

Meeting title:	Trust Board (public)	Public Trust Board paper O
Date of the meeting:	9 th June 2022	
Title:	BAF report	
Report presented by:	Becky Cassidy, Director of Corporate & Legal Affairs	
Report written by:	Richard Manton, Head of Risk & Assurance and Helen Harrison, Transformation Programme Manager	

Action – this paper is for:	Decision/Approval	X	Assurance		Update	X
Where this report has been discussed previously	The UHL strategic themes and the revised BAF format and process have been discussed at meetings with the Executive Directors, NEDs and at a Trust Board Workshop on 24 th May 2022.					

To your knowledge, does the report provide assurance or mitigate any significant risks? If yes, please detail which

The BAF provides assurance and mitigation for identified strategic risks.

Impact assessment

The risks on the BAF have potential impacts on the following domains:

- Quality & safety – including Patients, staff, others and services
- Finance & resources
- Performance & compliance

Acronyms used:

BAF (Board Assurance Framework)

Purpose of the Report

This report:

- Summarises and reflects the amendments suggested to the 6 strategic themes discussed at the TB Workshop on 24th May.
- Sets out the process for how the BAF will be completed and used.
- Includes a copy of the new BAF template.
- Describes the next steps and timescales.

Recommendation

The Trust Board is invited to:

- Approve the wording of the 6 strategic themes (recognising these will change to align to the new Trust strategy and strategic objectives).
- Approve the new BAF template (recognising the template will be adapted as we further develop our governance framework).
- Note the next steps, in particular a fully populated version of the BAF will be presented to the Board in September.

Summary

The Board will be aware it is best practice to review the BAF annually.

The BAF should focus on strategic risks and reflect the main concerns of the organisation.

It is key there should be good alignment between the content of the BAF and the Trust Committee agendas.

The BAF and strategic themes presented today have been worked up through discussions with colleagues at the EPM and NEDs monthly meeting and the Trust Board Workshop in May.

Independent advice and input from internal audit, NHSE/I and Deloitte has been reflected.

Main report detail

Strategic themes:

The BAF will align to the following strategic themes:

No.	Strategic theme	Executive Lead	Board Committee
1	Timely, high quality, safe, sustainable care (note: this will incorporate strategic risks about performance & delivery and outcomes & experience)	CN, MD, COO	Operations & Performance Committee and Quality Committee
2	Working with system partners to develop an integrated care system across the health and social care community	DCEO	Reconfiguration & Transformation Committee
3	Looking after our people, developing workforce capacity and capability and a compassionate and	CPO	People & Culture Committee

	inclusive culture		
4	Sustainable, well governed finances	CFO	Finance Investment Committee
5	Infrastructure fit for the future (note: this will incorporate strategic risks about IM&T, Estates and Reconfiguration)	CIO, IDEF, DCEO	Reconfiguration & Transformation Committee
6	Research, education and improvement at the heart of patient care	MD, CN	People & Culture Committee

