

Board Assurance Framework (BAF) for 2021-22			
Meeting	Board of Directors		
Date	09/06/2021	Agenda item	10
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 an update to the Board of Directors on the work completed by the committees in April and May 2021 to review the principal risks and identify risk themes for tracking during 2021-22.			
Executive Summary			
The Board of Directors has in place a Board Assurance Framework (BAF) that includes principal risks aligned to the Trust's priorities. During 2020-21 these priorities were aligned to the NHS response to COVID-19 and the year-end position was reported to the Board of Directors in April 2021.			
The process to refresh the BAF for 2021-22 has commenced and following a recommendation in the annual Assurance Framework Review completed by Mersey Internal Audit, this has included discussion at the relevant committees of the Board during April & May 2021.			
Risks and opportunities:			
The BAF records the principal risks that could impact on the Trust's ability in 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 or its statutory obligations.			
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.			
Quality/inclusion considerations:			
Quality Impact Assessment completed and attached <input type="checkbox"/> No			
Equality Impact Assessment completed and attached <input type="checkbox"/> No			
The quality impact assessments and equality impact assessments are undertaken through the work streams that underpin the BAF			
Financial/resource implications:			
Any financial or resources implications are detailed in the BAF for each risk			
Trust Strategic Objectives			
<i>Please select the top three Trust Strategic Objectives that this report relates to, from the drop down boxes below.</i>			
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:			
<ul style="list-style-type: none"> • be assured of the review and focus on principal risks at the committees of the Board • receive the summary of risk themes for principal risks for 2021-22 as determined by the committees and be assured of the process to finalise these through the committees and the 			

informal board session in July 2021

Report history

Submitted to	Date	Brief summary of outcome
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 of Directors	05/08/2020	The Board received an update regarding the development of the Board Assurance Framework for 2020-21, for assurance and discussion.
Board of Directors	07/10/2020	The Board approved the principal risks as aligned to the priorities cited in the NHS Phase 3 response to COVID-19 letter.
Board of Directors	02/12/2020	The Board approved the fully populated Board Assurance Framework, including the proposed slightly amended two principal risks
Board of Directors	03/02/2021	The Board of Directors was assured of the ongoing use of the Board Assurance Framework, and approved the proposed amendments to the principle risks ID04, ID07 and ID08
Board of Directors	14/04/2021	The Board of Directors received the year end position for the BAF for 2020-21

Board Assurance Framework for 2021-22

Proposed risk themes for 2021-22 as determined by committees of the Board

1. The Finance & Performance Committee met in April 2021 and the Education & Workforce Committee and the Quality & Safety Committee met in May 2021.
2. The principal risks tracked during 2020-21 were considered in accordance with the duties and responsibilities of the relevant committee.
3. Each committee discussed the existing principal risks to determine relevance in relation to the Trust's 12-month workplan, the emerging NHS reforms and the current mitigations in place. Consequently, some principal risks were agreed to be closed with an acknowledgement that they would be tracked as operational matters as required through the operational risk register (e.g. ID04 COVID vaccination status and ID07 NHS111 implementation) and the focus of some risks was discussed as still relevant for continued oversight and tracking through the BAF.
4. Each committee also considered new and emerging risk themes particularly in the context of COVID-19 recovery and the emerging NHS reforms. These risks will be discussed at the next meetings of the committees and subsequently at the Informal Board in July 2021.
5. The table below sets out the 2020-21 principal risks considered by each committee, and a summary of the risk themes identified for principal risks for 2021-22.

Committee	Principal risks 2020-21	Proposed risk themes 2021-22
Finance & Performance Committee	ID05 - Failure to restore community services in line with the NHS Third Phase response including crisis responsiveness and discharge to assess processes TARGET ACHIEVED	<ul style="list-style-type: none"> • Future system funding regimes and impact on system and Trust financial position • Establishing effective partnerships and supporting infrastructure at ICP e.g. provider collaboratives • Impact of system recovery plans on individual organisations • IM&T recovery and resilience to maintain effective cyber defences and achieve Cyber Essentials Plus
	ID11 - Failure to establish and effectively manage the right partnerships to support the development of the regional Integrated Care System and Wirral's local Integrated Care Partnership	
	ID12 - A loss of funding and increased cost has a detrimental effect on the financial sustainability of the Trust post COVID-19 TARGET ACHIEVED	
	ID13 - Failure to maintain effective cyber defences affects Trust	

	reputation and causes IG breaches	
Education & Workforce Committee	ID08 - Inability to safely meet the requirements of the NHS Third Phase response due to lack of availability of staff and reduced staff motivation (due to on-going COVID-19 pressures)	<ul style="list-style-type: none"> • Effective system approach to workforce planning and transformation • Delivery of Inclusion intentions • Opportunity for people and communities to develop skills and experience as employees • Transition to a system workforce model to implement modern, agile and integrated working practices across organisations supported by a complimentary workforce plan • Lack of support to health, wellbeing and recovery from the pandemic
	ID09 - Failure to fully implement the requirements of the NHS People Plan to include an effective system approach to workforce planning and transformation	
	ID10 - Failure to effectively deliver on the Trust's Inclusion intentions (and those set out in the NHS Third Phase response) through lack of representation in the workforce of all communities we serve	
Quality & Safety Committee	ID01 - Delivery of sub-optimal quality services negatively affecting citizens health and wellbeing	<ul style="list-style-type: none"> • Incomplete restoration and reset of community services safely to meet the changing needs of the population in a timely manner • Inclusive restoration of NHS services to protect the most vulnerable people, and measure the outcomes for all groups in the communities we serve • Non-compliance with statutory, regulatory and professional standards • Develop and successfully implement the Urgent & Emergency Centre transformation programme
	ID02 - Inability to measure equity of access, experience and outcomes for all groups in our community	
	ID03 - Non-compliance with statutory, regulatory and professional standards	
	ID04 - Low uptake of covid-19 vaccination programme (The staff flu programme achieved vaccination of >95% of eligible staff, therefore this has been removed from the risk) TARGET ACHIEVED	
	ID05 - Failure to restore community services in line with the NHS Third Phase response including crisis responsiveness and discharge to assess processes TARGET ACHIEVED	
	ID06 - Failure to restore NHS services inclusively to protect the most vulnerable	
	ID07 - Failure to deliver to the expansion of NHS111 First by agreed local timeframes TARGET ACHIEVED	

6. A further risk theme associated with the alignment of Trust governance arrangements to system governance will also be considered as an overarching principal risk for continued monitoring as the provider landscape and regulatory framework evolve and require agile and robust arrangements to respond effectively.

Next steps to populate the BAF for 2021-22

7. At the next meeting of each committee the description of each principal risk for 2021-22 will be agreed in order to be presented and discussed collectively by the Board of Directors at the Informal Board session in July 2021.
8. The structure of the BAF will be considered at the Informal Board session to ensure a clear link between the consequence of the risks, the actions to mitigate the risks and the outcomes.

Board of Directors Action

9. The Board of Directors is asked to:
 - be assured of the review and focus on principal risks at the committees of the Board
 - receive the summary of risk themes for principal risks for 2021-22 as determined by the committees and be assured of the process to finalise these through the committees and the informal board session in July 2021

Alison Hughes
Director of Corporate Affairs

Karen Lees
Head of Corporate Governance

4 June 2021