



Report to:	Trust Board	09 January 2025
Report from:	Associate Director of Corporate Governance	
Principal Objective/ Strategy and Title	Board Assurance Framework Report	
Board Assurance Framework Entries	All	
Regulatory Requirement	Well Led/Code of Governance: To have clear and effective processes for assurance of risk to delivery of strategic objectives	
Equality Considerations	Equality has been considered but none believed to apply	
Key Risks	Leadership; Governance; Failure to Identify and manage risk	
Assurance Evidence	October 2018 Internal Audit review of Risk Management and Assurance Framework - outcome: Substantial Assurance (third line) / October 2021 Risk Maturity – Advisory Review	
For:	Review and Approve	

1. Purpose

To provide the Trust Board with a summary of its BAF risks and the mitigations in place. Attached are:

- Appendix 1 – BAF Tracker
- Appendix 2 – BAF Report.

2. Headlines

Please note the following (all updates/revisions highlighted in red in Appendix 2):

- BAF 2829: Achieving Financial Balance: The Performance Committee on 19 December 2024 **approved** the increase of the risk rating from 8 (C4 x L2) to 12 (C4 x L3) to reflect soft intelligence emerging around the financial framework for 2025/26 (and beyond) which suggests no growth funding and potential changes to the elective funding mechanism.
- BAF 3649: Failure to embed sustainability into the culture and operations of the Trust: The Performance Committee, in December 2024, also **approved** the addition of this new risk entry to the BAF. The risk entry was developed to reflect the risk to the Trust's goal of fully adopting sustainable development approaches into its culture and all aspects of its operations.
- BAF 858: Optimisation and Development of the Electronic Patient Record (EPR) System: The 'risk description' has been **revised** to reflect the Outline Business Case (OBC) approval and the progress to procurement and to Full Business Case (FBC) delivery.

3. For Noting

- i. BAF 742: Failure to meet safer staffing (NICE guidance and NQB): The Board on 07 November 2024 **approved** the transfer of BAF 742 from the Quality and Risk Committee to the Workforce Committee. The Board approved the transfer because the recruitment pipeline had significantly improved, and staffing pressures had declined. These improvements had shifted the risk profile from patient safety to staff retention.

The Workforce Committee on 28 November 2024 reviewed the risk entry and **agreed** with an Executive Directors Committee (EDs) recommendation for it to be **de-escalated** from the BAF. The EDs recommended the de-escalation because safe staffing fill rates for registered nurses and Healthcare Support Workers (HCSW) have been consistently above 85% for the past 6 months, and the pipeline of new starters was robust and will meet any predicted vacancies over the coming months.

- ii. BAF 1854: Unable to recruit number of staff with the required skills/experience: The Workforce Committee reviewed and **approved** the reduction of the risk rating from 16 (C4 x L4) to 12 (C4 x L3) in November 2024. The EDs had recommended the reduction of the risk rating in the light of sustained reductions in vacancy rates across a number of departments/staff groups and healthy pipelines.

NB: This was reviewed at the Board, prior to the 28 November 2024 Workforce Committee meeting.

- iii. BAF 3040: M.Abscessus: The Quality and Risk Committee on 28 November 2024 **approved** the reduction of the risk entry's risk rating from 10 (C5 x L2) to 5 (C5 x L1). The Committee also **agreed** with a recommendation for the risk entry to be **de-escalated** from the BAF

The Committee noted that the M abscessus stakeholder group had reviewed the BAF 3040 and agreed to pause the enhanced oversight structure due to the current level of assurance.

4. Recommendations

The Board is requested to:

- i. Review the updates.