Sherwood Forest Hospitals NHS Foundation Trust

Board Assurance Framework (BAF): October 2021

The key elements of the BAF are:

- A description of each Principal (strategic) Risk, that forms the basis of the Trust's risk framework (with corresponding corporate and operational risks defined at a Trust-wide and service level)
- Risk ratings – current (residual), tolerable and target levels
- Clear identification of primary strategic threats and opportunities that are considered likely to increase or reduce the Principal Risk, within which they are expected to materialise
- A statement of risk appetite for each threat and opportunity, to be defined by the Lead Committee on behalf of the Board (**Averse** = aim to avoid the risk entirely; **Minimal** = insistence on low risk options; **Cautious** = preference for low risk options; **Open** = prepared to accept a higher level of residual risk than usual, in pursuit of potential benefits)
- Key elements of the risk treatment strategy identified for each threat and opportunity, each assigned to an executive lead and individually rated by the lead committee for the level of assurance they can take that the strategy will be effective in treating the risk (see below for key)
- Sources of assurance incorporate the three lines of defence: (1) **Management** (those responsible for the area reported on); (2) **Risk and compliance** functions (internal but independent of the area reported on); and (3) **Independent assurance** (Internal audit and other external assurance providers)
- Clearly identified gaps in the primary control framework, with details of planned responses each assigned to a member of the Senior Leadership Team (SLT) with agreed timescales

Key to lead committee assurance ratings:

Green = Positive assurance: the Committee is satisfied that there is reliable evidence of the appropriateness of the current risk treatment strategy in addressing the threat or opportunity

- no gaps in assurance or control AND current exposure risk rating = target
  OR
- gaps in control and assurance are being addressed

Amber = Inconclusive assurance: the Committee is not satisfied that there is sufficient evidence to be able to make a judgement as to the appropriateness of the current risk treatment strategy

Red = Negative assurance: the Committee is satisfied that there is sufficient reliable evidence that the current risk treatment strategy is not appropriate to the nature and/or scale of the threat or opportunity

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 each Principal Risk and also to identify any further action required to improve the management of those risks.

Likelihood score and descriptor

	Very unlikely 1	Unlikely 2	Possible 3	Somewhat likely 4	Very likely 5
Frequency How often might/does it happen	This will probably never happen/recur	Do not expect it to happen/recur but it is possible it may do so	Might happen or recur occasionally or there are a significant number of near misses / incidents at a lower consequence level	Will probably happen/recur, but it is not a persisting issue/ circumstances	Will undoubtedly happen/recur, possibly frequently
Probability Will it happen or not?	Less than 1 chance in 1,000 (< 0.1%)	Between 1 chance in 1,000 and 1 in 100 (0.1 - 1%)	Between 1 chance in 100 and 1 in 10 (1- 10%)	Between 1 chance in 10 and 1 in 2 (10 - 50%)	Greater than 1 chance in 2 (>50%)

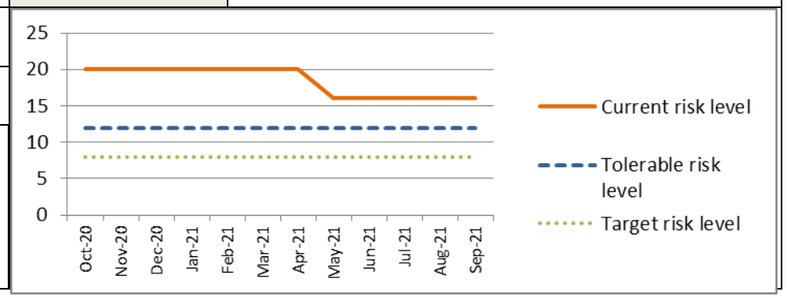
Board committees should review the BAF with particular reference to comparing the tolerable risk level to the current exposure risk rating

This BAF includes the following Principal Risks (PRs) to the Trust's strategic priorities:

Reference	Principal risk	Lead committee	Initial date of assessment	Last reviewed	Target risk score C x L	Previous risk score (at previous review/update) C x L	Current risk score C x L
PR1	Significant deterioration in standards of safety and care	Medical Director	01/04/2018	13/09/2021	4 x 2 = 8	4 x 4 = 16	4 x 4 = 16
PR2	Demand that overwhelms capacity	Chief Operating Officer	01/04/2018	13/09/2021	4 x 2 = 8	4 x 4 = 16	4 x 4 = 16
PR3	Critical shortage of workforce capacity and capability	Director of People	01/04/2018	19/10/2021	4 x 2 = 8	4 x 4 = 16	4 x 4 = 16
PR4	Failure to achieve the Trust's financial strategy	Chief Financial Officer	01/04/2018	26/10/2021	4 x 2 = 8	5 x 3 = 15	4 x 3 = 12 ⇩
PR5	Inability to initiate and implement evidenced based improvement and innovation	Director of Culture & Improvement	17/03/2020	19/10/2021	3 x 2 = 6	3 x 3 = 9	3 x 3 = 9
PR6	Working more closely with local health and care partners does not fully deliver the required benefits	Chief Executive Officer	01/04/2020	12/10/2021	2 x 2 = 4	2 x 3 = 6	2 x 3 = 6
PR7	Major disruptive incident	Director of Corporate Affairs	01/04/2018	12/10/2021	4 x 1 = 4	4 x 2 = 8	4 x 2 = 8

Board Assurance Framework (BAF): October 2021

Principal risk (what could prevent us achieving this strategic objective)	**PR 1: Significant deterioration in standards of safety and care** Significant deterioration in standards of safety and quality of patient care across the Trust resulting in substantial incidents of avoidable harm and poor clinical outcomes							**Strategic objective**	1. To provide outstanding care
Lead Committee	Quality	**Risk rating**	**Current exposure**	**Tolerable**	**Target**	**Risk type**	Patient harm		
Executive lead	Medical Director	**Consequence**	**4. High**	4. High	4. High	**Risk appetite**	Minimal		
Initial date of assessment	01/04/2018	**Likelihood**	**4. Somewhat likely**	3. Possible	2. Unlikely				
Last reviewed	13/09/2021	**Risk rating**	**16. Significant**	**12. High**	**8. Medium**				
Last changed	13/09/2021								



