

# **Board Assurance Framework**

**(Threats to the achievement of the Trusts five long term goals)**

## **May 2021**

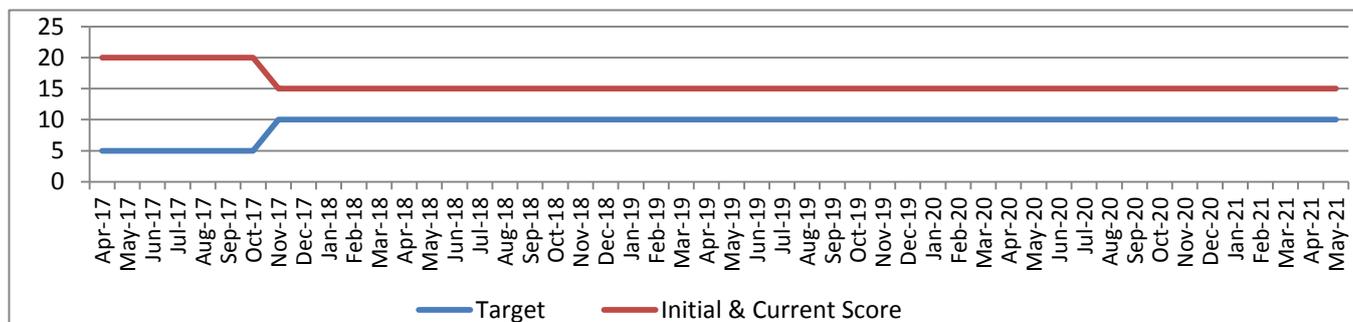
## **The Trust's five long term goals 2020 to 2025;**

1. To be the best for patient safety, quality and experience
2. To be the best place to work
3. To provide seamless and integrated care
4. To be a centre of excellence for research and innovation, education and specialist services
5. To achieve financial sustainability

# Summary Board Assurance Framework May 2021

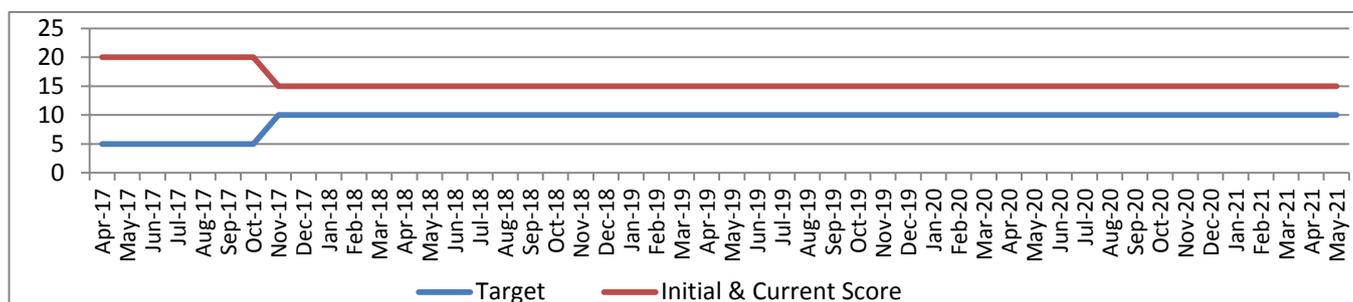
Nature of Risk	Executive Lead	Current Risk Score	Last Reviewed By Trust Board
<b>Workforce</b>	Director of Human Resources & Organisational Development	15	Apr 17, Nov 17, Jun 18, Mar 19, Sept 19, Nov 19, Mar 20, May 20, Sept 20, Nov 20, Mar 21, May 21

