

Board Assurance Framework

**Threats to the achievement of the Trusts strategic priorities
and multi-year goals**

September 2025

(Updates shown in track changes)

5 strategic priorities

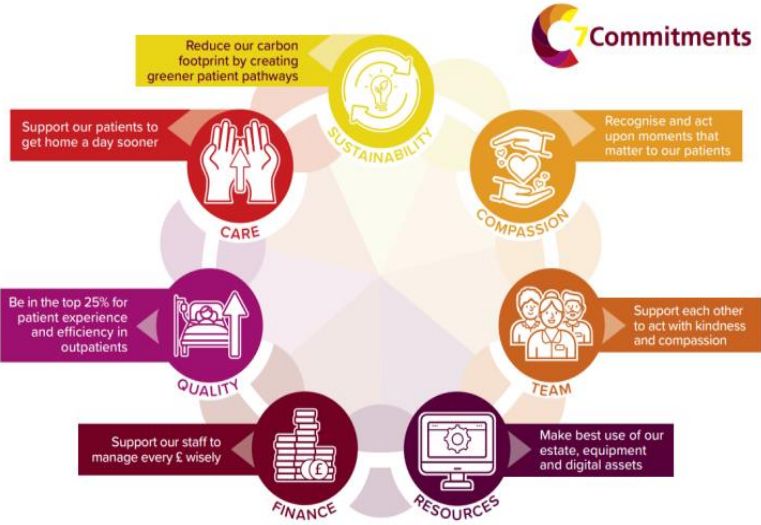
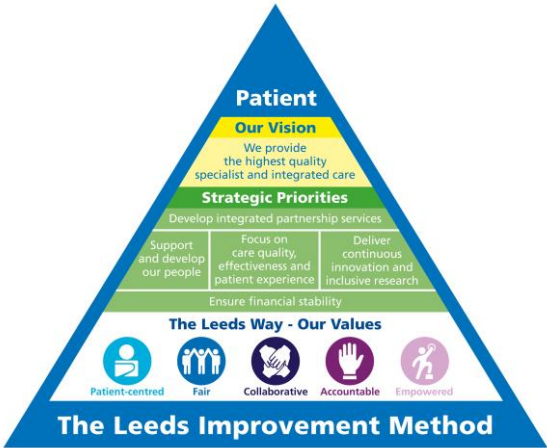
- Focus on care quality, effectiveness, and patient experience
- Support and develop our people
- Develop integrated partnership services
- Deliver continuous innovation and inclusive research
- Ensure financial stability

The Trust's multi-year goals

- Deliver a sustainable surplus by becoming the most efficient teaching hospital
- Deliver fit for purpose healthcare infrastructure
- Deliver top quartile holistic healthcare performance
- To be a leading academic healthcare institution
- To have an embedded culture of service improvement & innovation
- To have a consistent, high performing and sustainable workforce
- People receive person-centred care in the most appropriate environment and setting

Annual Commitments 2025/26

- Reduce our carbon footprint by creating greener patient pathways
- Support our patients to get home a day sooner
- Be in the top 25% for patient experience and efficiency in outpatients
- Support our staff to manage every £ wisely
- Recognise and act upon moments that matter to our patients
- Support each other to act with kindness and compassion
- Make best use of our estate, equipment and digital assets



Strategic risk description

There is a risk that the Trust cannot achieve its strategic priority to focus on care quality, effectiveness, and patient experience due to:

- Increased demand due to the impact of deprivation, multi-morbidity and an ageing population
- Increased demand – unplanned care, emergency department attendances, impacting on patient flow across the system
- Significant growth in the number of patients waiting for elective treatment
- Inability to treat patients within national standard timeframes for both planned and unplanned care due to capacity and demand
- Ageing estate and building/digital infrastructure leading to poor patient experience
- Insufficient workforce due to availability and competition from other providers,

resulting in potential harm to patients, impact on outcomes, experience and quality of care, impact on external relations, and long-term threat to service sustainability, regulatory breach (CQC).

