



Paper No. SET/05/19	
	Tick One ✓
For discussion	
For approval	✓
For information/noting	

Date of Trust Board Meeting: 11 February 2019

Confidential or Public Agenda: Public

Agenda item: Item 7.4 –Draft Board Assurance Framework and Risk Management Strategy – 2018/2021

1.0 Introduction

This paper presents the new Board Assurance Framework (BAF) and Risk Management Strategies for 2018/2021. The Board Assurance Framework was presented to, and approved by the Governance Assurance Committee at its meeting on 19 December 2018; the Risk Management Strategy was presented to, and approved by, the Corporate Control Committee at its meeting on 16 January 2019. A third complementary strategy – Integrated Governance is also currently being developed.

2.0 Background information

The Trust had in place a Board Assurance Framework and Risk Management Strategy for the period 2014/2017 which was approved by the Trust Board in June 2014. These documents were updated on an annual basis each year (December) and presented to the Governance Assurance and Corporate Control Committees respectively. The life span of the both documents was extended from December 2017 to June 2018 by the Governance Assurance Committee at its meeting on 10 January 2018. This was to take account of the changes to the AS/NZ standard – licence expired on 30 June 2018 and therefore could no longer be used or referenced in documents by all HSC Trusts and also the cessation of the former Controls Assurance Programme which ceased on 31 March 2018.

3.0 Brief summary of key points contained in the paper/s

3.1 Board Assurance Framework (BAF) 2018/21

This document is the fourth Assurance Framework produced by the Trust. It follows the principles of the previous frameworks. It is also based on the Department’s Assurance Framework (issued on 1 April 2009). The essential point of a good Assurance Framework is that it provides a stronger basis for effective challenge and better informed decision-making in the Boardroom. It is also of relevance to all those with responsibility for good governance and service improvement.

This BAF, therefore, is intended to help the Trust improve its systems of internal control. It does this by showing how the evidence for adequate control can be marshalled, tested and strengthened within an Assurance Framework. It forms part of a series of strategies and systems for improving and strengthening practices and governance arrangements so that safe and high quality health and social care are provided to all that need them.

The document also focuses on what assurance means for the Board, the process for assurance and the organisational and accountability frameworks to deliver this agenda. The framework work sits alongside the Corporate Risk Register system and the Organisational Controls Assurance process, which underpins all aspects of the business of Health & Social Care (HSC) – clinical and social care, corporate governance and financial – and which supports the Trust's governance arrangements.

Appendix 5 of the BA, contains a self-assessment of the Board's Assurance Arrangement Preparedness and all items are scored as fully effective.

3.2 Risk Management Strategy 2018/21

This document is the fourth Risk Management Strategy produced by the Trust which is based on current Departmental direction, guidance and best practice. The Trust seeks to deliver high quality care in all aspects of its services to patients/clients, staff, visitors, and the local communities. Risks occur daily in most activities undertaken within the Trust. Failure to manage these risks can result in injury to patients/clients, staff or visitors, claims against the Trust and resources lost from patient care. It is therefore vital to implement a strategy to effectively manage risks, which will result in better quality of care.

This document helps us understand what might prevent us from achieving our objectives (the risk) and then working out our response. This means trying to reduce the chance of each risk happening, or reducing the consequences if it does occur. It is not about totally eliminating risk, as that is not always practical especially in a health and social care environment. We must then decide which risks are urgent and more likely to occur, and the importance of their consequences.

The Trust is fully committed to the effective management of risks in all areas. This strategy provides the tools to make our risk management systems robust and systematic.

4.0 Recommendation/s for the Trust Board (please state if the paper/s is for information/noting or for approval by Board members)

The Trust Board is asked to approve the new Board Assurance Framework and Risk Management Strategy 2018/21.

Lead Director: Mrs Myra Weir
Designation: Director of Human Resources & Corporate Affairs
Date: 4 February 2019