

Title:	Board Assurance Framework		
Report to:	Trust Board		
Meeting:	27-09-2023	Agenda item: 14	
Purpose of the report:	For Noting <input type="checkbox"/>	For Decision <input checked="" type="checkbox"/>	

Executive Summary:

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.

Appendices:

Appendix A – Board Assurance Framework

Recommendation:

The Board is asked to consider if the Board Assurance Framework accurately describes the main risks facing the organisation.

	Name			Title	
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"/>	No assurance <input type="checkbox"/>	
Rationale for Assurance rating:	<ul style="list-style-type: none"> - Key evidence in of mitigation and controls (included in the individual risks on a page in the reading room for Board members) - Robust risk management policy and supporting procedures in place which includes monthly review of all risks scoring 12 and above by the Wider Management Executive - Substantial assurance rating from internal audit for the latest risk management audit 				
Assurance action:	<ul style="list-style-type: none"> - To review the BAF in light of the Board and Committee papers to confirm assurance rating. 				

How the report supports achievement of the Trust Strategic Objectives

Trust Objective	
Provide outstanding care	The risks to achieving this objective are identified within the BAF – Risks 3530, 3562 and 3502
Be Collaborative	The risks to achieving this objective are identified within the BAF – Risks 3467, 3475, 3532 and 3534
Be an excellent employer	The risks to achieving this objective are identified within the BAF – Risks 3533 and 3540
Be Sustainable	The risks to achieving this objective are identified within the BAF – Risks 3514 and 3529
Equality and Diversity Objective - Describe how this report / paper addresses Health Inequalities:	
The report doesn't specifically address Health Inequalities	

Links to BAF risks / Trust risk register

BAF risks set out as an item in this report.

Legal and Regulatory requirements:

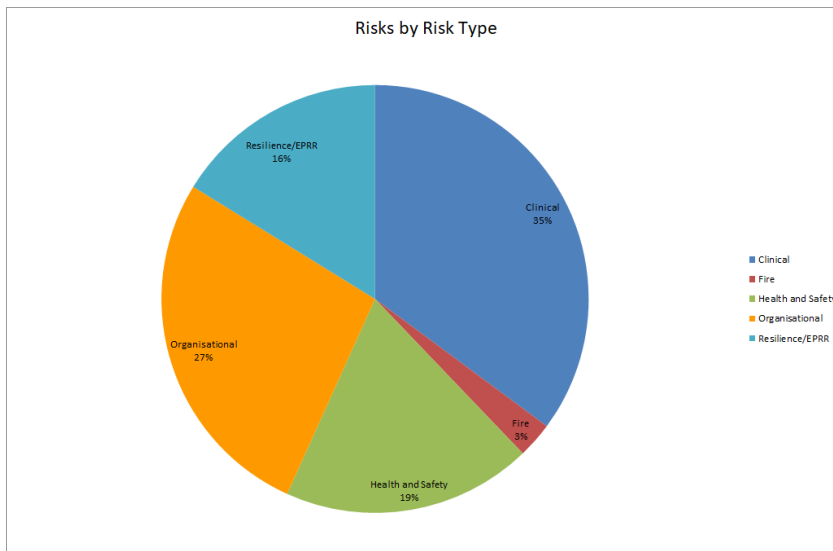
Self assessment of governance

Previous Papers (last meeting only):

Title:	Date Presented:
Board Assurance Framework	19 th July 2023

Strategic Risks

- 1.1 The Trust's Board Assurance Framework (BAF) 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
- 1.2 On 1st September 2023 there were 11 strategic risks on the Board Assurance as shown in the dashboard in **Appendix A**.
- 1.3 The Board Assurance Framework and strategic risks were last reviewed by the Audit Committee on 27th July 2023 and the Trust Board on 19th July 2023 to ensure they were aligned to 2023-24 Trust strategic objectives.
- 1.4 The following diagrams show the types of all risks on the risk register and the severity of those risks.



- 1.5 All risks are aligned to the Board or sub-committees for oversight and are reviewed at least annually in these fora.
- 1.6 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 (IGR).
- 1.7 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 5 operational risks scoring 15 and above.
- 1.8 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.

Issues

- 2.1 In addition to strategic risks on the Board Assurance Framework, the Trust has introduced a new approach to reporting Issues facing the Trust, through the use of the Datix system.
- 2.2 The Trust's risk management policy has been updated to include the approach to issue management, including a new standard operating procedure.
- 2.3 There are 9 issues scoring a consequence of 4 (major) on the Issue Register and these are reported through the Integrated Governance Report.

BOARD ASSURANCE FRAMEWORK 2023-2024																	
BAF Dashboard 2023-24																	
Strategic Priority	Risk No	Risk Description	Executive Lead	Lead Committee	Initial	Risk Score 2022/23				Risk Score 2023/24						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 C&P, then the Integrated Care Board may not support the establishment of the Accountable Business unit.	CEO	Board	12	8	8	6	6	6	6	6	0	0	0	2	30/11/2023
						↓	→	↓	→	→	→						
	3475	There is a risk that if C&P ICS 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	12	12	0	0	0	4	31/03/2024
						↓	→	→	→	→	→	→					
	3532	There is a risk that as Integrated Care Boards become a fixed jurisdiction for NHS planning, the Trust will be negatively affected due to being members of multiple systems as a large proportion of our income is received from Local Authorities.	CEO	Board	12					12	12	12				8	31/03/2024
									N/A	→	→						
	3534	There is a risk that outcomes for patients will not be improved if we are unable to maximise collaborative working across the different systems in which we work.	Director of Workforce / Deputy CEO	Board	12					12	12	12	0	0	0	8	31/03/2026
										N/A	→	→					
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 / QIS com	12					12	12	12	0	0	0	4	30/11/2023
										N/A	→	→					
	3562	There is a risk that safeguarding work across all locales 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. There is potential for the reduced staffing capacity impacting negatively on emotional wellbeing and so this risk is also linked to Issue 3531.	Chief Nurse	Board / QIS com	16	0	0	0	0	0	16	16	0	0	0	8	30/09/2023
											N/A	→					
	3502	There is a risk that if industrial action is taken that affected areas will be unable to deliver their services, which will lead to patients/service users not receiving the care that they need and potentially negatively impacting staff morale.	Director of Workforce / Deputy CEO	Board/COBS	12	12	12	12	8	8	12	12	0	0	0	8	29/09/2023
						→	→	→	↓	→	↑	→					

BOARD ASSURANCE FRAMEWORK 2023-2024																	
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Strategic Priority	Risk No	Risk Description	Executive Lead	Lead Committee	Initial	Risk Score 2022/23				Risk Score 2023/24						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	3533	There is a risk that if staff morale falls and/or services experience significant workforce challenges that the delivery of high quality care will be adversely affected.	Director of Workforce / Deputy CEO	Board	12					12	12	12	0	0	0	8	31/03/2024
										N/A	→	→					
Be an excellent employer	3540	There is a risk that due to competing demands on individuals/teams/services we will not have sufficient leadership capacity to deliver our overall trust strategy, strategic objectives and operational service plans.	Director of Workforce / Deputy CEO	Board	12					12	12	8	0	0	0	8	31/03/2024
										N/A	→	↓					
Be sustainable	3514	There is a 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	0	15	15	15	15	12	12	0	0	0	12	28/11/2025
						N/A	↑	→	→	→	↓	→					
Be sustainable	3529	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 2023/24 which could impact on the delivery of services.	Director of Finance & Resources	Board	12					12	12	12	0	0	0	8	31/03/2024
										N/A	→	→					