Sheffield City Council

NHS
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NHS Foundation Trust

BOARD OF DIRECTORS MEETING (Open)

Date: 14 June 2017 **Item Ref:** **08**

TITLE OF PAPER	**Board Assurance Framework 2017/18 – Next Steps**
TO BE PRESENTED BY	Margaret Saunders, Director of Corporate Governance (Board Secretary)
ACTION REQUIRED	Discuss and approve the next steps in the development of the Board Assurance Framework(BAF) 2017/18
OUTCOME	To ensure the Board of Directors is fully informed of the next steps in the development of the BAF 2017/18
TIMETABLE FOR DECISION	Reviewed and revised BAF 2017/18 to be presented at the July 2017 meeting of the Board.
LINKS TO OTHER KEY REPORTS / DECISIONS	Strategic Aim 5 – financially viable, effective and well governed organisation
LINKS TO OTHER RELEVANT FRAMEWORKS BAF, RISK, OUTCOMES	Internal Audit Reports on Risk Management Corporate Risk Register Board Assurance Framework Directorate Risk Registers
IMPLICATIONS FOR SERVICE DELIVERY AND FINANCIAL IMPACT	Board Assurance Framework (BAF) links to strategic aims and objectives, corporate (organisational) risk register, directorate risk registers. Plus the regulatory requirements of NHS Improvement.
CONSIDERATION OF LEGAL ISSUES	Compliance with Governance requirements of NHS Improvement including Trust Provider Licence.

Author of Report	Margaret Saunders
Designation	Director of Corporate Governance (Board Secretary)
Date of Report	5 June 2017

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SUMMARY REPORT

Report to: Open Board of Directors

Date: 14 June 2017

Subject: Board Assurance Framework 2017/18 – next steps

Presented by: Margaret Saunders, Director of Corporate Governance (Board Secretary)

Author: Margaret Saunders, Director of Corporate Governance (Board Secretary)

1. Purpose

This paper is designed to update the Board regarding the progress of developing the Board Assurance Framework (BAF) for 2017-18

2. Summary

The BAF is a tool which assists the Board to be assured that the organisation is well managed. As a tool it also helps the organisation to capture, report and monitor key risks to delivery of the strategic objective. The BAF records and assesses, identifies and implements corrective actions and reports on progress to the Board.

The BAF also provides assurances that the organisation is able to deliver its objectives, supporting the management of potential and actual risks. It helps the organisation assess the controls it has in place to mitigate the risks and reviews the assurances to check the controls are working.

On 24 May 2017 the Board held a successful workshop, attended by Executive and Non-Executive Directors and colleagues from 360 Assurance. The workshop built on the event held in October 2016, which outlined the principles of the BAF process, and started to populate the organisations BAF for 2017-18 based on the strategic objectives within Shaping the Future, the Trust Strategy Framework. The May 2017 workshop focused on identifying the risks associated with the Trust's strategic objectives and how to articulate those risks.

Workshop attendees focused on the four strategic aims of the Trust, Quality and Safety, People, Future Services and Value for Money, and the 16 strategic objectives, 4 Strategic Objectives under each Aim. Attached Appendix A is the first draft of the BAF, based on the output from the workshop, which includes the Strategic Objectives and the associated risks. The Trust is aware the delivery of the BAF is a collective responsibility with Executive leads having been identified for the delivery objectives, which form the next level of the strategic planning framework.

3 Next Steps

What	When	Who
Progress report to EDG	01.06.17	Director of Corporate Governance (Board Secretary)
Work with EDG colleagues to populate remainder of BAF	02 – 14.06.17	Director of Corporate (Board Secretary) Governance working with EDG colleagues
Cross reference new BAF with 16/17 to ensure ongoing risks not lost	02 – 14.06.17	Director of Corporate Governance (Board Secretary)
Progress report to Board	14.06.17	Director of Corporate Governance (Board Secretary)
EDG to sign off first draft of BAF prior to consultation and final approval at Board	15.06.17	EDG
Share BAF virtually with Board Members – asking NEDs who chair Board Committees to share with their committee members for comment. All comments back by 26 June 2017	16.06.17	Director of Corporate Governance (Board Secretary)
BAF updated to include comments from above 27.06.17 for paper to EDG 29.06.17	29.06.17	Director of Corporate Governance (Board Secretary)
Updated BAF to Audit Committee	11.07.17	Director of Corporate Governance (Board Secretary)
BAF to Board (with oral update from Audit Committee from 11.07.17	12.07.17	Director of Corporate Governance (Board Secretary)

4 Actions

Board is asked to:

- note the next steps and timetable for action.

5 Monitoring Arrangements

Progress on delivery of the BAF will be monitored by the Board, Audit Committee, EDG and the Trusts Internal Auditors.

6 Contact Details

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SHSC BOARD ASSURANCE FRAMEWORK 2017/18

AIM : QUALITY AND SAFETY - We will provide high quality care and support as early as possible in order to improve physical, mental and social wellbeing.

