

UNIVERSITY HOSPITALS BIRMINGHAM NHS FOUNDATION TRUST
BOARD OF DIRECTORS
THURSDAY 24 JULY 2014

Title:	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:	<ul style="list-style-type: none"> • There are 8 significant risks. • All other risks are moderate or low. • No new risks were added to the BAF • One risk was archived regarding patient experience
Recommendations:	<p>The BoD is asked to:</p> <ul style="list-style-type: none"> • Discuss the contents of this report • Approve the Board Assurance Framework

Approved: D Burbridge	Date: July 2014
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BOARD OF DIRECTORS

THURSDAY 24 JULY 2014

BOARD ASSURANCE FRAMEWORK

Presented by Director of Corporate Affairs

1 BACKGROUND

1.1 The Board (July 2013) has approved the key risks to the Trust's objectives which have been included in the Board Assurance Framework (BAF).

1.2 The Board Assurance Framework (BAF) has been reviewed and updated with the relevant Executive Directors. The current BAF is attached.

1.3 The Trust has identified a range of strategic significant risks, which are currently being mitigated, whose impact could have a direct bearing on compliance with the Provider Licence, CQC registration or the achievement of corporate objectives in the following areas:

1.3.1 **Core purpose 1: Patient Safety** - Failure to reduce the number of Grade 3 and 4 hospital acquired pressure ulcers. Trust is currently an outlier in comparison to other Trusts in the region

1.3.2 **Core purpose 1: Financial** The Trust fails to achieve a satisfactory financial risk rating

1.3.3 **Core Purpose 1: Financial** - Significant deterioration of the Trust's underlying financial position

1.3.4 **Core purpose 1: Compliance/Regulatory** - Breach of terms of Monitor Provider Licence/Material non-compliance with external regulatory requirement

1.3.5 **Core Purpose 1: Strategic** - Inability to adapt to meet changing needs of patient population

1.3.6 **Core purpose 1: Strategic** - Strategies are not able to respond to external changes and system pressures

1.3.7 **Core Purpose 2: Reputation** – Adverse media coverage

1.3.8 **Core purpose 4: Strategic** - Failure to meet key performance indicators with regards to R&D

2 CHANGES TO THE BAF

2.1 There were no risks added to the Board Assurance Framework during Quarter 1 2014-15.

2.2 1 risk was removed from the BAF. This was "Patient experience fails to match expectations".

3 REVIEW OF BAF

- 3.1 A review is being undertaken of the risks on the BAF and those we report elsewhere (e.g. to Monitor), to ensure they are aligned. Once this is complete, any proposed amendments will be submitted to Board for approval.
- 3.2 Additionally, a new BAF risk register template is being developed for roll-out during Quarter 2 2014-15. The update includes more fields in the register to allow identification of gaps in controls and assurance and to allow timescales to be included to enable monitoring of progress on any actions required. This will include the development of a clearer report.

4 RECOMMENDATIONS

The Board of Directors is asked to:

- 4.1 Discuss the contents of this report; and
- 4.2 Approve the Board Assurance Framework.

David Burbridge
Director of Corporate Affairs