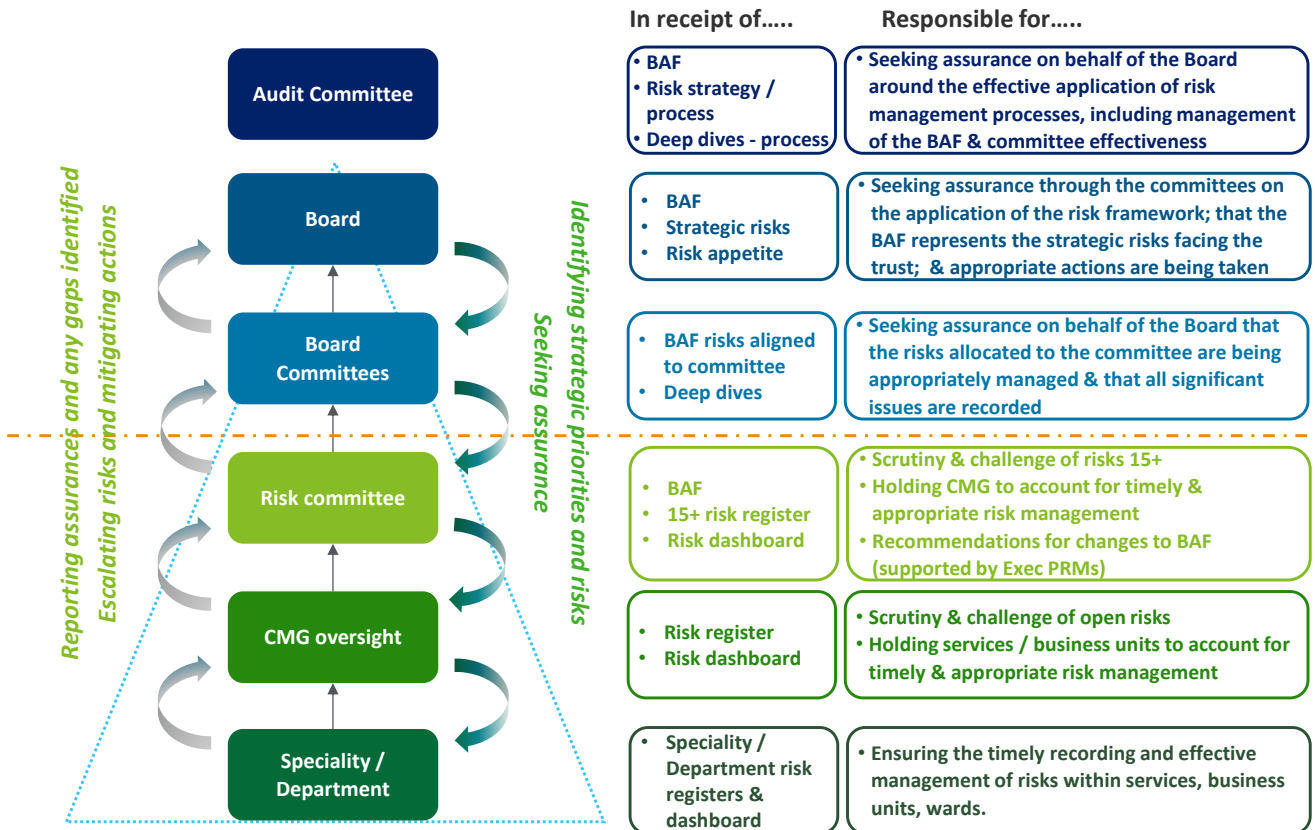
BAF process:

The relevant Board Committee will be responsible for seeking assurance on behalf of the Board that the risks allocated to the committee are being appropriately managed & that all significant issues are recorded.

The Risk Committee will be responsible for ensuring alignment between the BAF and the Trust risk register.

The Audit Committee will be responsible for seeking assurance on behalf of the Board around the effective application of risk management processes, including management of the BAF & committee effectiveness.

The risk hierarchy is shown in the figure below:



BAF template:

A copy of the new BAF template is attached at appendix A (recognising the template will be adapted as we further develop our governance framework).

Key next steps:

The key next steps to develop a fully populated BAF are as follows:

- Update the Trust Committee reporting template to incorporate the strategic themes.
- Take the new BAF through Trust Committees (monthly) from June 2022 onwards.
- Complete population of the BAF including controls & assurances from June 2022 onwards.
- Take fully populated BAF to Trust Board in Sept 2022.
- Agree risk appetite and score BAF risks (via a TB development session) in November 2022.

Appendix A – BAF template

Strategic theme				Risk Cause	Risk Event	Impact	Executive Lead	Committee	Controls	Assurance	Current assurance rating RAG	Current risk rating (IxL)	Gaps in control (C) Gaps in assurance (A)	Key next steps (to address gaps in controls or assurance)	Tolerable risk rating (IxL)
Working with system partners to develop an integrated care system across the health and social care community	Timely, high quality, safe, sustainable care	Looking after our people, working differently, in a compassionate and inclusive culture	Sustainable, well governed finances												