

Trust Board 26 November 2024

Board Assurance Framework

Purpose of the report




The Board Assurance Framework (BAF) contains strategic risks that may prevent us from achieving our objectives. It is presented as part of a continuing risk review process.

Analysis of the issue

An effective BAF supports the understanding and discussions around delivery of the Trust’s strategic objectives by identifying the principal risks that may threaten the achievement of those objectives. The BAF is presented by each of the four strategic goals within the Trust’s ‘Step Up To Great’ strategy;



Following the addition of a new risk around digital transformation in October 2024, there are now twelve strategic risks on the BAF, of which six are currently scoring as high risk (access, estates, workforce, capital funding, patient safety, and our financial position). The risks are presented in summary below, and in detail in the appended full BAF slide pack.

		Initial	Apr-24	May-24	Jun-24	Jul-24	Aug-24	Sep-24	Oct-24	Nov-24	Dec-24	Jan-25	Feb-25	Mar-25	Trend	Target
01	Without timely access to services, we cannot provide high quality safe care for our patients which will impact on clinical outcomes.	25	20	20	20	20	20	20	20	20					--	15
02	If we do not engage in research and innovation , we will not drive quality improvement which will impact on the quality and design of our services.	16	12	12	12	12	9	9	9	9						8
03	Inadequate control, reporting and management of the Trust’s 2024/25 financial position could mean we are unable to deliver our financial plan and adequately contribute to the LLR system plan, resulting in a breach of LPT’s statutory duties and financial strategy (including LLR strategy).	20	12	12	12	12	12	12	12	16						8
04	If we cannot maintain and improve our estate, or respond to maintenance requests in a timely way, there is a risk that our estate will not be fit for purpose, leading to a poor-quality environment for staff and patients.	20	20	20	20	20	20	20	20	20					--	12
05	If we do not have appropriate emergency preparedness , resilience and response controls in place, there is a risk that external factors will impact on the Trust, affecting our ability to maintain continuity of services.	20	12	12	12	12	12	12	12	12					--	8
06	If we do not adequately utilise workforce resourcing strategies, we will have poor recruitment, retention and representation, resulting in high agency usage.	25	20	20	20	20	20	20	20	20					--	15
07	If we do not lead with compassion, we will not promote an inclusive culture , resulting in unwanted behaviours and closed cultures.	16	12	12	12	12	12	12	12	12					--	8
08	If we do not work closely with our community, will not provide sustainable place-based services , which will impact on our ability to contribute to social value, and provide the right care, at the right time in the right place.	20	12	12	12	12	9	9	9	9						8
09	If we do not strengthen partnerships and build new ones, we will not deliver joined up services which will impact on our ability to reduce health inequalities across our health economy.	20	12	12	12	12	12	12	12	12					--	8
10	Inadequate capital funding for LLR system will impact on LPT’s ability to manage financial, quality & safety risks related to estates and digital investment in 2024/25 and in the medium term	20				20	20	20	20	20					--	10
11	If we do not continue to review and improve our systems and processes for patient safety , we may not be able to provide the best experience and clinical outcomes for our patients and their families.	25						20	20	20					--	10
12	If we do not continue to engage in digital transformation , we will not be digitally mature. This will affect our ability to deliver safe care to our service users.	12							12	12						8

Since the last Trust Board meeting, one risk score has changed; BAF03 (financial position) has increased from 12 to 16. The LLR system has been placed in NHSE level 4 escalation.

Risks are summarised below by each component of our Step Up To Great Strategy



Great Outcomes

For everyone in every community across Leicester, Leicestershire and Rutland (LLR) we intend to contribute to the tackling of health inequalities, working together to ensure there are safe, healthy places for people to live and work are important elements of the integrated care we can provide with others.

Strategic Objective	Strategic Risk	Current Score	Target (Residual) score
We will improve access to our services for our local population	Without timely access to services, we cannot provide high quality safe care for our patients which will impact on clinical outcomes (BAF01).	20	15
We will ensure that our services are safe, delivered in partnership with others and continue to innovate to deliver great outcomes for LLR	If we do not engage in research and innovation , we will not drive quality improvement which will impact on the quality and design of our services (BAF02).	9	8
We will ensure that our services are safe, delivered in partnership with others and continue to innovate to deliver great outcomes for LLR	If we do not continue to review and improve our systems and processes for patient safety , we may not be able to provide the best experience and clinical outcomes for our patients and their families (BAF11).	20	10

We measure the delivery of this part of our strategy through our health inequalities work, our quality improvement and transformation programmes that ensure safe, high standards of care and through the governance and oversight of our services. We continue to work with our university partners and other innovators to undertake research and to implement new ways of working that deliver great outcomes. The largest area of risk to delivery of this goal is the timeliness of access to our services. There is an Access Delivery Group in place, reporting into the Accountability Framework meeting where directorate waiting times are closely monitored. Progress is reported into the Quality and Safety Committee.



Great Care

We want every service user and their family to have great care, we are playing our role in that by improving on the areas we know we need to improve on and seeking feedback and learning from our communities on other changes and improvements we can make.