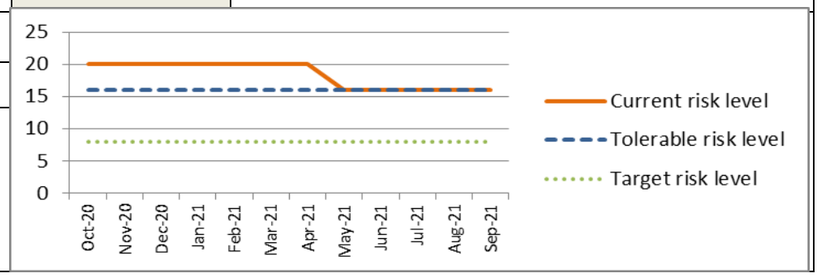
Strategic threat (what might cause this to happen)	**Primary risk controls** (what controls/ systems & processes do we **already** have in place to assist us in managing the risk and reducing the likelihood/ impact of the threat)	**Gaps in control** (Specific areas / issues where further work is required to manage the risk to accepted appetite/tolerance level)	**Plans to improve control** (are further controls possible in order to reduce risk exposure within tolerable range?)	**Sources of assurance (and date)** (**Evidence** that the controls/ systems which we are placing reliance on are effective)	**Gaps in assurance / actions to address gaps and issues relating to COVID-19** (Insufficient evidence as to effectiveness of the controls or negative assurance)	**Assurance rating**
A widespread loss of organisational focus on patient safety and quality of care leading to increased incidence of avoidable harm, exposure to 'Never Events', higher than expected mortality, and significant reduction in patient satisfaction	▪ Clinical service structures, accountability & quality governance arrangements at Trust, division & service levels including: ▪ Monthly meeting of Patient Safety Committee (PSC) with work programme aligned to CQC registration regulations ▪ Nursing and Midwifery and AHP Business meeting ▪ Clinical policies, procedures, guidelines, pathways, supporting documentation & IT systems ▪ Clinical audit programme & monitoring arrangements ▪ Clinical staff recruitment, induction, mandatory training, registration & re-validation ▪ Defined safe medical & nurse staffing levels for all wards & departments (Nursing safeguards monitored by Chief Nurse) ▪ Ward assurance/ metrics and accreditation programme ▪ Nursing & Midwifery Strategy ▪ AHP Strategy ▪ Scoping and sign-off process for incidents and Sis ▪ Internal Reviews against External National Reports ▪ Getting it Right First Time (GIRFT) localised deep dives, reports and action plans ▪ CQC Bi-monthly Engagement Meetings	Intranet currently contains some out of date clinical information that may still be accessible Lack of real time data collection	Intranet documents review **SLT Lead:** Head of Communications **Timescale:** September 2021 Information, EMPA, EPR and IT Developments in development or progress **SLT Lead:** Medical Director **Timescale:** March 2022	**Management:** Learning from deaths Report to QC and Board; Quarterly Strategic Priority Report to Board; Divisional risk reports to Risk Committee bi-annually; Guardian of Safe Working report to Board qrtly Quality and Governance Reporting Pathway; Patient Safety Committee →Quality Committee reports include: - DPR Report to PSC monthly and QC bi-monthly - PSC assurance report to QC bi-monthly - Patient Safety Culture (PSC) programme - EoLC Annual Report to QC - Safeguarding Annual Report to QC - CYPP report to QC quarterly - Medical Education update report to QC - Medicines Optimisation Annual Report to QC Outputs from internal reviews against External National Reports including; - HSIB Thromboembolic Maternity Report (Oct 2020) - National Audit for Care of end of Life (Sep 2020) - Ockenden Report (Dec 2020) **Risk & compliance:** Quality Dashboard and SOF to PSC Monthly; Quality Account Report Qtrly to PSC and QC; SI & Duty of Candour report to PSC monthly; CQC report to QC bi-monthly; Significant Risk Report to RC monthly **Independent assurance**: CQC Inspection Report 2020 Screening Quality Assurance Services assessments and reports of: - Antenatal and New-born screening - Breast Cancer Screening Services - Bowel Cancer Screening Services - Cervical Screening Services External Accreditation/Regulation annual assessments and reports of; - Pathology (UKAS) - Endoscopy Services (JAG) - Medical Equipment and Medical Devices (BSI) - Blood Transfusion Annual Compliance Report (MHRA)	None	Positive

Board Assurance Framework (BAF): October 2021

Strategic threat (what might cause this to happen)	**Primary risk controls** (what controls/ systems & processes do we **already** have in place to assist us in managing the risk and reducing the likelihood/ impact of the threat)	**Gaps in control** (Specific areas / issues where further work is required to manage the risk to accepted appetite/tolerance level)	**Plans to improve control** (are further controls possible in order to reduce risk exposure within tolerable range?)	**Sources of assurance (and date)** (**Evidence** that the controls/ systems which we are placing reliance on are effective)	**Gaps in assurance / actions to address gaps and issues relating to COVID-19** (Insufficient evidence as to effectiveness of the controls or negative assurance)	**Assurance rating**
An outbreak of infectious disease (such as pandemic influenza; Coronavirus; norovirus; infections resistant to antibiotics) that forces closure of one or more areas of the hospital	▪ Infection prevention & control (IPC) programme Policies/ Procedures; Staff training; Environmental cleaning audits ▪ PFI arrangements for cleaning services ▪ Root Cause Analysis and Root Cause Analysis Group ▪ Reports from Public Health England received and acted upon ▪ Infection control annual plan developed in line with the Hygiene Code ▪ Influenza and Covid vaccination programmes ▪ Public communications re: norovirus and infectious diseases ▪ Coronavirus identification and management process ▪ Infection Prevention and Control Board Assurance Framework ▪ Outbreak meeting including external representation, CCG, PHE, Regional IPC ▪ CQC IPC Key lines of enquiry engagement sessions	None	N/A	**Management:** Divisional reports to IPC Committee (every 6 weeks); IPC Annual Report to QC and Board; Water Safety Group; IPC BAF report to PSC and QC **Risk & compliance:** IPC Committee report to PSC qtrly; SOF Performance Report to Board monthly; IPC Clinical audits in IPCC report to PSC qtrly **Independent assurance:** Internal audit plan; CQC Rating Good with Outstanding for Care May '20; PLACE Assessment and Scores Estates Governance bi-monthly; Public Health England attendance at IPC Committee; Influenza vaccination cumulative number of staff vaccinated; HSE visit Dec '20 – no concerns highlighted IPC BAF Peer Review by Medway Trust HSE External assessment and report HSIB IPC assessment and report	Learning from the impact on activity, patient safety and staffing due to COVID-19 wave 1 Constraints of critical care capacity and PPE availability dependent on the size of future waves and restoration activity – Business Case approved in principle – no commencement date yet identified Business case to enhance oxygen capacity/flow has been delivered – ~~awaiting further instruction from NHSE/I~~ BOC commencement date Jan 2022 Unable to provide assurance that infection risk is monitored at the front door and documented in the patient notes Information capture to be moved onto the electronic patient record **SLT Lead:** Chief Nurse **Timescale:** March 2022	Inconclusive

