

Meeting Title	Board of Directors		
Date	13 July 2023	Agenda item	Bo.7.23.22

Board Assurance Framework & High Level Operational Risks

Presented by	Laura Parsons, Associate Director of Corporate Governance/Board Secretary		
Author	Executive Directors John Holden, Director of Strategy and Integration/Deputy Chief Executive 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 – 19 June 2023, Quality and Patient Safety Academy 28 June 2023, People Academy – 5 July 2023, Finance and Performance Academy – 10 July 2023. High Level Risk Register and movement log: ETM – 15 May 2023 & 19 June 2023, Academies – Quality and Patient Safety Academy 24 May 2023 & 28 June 2023, People Academy – 24 May 2023 & 5 July 2023, Finance and Performance Academy – 24 May 2023 & 10 July 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 informing an overall view about the level of assurance provided.

The BAF is attached at Appendix 1 for review. It was reviewed and updated by the lead executives, and reviewed and agreed by the Executive Team on 19 June 2023. The Academies reviewed the BAF risks within their remit at their meetings on 28 June, 5 July and 10 July respectively.

The key points to note are included on the summary page of the BAF (page 1). 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.

High Level Risk Register (HLRR) – Operational Risk

The format of this report has been reviewed and updated in line with the risk report presented at Place and

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ICB meetings, and to address feedback received from members of ETM. To ensure that it includes all relevant information and is in line with best practice, this report has been updated to include:

- Visual tables when highlighting new risks, risks that have changed in score, and closed risks.
- The movement log has been removed from the report as the information is provided in the main report.
- A new 'high level risks on a page' report at Appendix 3.
- Additional information on the number of changes to target mitigation dates at Appendix 4.

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 15 May and 19 June 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 - 24 May 2023 & 28 June 2023
- People Academy – 24 May 2023 & 5 July 2023
- Finance and Performance Academy – 24 May 2023 & 10 July 2023 (any updates following the 10 July meeting will be provided verbally)

The HLRR, showing all high level risks rated 15+, 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 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 2 risks had passed the target date for completion of the mitigating actions:

Risk ID:	Score:	Risk Description:	Lead Director:	Target Date:	Academy:
3732	20	There is a risk of harm to patients, staff and visitors within planned and un-planned care due to the Trust's inability to maintain safe staffing levels as a result of the sustained Covid-19 pandemic; potentially resulting in, poor experiences of care, increased patient and staff dissatisfaction, complaints, incidents, increased sickness levels, claims, and a negative impact on the reputation and financial status of the Trust	Karen Dawber	31/05/2023	People, Quality & 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.	Paul Rice	31/05/2023	People

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		Staff who have a lone worker device have reported that they rarely use it due to the age of the device causing short battery life resulting in the need for recharging at least once throughout the day. This can be difficult if staff do not have a car charger for the device. Also the devices take a long time to programme for each appointment/visit. The Trust is currently waiting for a new lone worker contract to be agreed and do not have any spare devices until this is in place.			
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NB The target mitigation date relating to risk 3732 has since been updated to 31 October 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.

New risks to the High Level Risk Register (HLRR)

ETM agreed to accept two new risks to the HLRR:

Risk ID:	Score:	Risk Description:	Lead Director:	Academy:
3877	16	If we are unable to manage ongoing operational pressures due to high demand and Covid backlogs, then there may be delays to treatment, resulting in harm to patients and/or poor patient experience.	Saj Azeb	Finance and Performance, Quality & Patient Safety Academy
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	People, Quality & Patient Safety Academy

Risks which have been removed/closed

One risk has been closed since the last report:

Risk ID:	Score:	Risk Description:	Lead Director:	Reason for removal/closure:	Academy:
3671	20	There is a risk of Major or Catastrophic harm to patients due to COVID driven operational pressures.	Saj Azeb	This risk has been closed as NHS England has stepped down the national NHS level 3 incident and there has been a consistent reduction in the number of Covid inpatients. A new risk has been opened to reflect ongoing operational pressures as a result of high demand and Covid backlogs (ref. 3877)	Finance & Performance, Quality & Patient Safety Academy

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ETM agreed that the risk closure was appropriate.

Risks which have changed in score

There are 3 risks that have changed in score since the last report.

Risk ID:	Current Score:	Previous Score:	Risk Description:	Lead Director:	Reason for change in score:	Academy:
3841	8	16	There is a risk that at times the qualified nurse staffing levels on the wards are not to planned staffing numbers reducing the staff ability to care for sick children and volume of children	Karen Dawber	Update 9.6.23: many student nurses have interviewed to join the organisation in September 2023. leading to over recruitment (+17) if all qualify and require full time. Flexi time and other alternatives adopted to ensure employment	People
3598	12	20	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	Update 9.6.23: rapid tranquilisation policy in place. Revised RA awaited.	Quality & Patient Safety Academy
3863	12	15	There is a risk that we will be in breach of HSE and NHSE guidance if we do not have a robust process to Fit Test staff for FFP3 masks leading to a clinical risk to patients and staff and a reputational risk and potential prosecution.	Karen Dawber	A paper has been approved by ETM and a staffing and delivery model has been agreed. Clinics are now in place and the back log is still there but a plan in place to address and administer. Risk reduced to 12.	People

ETM agreed that the changes in score were appropriate.

Risks beyond their review date

ETM noted there were 3 risks that were beyond their review date:

Risk ID:	Score:	Risk Description:	Lead Director:	Review Date:	Academy:
3469	16	Currently an electronic ReSPECT form is completed on SystemOne for all providers apart from BTHFT who complete a paper form. A ReSPECT form completed in BTHFT cannot be shared with	Karen Dawber	06/06/2023	Quality & Patient Safety

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		primary care & therefore there is a risk that clinical decisions are made in primary care (including a resuscitation decision) which have not taken account of the patients wishes.			Academy
3627	20	If the Trust does not invest significant capital resources to reduce the identified backlog maintenance and critical infrastructure risk of its estate, significant business continuity impact due to failure of estates infrastructure / engineering systems / building fabric will be experienced.	Mark Holloway	09/06/2023	Quality & Patient Safety Academy
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 Trusts current price agreement expires.	Mark Holloway	09/06/2023	Finance and Performance

Risks 3627 and 3800 have been updated since ETM took place on 19 June 2023 and have therefore been removed as 'past the review date' on the High Level Risks on a Page at Appendix 2.

Ongoing risks

ETM noted the ongoing risks.

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.

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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