

Board Assurance Framework (BAF)						
Meeting	Board of Directors					
Date	05/08/2020	Agenda item	9			
Lead Director	Alison Hughes, Director of Corporate Affairs					
Author(s)	Karen Lees Head of Corporate Governance					
Action required (please tick the appropriate box)						
To Approve <input type="checkbox"/>	To Discuss <input type="checkbox"/>	To Assure <input checked="" type="checkbox"/>				
Purpose						
The purpose of this paper is to provide the Board of Directors with an update regarding the development of the Board Assurance Framework for 2020-21, for assurance and discussion.						
Executive Summary						
<p>The BAF records the principal risks that could impact on the Trust achieving its strategic objectives and provides a framework for reporting key information to the Board of Directors.</p> <p>In March 2020, the Board considered the Board Assurance Framework for the new financial year including a new outcome focused structure.</p> <p>The Board received a paper in June 2020 that set out the final year-end position for the BAF for 2019-20, and details of the process for the development of the BAF for 2020-21. This work continues to be progressed with further detail included in the supporting paper.</p>						
Risks and opportunities: <p>The BAF records the principal risks that could impact on the Trust's ability to achieving its strategic objectives. Therefore, failure to correctly develop and maintain the BAF could lead to the Trust not being able to achieve its strategic objectives.</p> <p>There are opportunities through the effective development and use of the BAF, to enhance the delivery of the Trust's strategic objectives and effectively mitigate the impact of the principal risks contained within the BAF.</p>						
Quality/inclusion considerations: <p>Quality Impact Assessment completed and attached <input type="checkbox"/> No</p> <p>Equality Impact Assessment completed and attached <input type="checkbox"/> No</p> <p>The quality impact assessments and equality impact assessments are undertaken on the work streams that underpin the BAF</p>						
Financial/resource implications: <p>The financial and resources implications are detailed in the BAF for each risk</p>						
Trust Strategic Objectives <p>Please select the top three Trust Strategic Objectives that this report relates to, from the drop down boxes below.</p> <table border="1"> <tr> <td>Our Populations - outstanding, safe care every time</td> <td>Our People - enhancing staff development</td> <td>Our Performance - increase efficiency of all services</td> </tr> </table>				Our Populations - outstanding, safe care every time	Our People - enhancing staff development	Our Performance - increase efficiency of all services
Our Populations - outstanding, safe care every time	Our People - enhancing staff development	Our Performance - increase efficiency of all services				
Board of Directors is asked to consider the following action						
The Board of Directors is asked to be assured on the position reported and the next steps in reviewing and finalising principal risks for 2020-21.						

Report history		
Submitted to	Date	Brief summary of outcome
The Board Assurance Framework is reported to every meeting of the Board of Directors for discussion and assurance.	05/02/2020	The Board of Directors received the update and approved the reduced risk rating for ID01, ID09 and ID10 and noted that ID11 remained a high-level risk.
Board of Directors	06/05/2020	A verbal update on the management of risk during the Trust's response to COVID-19 was provided.
Board of Directors	10/06/2020	The Board received the year-end position for the BAF, and an update on the development of the BAF for the current year.

Board Assurance Framework (BAF)

Board Assurance Framework Review 2020-21

- At the Board of Directors meeting in June 2020 the Board received the year-end position for 2019-20 and a description of the initial development of the BAF for the current year 2020-21. This paper provides an update on progress with the development of the BAF 2020-21.

Background

- The Board of Directors met in informal session in March 2020 to consider the BAF for 2020-21. This included a review of
 - Principal risks from the previous year,
 - Trust's organisational strategy,
 - System risks,
 - Intelligence from sub-committees of the board and
 - Board member feedback from service visits, staff engagement events and system meetings.
- At the informal Board session, a number of risk themes were identified, aligned to the strategic themes of Our Population, Our People and Our Performance.
 - Non-compliance with statutory, regulatory and professional standards
 - Conflicting pressures between alignment with meeting national and local GP priorities within PCNs
 - Developments at LCR and ICS level that could impact on delivery and appropriate alignment within the system
 - Staff engagement, staff skills, workforce infrastructure and career pathways
 - Wellbeing and culture
 - Fostering and managing the right partnerships to respond to the NHS Long Term Plan
 - Cyber defences, protecting data and information governance
- The Board also discussed a proposal to develop a more outcome focused structure providing more clarity on the outcomes to be achieved to support a reduction in risk rating, and this was agreed in the June 2020 Board meeting.
- The table below provides an overview of the structure that is being adopted for the 2020-21 BAF.