Board Assurance Framework (BAF): October 2021

Principal risk (what could prevent us achieving this strategic objective)	**PR 2: Demand that overwhelms capacity** Demand for services that overwhelms capacity resulting in a deterioration in the quality, safety and effectiveness of patient care							**Strategic objective** 1. To provide outstanding care
Lead Committee	Quality	**Risk rating**	**Current exposure**	**Tolerable**	**Target**	**Risk type**	Patient harm	
Executive lead	Chief Operating Officer	**Consequence**	**4. High**	4. High	4. High	**Risk appetite**	Minimal	
Initial date of assessment	01/04/2018	**Likelihood**	**4. Somewhat likely**	4. Somewhat likely	2. Unlikely			
Last reviewed	13/09/2021	**Risk rating**	**16. Significant**	**16. Significant**	**8. Medium**			
Last changed	13/09/2021							

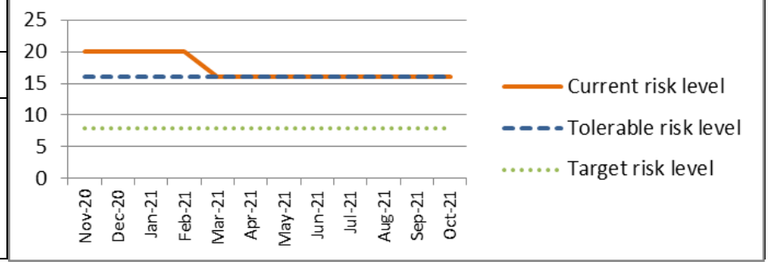


Strategic threat (what might cause this to happen)	**Primary risk controls** (what controls/ systems & processes do we **already** have in place to assist us in managing the risk and reducing the likelihood/ impact of the threat)	**Gaps in control** (Specific areas / issues where further work is required to manage the risk to accepted appetite/ tolerance level)	**Plans to improve control** (are further controls possible in order to reduce risk exposure within tolerable range?)	**Sources of assurance (and date)** (**Evidence** that the controls/ systems which we are placing reliance on are effective)	**Gaps in assurance / actions to address gap and issues relating to COVID-19** (Insufficient evidence as to effectiveness of the controls or negative assurance)	**Assurance rating**
Threat: Growth in demand for care caused by an ageing population (forecast annual increase in emergency demand of 4-5% per annum); reduced social care funding and increased acuity leading to more admissions and longer length of stay, or a reduction in capacity to meet current and future demand due to the impact of COVID-19	▪ Emergency admission avoidance schemes across the system ▪ Single streaming process for ED & Primary Care – regular meetings with NEMs ▪ Trust and System escalation process ▪ Cancer Improvement plan ▪ Trust leadership of and attendance at A&E Board ▪ Patient pathway, some of which are joint with NUH ▪ Inter-professional standards across the Trust to ensure turnaround times such as diagnostics are completed within 1 day ▪ Proactive system leadership engagement from SFH into Better Together Alliance Delivery Board ▪ Patient Flow Programme ▪ SFH internal Winter capacity plan & Mid Notts system capacity plan ▪ Referral management systems shared between primary and secondary care ▪ MSK pathways ▪ COVID-19 Incident planning and governance process ▪ Some cancer services maintained during COVID-19 ▪ Risk assessments to prioritise individual patients ▪ Elective Steering Group now meeting monthly to steer the recovery of elective waiting times ▪ Accelerator Programme – SFH has been successful in being part of the national Elective Accelerator programme attracting £2.5m of funding to help speed up the recovery of services	Robust delivery of the demand management schemes across the system Lack of consistent achievement of the Mid-Notts threshold for MSFT patients of 22 – this is mainly associated with social care packages (Pathway 1)	There is a plan to implement discharge to assess in October, but without workforce being in place this seems unlikely. This will be picked up via H2 capacity plan for SFH to see what action SFH will need to take	**Management:** Performance management reporting arrangements between Divisions, Service Lines and Executive Team; Winter Plan to Board Oct '20; Exec to Exec meetings; Cancer 62 day improvement plan to Board; Planning documents for 19/20 to identify clear demand and capacity gaps/bridges; Identifying and capturing Potential Harm Resultant from COVID-19 Pandemic report to Board Jun '20; COVID-19 Recovery Plan to Board Sep '20; Elective Services Report to Recovery Committee monthly; Elective Steering Group report to Executive Team weekly **Risk & compliance:** Divisional risk reports to Risk Committee bi-annually; Significant Risk Report to RC monthly; Single Oversight Framework Integrated Monthly Performance Report to Board; Incident Control Team governance structure to TMT Mar '20; Cancer services report to Board Jun '21 **Independent assurance:** NHSI Intensive Support Team review of cancer processes May '20		Positive
Threat & Opportunity: Operational failure of General Practice to cope with demand resulting in even higher demand for secondary care as the 'provider of last resort'	▪ Visibility on the CCG risk register/BAF entry relating to operational failure of General Practice ▪ Engagement in Integrated Care System (ICS), and assuming a leading role in Integrated Care Provider development ▪ Weekly Executive meeting with the CCGs ▪ Weekly Mid Notts Network Calls			**Management:** Routine mechanism for sharing of CCG and SFH risk registers – particularly with regard to risks for primary care staffing and demand **Independent assurance:** 'Drivers of demand' discussed at Board Aug '19		Inconclusive
Threat & Opportunity: Drop in operational performance of neighbouring providers that creates a shift in the flow of patients and referrals to SFH	▪ Engagement in Integrated Care System (ICS), and assuming a leading role in Integrated Care Provider development ▪ Horizon scanning with neighbour organisations via meetings between relevant Executive Directors ▪ Weekly management meeting with the Service Director from Notts HC ▪ Bilateral work – Strategic Partnership forum			**Risk and compliance:** Divisional NUH/SFH strategic partnership forum minutes and action log; NUH service support to SFH paper to Executive Team	Lack of control over the flow of patients from the surrounding area	Inconclusive

