

2020 STRATEGIC BOARD ASSURANCE FRAMEWORK

Themes from the 'Confirm and Challenge' conversations held on 13th September 2019

SBAF Risk No.	Executive Lead	Summary risk description	Outcome/Themes
1	Toby Lewis	Management bandwidth	<ul style="list-style-type: none"> Risk controls to be clarified so that they convey purpose of allocating sufficiently skilled management resource to all areas, with a focus on corporate functions. There is a need to undertake a piece of comparison work to ensure corporate functions are lean, accountable and productive. Corporate data needs to be developed to support this. Assurance process for Band 8a+ vacancy analysis needs clarification. Monitoring process for Coaching & Mentoring program needs to identify course completion rates and sophisticated analysis/interpretation of data.
2	Rachel Barlow	Collapse in local care home provision	To be arranged
3	Rachel Barlow	Recruiting and retaining GPs	To be arranged
4	David Carruthers	Vulnerable services	<ul style="list-style-type: none"> Risk can be divided into local services and Black Country services – there is a gap over how much we can drive and influence emerging vulnerable services in the Black Country. Presently there is a gap in assessing how technology can improve access to services in other locations. DC to review assurance structure and provide more detail on how STP discussions are actioned.
5	Kam Dhani	welearn platform	<p>welearn is a new programme and will take time to develop and embed assurance process.</p> <p>Clinical audit programme is presently a gap as it requires sign off.</p>
6	Alan Kenny	Securing Midland Met Final Contractor	Risk is short term and will need to re-formulated once Balfour Beatty are appointed as the final contractor.

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			Assurances amended to reflect the involvement of 3 rd parties such as NHSI, DHSC and Treasury.
7	Dave Baker	ICP partners not signing up to vision	Controls have been developed for 2 areas; Sandwell (1) and West Birmingham (2). Both areas are showing progress but at a different pace and via different routes. Gap is receiving resources and developing a baseline assurance process to reflect this.
8	Martin Sadler	Digital Plan not meeting end user needs	Digital Plan is being developed in consultation with groups and CLE and should be signed off by CLE in March 2020 and strengthening the assurance process. There is need to ensure the technical infrastructure for Midland Met is developed correctly and the assurance process for this is identified.
9	Dinah Mclannahan	Failure to achieve saving plans	There is need to extend the controls and assurances to look at the financial implications for the Trust in future years. STP long term financial plan in process of being agreed and will need to be incorporated into controls and assurances.
10	Dinah Mclannahan	Lack of adoption of capitation based contracting	There is need to join up the work the Trust has done on place based allocation with the work the CCG is undertaking as part of the mitigation plan if Sandwell & West Birmingham CCG separates. There is a need for the Healthy Lives Partnership Board to develop an initial forward looking spending plan for Sandwell and West Birmingham.
11	Raffaella Goodby	Labour shortage affecting service sustainability	Recruitment is a national problem and is unlikely to be resolved. RG is looking at more creative recruitment solutions and this is included as a control. The Trust's ideal position would be for: <ul style="list-style-type: none"> • All vacancies to be filled; • The development of a clear retention strategy – this is a gap and will need to be actioned once Unity is complete; • A clear forward look of the workforce in 5 – 10 years' time – this gap has been included on the SBAF and actions will be developed to close the gap. • A 2% reduction in staff turnover and a higher retention rate.

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			<ul style="list-style-type: none"> • RG will improve the assurance information to show key reports and metrics that monitor the effectiveness of the controls.
12	Raffaella Goodby	Staff development time over next 2 years	<p>Desired position is that wards/departments are sufficiently staffed so that staff can be released for training and development.</p> <ul style="list-style-type: none"> • Training DNA rates are monitored but rostering is not at the required level - this will be added to the gaps and actions. • RG will review the assurance information so that controls are monitored by tangible information/named reports.
13	Raffaella Goodby	Improved workforce mental health and well being	<ul style="list-style-type: none"> • RG will review the assurance information so that controls are monitored by tangible information/named reports. • Need to be clear on where Trust hotspots are and how they are visible to the Board. • There is a gap relating to lack of full implementation of risk assessments. This will be included on the SBAF and actioned.
14	David Carruthers	Amenable mortality	<ul style="list-style-type: none"> • Risk score is high due to length of time it will take to reduce likelihood of risk materialising. Challenge is measuring success of interventions as there is delay of approximately 12 months for data to become available. • National picture for Learning from Deaths is constantly changing.
15	David Carruthers	Research goals	<p>Challenge is measuring success as some research outcomes take several years to materialise – important not to lose sight of successes.</p> <p>There are gaps relating to:</p> <ul style="list-style-type: none"> • Turnover of key staff who will take time to get up to speed on assurance process. • Recruitment is difficult into academic posts as clinical work now takes priority. <p>Gaps are being addressed by working with recruitment to make posts attractive and supporting staff internally with a strengthened research governance process including capturing Consultant SPA time.</p> <p>Work will continue to articulate assurance process with tangible information/named reports.</p>

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16	Toby Lewis	Informatics infrastructure impacting on digital ambitions	<p>Controls aim to monitor and ensure that staff can use IT systems to release time and become more skilled.</p> <p>There are 2 gaps to the PTRG monitoring system where red alerts are ignored; prompting the questions:</p> <ul style="list-style-type: none"> • Is it sufficiently embedded in the IT dept. work flow? • Are the thresholds for action sufficient and are they acted on? <p>CIO has this gap under review, actions will be audited by RSM in March 2020. Need for Infrastructure Plan and Digital Plan identified and in progress.</p>
17	Rachel Barlow	Unity risk	To be arranged
18	Toby Lewis	Potential West Birmingham commissioning changes	<p>There is a need to develop quantified thresholds of what “Good” would look like for the new hospital operation and integration. This would need to include performance metrics for 2020 – 2023.</p> <p>There is a gap in the controls required to monitor operating deficiencies for the opening of the new hospital.</p>
19	Rachel Barlow	Sustainability of services on 2 sites pending Midland Met	To be arranged