Risk ID	Structure	Process	Current Target Outcomes	External/Independent Assurance
	What systems are in place? (i.e. assurance meetings, action plans, roles etc.)	How are these systems tested? (i.e. tracking systems, minutes from meetings etc.)	How will we know? (i.e. action plans completed, risk analysis etc.)	What assurance or validation from outside of the organisation is there? (i.e. audit opinions, NHSI SOF ratings etc.)

Impact of COVID-19

- Due to the Level 4 national incident and the Trust's response to COVID-19 in March 2020, further development of the principal risks and full population of the BAF was paused. However, through emergency governance arrangements that were put in place, together with

the command structure established internally, the members of the Board have received assurance and updates on the management of COVID-19 organisational risks through weekly NED assurance meetings. The Quality & Safety and Audit Committees have also remained in place and continue to receive updates on risk management.

Progress with the development of the BAF for 2020-21

7. During July 2020 the Executive Directors have reviewed the initial BAF risks for 2020-21 and considered whether the risks are still applicable following the COVID-19 health emergency, the appropriate lead Directors for each risk, and whether new risks had arisen as a result of COVID-The Quality & Safety Committee have also fed into this review.
8. The Executive Leadership Team will review the proposed revised risks in early August 2020.
9. The Board will consider the revised BAF risks during August-September and will consider the risk themes previously identified and any changes in respect of the community services, regional and local policy and the longer-term impact of COVID-19 on NHS organisations.
10. The Board will receive the completed BAF for approval at the Board of Directors meeting in October 2020.

Board of Directors action

11. The Board of Directors is asked to be assured on the position reported and the next steps to in reviewing and finalising principal risks for 2020-21.

Alison Hughes
Director of Corporate Affairs

30 July 2020

COVID-19 Workforce Risk Assessments			
Meeting	Board of Directors		
Date	05/08/2020	Agenda item	10
Lead Director	Jo Shepherd, Director of HR & Organisational Development		
Author(s)	Emma Ashley, Head of HR (Engagement and Wellbeing) Megan Cropper, Senior HR Advisor		
Action required (please tick the appropriate box)			
To Approve <input type="checkbox"/>	To Discuss <input type="checkbox"/>	To Assure <input checked="" type="checkbox"/>	
Purpose			
The purpose of this report is to provide assurance in relation to the risk assessment process for staff during COVID-19 to ensure that appropriate action is taken to protect the health and safety of the workforce			
Executive Summary			
<p>As part of the COVID-19 response, all NHS trusts are required to undertake risk assessments for those groups of staff most at risk as a result of the virus.</p> <p>There has been particular focus on the impact of the virus on our Black, Asian and Minority Ethnic (BAME) communities and trusts are required to formally provide assurance on their risk assessment process and actions taken to support BAME staff to the Public Board meeting. The report confirms the following actions:</p> <p>Review of diversity</p> <p>trust has received letters from NHSI/E requesting that trusts publish the following assurance in relation to Risk Assessments:</p> <p>For BAME staff;</p> <ul style="list-style-type: none"> • A review of levels of diversity in leadership and decision making for COVID command and governance structures • Number of risk assessments completed for BAME staff – 100% - and how they have been tested • Summary of concerns through assessments • Promotion of FTSU, health and wellbeing and inclusion networks <p>It also confirms that processes are in place for undertaking risk assessments for other vulnerable groups. The completion rate for these staff is 95%.</p> <p>The requirement to repeat risk assessments or undertake them for new groups of staff is under continual review.</p>			
Risks and opportunities:			
Links to organisational risk			
Quality/inclusion considerations:			
Quality Impact Assessment completed and attached <input type="checkbox"/>			
Equality Impact Assessment completed and attached <input type="checkbox"/>			
The process of undertaking risk assessments fulfils the requirement of understanding the impact on minority groups <input type="checkbox"/>			

Financial/resource implications: No finance or resource implications for this paper.		
Trust Strategic Objectives Please select the top three Trust Strategic Objectives that this report relates to, from the drop down boxes below.		
Our People - improving staff engagement	Our People - advancing staff wellbeing	
Executive Leadership Team is asked to consider the following action To be assured of the actions taken to risk assess BAME staff and those in other vulnerable groups		
Report history		
Submitted to	Date	Brief summary of outcome
N/A	N/A	N/A

COVID-19 Workforce Risk Assessments

1. The trust has offered all staff the opportunity for a risk assessment should they have concerns about their working arrangements during COVID-19.
2. A standard risk assessment form has been created using best practice from other organisations, which gives managers a RAG rating to use to identify those staff most at risk. A risk assessment is by its nature an individual discussion, taking account of the most common risk factors, but also seeking to understand the impact of an individual's personal combination of factors, including:
 - i. Their role
 - ii. Their workplace
 - iii. Their health
 - iv. Their personal circumstances (characteristics such as age, ethnicity, gender etc as well as social circumstances such as living arrangements, travel to work arrangements)

