

Healthcare Board Assurance Framework

IC CUBED DESIGNED AND IMPLEMENTED A NEW BOARD ASSURANCE FRAMEWORK FOR A PROVIDER OF COMMUNITY HEALTHCARE SERVICES.

Background

Our client had received criticism of their existing Board Assurance Framework (BAF) during an internal audit review, in addition to this a number of Non-Executive Directors had commented that they were struggling to see the link between what was being reported via the BAF and the day to day risks be managed at a service line level.

Solution

IC Cubed were engaged to review, re-design and help to implement a new BAF together with re-writing the risk management policy and standard operating procedures. The revised BAF enables readers to clearly see and link:

- the Trusts Strategic Objectives;
- Lead Director/Committee;
- Principal Risk;
- Inherent Risk Rating;
- Primary Controls, Detect and Prevent;
- Assurances Received;
- Residual Risk Rating;
- Gaps in Control or Assurance;
- Planned Actions; and
- Target Risk Rating.

Board Assurance Framework (BAF): October 2017

Ref	Lead Director / Lead Committee	Principal risk	Inherent risk rating	Primary controls	Assurances	Residual risk rating	Gaps in control or assurance	Planned actions	Target risk rating
BAF1	Chief Executive Officer Last reviewed: 30 September 2017	Failure to implement and maintain sound systems of Corporate Governance. If the Trust is unable to put in place and maintain effective corporate governance structures and processes. Caused by insufficient or ineffective resources and / or processes. It may result in sustained failure to achieve operational standards, disruption to multiple services, reduced quality of care for patients, unmanageable staff workload, increased costs and regulatory sanctions.	Inherent Risk Rating: 4 (Outright Risk) Inherent risk rating: 4 (high)	Prevent Controls Governance structure approved by the Board. Board committees (Quality & Safety, Finance & Investment, and Workforce) and sub-committees all have clear terms of reference as does the Council of Governors. SI's and SOPs have been approved by the Board.	The papers presented to the board meeting included updates from the Quality & Safety, Finance & Investment and Workforce Committees. CDC action plan in place Negative Assurance - Overall CDC rating shows improvement including improvement within the Work Led Outlets.	Residual Risk Rating: 3 (Possible) Residual consequence: 4 (high)	Quality dashboard uses data which is at least 6 weeks old meaning information provided to the Board may be out of date. Risk Management Strategy revision not completed.	Make review of processes underway. Director of Strategic Development Newly appointed Risk Manager to review existing documentation January 2018	Target risk rating: 2 (unlikely) Target consequence: 4 (high) Target risk rating: 1 (Low)
			Inherent risk rating: 4 (high)	Defeat Controls The committees and sub-committees monitor monthly reports from operational leads and significant points from these are reported to the Trust Board.		Residual Risk Rating: 4 (high) Residual consequence: 4 (high) Forecast trajectory: ↓	Small risk Review is required to take place during quarter 4 Lack of resources to support corporate initiatives (PMO)	Baseline review and gap analysis underway with development action plan to be developed Responsible Person: CEO and Trust Secretary Date for action to be complete: November 2017 for baseline review TMO in place to address transformation and CP Job description to replace elements of the PMO being developed but this work for the reality of the role Responsible Person: Trust Secretary December 2017	Target risk rating: 1 (Low)

Outcome

The revised BAF is used across all committees and sub committees of the Board in order to help drive the agenda for meetings and to focus attention on issues that need to be understood and addressed. The external company that provide internal audit services reviewed the BAF and commented that it was now one of the best that they had seen across all the North West Healthcare providers with whom they work.



◆ 0800 622 6250
◆ enquiries@iccubed.co.uk
◆ www.iccubed.co.uk