

**Board of Directors – Public – Cover Sheet**

<b>Subject:</b>	Board Assurance Framework and Significant Risks Report		<b>Date:</b>	6 <sup>th</sup> February 2025	
<b>Prepared By:</b>	Neil Wilkinson, Risk and Assurance Manager				
<b>Approved By:</b>	Sally Brook Shanahan, Director of Corporate Affairs				
<b>Presented By:</b>	David Selwyn, Acting Chief Executive Officer				
<b>Purpose</b>					
To enable the Board to review the effectiveness of risk management within the Board Assurance Framework (BAF) and approve the proposed changes agreed by the respective Board committees, and for oversight of significant operational risks.				<b>Approval</b>	✓
				<b>Assurance</b>	
				<b>Update</b>	
				<b>Consider</b>	
<b>Strategic Objectives</b>					
Provide outstanding care in the best place at the right time	Empower and support our people to be the best they can be	Improve health and wellbeing within our communities	Continuously learn and improve	Sustainable use of resources and estates	Work collaboratively with partners in the community
✓	✓	✓	✓	✓	✓
<b>Principal Risk</b>					
PR1 Significant deterioration in standards of safety and care					✓
PR2 Demand that overwhelms capacity					✓
PR3 Critical shortage of workforce capacity and capability					✓
PR4 Insufficient financial resources available to support the delivery of services					✓
PR5 Inability to initiate and implement evidence-based Improvement and innovation					✓
PR6 Working more closely with local health and care partners does not fully deliver the required benefits					✓
PR7 Major disruptive incident					✓
PR8 Failure to deliver sustainable reductions in the Trust's impact on climate change					✓
<b>Committees/groups where this item has been presented before</b>					
Lead Committees review individual principal risks at each formal meeting (Quality Committee; People Committee; Finance Committee; Partnerships & Communities Committee; Risk Committee). Risk Committee reviews the full BAF quarterly.					
<b>Acronyms</b>					
See below					
<b>Executive Summary</b>					
<p>Each principal risk in the BAF is assigned to a Lead Director as well as to a Lead Committee, to enable the Board to maintain effective oversight of strategic risks through a regular process of formal review.</p> <p>Lead committees have been identified for specified principal risks and consider these at each meeting, providing a rating as to the level of assurance they can take that the risk treatment strategy will be effective in mitigating the risk.</p> <p>The Risk Committee further supports the Lead Committees in their role by maintaining oversight of the organisation's divisional and corporate risk registers and escalating risks that may be pertinent to the lead committee's consideration of the BAF.</p> <p>To provide Board oversight, a report of significant operational risks is available in the reading room. This report outlines significant risks on the Trust's risk register at the time of the last Risk Committee, and the respective principal risks on the Board Assurance Framework to which they apply.</p>					

The Risk Committee reviews all significant risks recorded within the Trust's risk register every month. This process enables the Committee to take assurance as to how effectively significant risks are being managed and to intervene where necessary to support their management, and to identify risks that should be escalated.

Proposed amendments to the BAF, agreed by the respective Lead Committees, are on the attached document - additions to the text are in red type and removals are in blue type (struck out).

Schedule of BAF reviews since last received by the Board of Directors on 7<sup>th</sup> November:

- Quality Committee: PR1, PR2 and PR5 – November and January
- People Committee: PR3 – November and January
- Finance Committee: PR4 and PR8 – November, December and January
- Partnerships and Communities: PR6 – January
- Risk Committee: PR7 – November, December and January

PR1, PR2, PR3, PR4 and PR7 remain significant risks. All risks except PR5 are above their tolerable risk ratings.

BAF lead directors have been asked for their views on the appropriateness of the term 'Inconclusive assurance', and the outcomes were discussed at the January Risk Committee meeting, with the following agreed:

Amend the assurance levels titles:

- Positive → Significant
- Inconclusive → Moderate
- Negative → Limited

This would also align with the assurance levels used by 360 Assurance in their audit reports.