## Risk Rating Profile



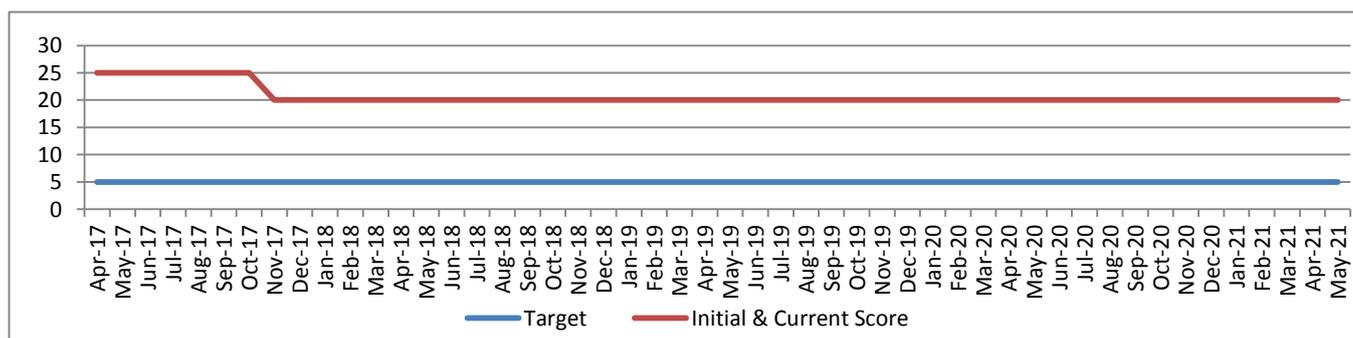
Nature of Risk	Executive Lead	Current Risk Score	Last Reviewed By Trust Board
<b>Partnership Working</b>	Director of Finance	15	Apr 17, Nov 17, Jun 18, Mar 19, Sept 19, Nov 19, Mar 20, May 20, Sept 20, Nov 20, Mar 21, May 21

## Risk Rating Profile



Nature of Risk	Executive Lead	Current Risk Score	Last Reviewed By Trust Board
<b>Financial Performance</b>	Director of Finance	20	Apr 17, Nov 17, Jun 18, Mar 19, Sept 19, Nov 19, Mar 20, May 20, Sept 20, Nov 20, Mar 21, May 21

## Risk Rating Profile



# Workforce

Risk Description	
<p><b>There is a risk that the Trust cannot achieve its strategic goals</b>  <b>Due to the failure to have adequate capacity, capability and culture in place across the Trust</b>  <b>Resulting in possible harm to patients, poor experience and reduction in quality of care, damaged external relations a long term threat to service sustainability, regulatory breach (e.g. CQC)</b></p>	<p><b>Lead Director:</b> Jenny Lewis  <b>Date identified:</b> 1 April 2017  <b>Date last reviewed:</b> November 2020</p>

## Key Controls

In support of the Trust's objectives to be **The Best Place to Work** and be **A Centre of Excellence in Education** the Trust Board has agreed 7 People Priorities:

1. Workforce Planning
2. Clear Performance Expectations
3. Health & Care System
4. Free from Discrimination
5. Education and Training
6. Health and Wellbeing
7. Most Engaged Workforce

Each of the People Priorities has associated objective outcome measures and the Plan on a Page details the activities which will lead to the objective being achieved.

Performance against the People Priorities and associated outcomes is monitored as part of the Integrated Quality and Performance Report (IQPR) which is presented to the Trust Board.

Control in relation to Priority 3, Health and Care System, is derived from the 'One workforce' shared workforce priorities for Leeds and the WYATT Workforce Programme and HR Directors Network.

The Workforce Committee is a formal sub-committee of the Board. The purpose of the Committee is to ensure the Trust delivers the aspirations set out in the NHS People Plan and the Trust's seven People Priorities. The Committee undertakes 'deep dives' into each of the People Priorities and receives assurance at CSU level for each people priority.

There are various sub-committees of the workforce committee which have a specific responsibility for supporting and monitoring the implementation of the People Priorities as follows:

Sub Committee	People Priority
Resource Management Group	1 Workforce Planning
Equality and Diversity Strategic Group	4 Free From Discrimination
Education and Training Group	5. Education and Training
Health & Wellbeing Group	6 Health & Wellbeing
Staff Engagement Group	7 Staff Engagement

Oversight and monitoring of the Priority 2, Clear performance Expectations, is provided at the Executive Team Meeting.

