

Board Assurance Framework (BAF)			
Meeting	Board of Directors		
Date	17/08/2022	Agenda item	11
Lead Director	Alison Hughes, Director of Corporate Affairs		
Author(s)	Karen Lees, Head of Corporate Governance		
Action required (please tick the appropriate box)			
To Approve <input type="checkbox"/>		To Discuss <input type="checkbox"/>	To Assure <input checked="" type="checkbox"/>
Purpose			
<p>The purpose of this cover paper is to provide the Board of Directors with an update and assurance on the development the underpinning risk templates for each of the nine strategic risks that were agreed at the Board of Directors meeting in June 2022. These risks are monitored through the Board Assurance Framework (BAF).</p>			
Executive Summary			
<p>The Board has in place a full Board Assurance Framework which reflects the priority areas of focus in each of the committees of the Board, and is driving discussion and appropriate escalation to the Board of Directors.</p> <p>Following the agreement of the initial strategic risks at the April 2022 Board of Directors meeting, the strategic risks were discussed by the committees of the board in order to agree any further changes. These changes reflected the emerging position with the establishment of the Integrated Care System in July 2022, and the current Trust position. These changes were presented at the June 2022 Board of Directors meeting, and were agreed together with the format of the strategic risk structure template.</p> <p>The Executive Directors and committees of the board are populating the strategic risk template for each risk including:</p> <ul style="list-style-type: none"> - The risk appetite, - The current and target risk rating, - Mitigations and any gaps, - Outcomes to be achieved, and; - The trajectory to mitigate the strategic risk and achieve the target risk rating. <p>These have all been discussed at committee meetings during July and August 2022 with further actions agreed.</p> <p>The completed strategic risk templates will be presented to the October Board of Directors for review and approval.</p> <p>Through formal and informal meetings, the Board of Directors will continue to discuss the Board Assurance Framework including the identification of any new or emerging risks particularly in the context of legislative changes and arrangements at Place level.</p>			
Risks and opportunities:			
<p>The BAF records the principal risks that could impact on the Trust's ability in achieving its strategic objectives. Therefore, failure to correctly develop and maintain the BAF could lead to the Trust not being able to achieve its strategic objectives or its statutory obligations.</p> <p>There are opportunities through the effective development and use of the BAF, to enhance the delivery of the Trust's strategic objectives and effectively mitigate the impact of the principal risks contained within the BAF.</p>			
Quality/inclusion considerations:			

Quality Impact Assessment completed and attached No
 Equality Impact Assessment completed and attached No
 The quality impact assessments and equality impact assessments are undertaken through the work streams that underpin the BAF.

Financial/resource implications:
 Any financial or resources implications are detailed in the BAF for each risk.

Trust Strategic Objectives
 Please select the top three Trust Strategic Objectives that this report relates to, from the drop-down boxes below.

Our Populations - outstanding, safe care every time	Our People - enhancing staff development	Our Performance - increase efficiency of all services
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Board of Directors is asked to consider the following action

- To be assured by the progress with the development of the strategic risk template for Board Assurance Framework through the sub-committees of the Board .

Report history

Submitted to	Date	Brief summary of outcome
Board of Directors	09/06/21	The Board of Directors - was assured of the review and focus on principal risks at the committees of the Board - received the summary of risk themes for 2021-22 as determined by the committees - was assured of the process to finalise these through the committees and the Informal Board session in July 2021
Informal Board	07/07/21	All members of the Board participated in a series of workshops to define risk descriptions, discuss risk ratings, risk appetite and mitigations, outcomes and gaps for referral back to committees.
Board of Directors	04/08/21	The Board of Directors received the strategic risks and approved them for tracking through the BAF during 2021-22, with each committee taking appropriate oversight. The Board of Directors agreed to discuss organisational design risk at the next Informal Board (see update in matters arising).
Board of Directors	06/10/21	The Board of Directors received the update provided in relation to the strategic risks managed through the BAF and noted the current risk rating, mitigations in place and identified gaps. The Board of Directors was assured of the oversight and management of strategic risks through the sub committees of the Board.
Informal Board	03/11/21	An interim review of the Board Assurance Framework was completed with the Director of Corporate Affairs noting the findings from the phase 1 internal audit Assurance Framework Review.
Board of Directors	08/12/21	The Board of Directors received the update provided in relation to the strategic risks managed through the BAF and noted

		<p>the current risk rating, mitigations in place and identified gaps.</p> <p>The Board of Directors approved the revised risk description for ID10 and supported the recommendation from the Education & Workforce Committee to review the workforce strategic risks through an informal board session.</p>
Informal Board	05/01/22	<p>The informal board session reviewed and agreed revisions to the strategic workforce risks managed through the BAF to be formally reported to EWC in February 2022.</p>
Board of Directors	09/02/22	<p>The Board of Directors was assured by the oversight and management of strategic risks through the sub-committees of the Board and approved the proposed increase in risk rating for ID01, the revised strategic workforce risks and the increased risk rating for ID10.</p>
Board of Directors	13/04/22	<p>The Board of Directors received the update provided in relation to the strategic risks, noting the current risk rating, mitigations in place and identified gaps and approved the reduced risk rating for ID04</p> <p>The Board of Directors received the BAF as the year-end position.</p>
Informal Board	11/05/22	<p>The members of the Board considered the strategic risks for 2022-23 reflecting on the risks tracked through the BAF in 2021-22 and the Trust's 5-year strategy.</p>
Board of Directors	15/06/22	<p>The members of the Board received and approve recommendations from the committees of the Board on the proposed strategic risks for tracking through the Board Assurance Framework during 2022-23; and approved the strategic risk structure template.</p>