



**Board & Committee Assurance of Risk
(Board Assurance Framework, Corporate Risk Register,
Risk Appetite Framework)**

**Public Board
30 July 2026**

Presented for	Information and Decision
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Previous Committees	Finance & Performance Committee 25 June 2026

Freedom of Information Act (FOIA) Exemption	☐ YES (restricted from the FOIA) ☒ NO (available to the public under the FOIA)
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Link to Strategic Objective	Applicable to all objectives
Link to Provider Capability Assessment	Governance, risk and regulatory
Link to CQC Well-led Statement	Governance, Management and Sustainability
Regulatory Impact	Considers all regulatory impact

Key points	
Following review by the F&P Committee, the Board are asked to reflect on the current system and processes of the Board Assurance Framework, Corporate Risk Register and the Board Assurance Framework, consider the proposals set out in the report and the assurance reporting of risk with the Committee.	Information Decision

1. Summary

The Board is required to have effective risk management systems in place, with the Chief Executive, as the Accountable Officer is required to describe the processes and effectiveness within the Annual Governance Statement. The process is described within the Risk Management Policy.

2. Context

Risk management should operate under a common language. Adopting standard risk management terms and definitions set out in the Risk Management Code of Practice (BS 31100:2021) will improve consistency and avoid confusion.

- Board Assurance Framework – A document which records the threats to the strategic objectives and goals of the Trust
- Corporate Risk Register – The document which records the most significant operational risks faced by the Trust
- Risk Appetite – Amount and type of risk the organisation is prepared to seek, accept or tolerate
- Risk Tolerance – the range of risk score the Trust will accept within the risk appetite category

At Leeds Teaching Hospitals NHS Trust (LTHT) the Board of Directors have set out within the Risk Appetite Framework (RAF) level 1 risk types, level 2 risk categories and risk appetite statements with defined tolerances for each. These are aligned to the reporting template for Board and Committees, where authors are invited to choose relevant options to underpin the assurance or escalation of risk within their respective reports, stating if they are within or out of risk tolerance defined by the Board.

The Board of Directors determine the Trust's appetite for risks in relation to the threats to the achievement of the organisations strategic objectives which form the Trust's Board Assurance Framework (BAF).

The Risk Management Committee (RMC) is an Executive monthly meeting with attendance by CSUs and Corporate Functions to review their respective Risk Registers. Risks scoring (≥ 15) are included within the Corporate Risk Register (CRR) which are reported to each Board meeting. A summary of the changes to the CRR from the monthly RMC is reported within the Chief Executive's report to each Board meeting.

The full CRR and BAF are received as Blue Box items at each of the Assurance Committees of the Board. The purpose of this aligns to the standing agenda items for Board and all Committees; where members are invited to reflect from the reports received and the discussion within the meeting, if there are any risks to escalate and /or for consideration to changes in the BAF or CRR.

The Audit Committee scrutinises assurances on the risk management system to ensure it remains fit for purpose and, at the Committee's discretion, will examine assurances on the operation of controls for all significant risk exposures or any other risk of interest to the Committee. On an annual cycle, each of the risk appetite statements from the RAF, along with the attendance of the respective Executive Director, are scrutinised by the Audit Committee. At present, it is not common practice to share these reports from the Audit Committee with the relevant Assurance Committee of the Board (which could be as a Blue Box item).

The extract below is from the Risk Management Policy;

The relationship between Risk Management, Quality Assurance Committee, Finance and Performance Committee and the Audit Committee

- (i) To ensure effective oversight and scrutiny of the entire business of the Trust, the relationship between the Risk Management Committee, Quality Assurance Committee, Finance and Performance Committee and Audit Committee is based on inclusiveness, clarity of purpose and constructive challenge. The Risk Management Committee will oversee the management of all significant risks and will provide the Audit Committee with assurance on the effective operation of internal controls.*
- (ii) The Quality Assurance Committee will review assurances on the operation of clinical/quality governance. In addition, the Quality Assurance Committee may commission reviews of significant clinical risks in order to receive assurance on behalf of the Board.*
- (iii) The Finance and Performance Committee will review assurances on finance and operational performance against the agreed national standards and NHS Standard Contract. In addition, the Finance and Performance Committee may commission reviews of significant finance and operational risks in order to receive assurance on behalf of the Board.*
- (iv) The Audit Committee will oversee and satisfy itself that the system of internal control is effective. It will receive, but not be limited to, reports and assurance from the Chairs of the Risk Management, Quality Assurance and Finance and Performance Committees in addition to independent assurances from the Internal Audit function.*

3. Proposal

At the May Finance & Performance (F&P) Committee meeting, the Committee Chair reflected on his observations from other F&P Committee meetings regarding the use of the BAF within LTHT F&P meetings. It was an action to reflect on the role of the F&P Committee with regard to the BAF, CRR and RAF.

- BAF – is to be used and reviewed by the Board – focus is on strategic delivery. Standing agenda item at the end of each Board meeting, with greater focus for discussion in each of the Timeout sessions (where strategy is the key focus of these meetings, therefore the Board should be reflective to question if anything from the discussion impacts the BAF – either greater assurance/gaps)
- CRR – focus in on operational delivery. As with other corporate functions, Jenny Erhardt, Chief Finance Officer and Tim Hiles, Chief Operating Officer (with his nominated deputy, as he Chairs RMC), report biannually on financial and performance risks to the RMC. Within the deep dive reports to the F&P Committee, greater reference could be made to the relevant BAF and CRRs statements or mitigations within these assurance or escalation reports. Continue with standing agenda item in closing F&P Committee and Board meetings triangulating with BAF and CRR for escalation or de-escalation
- RAF – each risk appetite statement is reported annually to the Audit Committee, these reports are currently not shared with relevant Assurance Committees and could be received as Blue Box items moving forward. Provide wider assurance of the processes and systems in place for oversight to these risks statements
- Escalation across Committees – Non-Executive Director membership across the assurance Committees is co-ordinated to underpin cross representation. The Director of Corporate Affairs attends all assurance Committee meetings. There are standing agenda items and the start and end of all our Assurance Committees to

escalate risks between Committees, along with sharing relevant reports for assurance via Blue Boxes

- A challenge to all Board members would be; as preparation for assurance Committees and the Board, can each describe the current top three to five risks of the organisation, and triangulate these to the reports received for each meeting. The insight and re-call on this will be helpful evidence for future CQC Well-led inspections and 1:1 interviews.

4. Risk categories and risk appetite review

This report is reflecting on improved use of the BAF, CRR and RAF within the F&P Committee.

5. Communication and Involvement

Following the review of this report by F&P Committee, and the outcome, this could be shared with the Board and key message for any changes in processes with report authors.

6. Equality Analysis

All Board and Committee reports will include reflections for equality analysis.

7. Publication Under Freedom of Information Act

This report is available publication under Section 22 of the Freedom of Information Act 2000.

8. Recommendation

The Board, and specifically Committee Chairs, are asked to reflect on the information and proposals set out in the report and the assurance reporting of risk with the Committee, as defined by the processes in place for the BAF, CRR, RAF and escalation between Committees.

Jo Bray, Director of Corporate Affairs
9 June 2026