

Meeting Title	Regulation and Assurance Committee		
Date	11.05.21	Agenda item	RC.5.21.33

Board Assurance Framework (Quarter 1, 2021/22) and Strategic Risk Register Movement Log

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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 decision		
Previously discussed at/informed by	Board Assurance Framework: ETM – 26 April 2021 Strategic Risk Register and movement log: ETM – 19 April 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.

The content of the BAF was reviewed and updated by Executive Directors during April. The full BAF was reviewed at the Executive Team Meeting on 26 April 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 10 March 2021, the key issues 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 remains at amber. Whilst there are processes in place to monitor and record patient safety and quality of care, the Trust has 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.
2a	To deliver our financial plan	Limited confidence	The assurance level has reduced from green at the end of Q4 to amber. The green rating for the Q4 assurance level captured the closedown to 20/21 and reflected the final outturn position, which was delivery of the income and expenditure plan. The cash position was also ahead of plan.

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			<p>The current assurance rating is set at amber, reflecting the exit run rates from 21/22 but also the uncertainty around cost changes, particularly in relation to the elective activity restart.</p> <p>Upon reviewing the principal risks associated with this objective, it is recommended that principal risk 6 (Failure to achieve sustainable contracts with commissioners) is closed down. It is no longer a relevant risk due to the block funding arrangements. There are no strategic risks associated with this principal risk.</p>	
2b	To deliver our key performance targets	Little or no confidence	<p>The assurance level remains at red due to the ongoing impact of Covid-19. During this period waiting times significantly increased and performance against access targets 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 utilising all available independent sector capacity to undertake elective activity in line with the current contractual arrangement which has now been extended until 31/10/21.</p>	
3	To be in the top 20% of employers in the NHS	Limited confidence	<p>The assurance level remains at amber. Whilst we have processes in place which have enabled us to maintain our focus on the achievement and assurance associated with this objective particularly around workforce supply and wellbeing and resilience of staff, we have now been operating under pressure as a Trust for 12 months which has impacted on our People's experience as we now focus on recovery. This can be demonstrated through our staff absence figures and our staff survey results.</p>	
4	To be a continually learning organisation	Limited confidence	<p>The assurance level remains at 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> <p>The Hospital vaccine hub is scheduled to close in May so the facilities should be able to be returned to Education. As elective activity increases there will be more training</p>	

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			opportunities available.
5	To collaborate effectively with local and regional partners	Confident	The assurance level remains at green. Since the onset of the pandemic, health & care partners have worked together on joint planning and to align decision making, for example through Outbreak Control Board and the council's Advisory Board ("Gold"). The Act as One programme has created 7 transformation programmes on behalf of the whole "place", 3 led by BTHFT Executives (access, diabetes, respiratory) and reporting to Bradford H&C Partnership Board (chaired by BTHFT CEO). The recent NHSE/I consultation on statutory powers for ICS led to a Trust response which was closely aligned to those from the ICS, WYAAT and Bradford Place as a result of close working and collaboration. There is extensive system-wide discussion underway in respect of winter, plus flu and Covid vaccination programmes.

Strategic Risk Register (SRR) Movement Log

At its meetings on 22 March and 19 April, 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 from 19 April was presented to the academies on 28 April, alongside the risks within their remit and a copy of the movement log. The academy chair 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 level of assurance indicated for each Strategic Objective is appropriate.

The Committee is also asked to agree to close down principal risk 6 (*Failure to achieve sustainable contracts with commissioners*), which was previously aligned to strategic objective 2a (*to deliver our financial plan*).

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			g	Finance	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	

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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>
Other (please state):

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