Lead Executive Director(s):

Rabina Tindale, Chief Nurse

Date: June 2023

Date last reviewed: Sept 2025

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Multi-year goals

Deliver top quartile holistic healthcare performance
People receive person-centred care in the most appropriate environment and setting

Annual commitments

Recognise and act upon moments that matter to our patients
Support each other to act with kindness and compassion
Support our patients to get home a day sooner

Links to Corporate Risks

CRRE1 (CQC Registration – breaches of Regulation(s) maternity and neonates)

CRRW4 (workforce)

CRR04 (Staff absence, health, safety and wellbeing)

CRR01 (Healthcare Associated Infection)

CCRC4 (emergency care standard)

CCRC5 (18 weeks RTT)

CCRC7 (cancelled operations)

CCRC6 (62-day cancer target)

CCRC9 (diagnostic tests)

CCRC10 (patient flow)

Key Controls (to manage risks related to goal)

- Patient Safety and Quality Strategy 2024-27
- Nursing and Midwifery Strategy
- Patient Safety Incident Response Plan (PSIRP)
- Operational Transformation Strategy
- Trust capital plan
- Public Health and Health Inequalities Strategy
- Improvement Strategy
- Clinical Quality review programme
- Integrated Accountability Framework
- Benchmarking against peers through model hospital and specialty GIRFT reviews
- Bed demand modelling and winter planning
- Corporate Risk Register

Key assurances (effectiveness of controls)

- National Inpatient and outpatient survey
- National Staff survey
- Complaints report to Board
- Patient Safety Incident report to QAC
- Quality Account
- CQC inspection report(s)
- CQC Regulation 10 – dignity and respect
- CQC Regulation 12 - safe care and treatment
- CQC Regulation 17 – good governance

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<ul style="list-style-type: none"> • Risk Management Committee oversight of risks related to patient safety, quality and experience: risk framework (risk categories/risk appetite) • Quality Assurance Committee oversight of patient safety and quality metrics • Finance and Performance Committee oversight of delivery against constitutional standards, including in year deep dives • DIT oversight of delivery of the digital strategy • CQC engagement process • International recruitment plan and support programme • CQC inspection report: maternity and neonatal services • Perinatal assurance report to Quality Assurance Committee • Maternity Safety Support Programme (MSSP) • Maternity and Neonatal Quality Improvement Group (MIG) 	<ul style="list-style-type: none"> • Well-led development review and preparation for external review in response to new criteria for Well-led. • Internal audit programme (PwC) • Health & Safety annual report, including Controls Assurance Audit • Quality Assurance Committee (QAC) annual report • Healthcare Associated infection annual report • DIT Committee annual report • Risk Management Committee annual report • Integrated Quality and Performance Report to the Trust Board, key metrics: mortality (SHMI), Healthcare Associated Infection, maternity safety, pressure ulcers, falls, patient safety incidents and Never Events. • Board Leadership visits (report to QAC) • Trust annual governance statement
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Significant gaps in control	Further assurance required
Section 29A Warning Notice (midwifery staffing) CQC Registration under the Health and Social Care Act 2008 (Regulated Activities) Regulations 2014 (Part 3) (as amended): breaches to: Regulation 12 Safe Care and Treatment Regulation 15 Premises and Equipment Regulation 17 Good Governance Regulation 18 Staffing	Weekly report on midwifery staffing Monthly report to Risk Management Committee (Regulation breaches)

Risk category and risk appetite statement		
Level 1 Risk Type	Risk appetite	Relevant to strategic risk
Workforce		
Workforce supply	Cautious	√
Workforce deployment	Cautious	√
Workforce retention	Cautious	√
Workforce performance	Cautious	
Operational		
Business Continuity	Cautious	
Change	Cautious	
Health and safety	Minimal	√
Information Governance	Cautious	√
Information Security	Cautious	
Information Technology	Cautious	√
Physical Assets	Cautious	
Clinical Risk		
Capacity Planning	Cautious	√
Infection Prevention and Control	Minimal	√
Patient Experience	Minimal	√

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Patient Safety and Outcomes	Minimal	√
Research, Innovation and Development	Cautious	
Financial Risk		
Counter-fraud	Averse	
Financial management and waste reduction	Cautious	
Financial reporting	Minimal	
Revenue funding and liquidity	Cautious	
Supply Chain	Cautious	
External Risk		
Legal and Governance	Averse	
Partnership Working	Open	√
Regulatory	Averse	√
Strategic Planning	Cautious	