Risk Assessments for BAME Staff

3. BAME communities have been disproportionately affected by the COVID-19 virus, and it has been particularly noticeable that BAME workers in the NHS have been affected.
4. All BAME staff were written to personally by the Director of HR & Organisational Development and communication was also sent to all line managers as part of the exercise to ensure all BAME staff received a risk assessment. Support was provided by the HR department and webinars were held to provide online support to managers.
5. The rate of completion for BAME staff risk assessments is 100%, demonstrating that all our BAME colleagues have had a discussion regarding their personal level of risk and appropriate mitigating actions have been identified where required.
6. The following table summarises the points of assurance required to be reported to the board by NHSE/I, supported by the trust's evidence.

Assurance required	WCHC Evidence
A review of levels of diversity in leadership and decision making for COVID command and governance structures	BAME representation has been reviewed and is in place at Tactical Command Group No BAME representation at Board or Strategic Command (Exec Team), however Director of HR & OD has attended BAME network regularly to ensure staff have direct route to raise issues with the board Discussion has taken place regarding access to senior leaders at BAME Network. Network meets fortnightly during

	COVID providing an opportunity for BAME staff to raise issues with HRD.
Number of risk assessments completed for BAME staff	100% of risk assessments completed. This includes bank and agency staff.
For risk assessments completed how they have been tested	Central submission for review by HR Team to test completeness Robust assessment of risk-appropriate actions
Summary of concerns through assessments	Main issues arising from assessments: Exposure to COVID patients and mitigations put in place e.g. PPE, alternative roles Public transport and encouraging staff to work from home Risk of engaging with patients - more telephone and video consultations enabled
How you have assurance that appropriate action has been taken as a result of the risk assessment, including where appropriate RIDDOR reporting?	All risk assessments are being reviewed and tracked centrally by HR department to identify any gaps or further action required Discussion with BAME network to check on effectiveness and supportiveness of conversations. No RIDDOR reporting required.
Promotion of FTSU, health and wellbeing and inclusion networks	BAME staff network has been promoted using virtual meetings throughout COVID period. Meetings have taken place fortnightly and have been well-attended. Personal letter sent to every BAME colleague (20/5) identifying support available, including contact details for FTSU Guardian. FTSU Guardian has been contacted by at least one BAME staff member to raise a concern. Regular promotion of all wellbeing resources through daily COVID bulletin.
How assurance has been provided to board members	Report submitted to Strategic Command Group (Exec Directors) weekly. Report shared with Non-Exec Directors through weekly assurance meeting.

Further Assurance

- Notwithstanding the tragic impact of COVID on BAME communities, the consequence within WCHC has also been a positive change in the relationship between our BAME workforce and the trust. This has also been prompted by the high profile of the Black Lives Matter campaign. Our BAME network is now thriving and offers us a platform to have supportive conversations with our BAME colleagues that were previously impossible due to a lack of focal point for the network. We welcome the impetus and confidence this has given staff to speak up, and we are committed to building upon this as we move forward.

8. As part of our commitment to our BAME network, we are involving them in building the trust's action plan for the Workforce Race Equality Standard for this year. We will focus on the gaps which we already know exist from our data, but also those identified specifically by our BAME colleagues, which we hope will make it more meaningful and impactful.

Risk Assessments for Other Staff Groups

9. Risk assessments have been carried out for staff across all other vulnerable groups throughout the COVID-19 response. The definition of those groups has changed during the response period as public health data has developed. Currently the groups that trusts are advised to risk assess due to vulnerability to the virus includes:
 - Those with underlying health conditions
 - Those age 60+
 - All men
 - Pregnant women (who have notified the trust of their pregnancy)
10. The process has been monitored through the COVID-19 internal command structure to ensure managers are aware of their responsibilities. Areas of specific concern have been discussed with staff side colleagues through the Workforce Cell to ensure appropriate action is in place.
11. The completion rate for risk assessments for other vulnerable groups was 95% at the time of submission. Action is in place to follow up all outstanding risk assessments.

Conclusion

12. WCHC is committed to taking all reasonable steps to protect the health and safety of all our staff as we respond to the COVID-19 pandemic.
13. The trust is committed to supporting and improving the working lives of our BAME colleagues. This includes the COVID-19 risk assessment process but extends beyond this to the ongoing commitment to address issues raised through our network.
14. For all risk assessments, activity has been reported to NHSIE/I to provide central assurance on completion.

Jo Shepherd
Director of HR & Organisational Development

30 July 2020