

Title:	Board Assurance Framework and Key Issues
Report to the:	Trust Board
Meeting date:	22nd May 2024
Agenda item:	13
Report author & Executive sponsor:	Rachel Hawkins, Director of Corporate Affairs

Assurance level:	Substantial <input checked="" type="checkbox"/> Reasonable <input type="checkbox"/> Partial <input type="checkbox"/> Minimal <input type="checkbox"/>
Rationale:	<ul style="list-style-type: none"> <li>• Key evidence in of mitigation and controls (included in the individual risks on a page in the reading room for Board members)</li> <li>• Robust risk and issue management policy and supporting procedures in place, which includes monthly reviews of all operational risks scoring 12 and above and all operational issues with a consequence rating of 4 and above, by the Wider Management Executive</li> <li>• Substantial assurance rating from internal audit for the latest risk management audit (October 2023)</li> </ul>
Assurance action:	<ul style="list-style-type: none"> <li>• To review the Board Assurance Framework considering the Board and Committee papers to confirm assurance rating.</li> </ul>

## 1.0 Executive Summary

1.1 The Board Assurance Framework (BAF) sets out an accurate and up to date analysis of the major risks being faced across the organisation and the overall risk profile across our service divisions.

## 2.0 Recommendation

2.1 The members are asked to:

- **discuss** the report and consider if the Board Assurance Framework accurately describes the main risks facing the organisation, and
- **agree** the substantial assurance recommendation of the report.

### 3.0 How the report supports achievement of the Strategic Objectives:

Provide outstanding care:	The risks to achieving this objective are identified within the BAF – Risks 3530 and 3562
Be collaborative:	The risks to achieving this objective are identified within the BAF – Risks 3467, 3475 and 3534
Be an excellent employer:	The risks to achieving this objective are identified within the BAF – Risks 3619 and 3620
Be sustainable:	The risks to achieving this objective are identified within the BAF – Risks 3514 and 3621

