



Report to:	Trust Board	April 2024
Report from:	Associate Director of Corporate Governance	
Principal Objective/ Strategy and Title	Board Assurance Framework Report	
Board Assurance Framework Entries	All	
Regulatory Requirement	<b>Well Led/Code of Governance:</b> To have clear and effective processes for assurance of risk to delivery of strategic objectives	
Equality Considerations	<b>Equality has been considered but none believed to apply</b>	
Key Risks	<b>Leadership; Governance; Failure to Identify and manage risk</b>	
Assurance Evidence	October 2018 Internal Audit review of Risk Management and Assurance Framework - outcome: <b>Substantial Assurance (third line)</b> / October 2021 Risk Maturity – Advisory Review	
For:	<b>Review and Noting</b>	

### 1. Purpose

To provide the Trust Board Committee with a summary of its BAF risks and the mitigations in place for risks above target. Copies of the full BAF report (Appendix 1) – with highlighted updates and BAF Tracker (Appendix 2) are attached.

### 2. Background

The Board Assurance Framework (BAF) forms a part of the overall risk management and assurance process of the Trust and allows the Board to maintain oversight of the principal risks to delivery of the Trust's strategic objectives. BAF reporting is managed through the DATIX system and risks are escalated through the relevant Trust Committee structures.

Action plans for BAF risks are captured within the Trusts' Datix reporting system and Executive Directors review open BAF risks on a monthly basis. The BAF report includes the Residual Risk Rating (RRR) and the long term RRR trend for each BAF.

### 3. Key issues and updates

The Committee report includes a summary of each risk based on the DATIX BAF report. This report is used by EDs to review and challenge the assessment of target risk ratings and risk appetites for each risk to ensure that these are well calibrated across BAF risks. This summary includes the control measures and assurance for each risk allocated to the Committee.

Headlines in March 2024:

- a. Please note that there was a comprehensive BAF review undertaken at the March 2024 Part 2 Board meeting. Work is progressing on implementing the actions

agreed at the Board meeting but is not yet complete for the April reporting cycle. The areas that were comprehensively reviewed included:

- i. The 4 Principal risks
  - ii. Risk Appetite Statements
  - iii. The summary descriptions of individual BAF Risks
  - iv. The structure for the Board BAF report
- b. Thirteen risks have a current risk rating above target, from fourteen risks in February 2024.
- c. New/Closed BAF Risks: none.
- d. Other updates: All 19 BAF risk entries have been updated in March 2024.
- e. Please see the BAF Report (Appendix 2) for the commentary on the changes listed below – all highlighted.:
- i. Current risk rating (BAF Risk 1021, 1929)
  - ii. Target risk rating (BAF Risks 1021, 1853, 1854, 2985 and 3009)
  - iii. Principal Risk 1
  - iv. Risk summary (BAF Risks 678, 2901, 3040 and 3223)
  - v. Updates to progress notes

#### **4. Recommendation:**

The Board is requested to:

- a. Review the Committee BAF risks and consider whether there is any requirement to adjust the scope or ratings of the risks or statements of assurance.