Trust strategic priority:
To support and develop our people

Strategic risk description	
<p>There is a risk that the Trust cannot achieve its strategic priority to support and develop our people due to:</p> <ul style="list-style-type: none"> • Requirement to reduce WTE to meet financial plan • Requirement to reduce bank and agency spend by 5% respectively to meet NHSE Operational Plan • Reduced workforce availability due to sickness absence, • Sustained operational pressures leading to staff burnout; staff fatigue; staff leaving the Trust, senior staff taking early retirement. • Insufficient workforce supply due to national workforce shortages • Ageing workforce profile • Ageing estate and digital infrastructure leading to poor staff experience • Management time, capacity to implement, deliver and sustain change • Management support, capability and leadership <p>....resulting in staff leaving the organisation, inability to recruit to key specialty areas, impact on external relations and long-term threat to service sustainability, regulatory breach (CQC).</p>	<p>Lead Executive Director(s): Jenny Lewis, Director of Human Resources and Organisational Learning Date: June 2023 Date last reviewed: Sept 2025</p> <p>Multi-year goals To have a consistent, high performing and sustainable workforce</p> <p>Annual commitments Support each other to act with kindness and compassion Support our staff to manage every £ wisely Make best use of our estate, equipment and digital assets</p> <p>Links to Corporate Risks CRRW4 (workforce) CRR04 (Staff absence, health, safety and wellbeing)</p>

Key Controls (to manage risks related to goal controls)	Key assurances (effectiveness of)
<ul style="list-style-type: none"> • Trust People Plan and refreshed people priorities • CSU Operational Workforce Action Plans • 7C focus on kindness and compassion • Health & Wellbeing strategy • Equality, Diversity & Inclusion strategy • Learning, Education and Training Strategy • Digital Strategy • Leeds One Workforce board and targeted recruitment as anchor institution • Corporate Risk CRR04 - Staff health, safety and wellbeing • Corporate Risk CRRW4 - Workforce • Staff vaccination programme and support • Freedom to speak up policy • Leeds Improvement Method – visual management and weekly Gemba walks • People Link/production boards • Joint Accountability Framework for Workforce • Integrated Accountability Meetings 	<ul style="list-style-type: none"> • National Staff survey • Workforce Committee annual report • CQC inspection report(s) • CQC Regulation 18 - staffing • Internal audit programme (PwC) • Finance and Performance Committee annual report • DIT Committee annual report • Integrated Quality and Performance Report to the Trust Board • Hard Truths safer staffing report to Board • Freedom to speak up Guardian report • Publication of Trust's annual Public Sector Equality Duty • Board leadership visits • Trust annual governance statement

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<ul style="list-style-type: none"> Escalation process from CSUs to Workforce Committee Risk Management Committee oversight of risks related to workforce, staff safety, health, and wellbeing: risk framework (risk categories/risk appetite) Workforce Committee and its sub-committees, oversight of progress against each of the People Priorities DIT oversight of delivery of the digital strategy 	
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Significant gaps in control	Further assurance required

Risk category and risk appetite statement		
Level 1 Risk Type	Risk appetite	Relevant to strategic risk
Workforce		
Workforce supply	Cautious	√
Workforce deployment	Cautious	√
Workforce retention	Cautious	√
Workforce performance	Cautious	√
Operational		
Business Continuity	Cautious	√
Change	Cautious	
Health and safety	Minimal	√
Information Governance	Cautious	
Information Security	Cautious	
Information Technology	Cautious	
Physical Assets	Cautious	
Clinical Risk		
Capacity Planning	Cautious	√
Infection Prevention and Control	Minimal	√
Patient Experience	Minimal	√
Patient Safety and Outcomes	Minimal	√
Research, Innovation and Development	Cautious	
Financial Risk		
Counter-fraud	Averse	
Financial management and waste reduction	Cautious	
Financial reporting	Minimal	
Revenue funding and liquidity	Cautious	
Supply Chain	Cautious	
External Risk		
Legal and Governance	Averse	
Partnership Working	Open	√
Regulatory	Averse	√
Strategic Planning	Cautious	

Trust strategic priority:
Develop integrated partnership services

Strategic risk description

There is a risk that the Trust cannot achieve its strategic priority to develop integrated partnership services due to:

- Lack of system resilience due to workforce and funding pressures in community/primary/social care
- Cultural differences with system partners
- Lack of system resilience due to workforce and funding pressures in acute hospital partners
- Lack of digital integration with system partners
- Lack of commercial innovation expertise to develop and leverage strategic partnerships

....resulting in possible harm to patients, poor experience, impact on external relations, failure to deliver the transformation programme and a long-term threat to service sustainability, regulatory breach (CQC).

