

Board Assurance Framework

Trust Board 25 January 2025

Presented for	Information and assurance
Presented by	James Goodyear, Director of Strategy
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Previous Committees	None

Our Annual Commitments for 2023/24 are:	
Effectively develop and deploy new assets (buildings, equipment, IT)	✓
Reduce healthcare associated infections	✓
Improve staff retention	✓
Deliver the financial plan	✓
Reduce average length of stay by 0.5 days per patient	✓
Achieve the Access Targets for Patients	✓
Support a culture of research	✓

Trust Risks (Type & Category)				
Level 1 Risk		Level 2 Risks	Risk Appetite Scale	Impact
Workforce Risk				
Operational Risk				
Clinical Risk				
Financial Risk				
External Risk		Regulation Risk	Averse	↔ (same)

		We will comply with or exceed all regulations, retain its CQC registration and always operate within the law		
		Strategic Planning We will deliver Our Vision 'to be the best for specialist and integrated care' through the delivery of a set of Strategic Goals and operating in line with Our Values	Cautious	↔ (same)
		Legal & Governance Risk We will operate the Trust in compliance with the Law and UK Corporate Governance Code, where applicable	Averse	↔ (same)

Key points	
1. Trust Board revised and agreed its risk categories and risk appetite statements in March 2021.	Information/assurance
2. The BAF was updated following a review of the Trust's strategic priorities, multi-year goals and annual commitments 2023/24 and further changes have been made to incorporate feedback from the October 2023 Board time-out.	Information/assurance
3. A full review is planned for March 2024 following the identification of the annual commitments for 2024/25.	Information/assurance

1. Summary

This report provides an update to Trust Board on the Board Assurance Framework, following review of the Trust's strategic priorities, multi-year goals and annual commitments 2023/24, and review of the risk categories and risk appetite statements, published in March 2023.

The Board Assurance Framework (BAF) documents the key risks to achieving the Trust's strategic objectives. This has continued to be developed in line with the revised Risk Management Framework.

2. Background

The Board commissioned a Task and Finish Group in October 2020 to further develop the Risk Management Framework, focusing specifically on the Trust's

approach to setting and embedding its risk appetite and risk categories. The work of the Task and Finish Group was presented to Trust Board in March 2021, including the revised risk categories and risk appetite statements, which were approved by the Board.

A document was published; Risk Appetite 2021/22, to be used as a resource for staff working in the Trust to support them in adopting the risk appetite categories and risk appetite statement, to implement this in practice.

3. Developing the Risk Management Framework

The Risk Management Framework has continued to be developed, including agreeing the Trust's risk categories and risk appetite statements, to help guide Executive Directors, senior managers and clinicians in the assessment and prioritisation of risk within the organisation.

The risk categories have been cross referenced and incorporated into the Trust's Corporate Risk Register (CRR) to establish a fully integrated Risk Management Framework based on the work that has been undertaken to date.

The work related to the Trust's Risk Management Framework was acknowledged by NHS Providers, a membership organisation that represents NHS Providers in the UK, in January 2022. This was shared with the wider healthcare sector at the NHS Providers conference on 11 May 2022 and the Trust has continued to advise and support other NHS organisations in this.

Executive Directors have supported CSU's and corporate leads to implement the Risk Management Framework, providing oversight through the monthly Risk Management Committee.

4. Developing the Board Assurance Framework (BAF)

As the risk categories and risk appetite statements continued to be implemented and embedded through the Trusts governance structure, it was agreed to undertake some further work to refresh the Board Assurance Framework (BAF), which sets out the longer-term strategic risks that impact on the Trust's goals and the associated assurances.

The risks associated with delivery of the Trust's strategic vision were identified at the Trust Board time-out on 21 and 22 October 2022. This discussion was used to inform development of the BAF and was considered alongside the high-level risks set out in the Corporate Risk Register that were reviewed at Risk Management Committee, reporting to the Board. The proposed strategic risks were shared with the Board and reviewed using an on-line feedback tool to support this discussion. This feedback was used to develop the BAF, aligning strategic risks to the Trust's 5 longer-term goals 2020-2025.

The BAF has been re-constructed, so it is fully aligned to the risk categories and risk appetite statements that were agreed by the Board and cross-referenced to the corporate risks that are documented on the Corporate Risk Register.

A further review of the risk categories and risk appetite statements was undertaken, led by Chairs of the Board Committees and presented to the Board in January 2023.

The Risk Appetite (second edition) was published in March 2023. A review of the Trust's strategic priorities, multi-year goals and annual commitments 2023/24 has also been undertaken and incorporated into the BAF. The updated BAF was reviewed and discussed at the Board time-out meeting on 29 June 2023.

The BAF is subject to ongoing review alongside the Trust's strategic priorities, multi-year goals and annual commitments through the Board time-out programme. In addition, strategic issues discussed at Board and its sub-committees will be cross-referenced to the BAF and the controls and assurances updated where required.

The Audit Committee will be provided with assurance on the process for reviewing the CRR and BAF through its annual programme of work.

The draft BAF will be further updated in a full review planned for March 2024 following the identification of the annual commitments for 2024/25.

5. Recommendation

Trust Board is asked to receive assurance on the progress regarding the work that has been done to refresh the Board Assurance Framework following review of the Trust's strategic priorities, multi-year goals and annual commitments 2023/24, and review of the risk categories and risk appetite statements, published in March 2023.

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January 2024

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