Board Assurance Framework (BAF): October 2021

Principal risk (what could prevent us achieving this strategic objective)	**PR 3: Critical shortage of workforce capacity and capability** A shortage of workforce capacity and capability resulting in a deterioration of staff experience, morale and well-being which can have an adverse impact on patient care						
Lead Committee	People, Culture & Improvement	**Risk rating**	**Current exposure**	**Tolerable**	**Target**	**Risk type**	Services
Executive lead	Director of People	**Consequence**	**4. High**	4. High	4. High	**Risk appetite**	Cautious
Initial date of assessment	01/04/2018	**Likelihood**	4. Somewhat likely	4. Somewhat likely	2. Unlikely		
Last reviewed	19/10/2021	**Risk rating**	16. Significant	16. Significant	**8. Medium**		
Last changed	19/10/2021						

Strategic objective	3: To maximise the potential of our workforce

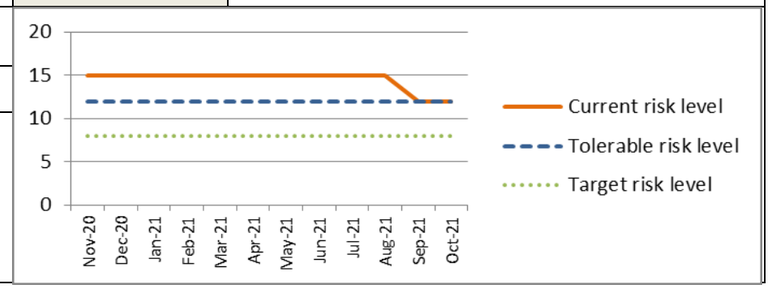


Strategic threat (what might cause this to happen)	**Primary risk controls** (what controls/ systems & processes do we **already** have in place to assist us in managing the risk and reducing the likelihood/ impact of the threat)	**Gaps in control** (Specific areas / issues where further work is required to manage the risk to accepted appetite/ tolerance level)	**Plans to improve control** (are further controls possible in order to reduce risk exposure within tolerable range?)	**Sources of assurance (and date)** (**Evidence** that the controls/ systems which we are placing reliance on are effective)	**Gaps in assurance / actions to address gaps and issues relating to COVID-19**	**Assurance rating**
Threat: Inability to attract and retain staff due to demographic changes (including a significant impact of external factors and/or unforeseen circumstances) and shifting cultural attitudes to careers, combined with employment market factors (such as reduced availability and increased competition), or mental health issues relating to the working environment, resulting in critical workforce gaps in some clinical services	▪ People Culture and Improvement Strategy ▪ People and Inclusion Cabinet ▪ Culture and Improvement Cabinet ▪ Medical and Nursing task force ▪ Activity, Workforce and Financial plan ▪ 2 year workforce plan supported by Workforce Planning Group and review processes (consultant job planning; workforce modelling; winter capacity plans) ▪ Vacancy management and recruitment systems and processes ▪ TRAC system for recruitment; e-Rostering systems and procedures used to plan staff utilisation ▪ Defined safe medical & nurse staffing levels for all wards and departments / Safe Staffing Standard Operating Procedure ▪ Temporary staffing approval and recruitment processes with defined authorisation levels ▪ Education partnerships ▪ Director of People attendance at People and Culture Board ▪ Workforce planning for system work stream ▪ Communications issued regarding HMRC taxation rules on pensions and provision of pensions advice ▪ Pensions restructuring payment introduced ▪ Risk assessments for at-risk staff groups ▪ Refined and expanded Health and Wellbeing support system	Lack of Divisional ownership and understanding of their workforce issues	Deliver the People, Culture and Improvement Strategy (People and Inclusion) **SLT Lead:** Executive Director of People **Timescale:** March 2022	**Management:** ~~Nursing & Midwifery Strategy 2018/20;~~ Quarterly Strategic Priority Report to Board; ~~AHP Strategy to Board Sep '19;~~ Nursing and Midwifery and AHP six monthly staffing report ~~–~~ ~~Nov 20~~to PCI Committee; Workforce and OD ICS/ICP update quarterly; Quarterly Assurance reports on People & Inclusion and Culture & Improvement to People Culture and Improvement Committee; ~~People Culture and Improvement: COVID-19 Update May '20;~~ Recruitment & Retention report monthly; Strategic Workforce Plan to Board Oct '21 **Risk and compliance:** Risk Committee significant risk report Monthly; HR & Workforce planning report Risk Committee; SOF – Workforce Indicators (Monthly); Bank and agency report (monthly); Guardian of safe working report to Board Nov '20 **Independent assurance**: Well-led report CQC; NHSI use of resources report; IA Recruitment & Retention report Jan '19 – Significant Assurance; EU Exit Risk System Overview – Nottingham and Nottinghamshire System Dec '20; Pre-employment Checks internal audit report Feb '21 – significant assurance; HSJ Award for Acute Trust of the Year 2021	Staff becoming infected, leading to increased sickness absence Staff working in unfamiliar roles Staff mental health issues as a result of psychological trauma	Inconclusive
Threat: A significant loss of workforce productivity arising from a short-term reduction in staff availability or a reduction in effort above and beyond contractual requirements amongst a substantial proportion of the workforce and/or loss of experienced colleagues from the service, or caused by other factors such as poor job satisfaction, lack of opportunities for personal development, on-going pay restraint, workforce fatigue or wellbeing issues, or failure to achieve	▪ People Culture and Improvement Strategy ▪ People and Inclusion Cabinet ▪ Culture and Improvement Cabinet ▪ Chief Executive's blog / Staff Communication bulletin ▪ Engagement events with Staff Networks (BAME, LGBT, WAND, Time to Change) ▪ Schwartz rounds ▪ Learning from COVID ▪ Staff morale identified as 'profile risk' in Divisional risk registers ▪ Star of the month/ milestone events ▪ Divisional action plans from staff survey ▪ Policies (inc. staff development; appraisal process; sickness	Inequalities in staff inclusivity and wellbeing across protected characteristics groups	Deliver the People, Culture and Improvement Strategy (Culture and Improvement) **SLT Lead:** Executive Director of People **Timescale:** March 2022 Deliver the Equality, Diversity and Inclusivity Strategy **SLT Lead:** Executive Director of People **Timescale:** March 2022	**Management:** Staff survey, action plan and annual report to Board Oct '20; Diversity & Inclusion Annual report Jun '20;WRES and WDES report to Board Jun '~~20~~21; Combined assurance report addressing; D&I, Violence & Aggression, Restraints Oct 20 Board; Quarterly Assurance reports on People & Inclusion and Culture & Improvement to People Culture and Improvement Committee; ~~People Culture and Improvement: COVID-19 Update May '20;~~ Equality & Diversity presentation to Board Aug '20; Business Continuity exercises – post exercise reports through Resilience Assurance Committee (rolling program); Winter Wellness	Reduction in available staff due to COVID-19, e.g. staff isolating, shielding of vulnerable staff groups and social distancing; redeployment to the vaccination programme Reduction in effort above and beyond contractual requirements due to COVID-19 service restrictions Reluctance of some staff	Inconclusive

