

### Board Assurance Framework 2015/16

<b>Trust Board</b>	<b>Item: 19</b>
<b>13<sup>th</sup> October 2015</b>	<b>Enclosure: N</b>
<b>Purpose of the Report:</b> To provide the Board with the Board Assurance Framework for 2015/16 for month 5.	
<b>FOR: Information</b> <input type="checkbox"/> <b>Assurance</b> <input checked="" type="checkbox"/> <b>Discussion and input</b> <input checked="" type="checkbox"/> <b>Decision/approval</b> <input type="checkbox"/>	
<b>Sponsor (Executive Lead):</b>	Susan Simpson, Company Secretary/ Head of Corporate Affairs
<b>Author:</b>	Lucy Carter with input from the Executive Directors
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<b>Risk Implications – Link to Assurance Framework or Corporate Risk Register:</b>	The report links key risks from the Corporate Risk Register to the delivery of the corporate objectives
<b>Legal / Regulatory / Reputation Implications:</b>	N/A
<b>Link to Relevant CQC Domain:</b> <b>Safe</b> <input checked="" type="checkbox"/> <b>Effective</b> <input checked="" type="checkbox"/> <b>Caring</b> <input checked="" type="checkbox"/> <b>Responsive</b> <input checked="" type="checkbox"/> <b>Well Led</b> <input checked="" type="checkbox"/>	
<b>Link to Relevant Corporate Objective:</b>	All
<b>Document Previously Considered By:</b>	Executive Team Members Compliance & Risk Committee Finance & Investment Committee (SO4 only)
<b>Recommendation &amp; Action required:</b>  The Board is asked to:  a) Comment on the revised format of this report; b) Review the BAF for month 5 attached at appendix 1; c) Support the actions agreed at Finance & Investment Committee and Compliance & Risk Committee; and d) Consider if the BAF provides appropriate assurance, in that it identifies the risks, controls and assurance needed to allow for the achievement of the Trust's principal objectives.	

## Board Assurance Framework 2015/16

1. The Corporate Objectives for 2015/16 were approved by the Board in January 2015. Strategic Objectives 1 and 4 were revised and approved by the Board in June 2015 along with further actions and milestones. The BAF is based on the June 2015 version.

2. Each Strategic Objective has a designated a responsible Executive lead as follows:

SO1 – Medical Director and Director of Nursing and Patient Experience

SO2 – Director of Workforce

SO3 – Director of Strategic Development

SO4 – Director of Finance

All Executive team members have reviewed their areas of responsibility for the Corporate Objectives in the preparation of this report.

3. At the Board's training session on the BAF on 29<sup>th</sup> July 2015, it was agreed to review the format of BAF reporting in preparation for 2016/17 in order to give greater focus on key strategic issues. As a step towards this revision, the format of this report is presented so that the summary for each strategic objective is shown in Appendix 1, and the exception reports that would previously have been presented as a separate narrative have now been listed alongside the corporate objective to which they relate. A full review of the reporting format will take place as the Corporate Objectives for 2016/17 are developed and the refreshed BAF format will be agreed by the Board prior to the start of the new financial year.

4. The detail on progress with each sub-objective is provided for information in Appendix 2.

### Review of the BAF

5. Since the last Board meeting a report on the BAF has been received at the following meetings:

- Audit Committee, 10th September 2015 (BAF month 4)
- Compliance & Risk Committee, 24<sup>th</sup> September (BAF month 5)
- Finance & Investment Committee, 24<sup>th</sup> September (BAF month 5 – Strategic Objective 4 only)

6. The Finance & Investment Committee commented that some of the Corporate Risks linked to SO4 should be refreshed and this will take place through the Compliance & Risk Committee prior to the next report.

7. The Compliance & Risk Committee discussed the scoring of risk T031 "Failure to meet Monitor requirements resulting in breach of licence", presently at:

Consequence=4 (major) x Likelihood=5 (almost certain) = 20

It was felt that the likelihood was now too high and the Committee recommended this be reduced to 4 (likely), reducing the overall score to 16.

### **Recommendation**

The Board is asked to:

- a) Comment on the revised format of this report;
- b) Review the BAF for month 5 attached at appendix 1;
- c) Support the actions agreed at FIC and CRC; and
- d) Consider if the BAF provides appropriate assurance, in that it identifies the risks, controls and assurance needed to allow for the achievement of the Trust's principal objectives.