Plan on a page activities - There are numerous activities in place in support of the Trust's objectives to be **the best place to work** and to be **a Centre of excellence for education** with identified lead individuals who are responsible for progressing these activities. The majority of these activities have been aligned to one of the People Priorities and the relevant Sub Committee of the Workforce Committee which will take a lead role in supporting and monitoring the implementation of these activities. All of the activities have been incorporated into the individual objectives of the HR team. The Director of HR has oversight of the individual objectives for members of the HR team and how these relate to the activities detailed in the Plan on a Page

Leeds Improvement Method - Visual Management and Gemba Walks weekly. Management of the 7 People Priorities and the Plan on a page via People Link and Production Boards.

CSU Joint Accountability Framework for workforce - A robust monitoring and escalation process at CSU level in respect of the 7 People Priorities

The risk to the health and safety of our employees due to COVID-19 is acknowledged and documented on the Corporate Risk Register. The Director of HR & OD has personal oversight of this risk and provides updates to both the Workforce

Committee and the Risk Management Committee.

Gaps in Controls	Actions to address gaps in controls
National skills shortage in key professional staffing groups means that recruitment to some essential posts remains difficult	<ul style="list-style-type: none"> <li>Achievement of the &amp; People Priorities will ensure the Trust is best placed to recruit and retain available staff</li> <li>Ethical international recruitment to supplement national supply</li> <li>Proactive workforce planning to identify potential pressure points and the redesign of workforce, introduction of new role and/or additional training for existing staff</li> <li>Utilisation of flexible staffing through internal staff bank, agency workers and overtime/additional hours</li> </ul>
Reduction in number of trainee doctors from Yorkshire and Humber Deanery	<ul style="list-style-type: none"> <li>Re-designing rotas and developing new rotas and new roles e.g. Advanced Clinical Practitioners.</li> <li>Utilisation of Trust Doctors and SAS Doctors, including reopening the Associate Specialist grade</li> </ul>
Reduction of EU nationals in the Trust's workforce following Britain's withdrawal from the EU.	<ul style="list-style-type: none"> <li>Promotion of the Settled Status Scheme and positive communications relating to the contribution of EU Staff.</li> <li>Monitoring recruitment and retention of EU staff.</li> </ul>
There is national encouragement for workforce planning at system, as well as organisational level, but systems and resources are lacking.	<ul style="list-style-type: none"> <li>The Leeds Health and Care Academy will support workforce planning for Leeds at a place based level and the Trust continues to work in partnership with WYATT and the LWAB</li> </ul>
Significant progress is required to ensure the workforce is representative of the local community at all levels which will require long term change and improvement.	<ul style="list-style-type: none"> <li>Action plans in relation to each of the Protected Characteristics defined in the Equality Act are reviewed, updated and published annually as part of the Trust's Public Sector Equality duty.</li> </ul>
There are a number meetings of workforce systems leaders across Leeds and WYAAT but not the wider ICS. However, there is no Trust forum where People Priority 3 – System Working is considered as a whole.	<ul style="list-style-type: none"> <li>Currently assurance comes from the Director of HR, taking into account feedback from other system meetings.</li> <li>Recruitment to the Director of Leeds Health and Care Academy and Strategic Workforce who will represent Leeds on the ICS workforce forum.</li> </ul>
The People Link and Production Boards in the Centres of Excellence are evolving and developing. Some of the Centres of Excellence have a greater focus on daily work with well-established Production Boards but need to further develop People Link Boards. In other the Centres of Excellence the opposite applies.	<ul style="list-style-type: none"> <li>Work is on-going to ensure each Centre of Excellence achieves all aspects of visual management with a clear link to the People Priorities and Plan on a Page activities.</li> </ul>
National skills shortage in key professional staffing groups means that recruitment to some essential posts remains difficult	<ul style="list-style-type: none"> <li>Achievement of the &amp; People Priorities will ensure the Trust is best placed to recruit and retain available staff</li> <li>Ethical international recruitment to supplement national supply</li> <li>Proactive workforce planning to identify potential pressure points and the redesign of workforce, introduction of new role and/or additional training for existing staff</li> <li>Utilisation of flexible staffing through internal staff bank, agency workers and overtime/additional hours</li> </ul>