### 4.0 How the report supports tackling Health Inequalities

4.1 The report doesn't specifically address Health Inequalities.

### 5.0 Links to Board Assurance Framework / Trust Risk Register

5.1 Board Assurance Framework Risks linked as above in section 3.0.

### 6.0 Legal and Regulatory requirements

6.1 Well Led Framework / Self-assessment of governance.

### 7.0 Previous report

7.1 Board Assurance Framework, 20<sup>th</sup> March 2024

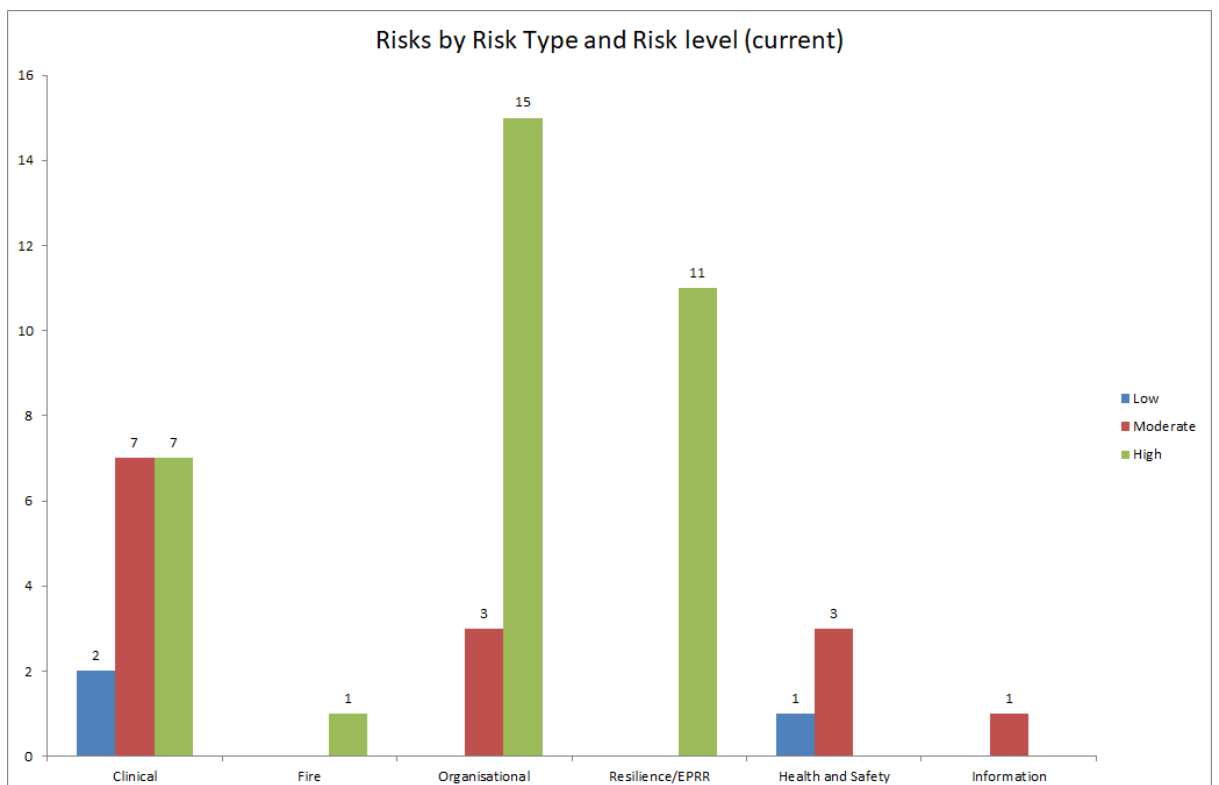
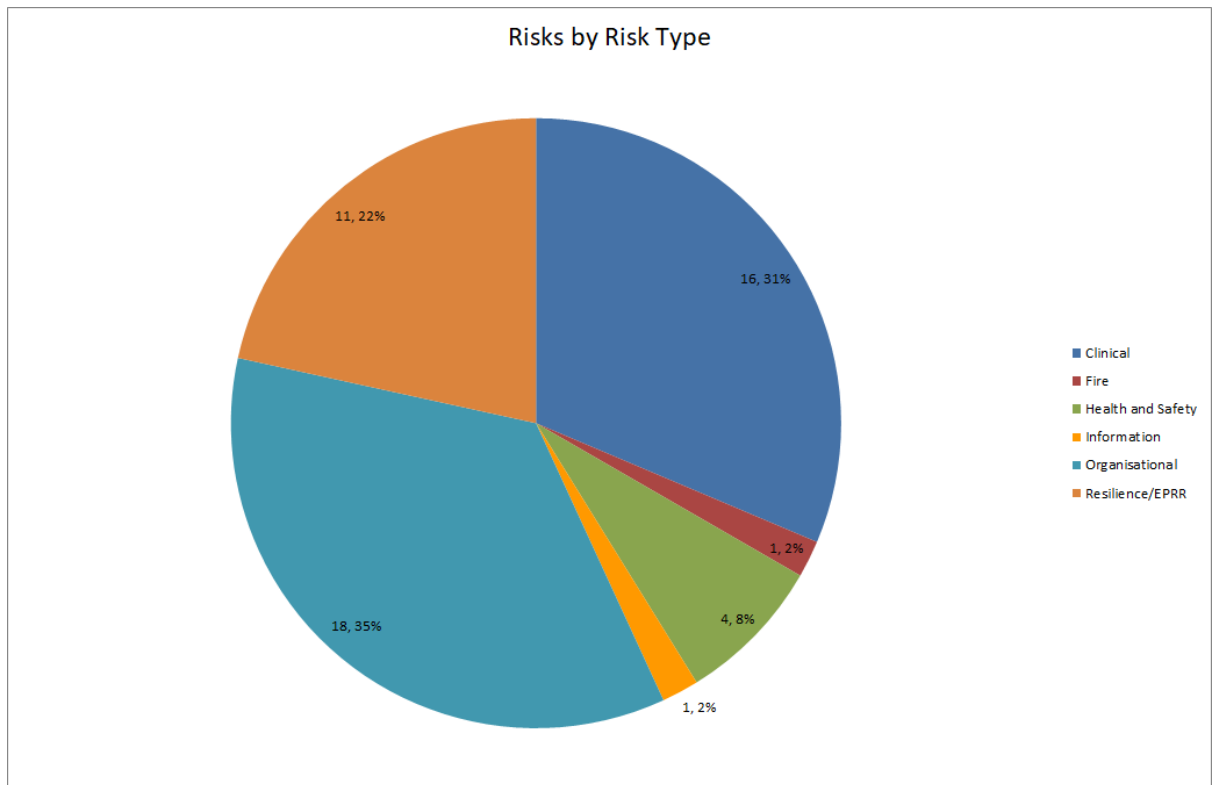
### 8.0 Strategic Risks