Board Assurance Framework (BAF): October 2021

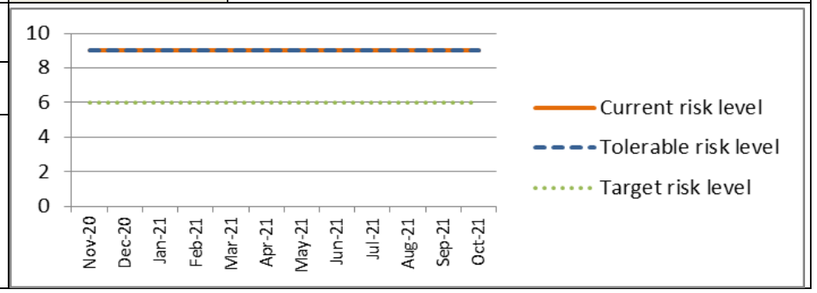
Strategic threat (what might cause this to happen)	Primary risk controls (what controls/ systems & processes do we **already** have in place to assist us in managing the risk and reducing the likelihood/ impact of the threat)	Gaps in control (Specific areas / issues where further work is required to manage the risk to accepted appetite/ tolerance level)	Plans to improve control (are further controls possible in order to reduce risk exposure within tolerable range?)	Sources of assurance (and date) (**Evidence** that the controls/ systems which we are placing reliance on are effective)	Gaps in assurance / actions to address gaps and issues relating to COVID-19	Assurance rating
consistent values and behaviours in line with desired culture This could also lead to lack of engagement with patients, resulting in failure to address patient empowerment and self-help and failure to work across the system to empower patients and carers to enable personalised patient centred care	and relationships at work policy) ▪ Just and restorative culture ▪ Influenza vaccination programme ▪ COVID-19 vaccination programme ▪ Staff wellbeing drop-in sessions ▪ Staff counselling / Occ Health support ▪ Enhanced equality, diversity and inclusion focus on workforce demographics ▪ Freedom to Speak Up Guardian and champion networks ▪ Emergency Planning, Resilience & Response (EPRR) arrangements for temporary loss of essential staffing (including industrial action and extreme weather event) ▪ Combined violence and aggression campaign across system partners ▪ Anti-racism Strategy			Campaign report to Board Oct '21 **Risk and compliance:** EPRR Report (bi-annually); Freedom to speak up self-review Board Oct '20; Freedom to Speak Up Guardian report quarterly; Guardian of Safe Working report to Board Dec '20; Gender Pay Gap report to Board Mar '20; TRAC Performance Report to P, OD&C quarterly; Interim NHS People Plan self-assessment to People Culture & Inclusion Sep '20; Significant Risk Report to RC monthly; Gender Pay Gap report to Board Apr '21 **Independent assurance:** National Staff Survey Mar '21; SFFT/Pulse surveys (Quarterly); Well-led report CQC	members to return to work due to COVID-19-associated health concerns Restrictions to deployment of key staff due to reduced availability of Mandatory and Statutory Training, and the consequential expiry of certification Increase in violence and aggression towards staff Implement the recommendations from the SWE Expert Group report 'Violence & Aggression and Associated Risks' **SLT Lead:** Chief Nurse **Timescale:** March 2022	

Board Assurance Framework (BAF): October 2021

Principal risk (what could prevent us achieving this strategic objective)	**PR 4: Failure to achieve the Trust's financial strategy** Failure to achieve agreed trajectories resulting in regulatory action							**Strategic objective**	5: To achieve better value
Lead Committee	Finance	**Risk rating**	**Current exposure**	**Tolerable**	**Target**	**Risk type**	Regulatory action		
Executive lead	Chief Financial Officer	**Consequence**	~~**5. Very high**~~ ~~4. High~~	4. High	4. High	**Risk appetite**	Cautious		
Initial date of assessment	01/04/2018	**Likelihood**	**3. Possible**	3. Possible	2. Unlikely				
Last reviewed	26/10/2021	**Risk rating**	~~**15. Significant**~~ ~~12. High~~	**12. High**	**8. Medium**				
Last changed	26/10/2021								

