

**Trust Board Paper I**

<b>To:</b>	TRUST BOARD								
<b>From:</b>	MEDICAL DIRECTOR								
<b>Date:</b>	5 MAY 2011								
<b>Healthcare standard:</b>	Outcome 16 – Assessing and Monitoring the Quality of Service Provision								
<b>Title:</b>	<b>UHL STRATEGIC RISK REGISTER AND THE BOARD ASSURANCE FRAMEWORK (SRR/BAF)</b>								
<b>Author/Responsible Director:</b> Risk and Assurance Manager/ Medical Director									
<b>Purpose of the Report:</b> To provide the Board with a progress report for the development of the 2011/12 strategic (SRR) risk register and Board assurance framework (BAF).									
<b>The Report is provided to the Board for:</b>									
<table border="1" style="margin: auto;"> <tr> <td style="padding: 5px;">Decision</td> <td style="width: 40px;"></td> <td style="padding: 5px;">Discussion</td> <td style="width: 40px; text-align: center;"><b>X</b></td> </tr> <tr> <td style="padding: 5px;">Assurance</td> <td style="width: 40px; text-align: center;"><b>X</b></td> <td style="padding: 5px;">Endorsement</td> <td style="width: 40px;"></td> </tr> </table>	Decision		Discussion	<b>X</b>	Assurance	<b>X</b>	Endorsement		
Decision		Discussion	<b>X</b>						
Assurance	<b>X</b>	Endorsement							
<b>Summary / Key Points:</b>									
<ul style="list-style-type: none"> <li>• The Trust's Risk and Assurance Manager is currently developing the 2011/12 SRR/BAF.</li> <li>• This work is in two phases as described below: Linking of current strategic risks to the agreed UHL objectives and, finally, developing the BAF.</li> <li>• This work is scheduled to be completed by the end of June with the intention of providing a SRR/BAF report to the Board in July.</li> </ul>									
<b>RECOMMENDATIONS:</b>									
The Trust Board is invited to:									
<ul style="list-style-type: none"> <li>a) Receive and note this report.</li> <li>b) Confirm the frequency of SRR/BAF reporting for 2011/12.</li> </ul>									
<b>Strategic Risk Register</b> Yes	<b>Performance KPIs year to date</b> N/A								
<b>Resource Implications (eg Financial, HR)</b> None									
<b>Assurance Implications</b> This report provides assurance that the Trust's SRR and BAF for 2011/12 is under development with a defined timescale for presentation to the Board.									
<b>Patient and Public Involvement (PPI) Implications</b> N/A									
<b>Equality Impact</b> N/A									
<b>Information exempt from Disclosure</b> No									
<b>Requirement for further review ?</b> Yes. First quarter report to the Board in July 2011 and thereafter at a frequency agreed by the Board.									

**UNIVERSITY HOSPITALS OF LEICESTER NHS TRUST**

**REPORT TO: TRUST BOARD**

**DATE: 5 MAY 2011**

**REPORT BY: MEDICAL DIRECTOR**

**SUBJECT: UHL STRATEGIC RISK REGISTER AND THE BOARD ASSURANCE FRAMEWORK (SRR/BAF) 2011/12**

**1. INTRODUCTION**

- 1.1 It has been recognised that as the 2010/11 SRR/BAF has developed it has perhaps become too detailed and might obscure real risks facing the Trust. It is natural as the SRR/BAF matures it can be expected to vary in style, format and reporting frequency to suit the needs of the Trust (whilst meeting the minimum criteria laid down by the Dept of Health). The development of new strategic objectives in line with the Trust's 'Good to Great' strategy and the development of key risks /actions in the creation of the Integrated Business Plan (IBP) risk chapter provide an opportunity for review of the SRR/BAF.
- 1.2 The Trust's strategic risks for 2011/12 have been identified and agreed by the Executive Team drawing upon the 2010/11 SRR/BAF and also the 2011/12 business planning process. These risks have been assessed to identify their consequences, risk scores and any mitigating actions required, culminating in a review and agreement by the Board on 7 April 2011.

**2. ASSURANCE FRAMEWORK 2010/11: POSITION AS OF 30 APRIL 2011**

- 2.1 The Trust's Risk and Assurance Manager is currently developing the 2011/12 SRR/BAF using the template designed by the Director of Finance and Procurement. This work is in two phases as described below:
- a) Linking of current strategic risks to the agreed UHL objectives. the objectives are:
- Internationally recognised specialist services supported by R&D
  - Nationally recognised teaching, clinical and support services
  - To be the regional hospital of choice for planned care
  - To be the centre of a local acute emergency network
- b) Developing the Board Assurance Framework. This work will require significant input from the Executive Directors to understand the assurance sources and any gaps in control.

This work is scheduled to be completed by the end of June with the intention of providing a SRR/BAF report to the Board in July.

**3. The Trust Board is invited to:**

- a) Receive and note this report
- b) Confirm the frequency of SRR/BAF reporting for 2011/12

P Cleaver  
Risk and Assurance Manager  
22 April 2011