8.1 The Trust's Board Assurance Framework incorporates a live register of the principal risks faced by the Trust in meeting its strategic objectives. It provides the Trust with a clear and comprehensive method of:

- ❖ describing the main risks to achieving the organisation's strategic objectives,
- ❖ describing the controls, assurance, and oversight of these risks, and
- ❖ identifying any gaps in controls and assurance.

8.2 There are nine strategic risks on the Board Assurance Framework. The Board Assurance Framework and strategic risks were last reviewed by the Trust Board on 20<sup>th</sup> March 2024 and the Audit Committee on 10<sup>th</sup> April 2024, to ensure that they were aligned to the Trust's strategic objectives. In developing our plans for 2024/25, a review of the Trust's strategic risks has since been undertaken by the Executive Team in April and discussed at the April Trust Board Workshop. The latest position is shown in the Dashboard at **Appendix A**.

8.3 The following diagrams show the types of all risks on the risk register and the severity of those risks.



8.4 All risks are aligned to the Board or Board Committees for oversight and are reviewed at least annually in these fora.

- 8.5 All operational risks scoring 12 and above are reviewed and discussed each time a relevant sub-committee meets and anything needing Board discussion is escalated through the Integrated Governance Report.
- 8.6 Each time the Board meets in public, it receives assurance and detail on the management of operational risks scoring 15 and above, within the Integrated Governance Report. There are currently no operational risks scoring 15 and above.
- 8.7 All new risks are reviewed by senior leaders monthly with high scoring and high impact risks. The monthly meetings also take a thematic review of all risks within a particular division. This has led to greater scrutiny of risks and greater consistency in articulation of risks throughout the Trust.

## **9.0 Issues**

- 9.1 In addition to strategic risks on the Board Assurance Framework, the Trust has introduced a new approach to reporting Issues facing the Trust, using the Datix system.
- 9.2 The Trust's risk management policy has been updated to include the approach to issue management, including a new standard operating procedure.
- 9.3 As at 2<sup>nd</sup> May 2024 there are 10 issues with a consequence rating of 4 (major) on the issue register, one of which is a strategic issue that is assigned to the Board; Issue 3566 - rising levels of violence and aggression against our staff. Currently there are no issues with a consequence rating of 5 (catastrophic). All ten issues are discussed at board level committees and included in the Integrated Governance Report to the Trust Board.

