

Meeting Title	Board of Directors		
Date	12.11.20	Agenda item	Bo.11.20.20

Board Assurance Framework (Quarter 2, 2020/21)

Presented by	Mel Pickup, Chief Executive	
Author	Executive Directors John Holden, Director of Strategy and Integration/Deputy Chief Executive Jacqui Maurice, Head of Corporate Governance	
Lead Director	Mel Pickup, Chief Executive	
Purpose of the paper	This paper proposes provides a profile of risks, controls and assurances related to the delivery of the Trust's strategic objectives which should be reviewed throughout the meeting of the Board of Directors	
Key control	Understanding the Board's risk appetite related to the achievement of the Trust's strategic objectives is a key component of the Board Assurance Framework	
Action required	For decision	
Previously discussed at/ informed by	Executive Team Meeting 2 nd November	
Previously approved at:	Committee/Group	Date
Key Options, Issues and Risks		
<p>The Board Assurance Framework, attached at Appendix 1, collates information about risk appetite, relevant risks, and assurance, for each of the Trust's five Strategic Objectives. This supports Board members in considering the papers and topics discussed at Board and informing an overall view about the appropriate level of assurance.</p> <p>The BAF is presented to every Board meeting and as such provides a consistent assessment. The narrative text and risk scores are updated monthly by Executive Directors, however the overall assessment (RAG rating for each objective) is not re-assessed until the end of each quarter.</p> <p>The narrative in the enclosed BAF has been updated in November 2020 but the RAG rating assessment of assurance against each objective is the position at end of Quarter 2 (September 2020).</p>		
Analysis		
<p>The Board has overall responsibility for ensuring systems and controls are in place, sufficient to mitigate any significant risks which may threaten the achievement of the organisation's strategic objectives. Assurance can be secured through a range of sources, but wherever possible, it should be systematic, consistent, independently verified and incorporated within a robust governance process. The Board achieves this primarily through the work of its Academies and Committees, through audit and other independent review, and by the systematic collection and analysis of data, to demonstrate the achievement of its strategic objectives.</p> <p>In January 2020 the Board of Directors reaffirmed its risk appetite which defines the boundaries within which the Trust's strategic objectives should be pursued. The current risk appetite is enclosed at Appendix 2</p>		
Recommendation		
<p>The Board of Directors is asked to review the Board Assurance Framework in the context of the discussions to date and the papers and topics discussed in the Board meeting, and to decide if the Quarter 2 level of assurance indicated for each Strategic Objective is appropriate.</p> <p>The assurance ratings for Q2 have been reviewed and the level of confidence remains the same as for Q1.</p>		

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Risk assessment						
Strategic Objective	Appetite (G)					
	Avoid	Minimal	Cautious	Open	Seek	Mature
To provide outstanding care for patients				g		
To deliver our financial plan and key performance targets			g			
To be in the top 20% of NHS employers					g	
To be a continually learning organisation				g		
To collaborate effectively with local and regional partners					g	
The level of risk against each objective should be indicated. Where more than one option is available the level of risk of each option against each element should be indicated by numbering each option and showing numbers in the boxes.	Low		Moderate	High	Significant	
	Risk (*)					
Explanation of variance from Board of Directors Agreed General risk appetite (G)	The Board Assurance Framework provides a summary of the risks, controls and assurance for each strategic objective					

Risk Implications	Yes	No
Corporate Risk register and/or Board Assurance Framework Amendments		▪
Quality implications		▪
Resource implications		▪
Legal/regulatory implications		▪
Diversity and Inclusion implications		▪

Regulation, Legislation and Compliance relevance
NHS Improvement: Risk assessment framework, quality governance framework, code of governance , annual reporting manual
Care Quality Commission Domain: <i>well led</i>
Care Quality Commission Fundamental Standard:
Other (please state):

Relevance to other Board of Director's Committee:	
Regulation and Assurance Committee	Other (please state)
▪	▪