Strategic threat (what might cause this to happen)	**Primary risk controls** (what controls/ systems & processes do we **already** have in place to assist us in managing the risk and reducing the likelihood/ impact of the threat)	**Gaps in control** (are further controls possible in order to reduce risk exposure within tolerable range?)	**Plans to improve control**	**Sources of assurance (and date)** (Evidence that the controls/ systems which we are placing reliance on are effective)	**Gaps in assurance / actions to address gaps**	**Assurance rating**
Threat: A reduction in funding or change in financial trajectory or unexpected event resulting in an increased Financial Improvement Plan (FIP) requirement to reduce the scale of the financial deficit, without having an adverse impact on quality and safety	▪ 5 year long term financial model ▪ Working capital support through agreed loan arrangements ▪ Annual plan, including control total consideration; reduction of underlying financial deficit and unwinding of the PFI benefit by £0.5m annually ▪ Engagement with the Better Together alliance programme ▪ Transformation and Efficiency Cabinet, FIP planning processes and PMO coordination of delivery ▪ Delivery of budget holder training workshops and enhancements to financial reporting ▪ A full 'wash up' of portfolio planning, delivery and engagement conducted; recovery plan in place, Board approved & governance in place ▪ Medical Pay Task Force action plan in place ▪ Close working with ICS partners to identify system-wide planning, transformation and cost reductions ▪ Executive oversight of commitments ~~▪ All costs and required cash associated with COVID-19 funded in full for period 1/4/20 to 30/9/20~~ ▪ COVID-19 related funding application process in place at Trust level ▪ 2021/22 Planning guidance confirms continuation of 20/21 funding regime for H1 and H2	No long term commitment received for liquidity / cash support Lack of identification of opportunities for recurrent delivery of FIP Lack of clarity on the financial regime for 21/22 H2	Full receipt of required cash following delivery of NHSI required future trajectories **SLT Lead:** Chief Financial Officer **Timescale:** ~~2021/22 H2 plan submission date (TBC by NHSI)~~end November 2021 Full review of ability to improve recurrent delivery of FIP within financial planning for 2021/22 **SLT Lead:** Director of Culture and Improvement **Timescale:** ~~2021/22 H2 plan submission date (TBC by NHSI)~~end November 2021 H1 and H2 budget setting process for 2021/22 to include enhanced confirm and challenge **SLT Lead:** Chief Financial Officer **Timescale:** ~~2021/22 H2 plan submission date (TBC by NHSI)~~end November 2021	**Management:** Delivery of improved 20/21 financial position; CFO's Financial Reports & FIP Summary (Monthly); Quarterly Strategic Priority Report to Board; Alliance Progress Report & STP FIP (at each Finance Committee meeting); Investment governance work programme; Divisional risk reports to Risk Committee bi-annually **Risk and compliance:** Risk Committee significant risk report Monthly; **Independent assurance**: Internal Audit of FIP/ QIPP processes Jul '21; EY Financial Recovery Plan; all costs associated with COVID-19 reimbursed in full to 30/9/20	Awaiting H2 2021/22 NHSI/E planning guidance	Inconclusive
Threat: ICS system deficit results in a negative financial impact to the Trust	▪ Full participation in ICS planning ▪ SFH plan consistency with ICS plan ▪ ICS DoFs Group ▪ ICS Strategy and Delivery Group	ICS underlying financial deficit	Full participation in the development of the ICS Financial Strategy and aligned payment mechanisms **SLT Lead:** Chief Financial Officer **Timescale:** ~~2021/22 H2 plan submission date (TBC by NHSI)~~end November 2021	**Risk and compliance:** ICS financial reports to Finance Committee; ICS Board updates to SFH Trust Board	Awaiting H2 2021/22 NHSI/E planning guidance	Inconclusive

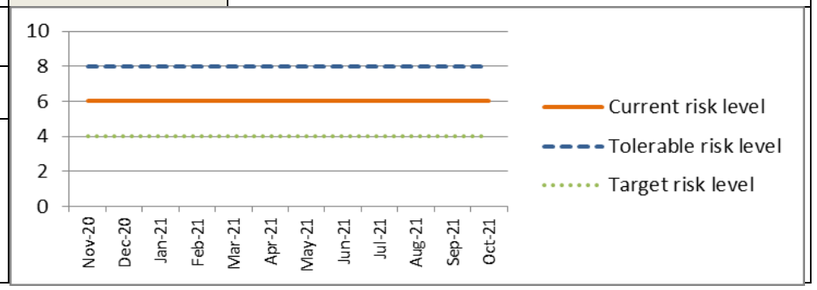
Board Assurance Framework (BAF): October 2021

Principal risk (what could prevent us achieving this strategic objective)	**PR 5: Inability to initiate and implement evidence-based improvement and innovation** Lack of support, capability and agility to optimise strategic and operational opportunities to improve patient care							**Strategic objective**	4: To continuously learn and improve
Lead Committee	People, Culture & Improvement	**Risk rating**	**Current exposure**	**Tolerable**	**Target**	**Risk type**	Patient Harm		
Executive lead	Director of Culture & Improvement	**Consequence**	**3. Moderate**	3. Moderate	3. Moderate	**Risk appetite**	Cautious		
Initial date of assessment	17/03/2020	**Likelihood**	**3. Possible**	3. Possible	2. Unlikely				
Last reviewed	19/10/2021	**Risk rating**	**9. Medium**	**9. Medium**	**6. Low**				
Last changed	19/10/2021								

Strategic threat (what might cause this to happen)	**Primary risk controls** (what controls/ systems & processes do we **already** have in place to assist us in managing the risk and reducing the likelihood/ impact of the threat)	**Gaps in control** (are further controls possible in order to reduce risk exposure within tolerable range?)	**Plans to improve control** (are further controls possible in order to reduce risk exposure within tolerable range?)	**Sources of assurance (and date)** (**Evidence** that the controls/ systems which we are placing reliance on are effective)	**Gaps in assurance / actions to address gaps and issues relating to COVID-19**	**Assurance rating**
Threat: Lack of understanding and agility resulting in reduced efficiency and effectiveness around how we provide care for patients	▪ Digital Strategy ▪ Improvement Strategy ▪ People, Culture & Improvement Committee ▪ Leadership development programmes ▪ Talent management map ▪ Programme Management Office ▪ Culture & Improvement Cabinet ▪ Transformation Cabinet ▪ Ideas generator platform	The full scope of potential issues is not currently known – therefore further investigation is under way	Establishment of an Innovation Hub **SLT Lead:** Director of Culture and Improvement **Timescale:** ~~October 2021~~January 2022 Recruit a Chief Information Officer **SLT Lead:** Medical Director **Timescale:** January 2022 Review of current Digital Strategy objectives and implementation **SLT Lead:** Medical Director **Timescale:** December 2021 Recommendations implemented following the review of the EPMA programme of work **SLT Lead:** Medical Director **Timescale:** November 2021 Chief Nurse Information Officer (CNIO) Role to be temporarily extended to ensure robust oversight of EPR Development **SLT Lead:** Medical Director **Timescale:** November 2021	**Management:** Monthly Transformation and Efficiency report to FC; Clinical Audit & Improvement report to PSC quarterly; Culture & Improvement Assurance Report to PC&IC bi-monthly **Risk and compliance:** SOF Culture and Improvement indicators; SFH breakthrough objectives to Board quarterly **Independent assurance:** none currently in place	Delays in training, planned improvement and innovation programmes due to COVID-19 Lack of independent assurance, evidence and insight Development of a Continuous Improvement Maturity Assessment in conjunction with EMAHSN **SLT Lead**: Director of Culture and Improvement **Timescale:** December 2021	Positive

