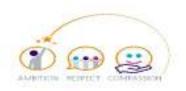
Paper ref: TB Public (09/23) 020







REPORT TITLE:	Board Assurance Framework Report		
SPONSORING EXECUTIVE:	Kam Dhami, Chief Governance Officer		
REPORT AUTHOR:	Dan Conway, Associate Director of Corporate Governance /		
	Company Secretary		
MEETING:	Public Trust Board	DATE:	13 th September 2023

1. Suggested discussion points [two or three issues you consider the Trust Board should focus on in discussion]

The Trust Board is required to review the BAF. In doing so, the Committee is asked to consider the following:

- The **strength levels of the controls and assurances** and note the work that has been undertaken to improve all the BAF risks in this area.
- The Board committees carried out a deep dive in August 2023 (apart from the MMUHOC as the Clinical Safety Officer's review is due to finish in September and will then feed into the BAF risk refresh) to agree how the controls and assurances are aligned with the risk descriptions and any gaps have a smart action against them that is embedded and understand how evidence would be provided of sustained positive impact over a continuous period.

2. Alignment to our Vision [indicate with an 'X' which Strategic Objective[s] this paper supports]							
OUR PATIENTS		OUR PEOPLE		OUR POPULATION			
To be good or outstanding in	x	To cultivate and sustain happy,	X	To work seamlessly with our	X		
everything that we do		productive and engaged staff		partners to improve lives			

3. Previous consideration [at which meeting[s] has this paper/matter been previously discussed?]

At all Board Committees in August 2023

4. Recommendation(s)

The Public Trust Board is asked to:

- **a. ACCEPT** the current position of the BAF risks and scores.
- **AGREE** that the updated BAF aligned to the Corporate Risk Register will be presented at the January 2024 Meeting.

5.	Impact [indicate with an 'X' which governance initiatives this matter relates to and, where shown, elaborate in the paper]					
Во	Board Assurance Framework Risk 01 x Deliver safe, high-quality care.					
Во	ard Assurance Framework Risk 02	х	Make best strategic use of its resources			
Во	ard Assurance Framework Risk 03	Х	Deliver the MMUH benefits case			

Board Assurance Framework Risk 04	Х	Recruit, retain, train, and develop an engaged and effective workforce						
Board Assurance Framework Risk 05	х	Deliver on its ambitions as an integrated care organisation						
Corporate Risk Register [Safeguard Risk Nos]								
Equality Impact Assessment	Is t	his required?	Υ		N	Х	If 'Y' date completed	n/a
Quality Impact Assessment	Is this required?		Υ		N	х	If 'Y' date completed	n/a

SANDWELL AND WEST BIRMINGHAM NHS TRUST

Report to Public Trust Board on 13th September 2023

Board Assurance Framework Update

1. Introduction

1.1 The BAF was refreshed in April 2022 and last reviewed by the Board on 12th July 2023

2. Committee Presentations and reviews

- 2.1 The August 2023 round of Board Committees all had the BAF scheduled on the agenda.
- 2.2 Each of the committee leads and Chairs reviewed their BAF (apart from the MMUHOC, as the Clinical Safety Officer's review of all MMUH risks is due to finish in September and will then feed into the BAF risk refresh and the Integration Committee) discussed the BAF risk and supported the transition to the new template, which now has now more defined impact descriptions of challenges to the achievement of the principal risks.
- 2.3 Each BAF risk now has a measurable set of actions to support the reduction, mitigation or management of each risk which are aligned to an executive lead and has an agreed target date.
- 2.4 Part of the work into quarter 2 is for the committees to agree how best to measure traction of the actions and how to gain an understanding of how actions are embedded, and evidence provided of sustained positive impact over a continuous period.

3. Summary

- 3.1 The updated BAF summary below (the full committee BAF details are contained in the Reading room) and the current risk ratings associated with each risk are shown below in a heat map. The BAF is embedded within each Board committee's agenda and is reviewed on a monthly/quarterly basis by each committee (dependent on the committee cycle.)
- 3.2 Risk scoring is undertaken on a 5x5 matrix (Consequence x Likelihood). Risks rated 15 or over are rated high (Red), 10 -12 are medium (Amber), 4 8 are moderate (Yellow) and 1-3 are low (Green). The "Initial Risk" score sets out the scoring for each risk before the application of any controls. The "Current Risk" score sets out the scoring for the current quarter after all controls for that risk has been applied.

