

To:	Trust Board
From:	Trust Secretary
Date:	28 th June 2018

Title:	Board Assurance Framework (BAF)						
Responsible Director: Karen Brown, Director of Finance							
Author: Jayne Warner Trust Secretary							
Purpose of the Report:							
The purpose of this report is to enable the Trust Board to:							
<ul style="list-style-type: none"> Consider a proposed revised Board Assurance Framework (BAF) for 2018/19, including strategic objectives and associated risks aligned to the corporate risk register. 							
The Report is provided to the Board for:							
<table border="1"> <tr> <td>Decision</td> <td style="text-align: center;">✓</td> </tr> </table>		Decision	✓	<table border="1"> <tr> <td>Discussion</td> <td></td> </tr> </table>		Discussion	
Decision	✓						
Discussion							
<table border="1"> <tr> <td>Assurance</td> <td></td> </tr> </table>		Assurance		<table border="1"> <tr> <td>Information</td> <td></td> </tr> </table>		Information	
Assurance							
Information							
Summary/Key Points:							
<ul style="list-style-type: none"> This report proposes to the Trust Board a new BAF for 2018/19, with revised alignment of the Trust's new strategic objectives and linked to the corporate risk register to enable appropriate escalation and delegation of significant risks The BAF is presented in a new format, incorporating the following elements: <ul style="list-style-type: none"> A direct link between the BAF and the corporate risk register (which is in turn directly linked to corresponding operational risks that make up directorate risk registers) an active role for assurance committees in rating the level of assurance they can provide to the Board in relation to each area of corporate risk; and the inclusion of internal audit within a '3 lines of defence' assurance model The new BAF will form the top layer of a comprehensive risk framework encompassing strategic, corporate and operational risk registers covering the full range of the Trust's objectives, that will be defined in a new Trust Risk Management Strategy The proposed changes to the BAF structure and management processes address recommendations made in a recent internal audit report 							

<p>Recommendations</p> <p>That the Trust Board:</p> <ol style="list-style-type: none"> 1. Considers the risks presented within the draft BAF and reaches a decision as to whether or not they should be amended or added to in order to create a comprehensive strategic risk register 2. Considers the new format of the BAF and the associated management process as described, and decides whether or not it is fit for purpose as a key component of the Trust's internal control environment (the Board are advised that the Audit Committee is due to consider this aspect of the BAF at its next meeting in July) 	
<p>Strategic Risk Register</p> <p>This report presents a revised BAF to the Trust Board for consideration.</p>	<p>Performance KPIs year to date</p>
<p>Assurance Implications</p> <p>The management process described within the proposed BAF is designed to enable the Trust Board's assurance committees to consider evidence provided by members of the executive team and determine the level of assurance that it is able to provide to the Board in relation to each area of corporate risk linked to the BAF.</p>	
<p>Patient and Public Involvement (PPI) Implications</p> <p>The effectiveness of the Trust's risk and corporate governance arrangements is reported through the Annual Governance Statement (AGS) and is included in the opinion of both internal and external audit. As such, it may influence the degree of confidence that patients and members of the public have in the Trust.</p>	
<p>Equality Impact</p> <p>The Trust's Risk Management Policy has been assessed for equality impact and no issues were identified.</p>	
<p>Information exempt from Disclosure – No</p>	
<p>Requirement for further review? No</p>	