Trust Board meeting (Part 1)	Date:	25 May 2016

Agenda item	Title	Executive Director lead and presenter	Report author
BD/16/052.1	**Board Assurance Framework/ Assurance Map**	**Emma Roberts, Director of Corporate Affairs and Company Secretary**	**Lee Mercer – Head of Risk and Legal Services**

This report is for:	
Decision	
Discussion	
To Note	X

History	
None.	

The following impacts have been identified and assessed within this report	
Equality	X
Quality	X
Privacy	X

Executive summary of key issues
This paper sets out recommendations for the Board Assurance Framework and Board Assurance Dashboards.

This report addresses these strategic priorities:	
We will deliver the best care	X
We will support and develop our staff	X
We will continually improve what we do	X
We will use our resources wisely	X
We will be future focussed	X

Avon and Wiltshire Mental Health Partnership Trust

1.1 Introduction

In 2015/16 the Trust introduced new Board Assurance Dashboards. Board Assurance Dashboards were intended as a replacement for the Board Assurance Framework and were designed as detailed by easy to understand report on how well the Trust was managing the risks to its objectives.

Whilst the Board Assurance Dashboards were well-received and improved the engagement of the Board with assurance they also had some weaknesses.

Notably, the Dashboards moved away from their original purpose – to provide an easily digestible summary of assurances (both negative and positive) on our control framework – to a hybrid assurance/performance document and began to include measures as to whether the objectives were being met, as opposed to whether the risks to the objectives were being appropriately controlled.

This report therefore recommends that we return to a more traditional Board Assurance Framework. To further improve clarity between reporting on the achievement of operational objectives it is recommended that the Board Assurance Framework become a more strategic document and track how well we are controlling the risks to our strategic priorities, supported by the revised Strategic Risk Register.

1.2 The new Board Assurance Framework

The draft Board Assurance Framework is Appendix 1 of this report.

The Board Assurance Framework itself should be a map that sets where Trust Board will get its assurances that we are controlling the risks to our strategic objectives throughout 2016/17

Strategic Priority → Key risks → Key controls → Assurances

Figure 1 - The constituent parts of a Board Assurance Framework

The Board Assurance Framework, which maps the assurances to the controls and risks, is set out in outline at the beginning of each financial year. It will largely be a static document, but will be added to if additional assurances are identified in year.

Every quarter an assurance report will set out what assurances have actually been received and whether they are positive or negative. It will also identify if there are any gaps in the assurance framework. The report will make recommendations to improve the assurance framework and close any gaps. The first report will be due in July 2016.

An example

The Board Assurance Framework sets out that one of the risks to our Strategic Priority of 'Delivering the best care' is that we don't learn the lessons from our CQC inspections. One of the ways in which we will try to control that risk is by having a Quality Improvement Plan in place.

We know from the Board Assurance Framework that one of the assurances that this control is effective will be an Internal Audit Report in November.

	Responsible COMMITTEE	Audit and Assurance	Finance and Planning	Quality and Standards	LEVEL 1 ASSURANCES - Management Reports	Chair's Report	Chief Executive's Report	Clinical Executive Report	Performance Report	Finance Report	Human Resources Report	Risk Report	LEVEL 2 ASSURANCES - Internal and External Audit	Care Management and PMO function	Quality Improvement Plan	Clinical Data Quality and Performance Management	Mandatory Training	Organisational Culture	Accomodation Planning and Estates Management	Workforce Planning and Engagement of Temporary Staff	Capacity Management	Procurement	Contract Management and System Leadership	Other security - encompassing data security and mobile w
			Board Reports																**Internal Audit**					
Key Controls																								
○ Inspection and quality walkarounds				●				●																
○ Quality Visits				●				●																
○ Quality Improvement Plan				●				●							●									
○ Critical Incident Overview Group				●				●																
○ Training programme on ligature risk				●				●																

When the internal audit report comes in it will either give us a positive assurance or a negative assurance. This will be reported within the quarterly Board Assurance Framework Report.

The Board Assurance Framework has been compiled from risks identified in the Annual Operating Plan 2016/17 and Executive Risk Registers. The Annual Operating Plan risks will also appear in the Trust's revised Strategic Risk Register.

1.3 Board Assurance Dashboards

It is recommended that once the Trust's sub-objectives have been established, the existing Board Assurance Dashboards be converted into performance dashboards and used to track, on a quarterly basis, progress against our annual objectives and sub-objectives.

The Corporate Affairs Team will work with the Head of Informatics to support the development of performance dashboards.

1.4 Recommendation

That the Trust Board **approve** the Board Assurance Framework and answer the following questions and changes to the board assurance process.