Board Assurance Framework (BAF): October 2021

Principal risk (what could prevent us achieving this strategic objective)	**PR 6: Working more closely with local health and care partners does not fully deliver the required benefits** Influencing the wider determinants of health and improving our collective financial position requires close partnership working. This may be difficult because of differences in governance, objectives and appetite for and ability to change.						**Strategic objective** 2: To promote and support health and wellbeing
Lead Committee	Risk	**Risk rating**	**Current exposure**	**Tolerable**	**Target**	**Risk type**	Services
Executive lead	Chief Executive Officer	**Consequence**	**2. Low**	2. Low	2. Low	**Risk appetite**	Cautious
Initial date of assessment	01/04/2020	**Likelihood**	**3. Possible**	4. Possible	2. Unlikely		
Last reviewed	12/10/2021	**Risk rating**	**6. Low**	**8. Medium**	**4. Low**		
Last changed	12/10/2021						

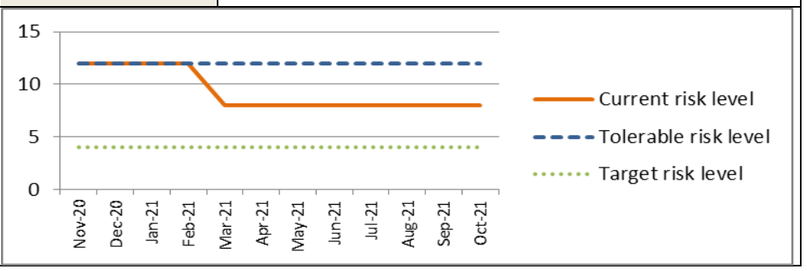


Strategic threat (what might cause this to happen)	Primary risk controls (what controls/ systems & processes do we **already** have in place to assist us in managing the risk and reducing the likelihood/ impact of the threat)	Gaps in control (are further controls possible in order to reduce risk exposure within tolerable range?)	Plans to improve control (are further controls possible in order to reduce risk exposure within tolerable range?)	Sources of assurance (and date) (**Evidence** that the controls/ systems which we are placing reliance on are effective)	Gaps in assurance / actions to address gaps and issues relating to COVID-19	Assurance rating
Threat: Conflicting priorities, financial pressures (system financial plan misalignment) and/or ineffective governance resulting in a breakdown of relationships amongst ICS and ICP partners and an inability to influence further integration of services across acute, mental, primary and social care	• Mid-Nottinghamshire Integrated Care Partnership Board • Mid-Nottinghamshire ICP Executive formed May 2020 • Mid-Nottinghamshire ICP breakthrough objectives signed off July 2020 • Nottingham and Nottinghamshire Integrated Care System Board • Continued engagement with ICP and ICS planning and governance arrangements • Quarterly ICS performance review with NHSI • Joint development of plans at ICS level • Finance Directors Group • ICS Planning Group • Alignment of Trust, ICS and ICP plans • Independent chair for ICP • ICS Transition and Risk Committee • Approved implementation plan for establishing system risk arrangements • ICS Provider Collaborative development	Continued misalignment in organisational priorities	Delivery of the agreed system priorities **SLT Lead:** Chief Executive Officer **Timescale:** March 2022	**Management:** Alliance Development Summary to Board; Strategic Partnerships Update to Board; mid-Nottinghamshire ICP delivery report to FC (as meeting schedule); Finance Committee report to Board; Nottingham and Nottinghamshire ICS Leadership Board Summary Briefing to Board; Planning Update to Board **Risk & compliance:** Significant Risk Report to RC monthly **Independent assurance**: 360 Assurance review of SFH readiness to play a full part in the ICS – Significant Assurance	Delay in delivering the benefits of system working due to the impact of COVID-19	Positive
Threat and Opportunity: Clinical service strategies and/or commissioning intentions that do not sufficiently anticipate evolving healthcare needs of the local population and/or reduce health inequalities	▪ Continued engagement with commissioners and ICS developments in clinical service strategies focused on prevention ▪ Partnership working at a more local level, including active participation in the mid-Nottinghamshire ICP ▪ Clinical Services Strategy - 10 of 20 services complete	Insufficient granularity of plans to meet the needs of the population and the statutory obligations of each individual organisation	Development of a co-produced clinical services strategy for the ICS footprint – 3rd set of 5 services **SLT Lead:** Medical Director **Timescale:** end September 2021	**Management:** Alliance Development Summary to Board; Strategic Partnerships Update to Board; mid-Nottinghamshire ICP delivery report to FC (as meeting schedule); Finance Committee report to Board; Planning Update to Board **Independent assurance**: none currently in place	Delay in delivering the benefits of system working due to the impact of COVID-19	Positive

Board Assurance Framework (BAF): October 2021

Principal risk (what could prevent us achieving this strategic objective)	**PR 7: Major disruptive incident** A major incident resulting in temporary hospital closure or a prolonged disruption to the continuity of core services across the Trust, which also impacts significantly on the local health service community						
Lead Committee	Risk	**Risk rating**	**Current exposure**	**Tolerable**	**Target**	**Risk type**	Services
Executive lead	Director of Corporate Affairs	**Consequence**	**4. High**	4. High	4. High	**Risk appetite**	Cautious
Initial date of assessment	01/04/2018	**Likelihood**	**2. Unlikely**	3. Possible	1. Very unlikely		
Last reviewed	12/10/2021	**Risk rating**	**8. Medium**	**12. High**	**4. Low**		
Last changed	12/10/2021						

