

Title:	Board Assurance Framework and Key Issues
Report to the:	Trust Board
Meeting date:	24 th January 2024
Agenda item:	9
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"> • Key evidence 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 (last reviewed on 9th January 2024) • Substantial assurance rating from internal audit for the latest risk management audit (October 2023)
Assurance action:	<ul style="list-style-type: none"> • 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, 22nd November 2023

8.0 Strategic Risks

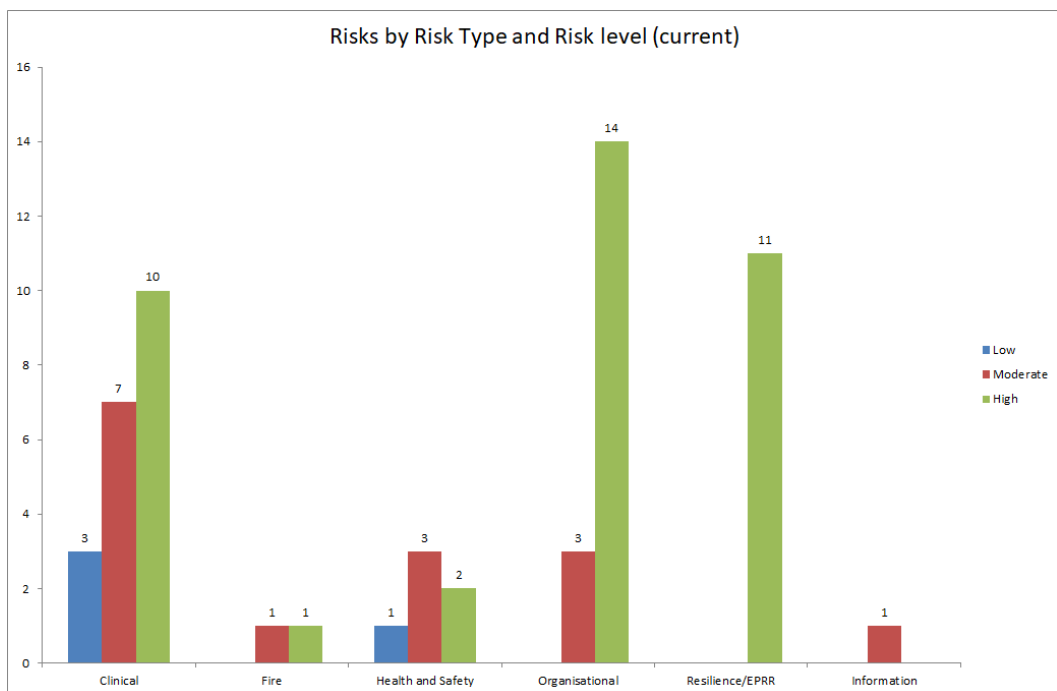
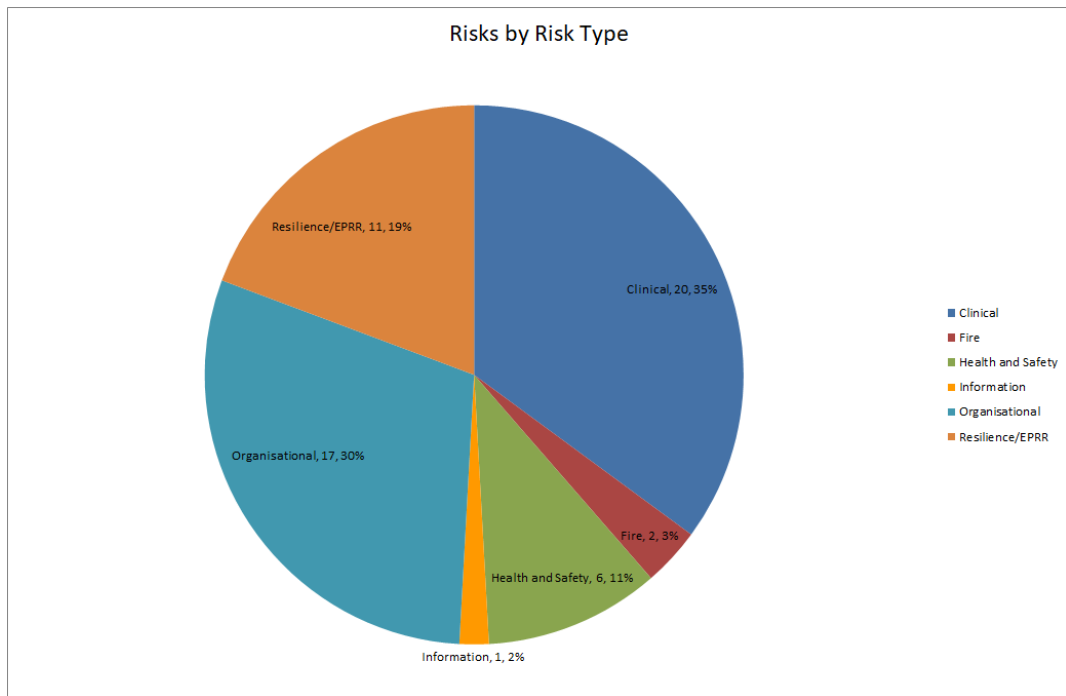
8.1 The Trust's Board Assurance Framework incorporates a live register of the principal risks faced by the Trust in meeting its strategic objectives. It provides the Trust with a clear and comprehensive method of:

- ❖ 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 January 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 22nd November 2023 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 all 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 January 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

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/M ay	Jun/ Jul	Aug/S ep	Oct/ Nov	Dec/ Jan	Feb/M ar		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	6	12	0	2	31/03/2024
						↓	→	↓	→	→	→	→	→	↑			
	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 Hosptial, 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	12	12	0	4	31/03/2025
						↓	→	→	→	→	→	→	→	→			
Be collaborative	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	12	12	0	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	12	12	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	12	12	0	4	28/06/2024
										N/A	→	→	→	→			
	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. 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	12	12	0	8	28/06/2024
											N/A	→	↓	→			
	3586	There is a risk that heading into winter 23/24 there is an increased likelihood of winter virus's affecting our people's health, increasing sickness absence or carers leave . Increased staff absence due to sickness will affect our ability to deliver care to our patients. It will increase pressure on those who are at work potentially affecting morale.	Chief Nurse	Board	16								12	12	12	0	12
												N/A	→	→			
Provide outstanding care	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	12	8	0	8	17/06/2024
						→	→	→	↓	→	↑	→	→	↓			

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/M ay	Jun/ Jul	Aug/S ep	Oct/ Nov	Dec/ Jan	Feb/M ar		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	12	12	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	8	8	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	12	12	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	12	12	0	8	31/03/2024
										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