HEATMAP

	Likelihood					
	Rare	Unlikely	Possible	Likely	Almost Certain	
Consequence	1	2	3	4	5	
5 Catastrophic	5	10	15	20	25	
4 Major	4	8	12 BAF 003	16 BAF 001 BAF 004 BAF 005	20 BAF 002	
3 Moderate	3	6	9	12	15	
2 Minor	2	4	6	8	10	
1 Insignificant	1	2	3	4	5	

4.1 A summary of the up-to-date position for each risk is provided below and the committee should refer to **Appendix 1** for more detail.

Quality and Safety BAF Risk

Strat	Strategic Objective: Patients - To be good or outstanding in everything we do						
BAF0	AF001: There is a risk that the Trust fails to deliver constant safe, high-quality care.						
Initia	l Risk Score	4	4	16			
Curre	ent Risk Score	4	4	16			
Targe	et Risk Score	4	3	12			
-	ct Description (ID) might cause this to happen)			Committee Assurance Rating for each ID			
1a	Significant Failure to delive care across the Trust resul- and poor clinical outcomes	Amber					
1b	Insufficent understanding events/incidents/complain outcomes.	Amber					
1c	Safe & skilled workforce no impacts on the ability to do organisational objectives.	Amber					
1d	A lack of a trust-wide syste by the organisation resulti opportunities	Amber					

Finance, Investment and Performance BAF Risk

Strategic Objective: People - Patients - To be good or outstanding in everything we do					
BAF002: There is a risk that the Trust fails to make best strategic use of its resources					
Initial Risk Score	4	4	16		
Current Risk Score	4	5	20		

Targe	et Risk Score	4		
_	t might cause this to happen)	Committee Assurance Rating for each ID		
2a	Failure to ensure adequate deliver CIP.	Amber		
2b	Insufficient capital resourc	es to progress requir	ed investments.	Amber
2c	Income and Expenditure poperations and capital inve	Amber		
2d	Lack of capacity to effective	ely plan to address st	rategic risk	Amber
2e	Failure to meet operationa	Amber		
2f	Failure to adopt and exploi and improve efficiency.	Amber		

People and OD BAF Risk

	Strategic Objective: People - To cultivate and sustain happy, productive, and engaged staff				
	BAF003: There is a risk that the Trust fails to recruit, retain, train, and develop an engaged and effective workforce.				
Initial	Initial Risk Score 4 4 16				
Curre	nt Risk Score	16			
Targe	t Risk Score	4			
_	ct Description (ID) might cause this to happen)	Committee Assurance Rating for each ID			
3a	Plan, attract, recruit, and c	Amber			
3b	Staff experience and reten	tion (culture and clim	nate).	Amber	

Integration BAF Risk

Strat	Strategic Objective: Patients - To work seamlessly with our partners to improve lives.					
BAFO	BAF004: There is a risk that the Trust fails to deliver on its ambitions as an integrated care organisation					
Initia	l Risk Score	4	4	16		
Curre	ent Risk Score	4	3	12		
Targe	et Risk Score	4	2	8		
	t might cause this to happen)		Committee Assurance Rating for each ID			
4a	Failure of the Trust to engasystem and place level.	To be agreed				
4b	Failure to manage governa	To be agreed				
4c	Risk that the population's of the Trust's capability and contact the trust's capability and capability and contact the trust's capability and	To be agreed				
4d	Without sufficient capacity the maturity of partnership	To be agreed				
4e				To be agreed		

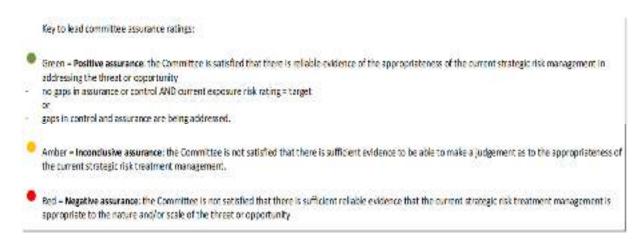
MMUH Opening BAF Risk

Strategic Objective: Patients - To work seamlessly with our partners to improve lives.					
BAF005: There is a risk that the Trust fails to deliver the MMUH benefits case					
Initial Risk Score	4	4	16		
Current Risk Score	4	4	16		
Target Risk Score	4	3	12		