Assurance	Assurance derives from (i.e. how does the identified source give assurance?)
<p>The Trust's Workforce Committee and its sub-committees, review and monitor progress against each of the 7 People Priorities</p> <p>Integrated Quality and Performance Report to the Trust Board</p>	<p>The Workforce Committee will receive progress reports in relation to the agreed outcome measures associated with each of the 7 People Priorities and the NHS People Plan. The IQP report records performance against the 7 People Priorities</p>
<p>CSU Joint Accountability Assurance Framework - Workforce</p>	<p>Bi-monthly meetings of the CSU Joint Accountability Workforce Forum to ensure that comprehensive and robust systems and</p>

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	processes are in place within the CSU in respect of the 7 People Priorities
Escalation processes in place from CSU to Director of HR and OD, the People Priorities Review Meeting and the Workforce Committee.	A formal assessment against each of the agreed People Priorities outcome measures will be provided to the Director of HR and OD following each CSU Joint Accountability Workforce Forum. Where required there will be escalation to the People Priorities Review Meeting and Workforce Committee as required.
CQC well led domain assessment	Inspection Report February 2019 – Rated Good
CQC Regulation 18 - Staffing	Inspection Report February 2019–Requirements not being met

Gaps in assurance	Actions to address gaps in assurance
The staff survey is a key measure to monitor progress against the People Priorities, however, this only allows for a formal assessment on an annual basis.	Robust in year self-assessment process by Senior HR Business Partners and CSU Triumvirates as part of the

Measures of success 2017 to 2020	Achievements 2019/20
The measures of success for the seven People Priorities are being reviewed and updated. These will be presented to Workforce Committee for consideration at the meeting on 9 <sup>th</sup> September 2020.	

<b>Linked to Corporate Risk Register risks;</b>	CRRS 1, CRRS 2, CRRS 6, CRRS 8, CRRS17, CRRF 1
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# Partnership Working

Risk Description	
<p><b>There is a risk that the Trust cannot achieve its strategic goals due to the absence of effective partnership working</b>  <b>Resulting in possible harm to patients, poor experience, damaged external relations, failure to deliver the transformation programme and a long term threat to service sustainability</b></p>	<p><b>Lead Director:</b> Simon Worthington  <b>Date identified:</b> 1 April 2017  <b>Date last reviewed:</b> November 2020</p>

Key Controls
<p>LTHT influences citywide strategy and work programmes, ensuring strategic alignment with partners via its membership of a range of for:</p> <ul style="list-style-type: none"> <li>• Health and Wellbeing Board: responsible for joint strategic assessment and health and wellbeing strategy for Leeds. LTHT represented by Chief Executive.</li> <li>• Partnership Executive Group: responsible for overseeing delivery of the health and wellbeing strategy. LTHT represented by Chief Executive.</li> <li>• Health and Wellbeing Board to Board: bringing together the Executive and Non-Executive leadership of health and care organisations four times annually to consider strategically important issues.</li> <li>• West Yorkshire and Harrogate Integrated Care System Leadership Executive: responsible for strategy and increasingly assuring performance across the region. Meets monthly and LTHT Chief Executive is a member.</li> </ul> <p>LTHT has several formal partnerships to support delivery of our goal to be a centre for excellence in research, innovation and education:</p> <ul style="list-style-type: none"> <li>• Joint Partnership Board with University of Leeds: to set strategy and oversee joint work programmes in research, innovation, education and estates. Meets quarterly with representation from the Chief Executive and Chief Medical Officer.</li> <li>• Leeds Academic Health Partnership: oversees a portfolio of projects including the Health and Care Academy. Meets three times annually with representation from the Chief Executive.</li> </ul> <p>To support delivery of person-centred care across care settings LTHT engages in collaborative work programmes e.g.</p> <ul style="list-style-type: none"> <li>• The Decision-Making programme: focussing on improving peoples experience of care as they move between care settings. Formed in response to an external review by Newton Europe and led by the Chief Operating Officer.</li> <li>• Building the Leeds Way; we are engaging with commissioners and other partners as part of the 'strategic fit and business change' workstream of Hospitals of the Future. This work is led by the Deputy Chief Operating Officer.</li> <li>• How does it feel for me? Healthwatch Leeds are leading a programme of work to better understand patient experiences across care settings. LTHT is fully engaged and outputs have been shared with Senior Leaders. The work is led by the Head of Patient Experience through the patient voices group.</li> </ul> <p>To ensure the on-going sustainability of the acute sector across the region LTHT is a member of the West Yorkshire Association of Acute Trusts.:</p> <ul style="list-style-type: none"> <li>• Work programme across a range of projects to address specific issues e.g. pathology collaboration</li> <li>• Monthly meetings between Chief Executive/Directors across WYAAT Trusts to establish good relationships and ensure strategic alignment.</li> </ul> <p>To ensure we are an outstanding centre for specialist services LTHT has a range of formal partnerships/network arrangements with other specialist centres e.g.:</p> <ul style="list-style-type: none"> <li>• Genomic Laboratory Hub with Newcastle and Sheffield: LTHT is the central lab location for the network</li> <li>• Children's Hospital Alliance: collaborating with other Children's Hospitals on service development.</li> </ul> <p>NB: strategic partnership risks relating to the Building the Leeds Way programme are separately considered.</p>