Strategic objective	1: To provide outstanding care



Strategic threat (what might cause this to happen)	**Primary risk controls** (what controls/ systems & processes do we **already** have in place to assist us in managing the risk and reducing the likelihood/ impact of the threat)	**Gaps in control** (are further controls possible in order to reduce risk exposure within tolerable range?)	**Plans to improve control** (are further controls possible in order to reduce risk exposure within tolerable range?)	**Sources of assurance (and date)** (**Evidence** that the controls/ systems which we are placing reliance on are effective)	**Gaps in assurance / actions to address gaps and issues relating to COVID-19**	**Assurance rating**
Threat: Shut down of the IT network due to a large-scale cyber-attack or system failure that severely limits the availability of essential information for a prolonged period	▪ Information Governance Assurance Framework (IGAF) & NHIS Cyber Security Strategy ▪ Cyber Security Programme Board & Cyber Security Project Group and work plan ▪ Cyber news – circulated to all NHIS partners ▪ Network accounts checked after 50 days of inactivity – disabled after 80 days if not used ▪ Major incident plan in place ▪ Periodic phishing exercises carried out by 360 Assurance ▪ Spam and malware email notifications circulated	Misalignment with NCSC Cyber Security Metrics: - High Severity Alerts completion and reporting not within required timeframe - Unsupported systems - Low degree of alignment with NCSC backup guidance Password criteria do not meet IT Healthcheck standards	Develop and deliver an action plan to ensure compliance with the NCSC Cyber Security Metrics requirements **SLT Lead:** Director of NHIS **Timescale:** December 2021 **Progress:** Backup system in place - plans in place and progressing for HSAs and unsupported systems Campaign for managers to emphasise to users the importance of strong password use **SLT Lead:** Director of NHIS **Timescale:** November 2021	**Management:** Data Protection and Security Toolkit submission to Board Apr '21- 100% compliance; Hygiene Report to Cyber Security Board monthly; NHIS report to Risk Committee quarterly; IG Bi-annual report to Risk Committee; Cyber Security and COVID-19 Report to Board May '20 **Independent assurance**: 360 Assurance Cyber Security Governance Report Jan '19 – Significant Assurance; ISO 27001 Information Security Management Certification; TIAN / 360 Assurance Cyber Security Survey - The impact of Covid-19 on the NHS Dec '20; CCG Cyber Security Report Mar '21- Significant Assurance; 360 Assurance NHIS Governance and Interface audit – limited assurance; 360 Assurance Data Security and Protection Toolkit audit May '21 – substantial assurance; Cyber Essentials achieved Sep '21; IT Healthcheck – 2 of 9 elements failed (negative assurance)	Implement the actions from the NHIS Governance and Interface internal audit report **SLT Lead:** Medical Director **Timescale:** March 2022 ~~Cyber Security Essentials Plus mandatory requirement will not be met by June 2021~~ ~~Address Cyber Security Essentials Plus failures to obtain certification~~ ~~**SLT Lead:** Director of NHIS~~ ~~**Timescale:** July 2021~~	Positive
Threat: A critical infrastructure failure caused by an interruption to the supply of one or more utilities (electricity, gas, water), an uncontrolled fire or security incident or failure of the built environment that renders a significant proportion of the estate inaccessible or unserviceable, disrupting services for a prolonged period	▪ Premises Assurance Model Action Plan ▪ Estates Strategy 2015-2025 ▪ PFI Contract and Estates Governance arrangements with PFI Partners ▪ Fire Safety Strategy ▪ NHS Supply Chain resilience planning ▪ Emergency Preparedness, Resilience & Response (EPRR) arrangements at regional, Trust, division and service levels ▪ Operational strategies & plans for specific types of major incident (e.g. industrial action; fuel shortage; pandemic disease; power failure; severe winter weather; evacuation; CBRNe) ▪ Gold, Silver, Bronze command structure for major incidents ▪ Business Continuity, Emergency Planning & security policies ▪ Resilience Assurance Committee (RAC) oversight of EPRR ▪ Independent Authorising Engineer (Water) ▪ Major incident plan in place			**Management:** Central Nottinghamshire Hospitals plc monthly performance report; Fire Safety Annual Report; Water Safety Update Report to Risk Committee Jul '20; Patient Safety Concerns report to QC March '21; Hard and soft FM assurance reports **Risk & compliance:** Monthly Significant Risk Report to Risk Committee **Independent assurance:** Premises Assurance Model to RC Dec '18; EPRR Report; EPRR Core standards compliance rating (Oct '19) – Substantial Assurance; Water Safety report (WSP) to Joint Liaison Committee Oct '19; WSP report – hard FM independent audit; MEMD ISO 9001:2015 Recertification Mar '21	360 Assurance internal audit of contract management **SLT Lead:** Associate Director of Estates & Facilities **Timescale:** ~~September 2021~~January 2022	Positive

Board Assurance Framework (BAF): October 2021

Strategic threat (what might cause this to happen)	**Primary risk controls** (what controls/ systems & processes do we **already** have in place to assist us in managing the risk and reducing the likelihood/ impact of the threat)	**Gaps in control** (are further controls possible in order to reduce risk exposure within tolerable range?)	**Plans to improve control** (are further controls possible in order to reduce risk exposure within tolerable range?)	**Sources of assurance (and date)** (**Evidence** that the controls/ systems which we are placing reliance on are effective)	**Gaps in assurance / actions to address gaps and issues relating to COVID-19**	**Assurance rating**
Threat: A critical supply chain failure that severely restricts the availability of essential goods, medicines or services for a prolonged period	▪ NHS Supply Chain resilience planning Business Continuity Management System & Core standards ▪ CAS alert system – Disruption in supply alerts ▪ Major incident plan in place ▪ PPE Strategy ▪ PPE Winter Forecast 2020/21 ▪ EU Exit Preparation Meetings ▪ COVID-19 Pandemic Surge Plan ▪ Procurement Influenza Pandemic Business Continuity Plan ▪ Interim provision for transmission of personal data to the United Kingdom clause within the EU Exit agreement	None	N/A	**Management:** Procurement Annual Report to Audit & Assurance Committee; Oxygen Supply Assurance report to Incident Control Team Apr '20; COVID-19 Governance Assurance Report to Board May '20 **Independent assurance**: Internal Audit Business Continuity and Emergency Planning Sep '18 – Significant Assurance; 2019/20 Counter Fraud, Bribery and Corruption Annual Report; EU Exit Risk System Overview – Nottingham and Nottinghamshire System Dec '20; 360 Assurance Procurement Review Apr '21 – Significant Assurance		Positive