Lead Executive Director(s):
Clare Smith, Chief Operating Officer

Date: October 2021

Date last reviewed: Sept 2025

Multi-year goals

People receive person-centred care in the most appropriate environment and setting

Annual commitments

Support our patients to get home a day sooner

Recognise and act upon moments that matter to our patients

Make best use of our estate, equipment and digital assets

Links to Corporate Risks

CRR10 (patient flow across the system)

CRRW3 (workforce)

CRR04 (Staff absence, health, safety and wellbeing)

Key Controls (to manage risks related to goal controls)

LTHT influences citywide and regional strategy and work programmes via membership of key partnership forums, ensuring strategic alignment with partners including:

- Membership of the West Yorkshire Integrated Care Partnership and Leeds Committee of the Integrated Care Board.
- Membership of Health and Wellbeing Board, responsible for joint strategic assessment and health and wellbeing strategy for Leeds.
- Membership of the West Yorkshire Association of Acute Trusts (WYAAT).
- LTHT Operational Transformation Strategy
- Healthier Leeds Plan
- The Home First programme incorporating the redesign of intermediate care.
- Leeds Clinical Executive Group
- The One Workforce programme for Leeds includes specific priorities on integrated workforce design and working across organisations.
- West Yorkshire Association of Acute Trust (WYAAT) work programme and shared learning group

Key assurances (effectiveness of

- Outputs from the NHS England, CQC visits and reports
- CQC system review
- Healthwatch Leeds visits
- National Inpatient and outpatient survey
- Integrated Quality and Performance Report to the Trust Board
- Making every Day Counts (MEDC) report outs
- How Does It Feel for Me patient experience balanced scorecard reviewed at Partnership Executive Group.
- Reports to Board re WYAAT, ICB, key system transformation programmes e.g., HomeFirst programme, LTHT as an Anchor Institution etc.

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<ul style="list-style-type: none"> Leeds Innovation Partnership Leeds Anchor Network Formal partnerships/network arrangements with other specialist centres to ensure LTHT is an outstanding centre for specialist services Children's Hospital Alliance: collaborating with other Children's Hospitals. 	
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Significant gaps in control	Further assurance required
<ul style="list-style-type: none"> Adequate city provision of facilities for younger people with significant mental health or neurodiversity Adequate city provision of housing or support for complex younger adults 	

Risk category and risk appetite statement		
Level 1 Risk Type	Risk appetite	Relevant to strategic risk
Workforce		
Workforce supply	Cautious	√
Workforce deployment	Cautious	
Workforce retention	Cautious	
Workforce performance	Cautious	
Operational		
Business Continuity	Cautious	√
Change	Cautious	√
Health and safety	Minimal	
Information Governance	Cautious	
Information Security	Cautious	
Information Technology	Cautious	
Physical Assets	Cautious	
Clinical Risk		
Capacity Planning	Cautious	√
Infection Prevention and Control	Minimal	
Patient Experience	Minimal	√
Patient Safety and Outcomes	Minimal	√
Research, Innovation and Development	Cautious	
Financial Risk		
Counter-fraud	Averse	
Financial management and waste reduction	Cautious	√
Financial reporting	Minimal	
Revenue funding and liquidity	Cautious	
Supply Chain	Cautious	
External Risk		
Legal and Governance	Averse	
Partnership Working	Open	√
Regulatory	Averse	√
Strategic Planning	Cautious	√

Trust strategic priority:

Deliver continuous innovation and inclusive research

Strategic risk description

There is a risk that the Trust cannot achieve its strategic priority to deliver continuous innovation and inclusive research due to:

- The impact of clinical demand pressure crowding out research capacity, particularly in support services such as radiology, pharmacy and pathology.
- Impact of delays to Hospitals of the Future (New Hospitals Programme)
- Inability to deliver high quality education, research, and innovation due to ageing estate and equipment and inadequate digital infrastructure
- Deskillling of workforce in partner hospitals due to increased specialisation
- The wider longer-term impact on research, education and training resulting from the pandemic, including recovering lost ground
- Possible lack of effective specialist services planning due to devolvement of specialist commissioning budgets to ICB level.

