

**UNIVERSITY HOSPITALS BIRMINGHAM NHS FOUNDATION
TRUST**

**BOARD OF DIRECTORS
THURSDAY 25 JULY 2013**

Title:	BOARD ASSURANCE FRAMEWORK - PRINCIPAL RISKS
Responsible Director:	David Burbridge, Director of Corporate Affairs
Contact:	David Burbridge, 0121 371 4317

Purpose:	To seek Board approval of the Board Assurance Framework Risks
Confidentiality Level & Reason:	None
Medium Term Plan Ref:	
Key Issues Summary:	The Board has considered the key risks to the Trust's objectives, to be included in the Board Assurance Framework. Subject to formal approval, the Executive Team will consider the controls and assurance required for each of those risks and the Board Assurance Framework will be considered by the Board each quarter.
Recommendation:	The Board is asked to: Approve the Board Assurance Framework Risks, as attached to this report; and Agree the process for review and monitoring, as set out in this paper.
Signed: D Burbridge	Date: 18 July 2013

**UNIVERSITY HOSPITALS BIRMINGHAM NHS FOUNDATION
TRUST**

BOARD OF DIRECTORS

THURSDAY 25 JULY 2013

BOARD ASSURANCE FRAMEWORK - PRINCIPAL RISKS

1 Introduction

The Board considered the key risks to the Trust's objectives at its seminar on 16 July. The key risks identified are set out in the attached document, at Annex 1, for formal approval.

2 Board Assurance Framework Process

2.1 Following formal approval, the Executive Team will identify and consider the controls and assurances that exist in respect of each of those risks. These will be presented to the Board at its next meeting for review and the identification of any gaps in assurance. The letter will be used to inform the work agenda of the Audit Committee.

2.2 High-scoring risks on Divisional Risk Registers and elsewhere (for example, the New Hospital Project Risk Register) will be reviewed and included in the Board Assurance Framework where they pose a significant risk to the Trust as a whole.

2.3 The Board Assurance Framework will be reviewed by the Board on at least a quarterly basis.

3 Recommendation

The Board is asked to:

3.1 Approve the Board Assurance Framework Risks, as attached to this report; and

3.2 Agree the process for review and monitoring, as set out in this paper.

BOARD ASSURANCE FRAMEWORK RISKS
(as identified by the Board July 2013)

	Strategic
1	Systemic delivery of poor care
2	inability to adapt to meet changing needs of patient population
3	Lack of clarity and/or leadership in the national and local health and social care landscape
4	UHB strategies are not able to respond to external changes and system pressures
	Financial
5	Significant deterioration of Trust's underlying financial position
6	The Trust fails to achieve a satisfactory financial risk rating
	Organizational
7	Insufficient resources, particularly in terms of senior management availability, to effectively plan and prepare for major organisational change with detrimental impact on the Trust's core business.
	Operational
8	Failure in one or more components of business and IT systems, resulting in clinical service, department, equipment and/or staffing failure.
9	Failure to meet key performance indicators which could result in poor clinical outcomes, financial penalties and reputational damage
	Compliance
10	Risk of prosecution of Trust and/or individual directors or members of staff
11	Breach of terms of Monitor Provider Licence/Material non-compliance with external regulatory requirement
	Reputational
12	Patient experience fails to match expectations.
13	Adverse media coverage related to Trust activities with a risk of reputational damage
14	Reputational/financial/organisational damage arising from commercial ventures