The descriptors for the levels have also been reviewed, and the consensus is that the only descriptor needing to change would be:

from the current:

*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*

to:

*Moderate assurance: the Committee is not assured that the current risk treatment strategy fully addresses the gaps in assurance or control*

Risk Committee members also propose the assurance level for the threat of our cash availability in PR4 be changed to moderate (previously inconclusive) assurance from positive. This was proposed as a change when PR4 was presented to the January Finance Committee meeting, and subsequently agreed.

The proposed changes to assurance ratings were included in BAF reports to January meetings of the respective Board committees, and have been made on the attached BAF entries, including on threats where the rating has been increased or reduced to reflect the current position.

For comparison, the assurance descriptions used by other organisations within our area are:

	Current assurance title				
	Significant	Full	Moderate	Limited	Weak
Nottinghamshire Healthcare	✓			✓	✓
Nottingham University Hospitals	✓			✓	
Chesterfield Royal Hospital	✓			✓	
Queen Elizabeth Hospital King's Lynn		✓	✓	✓	

Derby & Burton and University Hospitals of Leicester do not state assurance levels on their BAF.

Board members are requested to:

- Review the principal risks in light of proposed changes agreed by the respective lead committees
- Consider the implications of any current risk ratings being above tolerable levels
- Agree any further changes
- Approve the changes to the assurance ratings
- Approve the BAF subject to any further changes identified

### Acronyms used in the Board Assurance Framework

Acronym	Description
AHP	Allied Health Professional
BAF	Board Assurance Framework
BAME	Black, Asian and minority ethnic
BSI	British Standards Institution
CAS	Central Alerting System
CBRNe	Chemical, biological, radiological, nuclear, explosive
CFO	Chief Financial Officer
CQC	Care Quality Commission
CYPP	Children and Young People's Plan
DoF	Director of Finance
DPR	Divisional Performance Report
ED	Emergency Department
EoLC	End of Life Care
ePMA	Electronic Prescribing and Medicines Administration
EPRR	Emergency Preparedness, Resilience and Response
ERIC	Estates Return Information Collection
eTTO	Electronic To Take Out (medications)
FC	Finance Committee
FIP	Financial Improvement Plan
FM	Facilities Management
GIRFT	Getting it Right First Time
HQIP	Healthcare Quality Improvement Partnership
HSE	Health and safety Executive
HSIB	Healthcare Safety Investigation Branch
HSJ	Health Service Journal
ICB	Integrated Care Board
ICP	Integrated Care Partnership
ICS	Integrated Care System
IGAF	Information Governance Assurance Framework
IPC	Infection prevention and control
JAG	Joint Advisory Group
LGBT	Lesbian, gay, bisexual and trans

Acronym	Description
MEMD	Medical Equipment Management Department
MFFD	Medically fit for discharge
MHRA	Medicines & Healthcare products Regulatory Agency
MSFT	Medically safe for transfer
NEMS	NEMS Community Benefit Services (formerly Nottingham Emergency Medical Services)
OD	Organisational development
PC&IC	People, Culture and Improvement Committee
PCI	People, Culture and Improvement
PFI	Private Finance Initiative
PHE	Public Health England
PLACE	Patient-Led Assessments of the Care Environment
PMO	Programme Management Office
PPE	Personal protective equipment
PSC	Patient Safety Committee
PSC	Patient Safety Culture
QC	Quality Committee
QIPP	Quality, Innovation, Productivity and Prevention
SDEC	Same Day Emergency Care
SFFT	Staff Friends and Family Test
SI	Serious incident
SLT	Senior Leadership Team
SOF	Single Oversight Framework
TIAN	The Internal Audit Network
TMT	Trust Management Team
TTO	To Take Out (medications)
UEC	Urgent and Emergency Care
UKAS	United Kingdom Accreditation Service
UKHSA	UK Health Security Agency
WAND	We're Able aNd Disabled
WDES	Workforce Disability Equality Standard
WRES	Workforce Race Equality Standard