....resulting in failure to deliver research, innovation and education programmes, failure to deliver the innovation village project, impact on staff recruitment and retention and award of research funding grants, timely and effective treatment of patients requiring specialist services, and the further development of future specialist services.

Lead Executive Director(s):

Magnus Harrison, Chief Medical Officer

Date: June 2023

Date last reviewed: [Sept](#) 2025

Multi-year goals

To be a leading academic healthcare institution

To have an embedded culture of service improvement and innovation

To have a consistent, high performing and sustainable workforce

Annual commitments

Recognise and act upon moments that matter to our patients

Support our staff to manage every £ wisely

Links to Corporate Risks

CRRF1 (financial plan)

CRRW1 (nurse staffing)

CRRW2 (medical staffing)

CRRW3 (workforce)

Key Controls (to manage risks related to goal controls)

- Research and Innovation Strategy
- Research and Innovation Committee
- Risk Management Committee oversight of risks related to research and innovation, education and provision of specialist services
- Trust capital and estate plan
- LGI Development Site/Innovation Village project including redevelopment of the OMS
- Leeds Improvement Method
- Benchmarking against peers and through model hospital and specialty GIRFT reviews
- WYAAT Elective Co-ordination Group
- Planned Care Programme (Transformational Services Group)
- Planned Care Delivery Board (Leeds ICB)
- Leeds Innovation Partnership
- WY Investment Zone status
- Digital Strategy
- Learning, Education & Training (LET) Committee
- Learning, Education & Training Strategy

Key assurances (effectiveness of

- Research and Innovation Committee annual report
- CQC inspection report(s)
- Internal audit programme (PwC)
- Finance and Performance Committee annual report
- DIT Committee annual report
- Trust annual governance statement
- Learning, Education & Training Committee annual report
- LET Committee report
- Annual update on R&I Strategy
- Reports to Board on progress with the Innovation Village and OMS redevelopment

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<ul style="list-style-type: none"> Joint Education Strategy with University of Leeds, plan for collaboration to deliver excellence in education/training Joint Partnership Group with University of Leeds Leeds Academic Health Partnership 	
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Significant gaps in control	Further assurance required
<ul style="list-style-type: none"> NHS England policy constraints mean that LTHT has been unable to appoint a Director of Innovation to lead strategic commercial partnerships. 	

Risk category and risk appetite statement		
Level 1 Risk Type	Risk appetite	Relevant to strategic risk
Workforce		
Workforce supply	Cautious	√
Workforce deployment	Cautious	
Workforce retention	Cautious	
Workforce performance	Cautious	
Operational		
Business Continuity	Cautious	
Change	Cautious	√
Health and safety	Minimal	
Information Governance	Cautious	
Information Security	Cautious	
Information Technology	Cautious	
Physical Assets	Cautious	
Clinical Risk		
Capacity Planning	Cautious	
Infection Prevention and Control	Minimal	
Patient Experience	Minimal	
Patient Safety and Outcomes	Minimal	√
Research, Innovation and Development	Cautious	√
Financial Risk		
Counter-fraud	Averse	
Financial management and waste reduction	Cautious	
Financial reporting	Minimal	
Revenue funding and liquidity	Cautious	√
Supply Chain	Cautious	
External Risk		
Legal and Governance	Averse	
Partnership Working	Open	√
Regulatory	Averse	√
Strategic Planning	Cautious	