## Appendix A – Board Assurance Framework

BOARD ASSURANCE FRAMEWORK 2024-2025																	
BAF Dashboard 2024-25																	
Strategic Priority	Risk No	Risk Description	Executive Lead	Lead Committee	Initial	Risk Score 2023/24					Risk Score 2024/25					Anticipated Closure Date	
						Aug/ Sept	Oct/ Nov	Dec/ Jan	Feb/ Mar	Apr/ May	Jun/ Jul	Aug/ Sep	Oct/ Nov	Dec/ Jan	Feb/ Mar		Target
Be collaborative	3467	There is a risk that if we fail to agree a cross organisational transformational approach for children and young people services in Cambridgeshire and Peterborough, then the Integrated Care Board may not support the establishment of the Accountable Business Unit.	CEO	Board	12	6	6	12	12	12	0	0	0	0	0	4	31/03/2025
						↓	→	↑	→	→							
	3475	There is a risk that if Cambridgeshire and Peterborough Integrated Care System and the Trust fails to secure funding for the redevelopment of the Princess of Wales Hospital, Ely, this would prevent the facilities and infrastructure being upgraded and as a result impact on the quality of care provided to patient and service users.	Director of Corporate Affairs	Board / Infrastructure	16	12	12	12	12	12	0	0	0	0	0	4	31/03/2025
						↓	→	→	→	→							
	3534	There is a risk that outcomes for patients and experience for staff will be adversely affected if we are unable to maximise the benefits of collaborative working across the different systems in which we work.	Director of Workforce / Deputy CEO	Board	12	12	12	12	12	12	0	0	0	0	0	8	31/03/2026
						→	→	→	→	→							
Provide outstanding care	3530	There is a risk that if the Trust cannot meet the requirements of the CQC's fundamental standards of care, patients may not receive high quality care and the impact of this would be a poorer experience for the patient and the potential that the Trust would not maintain it's outstanding rating.	Chief Nurse	Board / Quality Improvement Safety	12	12	12	12	12	4	0	0	0	0	0	4	28/06/2024
							→	→	→	↓							
	3562	There is a risk that safeguarding work across all localities is unable to be managed within the staffing capacity available and that this may result in children, young people and adults being left without adequate safeguarding measures.	Chief Nurse	Board / Quality Improvement Safety	16	16	12	12	8	12	0	0	0	0	0	8	28/06/2024
						→	↓	→	↓	↑							

**BOARD ASSURANCE FRAMEWORK 2024-2025**

**BAF Dashboard 2024-25**

Strategic Priority	Risk No	Risk Description	Executive Lead	Lead Committee	Initial	Risk Score 2023/24				Risk Score 2024/25						Anticipated Closure Date	
						Aug/ Sept	Oct/ Nov	Dec/ Jan	Feb/ Mar	Apr/ May	Jun/ Jul	Aug/ Sep	Oct/ Nov	Dec/ Jan	Feb/ Mar		Target
Be an excellent employer	3619	There is a risk that if staff morale falls the delivery of high quality care may be adversely affected.	Director of Workforce / Deputy CEO	Board / Clinical Operational Boards	12					12	0	0	0	0	0	8	31/03/2025
										N/A							
Be an excellent employer	3620	There is a risk that should a service experience a high level of unplanned absence and/or vacancies the delivery of high quality care may be adversely affected.	Director of Workforce / Deputy CEO	Board / Quality Improvement Safety / Clinical Operational Boards	12					12	0	0	0	0	0	8	31/03/2025
										N/A							
Be sustainable	3514	There is an increased risk of a cyber-attack upon the Trust which could result in a potential loss or disablement of services which would directly impact patients, service users and staff.	Director of Finance & Resources	Board / Infrastructure	12	12	12	12	12	12	0	0	0	0	0	12	28/11/2025
							→	→	→	→							
Be sustainable	3621	There is a risk that due to increasing inflationary pressures and a challenging efficiency target, the Trust may not deliver a balanced financial plan for 2024/25 which could impact on the delivery of services.	Director of Finance & Resources	Board	12					12	0	0	0	0	0	8	31/03/2025
										N/A							

Risk Matrix					
Likelihood/ Frequency ↓	Consequence/Impact →				
	Insignificant 1	Minor 2	Moderate 3	Major 4	Catastrophic 5
5 Almost Certain	Moderate 5	High 10	Significant 15	Significant 20	Significant 25
4 Likely	Moderate 4	High 8	High 12	Significant 16	Significant 20
3 Possible	Low 3	Moderate 6	High 9	High 12	Significant 15
2 Unlikely	Low 2	Moderate 4	Moderate 6	High 8	High 10
1 Rare	Low 1	Low 2	Low 3	Moderate 4	Moderate 5

Trust Board Committees	
Infrastructure	Infrastructure Committee
COBs	Clinical Operational Boards
PPC	People Participation Committee
QIS Comm	Quality Improvement & Safety Committee
RemCo	Remuneration Committee
Audit	Audit Committee
Char	Charitable Funds Committee
JCPB	CCS/CPFT Joint Children's Partnership Board

Risk Score = Consequence x Likelihood (C x L)

For grading risk, the scores obtained from the risk matrix are assigned grades as follows

	1 - 3	Low risk
	4 - 6	Moderate risk
	8 - 12	High risk
	15 - 25	Extreme risk