

UNIVERSITY HOSPITALS BIRMINGHAM NHS FOUNDATION TRUST
BOARD OF DIRECTORS
THURSDAY 29 JANUARY 2015

Title:	QUARTER 3 BOARD ASSURANCE FRAMEWORK
Responsible Director:	David Burbridge, Director of Corporate Affairs
Contact:	Bob Hibberd, Head of Clinical Risk and Compliance

Purpose:	To provide the BoD with the high level risks within the context of the Board Assurance Framework
Confidentiality Level & Reason:	None
Medium Term Plan Ref:	Annual Plan
Key Issues Summary:	<p>The DCA Governance Group carried out a review of the Board Assurance Framework (BAF). Feedback from the quarterly risk and compliance meetings with the executive team was incorporated into the review. The following key changes were made:</p> <ul style="list-style-type: none"> • The layout of the BAF has been amended • There are currently: 1 high risk, 4 significant risks and 6 moderate risks on the BAF • 2 risks have been merged with 2 existing risks on the BAF.
Recommendations:	The Board is asked to review the revised BAF and identify any gaps in controls or assurance, the latter to be considered for referral to the Audit Committee for consideration.

Signed: D Burbridge	Date: 22 January 2015
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BOARD OF DIRECTORS

THURSDAY 29 JANUARY 2015

QUARTER 3 BOARD ASSURANCE FRAMEWORK

PRESENTED BY DIRECTOR OF CORPORATE AFFAIRS

1 INTRODUCTION

- 1.1 The Board Assurance Framework (BAF) has been reviewed and updated with the relevant Executive Directors.
- 1.2 The Trust has identified a range of strategic risks, which are currently being mitigated, whose impact could have a direct bearing on compliance with the Terms of Authorisation, CQC registration or the achievement of corporate objectives in the following areas should the mitigation plans be ineffective.

2 SUMMARY OF THE BAF INCLUDING KEY CHANGES

- 2.1 Full details of the BAF are set out in Appendix 1. In summary, there is one high risk, 4 significant risks and 6 moderate risks on the BAF.
- 2.2 During January 2015 all Executive Risk Registers were reviewed by the relevant Director in conjunction with the Risk and Compliance Team to identify any additions or amendments to the BAF.
- 2.3 Issues raised in relation to the layout of the BAF, some of which were raised at the last meeting of the Clinical Quality Committee, were discussed at the Director of Corporate Affairs Governance Group on 15 January 2015 and the following key changes were made to the BAF:
 - 2.3.1 The layout of the BAF has been amended as follows:
 - a) Inclusion of both current and residual risk rating;
 - b) Inclusion of 'Current Context' field – this is to provide additional information regarding specific risk factors; and
 - c) The columns which contain the existing controls, assurances that the controls are in place and progress/actions required to mitigate the risk have been re-aligned to make it clearer.
 - 2.3.2 The risks '*Significant deterioration of the Trust's underlying financial position*' and '*The Trust fails to achieve a satisfactory CoSRR rating risk*' have been merged into the risk: '*Significant deterioration in the Trust's underlying financial position resulting in a deficit being reported and/or the Continuity of Services Risk Rating (CoSRR) falling to a 1*'.
 - 2.3.3 The risk '*UHB Strategies are not able to respond to external changes and system pressures*' has been merged with the risk, '*Impact of external factors and other elements of the health economy*'

2.4 Following the DCA Governance Group meeting, all the relevant leads were contacted to update them on the changes and request further updates to their risk.

3 RECOMMENDATIONS

The Board is asked to review the revised BAF and identify any gaps in controls or assurance, the latter to be considered for referral to the Audit Committee for consideration.

David Burbridge
Director of Corporate Affairs

21 January 2015