Gaps in Controls	Actions to address gaps in controls
LTHT does not have a documented stakeholder management strategy	To develop a documented stakeholder management strategy by September 2020.
There is an increased risk of organisational change and the possibility of legislation which will change the structure of the NHS with the potential to affect partnership working	Working with national stakeholders to influence the approach

Leeds City Council (LCC) has said that it expects to face a budget overspend of £200m in 2020/21. It may have to consider emergency budget controls and job cuts	Close working with LCC to understand any necessary spending controls and whether there is any impact for health and care services
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<b>Assurance</b>	<b>Assurance derives from (i.e. how does the identified source give assurance?)</b>
West Yorkshire and Harrogate ICS and Leeds plan in line with national planning framework	Issues are explored in more depth at Board Workshops and Time Outs Issues described in more detail in the Chief executives report to the Board
Outputs from the NHS Improvement, CQC and Healthwatch Leeds visits and reports	Recommendations referring to partnership working. Action plans to implement recommendations regularly submitted to the Board and the Quality Assurance Committee
Meetings of WYAAT Committee in common	Committee in Common agenda, papers and minutes reported to the Board
CQC visits – reports, including Leeds System Review (December 2018)	CQC recommendations relating to partnership working
Healthwatch Leeds visits	Implications of Enter and View visits for partnership working

<b>Gaps in assurance</b>	<b>Actions to address gaps in assurance</b>
LTHT does not have stakeholder feedback mechanisms consistently in place in relation to specific project outcomes and ongoing relationship management.	To develop stakeholder feedback mechanisms as part of stakeholder management strategy by September 2020.

<b>Measures of success 2020 to 2025</b>	<b>Achievements in 2019/20 and 2020/21</b>
<ul style="list-style-type: none"> <li>• Delivery of priorities and milestones set out in the West Yorkshire and Harrogate ICS</li> <li>• Approval of capital plan and support from NHS Improvement and partner organisations</li> <li>• Delivery of agreed Research and Innovation priorities with partner organisations including other NHS providers and Leeds University</li> <li>• Sustaining/improving CQC rating</li> </ul>	<p>Approval and funding for Building the Leeds Way</p> <p>Maternity centralisation consultation approved</p> <p>Strong partnership response to Covid-19</p> <p>Strong financial performance as a result of aligned incentive contract</p>

<b>Linked to Corporate Risk Register risks:</b>	CRRP 5
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# Financial Performance

Risk Description	
<p><b>There is a risk that the Trust cannot achieve its strategic goals</b>  <b>Due to insufficient revenue and capital resources, failure to identify recurrent waste reduction measures and poor liquidity and an ageing and unsuitable estate and IT infrastructure</b>  <b>Resulting in possible harm to patients, poor experience, damaged external relations and a long term threat to service sustainability</b></p>	<p><b>Lead Director:</b> Simon Worthington  <b>Date identified:</b> 1 April 2017  <b>Date last reviewed:</b> November 2020</p>

