

## Board Assurance Framework: Summary at November 2020

Strategic Outcome	Risk No	Risk Description	Executive Lead	Lead Committee
Improved population health outcomes	1	If the Trust does not anticipate, and proactively respond to, external changes, including factors outside the Trust's control, then the Trust may fail to deliver in its strategy, including our population health, quality and value strategic objectives, and key associated transformation plans	Director of Integrated Care	Population Health T&F (to be reviewed)
Improved population health outcomes	2	If the Trust does not engage, influence and enthuse citizens, communities, partners in local health and care systems, and staff then the Trust may fail to deliver on its strategy, including our population health, quality and value strategic objectives, and key associated transformation plans	Chief Medical Officer	Population Health T&F (to be reviewed)
Improved patient experience	3	If the Trust does not effectively work with patients and local communities in the planning and delivery of care, services may not meet the needs of local communities	Deputy CEO	People Participation Committee
Improved patient experience	4	If essential standards of quality and safety are not maintained, this may result in the provision of sub-optimal care and increases the risk of harm	Chief Nurse	Quality Assurance Committee
Improved staff experience	5	If the Trust does not effectively attract, retain and look after staff wellbeing, there will be an impact on the Trust's ability to deliver the Trust's strategy	Director of People & Culture	Appointments & Remuneration Committee
Improved staff experience	6	If issues affecting staff experience and equalities are not addressed there may be issues around staff morale and engagement	Director of People & Culture	Appointments & Remuneration Committee
Improved value	7	If behavioural and culture changes are not embedded, the new approach to value and financial sustainability may result in resorting to previous methods of delivering efficiency savings	Director of Commercial Development	Finance, Business & Investment Committee
Improved value	8	If infrastructure plans are not well implemented and adopted, waste will not be reduced and in year financial benefits may not be delivered. This includes infrastructure, people and directorate plans	Deputy CEO	Finance, Business & Investment Committee

Risk	Updates	Lead Committee/ Risk Score
<p><b>Risk 1:</b> If the Trust does not anticipate, and proactively respond to, external changes, including factors outside the Trust's control, then the Trust may fail to deliver in its strategy, including our population health, quality and value strategic objectives, and key associated transformation plans</p>	<ul style="list-style-type: none"> <li>Executive continue to be proactive in engaging with leaders within each of our systems, regionally and nationally</li> <li>A formal horizon scanning exercise to be undertaken</li> <li>Impact of significant changes in the NHS and social care policy environment through the NHS Long Term Plan</li> <li>Impact of COVID-19.</li> <li>Further consideration to be given to the structures which need to be in place for the Board to be assured that this risk is appropriately mitigated and have sufficient oversight</li> </ul>	<p>PHG <b>High 12</b></p>
<p><b>Risk 2:</b> If the Trust does not engage, influence and enthuse citizens, communities, partners in local health and care systems, and staff then the Trust may fail to deliver on its strategy, including our population health, quality and value strategic objectives, and key associated transformation plans</p>	<ul style="list-style-type: none"> <li>Executive continue to be proactive in engaging with leaders within each of our systems, regionally and nationally</li> <li>A stakeholder mapping exercise to be undertaken and a stakeholder strategy developed</li> <li>Further consideration will need to be given to the structures which need to be in place for the Board to be assured that these risks are appropriately mitigated and have sufficient oversight.</li> <li>Mitigating actions also being taken forward under risks 3, 5 and 7 (patient experience, staff experience and financial viability)</li> </ul>	<p>PHG <b>High 12</b></p>
<p><b>Risk 3:</b> If the Trust does not effectively work with patients and local communities in the planning and delivery of care, services may not meet the needs of local communities</p>	<ul style="list-style-type: none"> <li>People Participation Committee reviewed risk for the first time (following agreed change in Committee 'ownership') at its meeting on 16 September 2020; details included on the BAF attached have not been updated since this meeting as PPC not due to meet until 16 Dec</li> <li>PPC agreed that reference to peer support should be included in mitigating actions</li> <li>PPC requested a briefing session on the BAF and risk management be arranged for members</li> </ul>	<p>People Participation <b>High 12</b></p>
<p><b>Risk 4:</b> If essential standards of quality and safety are not maintained, this may result in the provision of sub-optimal care and increases the risk of harm</p>	<ul style="list-style-type: none"> <li>CQC inspection of Leighton Road Surgery to be part of Trust well-led action plan</li> <li>Primary care directorate support from corporate services</li> <li>Monthly performance meetings primary care set up, quarterly quality review structure in place</li> <li>Continuing to meet with the CQC</li> <li>Quality Committee parts 2 and 3 resumed in September 2020</li> <li>Staff and service user influenza vaccination programme commenced in September 2020</li> <li>Increase of COVID-19 outbreaks in clinical services across the Trust</li> <li>Systems have been put in place to track and trace everyone on Trust premises and root cause analysis completed on outbreak</li> </ul>	<p>QAC <b>Significant 20</b></p>
<p><b>Risk 5:</b> If the Trust does not</p>	<ul style="list-style-type: none"> <li>8 Trust wide Race and Privilege sessions attend by c500 staff between May and July in</li> </ul>	<p>RemCo</p>

