

### Agenda item 3.i

<b>Report to:</b>	<b>Board of Directors</b>	<b>Date: 06 June 2019</b>
<b>Report from:</b>	<b>Trust Secretary</b>	
<b>Principal Objective/ Strategy and Title</b>	<b>Board Assurance Framework Report May 2019</b>	
<b>Board Assurance Framework Entries</b>	<b>ALL</b>	
<b>Regulatory Requirement</b>	<b>NHS Foundation Trust Code of Governance Single Oversight Framework for NHS providers</b>	
<b>Equality Considerations</b>	<b>Equality has been considered but none believed to apply</b>	
<b>Key Risks</b>	<b>Leadership; Governance; Failure to Identify and manage risk</b>	
<b>For:</b>	<b>Approval</b>	

#### 1. Purpose

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.

#### 2. Background

Risk management is an integral part of good management practice. Risks that arise within the Trust are assessed using the NPSA model risk assessment matrix (Appendix C) and are reported through the DATIX system. Risks that are escalated to the BAF are managed through the relevant Trust Committees and have an identified Executive lead. Executive Directors review their open BAF risks on a monthly basis and Trust Committees provide assurance through their reports to the Board that they have sufficient information and understanding to provide oversight of their risks.

The BAF tracker reports included at Appendix A and B set out BAF risks within and above risk appetite. The BAF tracker includes an indicator for movements in month, a long term trend line for each open risk, and identifies the Executive Lead and the Committee responsible for each BAF risk.

An executive summary is included on slide 1 setting out key changes in individual BAF risks. The tracker report reflects the month 1 position for 2019/20. As previously reported the agreement of the 2019/20 Operational Plan generates a consolidation of BAF risks that was considered and agreed by the Committee and Board. These new consolidated BAF risks are:

BAF 2145 Current Trading:	Residual Risk Rating 15
BAF 2148 Future Growth:	Residual Risk Rating 25
BAF 2149 Capacity Assumptions	Residual Risk Rating 15
BAF 2163 Efficiency Assumptions	Residual Risk Rating 15
BAF 2225 FM mobilisation and bedding in	Residual Risk Rating 20

These risks will be captured in the tracker report for May 2019. This Performance Committee have received the detailed statements of these risks and the summary of key actions/mitigations that have been put in place for each of these risks. There is a further level of analysis for the consolidated financial risks within the finance section of PIPR under Key Performance Challenges.

BAF 744 (CQC Fundamentals of Care) has seen improvement in residual risk rating from 15 to 10 following the completion of the RPIR and the successful registration site visit, as well as the success of the Fundamentals of Care Board in supporting the programme of work following mock inspections visits and recommendations.

The following 17 risks were closed in month as planned: 690, 833, 835, 836, 837, 838, 839, 840, 852, 866, 868, 869, 877, 882, 884, 1427 and 1965 (further details of closed risks can be found within the prior months' BAF reports).

### **3. Recommendation:**

The Board is requested to review the BAF report and consider the level of assurance provided through the Board Committee structure and whether there is any requirement to further revise BAF risk assessments.