Trust strategic priority:
Ensure financial stability

Strategic risk description	
<p>There is a risk that the Trust cannot achieve its strategic priority to ensure financial stability due to:</p> <ul style="list-style-type: none"> • Funding uncertainty and minimal funding growth. • Inflation • Inability to achieve efficiency requirements due to sustained operational pressures • Lack of capital investment to address estate/digital/equipment needs • Ageing population, deprivation, morbidity and health inequalities. • Funding in Social Care • Political and economic framework, legislation and regulatory changes. • Poor system financial performance • Changes to commissioning resulting from the delegation of specialised services and changes within ICBs <p>....resulting in failure to deliver a balanced financial plan and savings targets, possible harm to patients, poor experience, impact on external relations and a long-term threat to service sustainability.</p>	<p>Lead Executive Director(s): Jenny Ehrhardt , Director of Finance Date: June 2023 Date last reviewed: April 2025</p> <p>Multi-year goals Deliver a sustainable surplus by becoming the most efficient teaching hospital Deliver fit for purpose healthcare infrastructure</p> <p>Annual commitments Reduce our carbon footprint by creating greener patient pathways Be in the top 25% for patient experience and efficiency in outpatients Support our staff to manage every £ wisely Make best use of our estate, equipment and digital assets</p> <p>Links to Corporate Risks CRRF1 (financial plan) CRRF2 (capital) CRRF3 (Cash) CRR07 (Hospital of the Future Project) CRR08 (Pathology Project) CRR09 (LGI Site Development Project) CRR011 (DIT capacity)</p>

Key Controls (to manage risks related to goal controls)	Key assurances (effectiveness of)
<ul style="list-style-type: none"> • Financial governance framework. • Trust five-year financial plan in place • Financial planning with WYICB and Leeds DOFs • Trust wide capital development plan (including estate, digital and medical equipment) in place • Integrated accountability and financial performance framework meetings with CSU's/ Business Units • Waste Reduction Programme in place with oversight by Financial Improvement Board chaired by CEO. • Centrally managed Waste Reduction Programme 	<ul style="list-style-type: none"> • Fundamental Financial Review to Board • CQC Use of Resources Framework review - rated outstanding for its use of resources, February 2019 • Integrated Quality and Performance Report to the Trust Board relevant metrics: key indicators re effective financial management • Finance and Performance Committee annual report. • Audit Committee annual report

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<ul style="list-style-type: none"> Strengthened expenditure controls e.g. vacancy management processes overseen by Trust Expenditure Review Group Annual waste reduction conference West Yorkshire and Harrogate Sustainability and Transformation Plan. The Trust has Integrated Care System status Overarching Financial Governance framework including Standing Orders, Standing Financial Instructions and Scheme of Delegation, Value for Money Self-Assessment Counter fraud strategy and team in place Trust Green Plan and decarbonisation plan. CQC Use of Resources Framework CSU strategic business plans Leeds Improvement Method - Finance the Leeds Way Improvement Programme Infrastructure Committee includes oversight of the Hospitals of the future project Finance and Performance Committee oversight of key finance metrics Audit Committee oversight of the effective design and operation of internal control, financial reporting, counter fraud activities and use of single tender waivers Risk Management Committee oversight of risks related to finance, capital, Building the Leeds Way 	<ul style="list-style-type: none"> Board approved five-year plan Trust annual governance statement Programme Management Office (PMO) report on delivery of waste reduction programme Infrastructure Committee annual report External auditors Value for money report Internal audit programme reports re financial governance and BtlW programme (PWC) Level Three accreditation for Future Focused Finance Board approved financial sustainability self-assessment NHSE Region deep dive of efficiency programme June 2025. Recommendations and action plan reported through Financial Improvement Board and Finance and Performance Committee.
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Significant gaps in control	Further assurance required

Risk category and risk appetite statement		
Level 1 Risk Type	Risk appetite	Relevant to strategic risk
Workforce		
Workforce supply	Cautious	
Workforce deployment	Cautious	
Workforce retention	Cautious	
Workforce performance	Cautious	
Operational		
Business Continuity	Cautious	
Change	Cautious	√
Health and safety	Minimal	
Information Governance	Cautious	
Information Security	Cautious	
Information Technology	Cautious	√
Physical Assets	Cautious	√
Clinical Risk		
Capacity Planning	Cautious	
Infection Prevention and Control	Minimal	
Patient Experience	Minimal	
Patient Safety and Outcomes	Minimal	

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Research, Innovation and Development	Cautious	
Financial Risk		
Counter-fraud	Averse	√
Financial management and waste reduction	Cautious	√
Financial reporting	Minimal	√
Revenue funding and liquidity	Cautious	√
Supply Chain	Cautious	√
External Risk		
Legal and Governance	Averse	
Partnership Working	Open	
Regulatory	Averse	√
Strategic Planning	Cautious	