Risk	Updates	Lead Committee/ Risk Score
effectively attract, retain and look after staff wellbeing, there will be an impact on the Trust's ability to deliver the Trust's strategy	<p>response to the race issues in America. Sessions also held for Governors and Board</p> <ul style="list-style-type: none"> <li>• 98% submission rate for Risk Assessment for vulnerable staff including BAME</li> <li>• National data submissions for the Workforce Race Equality Standard (WRES), Workforce Disability Equality Standard (WDES) has been reinstated and submissions made</li> <li>• Internal Audit by RSM focusing on remote working</li> <li>• Trust staff who can work from home advised to do so in discussion with their line manager</li> <li>• MoU in NEL and BLMK to help the movement of staff across organisations</li> <li>• Contract with NHS Professionals to help with provision of temporary staffing</li> <li>• All recruitment processes have been streamlined to expedite recruitment</li> <li>• Creation of an online induction programme</li> <li>• Developing bank for GPs following transfer in of Leighton Road/Cauldwell Road GP practices</li> <li>• Hardship grants have been awarded to some staff</li> <li>• Reviewing actions required following launch of NHS People Plan</li> </ul>	<p><b>High 12</b></p>
<b>Risk 6:</b> If issues affecting staff experience and equalities are not addressed there may be issues around staff morale and engagement	<ul style="list-style-type: none"> <li>• National data submissions for WRES and WDES has been reinstated and submissions made</li> <li>• Equality networks continue to liaise with network members virtually; a range of webinars held</li> <li>• Agreed with staffside to take a pragmatic approach in terms of employee relations cases</li> <li>• Project manager appointed to help establish infrastructure to manage Covid demands</li> <li>• 8 Trust wide Race and Privilege sessions attend by c500 staff between May and July in response to the race issues in America. Sessions also held for Governors and Board</li> </ul>	<p>RemCo</p> <p><b>Significant 16</b></p>
<b>Risk 7:</b> If behavioural and culture changes are not embedded, the new approach to value and financial sustainability may result in resorting to previous methods of delivering efficiency savings	<ul style="list-style-type: none"> <li>• There is now greater clarity of the NHS financial regime for 20-21; an efficiency saving of 1.5% will be required from M7</li> <li>• Anticipated delivery of this target during a pandemic second wave will present challenges</li> <li>• A number of new financial viability plans have emerged from necessary service redesign as a result of the pandemic</li> <li>• Value culture change work being delivered through Shaping Our Future workstream</li> </ul>	<p>FBIC</p> <p><b>Significant 20</b></p>
<b>Risk 8:</b> If infrastructure plans are not well implemented and adopted, waste will not be reduced and in year financial benefits may not be delivered. This includes infrastructure, people and directorate plans	<ul style="list-style-type: none"> <li>• COVID-19 has impacted on the delivery of financial viability schemes, both positively and negatively</li> <li>• Chief Digital Officer joined the Trust on 1 July 2020</li> <li>• CDO produced 60 day digital review and draft digital roadmap reviewed by Execs; further update to Execs and Board in new year</li> <li>• CFO and Chief Nurse are now the Executive Lead for risk 8 (formerly the COO/Deputy CEO)</li> </ul>	<p>FBIC</p> <p><b>Significant 25</b></p>

## BAF Dashboard 2020-2021

Risk No	Risk Description	Executive Lead	Lead Committee	Final Risk Score 19/20	Risk Score Q1	Risk Score Q2	Risk Score Q3	Risk Score Q4	20/21 Risk Target
1	If the Trust does not anticipate, and proactively respond to, external changes, including factors outside the Trust's control, then the Trust may fail to deliver in its strategy, including our population health, quality and value strategic objectives, and key associated transformation plans	Director of Integrated Care	Trust Board	12	12	12			8
2	If the Trust does not anticipate, and proactively respond to, external changes, including factors outside the Trust's control, then the Trust may fail to deliver in its strategy, including our population health, quality and value strategic objectives, and key associated transformation plans	Chief Medical Officer	Trust Board	12	12	12			8
3	If the Trust does not effectively work with patients and local communities in the planning and delivery of care, services may not meet the needs of local communities	Chief Operating Officer	Quality Assurance Committee	12	12	12			8
4	If essential standards of quality and safety are not maintained, this may result in the provision of sub-optimal care and increases the risk of harm	Chief Nurse	Quality Assurance Committee	20	20	20			12
5	If the Trust does not effectively plan for, attract and retain the right numbers and skills of staff required, there will be an impact on the Trust's ability to deliver safe, high quality integrated care	Director of People and Culture	Appointment & Remuneration Committee	12	12	12			4
6	If issues affecting staff experience, health and wellbeing and equalities are not addressed there will be a high turn over of staff as well as staff burnout	Director of People and Culture	Appointment & Remuneration Committee	9	16	16			4
7	If behavioural and culture changes are not embedded, the new approach to value and financial sustainability may result in resorting to previous methods of delivering efficiency savings	Chief Finance Officer/Chief Nurse	Finance, Business & Investment Committee	15	25	20			9
8	If the adoption of supporting plans is not embedded to aid waste reduction, in year financial benefits may not be delivered. This includes infrastructure, people and directorate plans	Chief Financial Officer/Chief Nurse	Finance, Business & Investment Committee	10	25	25			6