

Meeting Title	Board of Directors		
Date	18.3.21	Agenda item	Bo.3.21.25

Board Assurance Framework (Quarter 4, 2020/21) and Strategic Risk Register Movement Log

Presented by	Laura Parsons, Associate Director of Corporate Governance/Board Secretary		
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Lead Director	Mel Pickup, Chief Executive		
Purpose of the paper	This paper provides a profile of risks, controls and assurances related to the delivery of the Trust's strategic objectives		
Key control	Understanding the Board's risk appetite related to the achievement of the Trust's strategic objectives is a key component of the Board Assurance Framework		
Action required	For information		
Previously discussed at/ informed by	ETM – 15 February 2021		
Previously approved at:	Committee/Group	Date	
	N/A		

Key Options, Issues and Risks

The Board has overall responsibility for ensuring systems and controls are in place, sufficient to mitigate any significant risks which may threaten the achievement of the organisation's strategic objectives.

The Board Assurance Framework (BAF), attached at Appendix 1, collates information about risk appetite, relevant risks, and assurance, for each of the Trust's five Strategic Objectives. This supports Board members in considering the papers and topics discussed at Board and Regulation & Assurance (R&A) Committee meetings, and informing an overall view about the level of assurance provided.

At the last R&A Committee meeting, it was agreed that the BAF would be presented to the Executive Team, who would consider and recommend the assurance level in relation to each objective. The BAF will then be presented to the R&A Committee, and is not being presented to the Academies to avoid duplication and also ensure that the BAF is considered in its entirety, rather than in a piecemeal way.

The content of the BAF was reviewed and updated by Executive Directors during early February. The full BAF was reviewed at the Executive Team Meeting on 15 February 2021. The recommended assurance level in relation to each objective is set out below.

Analysis

Since the last report to the R&A Committee on 16 December 2020, the key changes that the Committee should be aware of are as follows:

Strategic Objective		Current Assurance Level	Changes since last report
1	To provide outstanding care for our patients	Limited confidence	The assurance level has been reduced from green (confident) to amber (compromised) as although the Trust has processes in place to monitor and record patient safety and quality of care, we have now been operating in a system under extreme pressure for almost 12 months. Work that we want to do to move to 'outstanding' has been delayed throughout this period.

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2a	To deliver our financial plan	Confidence	The assurance level has increased back to green from amber. The majority of the risks previously identified that challenged delivery of the plan have been either been mitigated or removed. The Trust is now forecasting a year end position that is better than plan. The Year-end cash forecast is currently £31.4m which is £0.9m above the plan of £30.5m.
2b	To deliver our key performance targets	Little or no confidence	<p>The assurance level has been reduced from amber to red due to the ongoing impact of Covid-19. During this period waiting times have significantly increased and performance against access targets has deteriorated. The re-establish and recovery programme has commenced, however this has been impacted by the increased COVID presentation during Wave 2 and Wave 3 of the pandemic.</p> <p>The clinical prioritisation process continues to allocate limited resources to patients whose disease progression was time sensitive. The Trust is using all available independent sector capacity to undertake elective activity in line with the current contractual arrangement, which is due to run until 31/03/2021.</p>
3	To be in the top 20% of employers in the NHS	Limited confidence	The assurance level has reduced from green to amber due to the impact of Covid-19. Although robust arrangements have been put in place to support staff wellbeing and resilience, we have been operating under pressure as a trust for nearly 12 months which is impacting on our people's experience.
4	To be a continually learning organisation	Limited confidence	<p>The assurance level has reduced from green to amber due to the impact of Covid-19. COVID has limited training opportunities due to reduced elective operating which has impacted on surgical anaesthetic trainees. This has been mitigated where possible by allowing trainees to attend lists at The Yorkshire Clinic.</p> <p>There has been a loss of teaching resource in Field House as the labs have been used as part of the Vaccine Hub. Inevitably, redeployment of trainees to COVID rotas has impacted on specific training opportunities, whilst creating unprecedented experience in the management of patients in a pandemic.</p>
5	To collaborate effectively with local and regional partners	Confident	The assurance level remains at green. The BAF has been updated to reflect recent collaborative activity with system partners to respond to NHS England's consultation on ICS statutory powers, to refresh the Strategic Partnering Agreement in our place, and to manage the vaccine roll out.

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Strategic Risk Register (SRR) Movement Log

At its meeting on 15 February, ETM considered a summary of all strategic risks, aligned to their respective academies, and a movement log showing additions, closures and changes in score, and those risks which had passed their review date.

A summary of ETM's discussion was presented to the academies on 24 February, alongside the risks within their remit and a copy of the movement log. The academy chair's reports include details of the matters discussed in relation to strategic risks. The ETM summary and movement log are attached at Appendices 2 & 3 for reference.

Recommendation

The R&A Committee is asked to review the Board Assurance Framework in the context of the discussions to date and the papers and topics discussed in today's meeting, and to decide if the Quarter 4 level of assurance indicated for each Strategic Objective is appropriate.

The Committee is also asked to note the Strategic Risk Register movement log and the summary of ETM's discussion in relation to the strategic risks.

Risk assessment						
Strategic Objective	Appetite (G)					
	Avoid	Minimal	Cautious	Open	Seek	Mature
To provide outstanding care for patients				g		
To deliver our financial plan and key performance targets		Finance	g		Performance	
To be in the top 20% of NHS employers					g	
To be a continually learning organisation				g		
To collaborate effectively with local and regional partners					g	
The level of risk against each objective should be indicated. Where more than one option is available the level of risk of each option against each element should be indicated by numbering each option and showing numbers in the boxes.	Low		Moderate	High	Significant	
	Risk (*)					
Explanation of variance from Board of Directors Agreed General risk appetite (G)	The assurance level relating to the delivery of key performance targets is currently being reported as red (little or no confidence). The reasons for this are outlined above.					

Risk Implications	Yes	No
Corporate Risk register and/or Board Assurance Framework Amendments		▪
Quality implications		▪
Resource implications		▪
Legal/regulatory implications		▪
Diversity and Inclusion implications		▪

Regulation, Legislation and Compliance relevance
NHS Improvement: <i>Risk assessment framework, quality governance framework, code of governance</i>
Care Quality Commission Domain: <i>well led</i>
Care Quality Commission Fundamental Standard: <i>good governance</i>

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Other (please state):

Relevance to other Board of Director's Committee:	
Regulation and Assurance Committee	Other (please state)
▪	