-	ct Description (ID) might cause this to happen)	Committee Assurance Rating for each ID
(Wilat	Tright cause this to happen)	nating for each ib
5a	To be agree following the Clinical Safety Officer's review	
		To be agreed
5b	To be agree following the Clinical Safety Officer's review	
		To be agreed
5c	To be agree following the Clinical Safety Officer's review	To be agreed

5. Committee assurance ratings

5.1 The impact descriptions that are considered likely to increase or reduce the principal risk were individually rated by the Quality & Safety Committee, Finance, Investments and Performance Committee and the People and OD Committee in the August 2023 meetings for the level of assurance they can take that the strategy will be effective in treating the risk (see below for key):



- 5.2 This work needs to take place in the Integration Committee and MMUH Opening Committee in September 2023.
- 5.3 This approach informs the agenda and regular management information received by the relevant lead committees, to enable them to make informed judgements as to the level of assurance that they can take, and which can then be provided to the Board in relation to the Principal Risk and to identify any further action required to improve the management of those risks.

6. BAF Actions

- 6.1 Each of the BAF risks have a set of actions, all have an identified executive lead, along with the detail of where each of the actions will be monitored within the governance structure.
- 6.2 Below is a summary of when the number of actions and when they are due to be complete:

Q&S

Dates to be agreed	Completed	Overdue	2023/24 Q1	2023/24 Q2	2023/24 Q3	2023/24 Q4	2024/25
5	2	1	0	3	6	4	2

FIPC

Dates to be agreed	Completed	Overdue	2023/24 Q1	2023/24 Q2	2023/24 Q3	2023/24 Q4	2024/25
1	0	0	0	10	16	1	3

POD

Dates to be agreed	Completed	Overdue	2023/24 Q1	2023/24 Q2	2023/24 Q3	2023/24 Q4	2024/25
2	1	3	0	8	1	6	2

Integration

Dates to	Completed	Overdue	2023/24	2023/24	2023/24	2023/24	2024/25
be agreed			Q1	Q2	Q3	Q4	

MMUHOC

Dates to be agreed	Completed	Overdue	2023/24 Q1	2023/24 Q2	2023/24 Q3	2023/24 Q4	2024/25
0	0	0	6	2	0	1	0

TOTAL ACROSS THE FULL BAF

Dates to be agreed	Completed	Overdue	2023/24 Q1	2023/24 Q2	2023/24 Q3	2023/24 Q4	2024/25
8	3	4	6	23	23	12	7

7. Summary

- 7.1 Overall, the BAF is evolving well, and the committees are gaining an understanding of how to use it when setting forward planners and areas that need an escalation report to the meetings. There is still work to do to ensure a better understanding of the range of effective control and assurance and actions to continually improve to mitigate the risks over time.
- 7.2 POD has already started to align its forward planner to the BAF actions (see the example below:

Agenda Item	Frequency	By whom	Sep-23	Oct-23	Nov-23	Dec-23	Jan-24	Feb-24	Mar-24
Finance update on 23/24 Plans, incl. CIP and workforce (BAF action 003/3)	Monthly	SS	х	х	х	х	х	х	х
Updated Financial and workforce plan to take account of CIP and workforce reprofiling (BAF action 003/3)	Annually	DF	х						

Update on MMUH and Core Recruitment	Bi -	ΛЦ			.	
Activity (BAF action 003/1)	monthly	AH	Х	Х	Х	

- 7.3 Over quarter 2 we will work with the committees to carry out the same alignment to each forward planner.
- 7.4 While we are seeking to maintain the current total number of 5 Strategic Risks, the focus going forward will be to strengthen the delivery of actions with agreed trajectories. This will support the committee to make informed judgements as to the level of assurance that they can take, and which can then be provided to the Board and to identify any further action required to improve the management of those risks.
- 7.5 A revised Risk Management Framework is under development and part of the work coming out of that is to review and align the BAF with the Corporate Risk Register. This will allow the committee's and the Board to horizon scan all risks that are pertinent to their agenda.

8. RECOMMENDATIONS

The Public Trust Board is asked to:

- a) **ACCEPT** the current position of the BAF risks and scores.
- b) **AGREE** that the updated BAF aligned to the Corporate Risk Register will be presented at the November 2023 Meeting.

Dan Conway

Associate Director of Corporate Governance / Company Secretary

29 August 2023

Reading Room: Committee BAF risks