Risk Ref No	Risk Description	Lead	Current Risk Score			Target Risk Score			Controls	Gaps in Control	Sources of Assurance				Gaps in Assurance	RAG Rating of Gaps	Actions to address gaps in controls and assurance	Actions Assigned to	Target Date	Line no
			C	L	R	C	L	R			Internal	Rec'd	External	Rec'd						
Strategic Objective : Effective quality assurance and improvement will underpin all we do																				
A101	Failure to improve and maintain quality due to financial and transformational pressures	MH (4) LL (3)			0			0												
Strategic Objective : Deliver safe care at all times																				
A102	Lack of understanding and applying the regulatory requirement of safe care	MH (4) LL (2) DW (1)			0			0												
Strategic Objective : Provide positive experiences and outcomes for service users																				
A103	Failure to comprehensively capture the experience of our service users and take appropriate action	MH			0			0												
Strategic Objective : Timely access to effective care																				
A104i	Lack of agreed and appropriate targets across all services and lack of capacity to deliver	MH 1 CC 1			0			0												
A104ii	A lack of ability to influence our commissioners intentions	MH 1 CC 1			0			0												

SHSC BOARD ASSURANCE FRAMEWORK 2017/18

AIM : PEOPLE - We will promote a culture of collaboration, supporting people to work together to make a difference

Risk Ref No	Risk Description	Lead	Current Risk Score			Target Risk Score			Controls	Gaps in Control	Sources of Assurance				Gaps in Assurance	RAG Rating of Gaps	Actions to address gaps in controls and assurance	Actions Assigned to	Target Date	Line no
			C	L	R	C	L	R			Internal	Rec'd	External	Rec'd						
Strategic Objective : We will manage change positively and effectively ensuring support for staff																				
A201i	Lack of staff capacity and capability	DW	3	3	9			0												
A201ii	Failure to engage staff positively to embrace change	DW	2	4	8			0												
Strategic Objective : We will develop a strategic approach to enable workforce transformation																				
A202	Failure to develop a sustainable and integrated workforce strategy including a clear understanding of our current and future workforce and how we work effectively with partners to deliver the strategy	DW			0			0												
Strategic Objective : We will promote an effective culture of leadership and management based on Trust values																				
A203	Disconnect between strategic interventions and our operational need	DW			0			0												
Strategic Objective : We will prioritise the health and wellbeing of our employees																				
A204	A focus on external pressures may jeopardise the health of our employees	DW			0			0												

SHSC BOARD ASSURANCE FRAMEWORK 2017/18

AIM : FUTURE SERVICES We will develop excellent mental, physical an social wellbeing for the communities we serve through innovation, collaboration and sharing

Risk Ref No	Risk Description	Lead	Current Risk Score			Target Risk Score			Controls	Gaps in Control	Sources of Assurance				Gaps in Assurance	RAG Rating of Gaps	Actions to address gaps in controls and assurance	Actions Assigned to	Target Date	Line no
			C	L	R	C	L	R			Internal	Rec'd	External	Rec'd						
Strategic Objective : Deliver interventions and support closer to general practice, neighbourhoods and embedded within our services																				
A301	Lack of Primary Care Strategy	CC			0			0												
Strategic Objective : Collaborate and work with partners to support shared aims of delivering quality care and support																				
A302	Unfocused collaborative working model	CC 2 PE1			0			0												
Strategic Objective : Provide Effective community care and treatment																				
A303	If there is insufficient capacity and capability to implement plan to during transitional period.	CC			0			0												
Strategic Objective : Provision of high quality in-patient services supported by effective alternatives																				
A304i	If there is lack of alternative provision in place.	CC			0			0												
A304ii	If staff recruitment and retention is problematic	CC			0			0												

SHSC BOARD ASSURANCE FRAMEWORK 2017/18

AIM : VALUE FOR MONEY We will provide sustainable services through ensuring value for money, reducing waste and unproductive time for our staff

Risk Ref No	Risk Description	Lead	Current Risk Score			Target Risk Score			Controls	Gaps in Control	Sources of Assurance				Gaps in Assurance	RAG Rating of Gaps	Actions to address gaps in controls and assurance	Actions Assigned to	Target Date	Line no
			C	L	R	C	L	R			Internal	Rec'd	External	Rec'd						
Strategic Objective : We will improve the productivity and efficiency of our services																				
A401	Insufficient understanding of Trust baseline costs and potential to deliver productivity and efficiency outcomes	PE			0			0												
Strategic Objective : We will adapt some of the services we provide in response to demand and market conditions																				
A402	If there is a lack of integrated intelligence and information to make informed decision	CC			0			0												
Strategic Objective : An Estates plan that meets our needs																				
A403	If interdependencies of reconfiguration of community and in-patient service restructure are not aligned with the Estate plan and associated funding.	PE			0			0												
Strategic Objective : Use technology to deliver new ways of working and new care models																				
A404	If there is a lack of embeddedness of digital strategy and interdependencies with associated strategies	PE			0			0												