance with key regulatory requirements (CQC, HSE, IGT, NHSLA) due to inconsistent application across the Trust.” will be further reframed following the receipt of the CQC inspection report.
- 3.6 Risk Number 4a “Loss of income due to inability to secure/retain service contracts, and challenge to the delivery of Trust strategy within the constraints of the wider commissioning system” this risk has been reframed to capture the risks across trust service lines and challenge the delivery of Trust strategy within the constraints of the wider commissioning system.
- 3.7 Risk Number 5a “ Inability to deliver service transformation and organisational change, including non-delivery of cost improvement programmes” has been reframed around the 15/16 Transformation programme, risk to be increased to 16.

- 3.8 Risk Number 5b “Failure to learn from patient and staff experience and adverse events within the Trust or externally.” score to be reviewed subject to CQC inspection report, also reviewed to include priority around complaints response times.
- 3.9 Risk Number 6a around Clinical Leadership Framework has been retained on the BAF 15/16 and will be broadened to encompass wider clinical leadership issues following CQC inspection report and feedback from Staff Survey. Risk rating to be reviewed depending on outcomes.
- 3.10 Risk Number 6b “Adverse impact on clinical outcomes and operational performance due to inability to deliver the A&E workforce plan and associated recruitment and training requirements.” has reference added to national paramedic shortage and recruitment and retention issues.
- 3.11 Risk Number 7a “Adverse impact on organisational performance and clinical outcomes due to significant events impacting on business continuity.” has been retained on BAF 15/16, with current risk score until completion of planned testing.
- 3.12 Risk Number 8a “Deficit against planned financial outturn e.g. due to contract target penalties and non-delivery of CQUIN scheme.” around urgent care has been reframed around political change and uncertainty in the wider system and impact on delivery of YAS Strategy and merged into Risk 4a.
- 3.13 Additional risks were identified for inclusion in the BAF relating to PTS (4b), responsiveness and alignment of support services (5c), and staff engagement (6c).
- 3.14 Following the Board Development Meeting the detail of the 2015/16 BAF has been developed in discussion with the Executive Team and relevant senior managers.
- 3.15 The corporate Risk Register has also been reviewed with accountable managers and in the Risk and Assurance Group.

4. NEXT STEPS

- 4.1 An additional session has been scheduled within Board Development program to allow further opportunity to discuss Risk Appetite in relation to Trust Strategy.
- 4.2 The quarterly cycle of the BAF review will continue through management groups and committees.
- 4.3 The Risk Register will continue to be reviewed at each meeting of the Risk and Assurance Group.

5. RECOMMENDATIONS

- 5.1 It is recommended that Board notes the developments outlined in the report and is assured with regard to the effective management of risks.

6. APPENDICES/BACKGROUND INFORMATION

6.1 Appendix 1 - BAF 2015/16

6.2 Appendix 2 - Corporate Risk Register