Key controls
<ul style="list-style-type: none"> <li>Trust five year plan and five year financial plan in place (including five year efficiency strategy)</li> <li>Trust wide estate capital development plan (including backlog maintenance and medical equipment) in place</li> <li>Waste Reduction Programme in place for 2020/21 and beyond</li> <li>West Yorkshire and Harrogate Sustainability and Transformation Plan. The Trust has Integrated Care System status.</li> <li>Financial Governance strengthened (Accountability Framework, HR strategy) Qualification of the value for money opinion on the annual accounts lifted by External Audit for 2017/18</li> <li>NHS Improvement key indicators of effective financial management (See Measures of Success over the page)</li> <li>NHSI/CQC Use of Resources Framework - the CQC rated the Trust as outstanding for its use of resources, February 2019</li> <li>CSU strategic business plans and Trust Summary</li> <li>Leeds Improvement Method (Waste Reduction Programmes/LEAN) - Finance the Leeds Way Improvement Programme</li> </ul>

Gaps in Controls	Actions to address gaps in controls
Political and economic framework, legislation and regulatory changes as a result of Britain's withdrawal from the EU/a 'no deal situation.	Changes not yet known but will be addressed with NHS Improvement. Corporate risk and planned mitigating actions in place
The absence of an over-arching Clinical Services strategy.	To be included in CSU strategic business plans. Building the Leeds Way
Waste reduction programme not fully identified for 2020/21 and the major impact of Covid-19 on waste reduction delivery.	Complete the WRP for 2020/21 and develop a mitigation plan for the year, by Dec 2020
Uncertainty about the availability of capital nationally and the capital regime in which the Trust will operate which will have an impact on the estate, equipment, backlog maintenance and the I/T strategy.	Work with national bodies
A number of business cases are required to support Building the Leeds Way, e.g. Digital	Develop a business case in line with the conditions of approval of the BtLW Outline Business case
Major financial risk in social care due to the impact of Covid-19. Potential significant disruption to services	Influence nationally and work with the ICS
Cost pressures arising from major service developments	Contain cost pressures within available growth allocation
Government funding for other than costs relating to pandemic pressures.	Influence nationally
Uncertainty about the national financial regime	Influence nationally. Working with ICS to agree principles

<b>Assurance</b>	<b>Assurance derives from (i.e. how does the identified source give assurance?)</b>
Financial Governance System within the Trust	Regulators and Board receive the same information.
Finance Leeds Way Improvement Plan	Range of metrics and good practice benchmarks contained in the plan
Escalation processes in place to retrieve variant financial performance	There is an escalation process to the Director of Finance and other Executive Directors (EMG)
Integrated accountability and financial performance framework meetings with CSU's/ Business Units	Integrated accountability meetings are held monthly with CSU's and a series of defined recovery actions agreed
Use of Resources assessment (NHSi/CQC) - outstanding rating	Inspection programme - continued feedback from NHSi/CQC
Integrated Care System financial position and processes	Reports from ICS

<b>Gaps in assurance</b>	<b>Actions to address gaps in assurance</b>
Lack of understanding of the NHS financial framework after September 2020	Influence nationally

<b>Measures of success 2020 to 2025</b>	<b>Achievements 2019/20</b>
<ul style="list-style-type: none"> <li>• Delivery of finance governance improvement plan</li> <li>• Development of Aligned Incentive Contract as applicable in the new NHS financial regime</li> <li>• Maintenance of positive cash reserves</li> <li>• Delivery of recurrent waste reduction programme</li> <li>• Operating within the Agency ceiling</li> <li>• Delivery of the Finance the Leeds Way improvement plan</li> </ul>	<ul style="list-style-type: none"> <li>• Successful implementation</li> <li>• AIC successfully operated</li> <li>• Over-achieved. Third year surplus achieved allowing enhanced ability to spend on capital</li> <li>• Waste Reduction Target achieved</li> <li>• Achieved</li> <li>• Successful implementation</li> <li>• Funding for BtLW announced</li> </ul>

<b>Linked to Corporate Risk Register risks:</b>	CRRS 9, CRRS 12, CRRF 1, CRRF 2, CRRF 4, CRRF 5, CRRF 6
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