

‘You matter, we care’

<b>Summary Report – Trust Board Meeting (Part 1)</b>	<b>Date: 31<sup>st</sup> July 2013</b>
<b>Report Title: Board Assurance Framework</b>	
<b>Agenda Item BD/13/121</b>	<b>Enclosures:</b>
<b>Sponsor: Company Secretary</b>	<b>Presenter: Emma Roberts, Company Secretary</b>
<b>Report Author: Company Secretary</b>	
<b>Report discussed previously at:</b>	<b>-</b>

<b>Purpose of the Report and Action required</b>		
To advise the Board on further progress by ET in developing the Board Assurance Framework.	Approval	X
	Discussion	X
	Information	X

<b>Executive Summary of Key Issues</b>
<p>ET has now approved a Board Assurance Framework (BAF) which sets out in its first section Trust-wide enabling strategies and in its second section Delivery Unit priorities and objectives.</p> <p>The BAF attached is the basic framework, identifying all principle objectives from the Integrated Business Plan 2013/14 to 2017/18. ET, SMT and LMT (Locality Management Teams) are now populating the basic architecture of the BAF with the principal risks, the key controls, the assurances on controls and any gaps in controls for each of the strategies, priorities and objectives.</p> <p>The populated BAF will be made available for detailed scrutiny (along with the Trust-wide Risk Register) at the August 2013 meeting of the Board’s Audit and Risk Committee.</p>

## Risk Management - update

Which Strategic Objective does this paper address	
Consolidate	Y
Integrate	Y
Expand	Y

Corporate Impact Assessment	
Quality and Safety implications	The Risk Management process is an integral part of Quality and Safety delivery and assurance.

Recommendations to other committees
<p>The Audit and Risk Committee is required to provide the Board with a means of independent and objective review of financial and corporate governance, assurance processes and risk management across the whole of the Trust's activities.</p> <p>The Committee will therefore be asked to review the completed BAF at its meeting in August 2013.</p>

Recommendation/Decision
The Trust Board is asked to <b>approve</b> the outline Board Assurance Framework so that it may be populated for detailed review at Audit and Risk Committee.

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## Risk Management - update

### Overview

- 1.1. This report describes progress made by ET and SMT since the June 2013 Board report “Risk Management – The Way Forward”, which explained areas for improvement identified and confirmed after discussion with a number of AWP’s senior managers and with the Chair of the Audit and Risk Committee.

### Analysis and Discussion

- 1.2. The *Simple Rules* Guide for the NHS in 2009 explains that the “Board Assurance Framework provides a structure and process that enables the organisation to focus on those risks that might compromise achieving its most important (principal) annual objectives; and to map out both the key controls that should be in place to manage those objectives and confirm the Board has gained sufficient assurance about the effectiveness of those controls”.
- 1.3. During June and July ET has been taking the principal objectives of the Trust’s ‘Integrated Business Plan 2013/14 to 2017/18’ (IBP) and transferring them into the new 2013/14 Board Assurance Framework (BAF) and Trust-wide Risk Register.
- 1.4. The Company Secretary is preparing a report (Quality Assurance Framework, Board Assurance Framework, and Risk Registers – the integrated way forward) for the Audit and Risk Committee meeting of 15 August, explaining in detail the developments to date and planned. That meeting is expected to be able to review the populated BAF and Trust-wide Risk Register in depth.

### Conclusion

- 1.5. The current BAF now reflects all the principal risks identified through the iterative process of producing the IBP and feeds directly into the Trust-wide Risk Register.

### Recommendation

- 1.6. The Trust Board is invited to consider and approve the outline Board Assurance Framework so that, when the Board is satisfied that the BAF does provide a structure to identify the ‘principal risks’ being managed by the Trust, the BAF may be populated for detailed review at the next Audit and Risk Committee.

# Risk Management - update

## Appendix 1

From the Audit and Risk Committee report - How the QAF, BAF and Risk Registers fit together:

