

Meeting Title	Board of Directors		
Date	16 November 2023	Agenda item	Bo.11.23.20

Board Assurance Framework & High Level Operational Risks

Presented by	Laura Parsons, Associate Director of Corporate Governance/Board Secretary		
Author	Executive Directors Laura Parsons, Associate Director of Corporate Governance/Board Secretary Katie Shepherd, Corporate Governance Manager		
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 assurance		
Previously discussed at/informed by	Board Assurance Framework: ETM – 23 October 2023, Quality and Patient Safety Academy 1 November 2023, People Academy – 25 October 2023, Finance and Performance Academy – 1 November 2023. High Level Risk Register: ETM – 18 September and 23 October 2023 Academies – Quality and Patient Safety Academy 27 September 2023 and 1 November 2023, People Academy – 27 September 2023 and 25 October 2023, Finance and Performance Academy – 27 September 2023 and 1 November 2023.		
Previously approved at:	Committee/Group	Date	
	N/A		

Key Options, Issues and Risks

In line with the Risk Management Strategy, the Board's role in relation to the Board Assurance Framework (BAF) and High Level Risks is as follows:

- Seek assurance from the Executive Team and Academies that all risks on the High Level Risk Register and BAF are appropriately recognised and recorded, and that all appropriate actions are being taken within appropriate timescales where risks are not appropriately controlled.
(NB Where risks relating to a particular strategic objective are not aligned to an Academy, the Board will seek assurance directly from the Executive Team.)

BAF – Strategic Risk

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 BAF 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 meetings and informs an overall view about the level of assurance provided.

The BAF is attached at Appendix 1 for review. The key points to note are included on the summary pages of the BAF (pages 1-2). The details behind each risk including the relevant controls, assurances, gaps and actions to address gaps are then set out on individual pages. There have been no changes to the risk scores since the previous update.

The BAF was reviewed and updated by the lead executives, and was reviewed and agreed by the Executive Team on 23 October 2023. The Quality and Patient Safety Academy and Finance Performance Academies reviewed the BAF risks within their remit on 1 November 2023. The People Academy reviewed the BAF risks within their remit on 25 October 2023.

The Executive Team suggested that the Board be asked to consider whether a new risk should be added to the BAF in relation to being well led and the overall governance of the organisation.

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At both the People and Finance & Performance Academies, it was suggested that consideration be given to the potential impact of recent adverse publicity on staff recruitment (BAF risk 3.1). This will be considered with the Interim Director of HR when the BAF is next reviewed.

High Level Risk Register (HLRR) – Operational Risk

All **operational** risks scoring 15 and above (high level risks) are escalated to the Executive Team Meeting (ETM) on a monthly basis and then to the relevant Academies and the Board.

At its meetings on 18 September and 23 October 2023, ETM considered a summary of all high level risks, including any new risks, closures and changes in score, and those risks which had passed their review date.

The Academies reviewed the high level risks within their remit at their meetings as follows:

- Quality and Patient Safety Academy – 27 September and 1 November 2023
- People Academy – 27 September and 25 October 2023
- Finance and Performance Academy – 27 September and 1 November 2023

The HLRR, showing all high level risks rated 15+ for October 2023, is attached at Appendix 2.

High Level Risks Report on a Page

The document at Appendix 3 provides a visual overview of all high level risks at BTHFT for September and October 2023, and shows trends over a number of cycles and flags areas that ETM, the Academies and Board may wish to consider. This is aligned with a similar document that is presented at Place/ICB meetings. The following information is included:

- An overview of the risk profile, with details of the total number of high level risks.
- An overview of whether scores are increasing, decreasing or staying static.
- A graph showing the changing number of risks on the register.
- Static risks which demonstrates over time how long risks have remained static for. A risk that remains static over a number of months may be an indication that further work is required to control the risk.

Target Mitigation Dates

Risks beyond their target mitigation date

ETM noted that 1 risk had passed the target date for completion of the mitigating actions:

Risk ID:	Current Score:	Risk Description:	Lead Director:	Target date for completion of mitigating actions:
September/October 2023:				
3800	20	Increase in the cost of gas and power at Bradford Royal Infirmary and St Luke's Hospital from the 1st April 2024 when the Trust's current price agreement expires	Saj Azeb, Chief Operating Officer	01/08/2023

The target mitigation date relating to risk 3800 has since been amended to 31 December 2023.

Changes to target mitigation dates

The document at Appendix 4 provides a detailed overview of all current high level risks and the number of changes made to the target mitigation date for each risk since it was created.

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New risks to the High Level Risk Register (HLRR)

ETM agreed to accept four new risks to the HLRR:

Risk ID:	Score:	Risk Description:	Lead Director:	Academy:
September 2023:				
3890	15	There is a risk that the USS service cannot achieve the 72 hour timeframe for undertaking fetal ultrasound scans due to a lack of scan capacity.	Karen Dawber, Chief Nurse	Quality and Patient Safety Academy
3598	16	There is a risk that CYP admitted to children and adult wards in mental health crisis have variation in their practice/care. There is no policy to manage physical restraint and or rapid tranquilisation on children's ward. Use of Section 5 (2) used inappropriately on the adult wards.	Karen Dawber, Chief Nurse	Quality and Patient Safety Academy
3767*	16	There is a risk that Maternity staff are working within the Bradford community on a daily basis and do not always carry or have access to a lone worker device as per Trust policy	Karen Dawber, Chief Nurse	People Academy
October 2023:				
3824	15	Emergency Department Medical Staff Coverage – weekend and evenings	Dr Ray Smith, Chief Medical Officer	People Academy and Quality and Patient Safety Academy

*Risk 3767 was previously on the HLRR and was reduced to a score of 12 in August, but has since been increased back to 16.

Risks which have been removed/closed

There are no risks that have been closed since the last report.

Risks which have changed in score

ETM agreed two changes in risk score:

Risk ID:	Current Score:	Previous Score:	Risk Description:	Lead Director:	Reason for change in score:
3598	12	16	There is a risk that Children and Young People (CYP) admitted to children and adult wards in mental health crisis have variation in their practice/care.	Karen Dawber, Chief Nurse	CYP requiring a place of safety in crisis with a mental health diagnosis, requiring security, restrictive intervention and rapid tranquilisation are admitted infrequently (1 every 2 months). The Distressed, Agitated and Violent (DAV) Policy is now published and validated with legal input. Training sessions have commenced.

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3630	12	15	Staffing shortages are compromising the ability of the Children's community team to provide the level of respite care that has been agreed with the CCG	Karen Dawber, Chief Nurse	Continuing Care Caseload: score reduced to 12. The continuing care team are not yet fully recruited; there is a vacancy of 2.44 and 1 wte currently going through employment checks. They are however able to take on new packages of care.
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Risks beyond their review date

ETM noted there were three risks that were beyond their review date:

Risk ID:	Score:	Risk Description:	Lead Director:	Review Date:
September 2023:				
3877	16	If we are unable to manage ongoing operational pressures due to high demand, Covid backlogs and industrial action, then there may be delays to treatment, resulting in harm to patients and/or poor patient experience.	Sajid Azeb, Chief Operating Officer	31/08/2023
3711	16	There is a risk that Children will deteriorate /come to harm due to lack of staff capacity to manage an increasing caseload across Y&H (both volume and complexity plus large range or rare disorders requiring intense dietetic monitoring and intervention)	Karen Dawber, Chief Nurse	31/07/2023
October 2023:				
3808	20	Risk of Industrial Action	Faeem Lal, Interim Director of HR	15/09/2023

Risk 3877 has been reviewed with a new review date set at 31 December 2023. Risk 3711 has been reviewed with a new review date set at 10 January 2024. Risk 3808 will be reviewed as soon as possible.

Ongoing risks

ETM noted the ongoing risks and no further comments were raised.

Recommendation

The Board is asked to:

- confirm whether it is assured that all risks on the High Level Risk Register and BAF are appropriately recognised and recorded, and that all appropriate actions are being taken within appropriate timescales where risks are not appropriately controlled; and
- agree whether to include a new risk on the BAF relating to the governance of the Trust and being well led.

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Risk assessment						
Strategic Objective	Appetite (G)					
	Avoid	Minimal	Cautious	Open	Seek	Mature
To provide outstanding care for patients, delivered with kindness				g		
To deliver our financial plan and key performance targets				g		
To be one of the best NHS employers, prioritising the health and wellbeing of our people and embracing equality, diversity and inclusion					g	
To be a continually learning organisation and recognised as leaders in research, education and innovation				g		
To collaborate effectively with local and regional partners, to reduce health inequalities and achieve shared goals					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)						

Risk Implications	Yes	No
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:	
Audit Committee	Other (please state)
▪	Academies