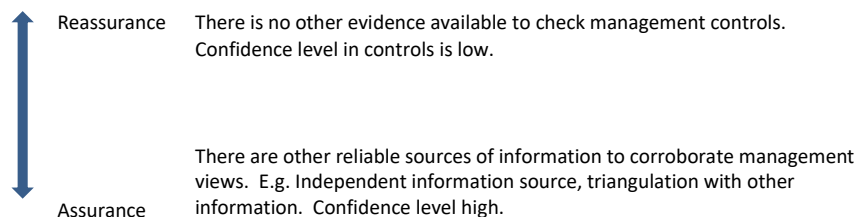


2020 STRATEGIC BOARD ASSURANCE FRAMEWORK

SBAF risks by assurance level: September 2019



Zero	Indicates poor effectiveness – there is no assurance that the controls are working either way
Limited	Some assurances in place or controls are still maturing so effectiveness cannot be fully assessed but should improve
Adequate	Some issues identified that if not addressed, could increase the likelihood of the risk materialising.
Substantial	Controls are suitably designed, being consistently applied and are effective in practice.
No colour	Suggested assurance level not yet confirmed by responsible committee

SBAF risk no.	Risk description	Responsible Board Committee	Exec Lead	Assurance level
1	Management bandwidth	People and OD	Toby Lewis	ADEQUATE
2	Collapse in local care home provision	Quality and Safety	Rachel Barlow	LIMITED
3	Recruiting and retaining GPs	Trust Board	Rachel Barlow	LIMITED
4	Vulnerable services	Quality and Safety	David Carruthers	LIMITED
5	WeLearn	Quality and Safety	Kam Dhami	LIMITED
6	Securing Midland Met Final Contractor	Estates MPA	Alan Kenny	ADEQUATE
7	ICP partners not signing up to vision	Trust Board	Dave Baker	LIMITED
8	Digital Plan not meeting end user needs	Digital MPA	Martin Sadler	LIMITED
9	Failure to achieve saving plans	Finance and Investment	Dinah Mclannahan	ADEQUATE
10	Lack of adoption of capitation based contracting	Finance and Investment	Dinah Mclannahan	LIMITED
11	Labour shortage affecting service sustainability	People and OD	Raffaela Goodby	LIMITED
12	Staff development time over next 2 years	People and OD	Raffaela Goodby	LIMITED
13	Improved workforce mental health and well being	Public Health	Raffaela Goodby	ADEQUATE
14	Amenable mortality	Quality and Safety	David Carruthers	ADEQUATE
15	Research goals	Quality and Safety	David Carruthers	ADEQUATE
16	Informatics infrastructure impacting on digital ambitions	Digital MPA	Toby Lewis	LIMITED
17	Unity risk	Digital MPA	Rachel Barlow	LIMITED
18	Potential West Birmingham commissioning changes	Trust Board	Toby Lewis	LIMITED
19	Sustainability of services on 2 sites pending Midland Met	Estates MPA	Rachel Barlow	ADEQUATE