

Title:	Board Assurance Framework and Key Issues
Report to the:	Trust Board
Meeting date:	20 th March 2024
Agenda item:	16
Report author & Executive sponsor:	Rachel Hawkins, Director of Corporate Affairs

Assurance level:	Substantial ✓ Reasonable □ Partial □ Minimal □
Rationale:	 Key evidence in of mitigation and controls (included in the individual risks on a page in the reading room for Board members) 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
	Substantial assurance rating from internal audit for the latest risk management audit (October 2023)
Assurance action:	To review the Board Assurance Framework considering the Board and Committee papers to confirm assurance rating.

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, 3562, 3502 and 3586
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

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

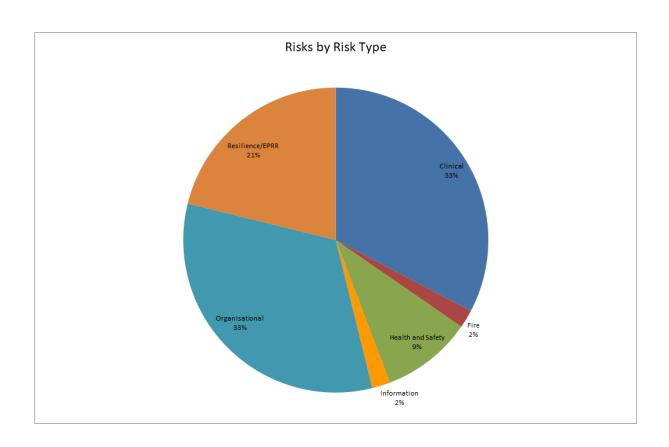
6.1 Well Led Framework / Self-assessment of governance.

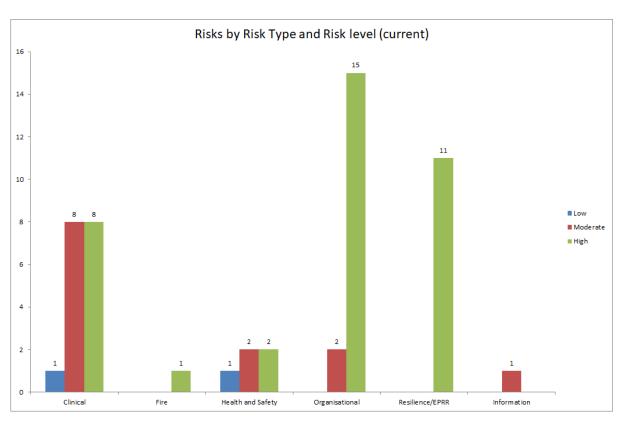
7.0 Previous report

7.1 Board Assurance Framework, 24th January 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 On 4th March 2024 there were 12 strategic risks on the Board Assurance Framework as shown in the Dashboard in **Appendix A**.
- 8.3 The Board Assurance Framework and strategic risks were last reviewed by the Trust Board on 24th January 2024 and the Audit Committee on 17th January 2024, to ensure that they were aligned to 2023-24 Trust strategic objectives.
- 8.4 The following diagrams show the types of <u>all</u> risks on the risk register and the severity of those risks.





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

- 8.6 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.
- 8.7 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 no operational risks scoring 15 and above.
- 8.8 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.

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 4th March 2024 there are nine 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 nine issues are discussed at board level committees and included in the Integrated Governance Report to the Trust Board.

Appendix A – Board Assurance Framework

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			impacting staff morale.	Deputy CEO										_						

Strategic	Risk		Executive	Lead			Risk Sco	re 2022/23			R	sk Score	2023/2	4			
Priority	No	Risk Description	Lead	Committee	Initial	Aug/ Sept	Oct/ Nov	Dec/ Jan	Feb/ Mar	Apr/M ay	Jun/ Jul	Aug/S ep	Oct/ Nov		Feb/M ar	Target	Anticipated Closure Date
ployer	3533 significa	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	12	12	12	8	31/03/202
ent er		will be adversely alleded.								N/A	→	→	→	→			
an excell	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	8	8	8	8	31/03/20
Be										N/A	\rightarrow	↓	\rightarrow	1	\rightarrow		
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	12	12	12	12	28/11/20
			1,000,000			N/A	1	\rightarrow	\rightarrow	\rightarrow	\	→		\uparrow	\rightarrow		
	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	Director of Finance &	Board	12					12	12	12	12	12	8	8	31/03/2
		services.								N/A	→	→	→	<u> </u>	_		

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

QIS Comm Quality Improvement & Safety Committee RemCo Remuneration Committee Audit Audit Committee Char Charitable Funds Committee JCPB CCS/CPFT Joint Children's Partnership

Board

Trust Board Committees

Infrastructure Committee

Clinical Operational Boards

People Participation Committee

Infrastructure

COBs

PPC

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