

Report to:	Trust Board (Private)	Agenda item:	5.1
Date of Meeting:	03 February 2022		

Report Title:	Board Assurance Framework (BAF) and Corporate Risk Register (CRR)			
Status:	Information	Discussion	Assurance	Approval
		x	x	
Approval Process (where has this paper been reviewed and approved)	N/A			
Prepared by:	Fiona McNeight, Director of Integrated Governance			
Executive Sponsor (presenting):	Fiona McNeight, Director of Integrated Governance			
Appendices (list if applicable):	Board Assurance Framework Revised v1 January 2022 (draft) Draft Corporate Risk Register January 2022 Draft Summary CRR revised tracker v2 January 2022			

Recommendation:
<p>The Board are asked to review, discuss and make any updates to the following:</p> <ul style="list-style-type: none"> • Board Assurance Framework (BAF) • The Corporate Risk Register (CRR) • The Corporate Risk Tracker <p>Specifically, the Board is required to:</p> <ul style="list-style-type: none"> • Review the overall risk profile for each strategic priority and agree this reflects all current and future risks. • Review the principle risks and any associated gaps in control or assurance identified against the delivery of the 2021/2022 strategic priorities and review delivery of associated actions • Review the content of the corporate risk register to ensure that it accurately reflects the corporate risks and related actions with particular attention to mitigating actions, risk score and residual risk score.

Executive Summary:
<p>The Board Assurance Framework (BAF) provides the Trust Board with a mechanism for satisfying itself that its responsibilities are being discharged effectively. It identifies through assurance where aspects of service delivery are being delivered to internal and external requirements. It informs the Board where the delivery of principal objectives is at risk due to a gap in control and/or assurance.</p> <p>The BAF has been completely revised to align to the recently approved Trust Strategy and Strategic Objectives of Population, People and Partnerships. The format has been amended to</p>

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strengthen the presentation and alignment of corporate risks to the corporate priorities, making the link more explicit.

As part of the Improving Together Programme and revision of the Trust corporate priorities, the BAF will be amended to reflect any changes for 2022/23.

The Corporate Risk Tracker has been revised and risks aligned to the three Strategic Objectives.

For ease of reference, all completed actions within the CRR have been greyed out. All actions open and within date are highlighted in green. All overdue actions are highlighted in red. There are 2 overdue actions both with deadlines of 31/12/2021. These will be updated for the next report.

Summary Corporate Risk Profile

The updates to the BAF have identified a common theme within gaps in control and this relates to staff absence and the potential impact on delivery of the corporate objectives.

Following previous discussion at Clinical Governance Committee regarding the stroke service, the risks have been considered by the Chief Operating Officer and Chief Medical Officer and there is agreement that there are no current corporate risks to service delivery.

Risk 6247 relating to the estate requires an update and will be reported at the next update.

Extreme risks

- 5751 (Population) - Risk of patient harm caused by a delayed discharge from hospital (Score 15).
- 6247 (Population) - Risks associated with critical plant and building infrastructure that may result in utility or system failure (Score 16).
- 6961 (Population) - As a result of unclear governance arrangements regarding Health and safety, there is a risk that risks will not be identified and/or escalated appropriately resulting in insufficient risk mitigation which could lead to staff/patient harm (Score 16).
- 6471 (Partnerships) - Shortfall in funding available (locally and nationally) for capital programme, leading to potential risk to safety and availability of buildings and equipment to deliver services (Score 15).
- 5704 (Population) - Inability to provide a full gastroenterology service due to a lack of medical and nursing workforce. The increase in risk score reflects the instability with the ID Medical contract delivery and likely service gaps over the Christmas and New Year period (Score 15).

Relevant new risks since November 2021

- Nil to note

Risks removed

- 6900 (Population) - As a result of a lack of capacity within the maternity leadership team there is a risk that quality improvements are not progressed with pace. This may result in failure to undertake the actions identified to improve service delivery as identified from external reviews (Score 16). This risk has been closed.
- 6942 (Population) - The Trust strategy is being replaced with a new strategy and until this is complete there is a risk that the Trust lacks coherence on its strategic priorities and direction. This risk has been closed.
- 6666 (Population) - As a result of low staffing levels within theatres there is a risk to

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patient safety and provision of service which may result in cancelled/delayed surgery, staff fatigue/stress, increase in staff sickness and poor skill mix. This risk has been de-escalated to the Divisional Risk Register.

- 6963 (Population) - Risk of a surge in paediatric respiratory viral infections as a result of Covid-19. This risk has been de-escalated to the Divisional Risk Register.
- 5487 (Partnerships) - The risk of a deteriorating financial position for a subsidiary company impacting on SFT cash flow and reputation. This risk has been closed.
- 6856 (Partnerships) - Due to Covid-19, the guidance for the 2021/22 planning round has not been released. There is a risk that the Trust will not deliver key objectives aligned to operational, activity and workforce plans. This risk has been closed.

Risks with an increased score

- 5704 (Population) - Inability to provide a full gastroenterology service due to a lack of medical and nursing workforce. The increase in risk score reflects the instability with the ID Medical contract delivery and likely service gaps over the Christmas and New Year period. (Score 9 to 15).

Risks with a decreased score

- 7078 (People) - As a result of competing priorities and deliverables there is a risk of slippage of the Improving Together Programme deadlines. (Score 12 to 9).
- 6855 (Partnerships) - The financial regime for 2021/22 is uncertain, Covid-19 has meant a delay to the planning guidance and suspension to the existing regime. This places significant uncertainty on the ability to develop a financial plan to support the Trust delivering its objectives for 2021/22. There is a risk that cash flow is challenged during the year resulting in the Trust having to take emergency measures (Score 12 to 8).

Feedback from Board Committees

It was acknowledged that risks in relation to staffing needed to be worked through and overseen by the People and Culture Committee. Additional risks to be considered include:

- Capital Planning 2022/23
- Funding regime 2022/23
- Capital Programme Planning
- Delivery of NatSIPP and LocSIPP work

Deep Dive

The Board approved the criteria for the initiation of a deep dive of a risk on the corporate risk register in February 2020. The criteria is set out below:

- A corporate risk of 16 and above for a period of 6 months will initiate a deep dive
- A corporate risk score <16 unchanged for 12 months will initiate a deep dive
- An escalating risk score over a 3 month period will initiate a Board Committee discussion

3 risks currently meet the threshold for a deep dive:

Risk 5360 (Population): Risk of a cyber or ransomware attack resulting in the potential loss of IT systems, compromised patient care and financial loss has scored 10 since July 2020. This was presented to Finance and Performance Committee in September and the risk remains.

Risk 5751 (Population): Risk of patient harm caused by a delayed discharge from hospital. This risk has scored 15 since November 2020 and therefore triggers a deep dive to be presented to Finance and Performance Committee in February 2022.

Risk 6471 (Partnerships): Shortfall in funding available (locally and nationally) for capital programme, leading to potential risk to safety and availability of buildings and equipment to

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deliver services. This has scored 15 since May 2020 and a deep dive was completed and a capital programme update including risks was presented to Finance and Performance Committee. The risk remains.

Board Assurance Framework – Strategic Priorities	Select as applicable
Population: Improving the health and well-being of the population we serve	<input checked="" type="checkbox"/>
Partnerships: Working through partnerships to transform and integrate our services	<input checked="" type="checkbox"/>
People: Supporting our People to make Salisbury NHS Foundation Trust the Best Place to work	<input checked="" type="checkbox"/>
Other (please describe) -	<input type="checkbox"/>