

**UNIVERSITY HOSPITALS BIRMINGHAM NHS FOUNDATION TRUST**  
**BOARD OF DIRECTORS**  
**THURSDAY 28 JANUARY 2016**

<b>Title:</b>	<b>QUARTER 3 BOARD ASSURANCE FRAMEWORK</b>
<b>Responsible Director:</b>	David Burbridge, Director of Corporate Affairs
<b>Contact:</b>	Louisa Sorrell, Senior Manager Clinical Compliance

<b>Purpose:</b>	To provide the BoD with the high level risks within the context of the Board Assurance Framework
<b>Confidentiality Level &amp; Reason:</b>	None
<b>Medium Term Plan Ref:</b>	Annual Plan
<b>Key Issues Summary:</b>	<p>The BAF has been reviewed by the relevant leads and the Senior Manager Clinical Compliance has cross-checked this with the Q3 performance report to ensure all risks are either captured on the relevant Executive Risk and if applicable captured on the BAF. The key updates are:</p> <ul style="list-style-type: none"> <li>• There are currently: 1 high risk, 4 significant risks, 4 moderate risks and 1 low risk on the BAF</li> <li>• Whilst the Trust is on target to meet the planned £6.6m deficit the strategic risk still remains high due to the expected savings required in 2016/17.</li> <li>• The 'Failure in one or more components of business and IT systems, resulting in clinical service, department, equipment and/or staffing failure' risk is now a low risk due to the controls that are in place and reflects the risk on the Medical Directors risk register.</li> <li>• An additional action has been identified under the risk 'Breach of terms of Monitor Provider Licence/Material non-compliance with external regulatory requirement'. The action is to scope a monitoring process in relation to specialties with a view to ensuring key governance/quality/safety measures are in place. The options for this process are being scoped during Q4 by the Risk and Compliance and Service Improvement teams.</li> <li>• The existing controls, assurance and progress columns have been updated by the leads</li> </ul>
<b>Recommendations:</b>	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.

<b>Signed:</b> D Burbridge	<b>Date:</b> 21 January 2016
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