Strategic Objective	Strategic Risk	Current Score	Target (Residual) score
We will ensure our organisation delivers great care through careful use of our financial resources, great environments and a resilient organisation	Inadequate control, reporting and management of the Trust's 2024/25 financial position could mean we are unable to deliver our financial plan and adequately contribute to the LLR system plan, resulting in a breach of LPT's statutory duties and financial strategy (including LLR strategy) (BAF03).	16	8
We will ensure our organisation delivers great care through careful use of our financial resources,	If we cannot maintain and improve our estate , or respond to maintenance requests in a timely way, there is a risk that our estate will not be fit for purpose, leading to a poor-	20	12

great environments and a resilient organisation	quality environment for staff and patients (BAF04).		
We will ensure our organisation delivers great care through careful use of our financial resources, great environments and a resilient organisation	If we do not have appropriate emergency preparedness, resilience and response controls in place, there is a risk that external factors will impact on the Trust, affecting our ability to maintain continuity of services (BAF05).	12	8
We will ensure our organisation delivers great care through careful use of our financial resources, great environments and a resilient organisation	Inadequate capital funding for LLR system will impact on LPT's ability to manage financial, quality & safety risks related to estates and digital investment in 2024/25 and in the medium term (BAF10)	20	10

We have ongoing oversight of the mitigation for the risks associated with the delivery of this part of our strategy through patient experience and involvement, through our People's Council, our work on co-production. Our financial planning and reporting, the delivery of our estates, digital, financial and value plans. The largest area of risk for delivery of Great Care is our estate, both in terms of maintenance and improvement of our current buildings. There is an estates transformation programme for this year which is monitored at the Estates and Medical Equipment Committee and the Finance and Performance Committee. There is also an enhancing value programme, and a group value programme which include oversight of cost improvement and value-added programmes.



Great Place to Work

Our 6,500 staff and volunteers provide services through over 100 inpatient and community settings, as well as in people's homes, across Leicester, Leicestershire and Rutland. We want to continue to develop LPT to be a great place to work and be an employer of choice. Having a great place to work helps us all to keep improving the quality of care we can provide.

Strategic Objective	Strategic Risk	Current Score	Target (Residual) score
To support our staff to deliver high quality compassionate care and well-being	If we do not adequately utilise workforce resourcing strategies , we will have poor recruitment, retention and representation, resulting in high agency usage (BAF06).	20	15
To support our staff to deliver high quality compassionate care and well-being	If we do not lead with compassion, we will not promote an inclusive culture, resulting in unwanted behaviours and closed cultures (BAF07).	12	8

We have ongoing oversight of the mitigations for these risks through the delivery of Our Future Our Way, through our group priorities, together against racism, leadership and organisational development. We maintain a focus on retention, development, recruitment and innovation to support our people to deliver. The largest area of risk for the delivery of Great Place to Work is around our strategies for recruitment, retention and representation, and our reliance on high agency usage. There is an Agency Reduction programme in place, overseen by the Strategic Development Group and the People and Culture Committee.



Part of the Community

With over 76,000 health and care employees in LLR we play an important role in our communities. The actions we take along with other providers, local authorities, universities etc. have a real influence on how we develop our communities. Through our strategy we are committing to think more about the impact on our communities and the decisions we can make to benefit them.

Strategic Objective	Strategic Risk	Current Score	Target (Residual) score
We will strengthen our existing partnerships and build new ones so we can deliver more joined up services to people in our communities.	If we do not work closely with our community, will not provide sustainable place-based services, which will impact on our ability to contribute to social value, and provide the right care, at the right time in the right place (BAF08).	9	8
We will strengthen our existing partnerships and build new ones so we can deliver more joined up services to people in our communities.	If we do not strengthen partnerships and build new ones, we will not deliver joined up services which will impact on our ability to reduce health inequalities across our health economy (BAF09).	12	8

We measure Part of our Community through our social value charter (including our work with the voluntary and community sector), our net zero plan, our recruitment and development (e.g. sector based work academy programme, workforce race equality standard, workforce disability equality standard, WeCitizen etc), the work of our collaboratives and partnerships, our transformation & improvement programmes. There is a medium risk profile for the delivery of this part of our strategy, where our current scores are in close proximity to our intended target (residual scores) due to the good progress made on delivering this agenda and mitigating the risk of not succeeding in working closely with our community and partners.

Proposal

- Ongoing monthly executive director oversight and update of strategic risk.
- Ongoing oversight of the BAF through the Trust's governance.

Decision required

Trust board is assured by the risk management process and that board remains sighted on key strategic risks relevant to the Trust.

Governance Table

For Board and Board Committees:	Trust Board 26 November 2024	
Paper sponsored by:	Kate Dyer, Director of Governance and Risk	
Paper authored by:	Kate Dyer, Director of Governance and Risk	
Date submitted:	15 November 2024	
State which Board Committee or other forum within the Trust's governance structure, if any, have previously considered the report/this issue and the date of the relevant meeting(s):	Strategic Executive Board November 2024	
If considered elsewhere, state the level of assurance gained by the Board Committee or other forum i.e. assured/ partially assured / not assured:	n/a	
State whether this is a 'one off' report or, if not, when an update report will be provided for the purposes of corporate Agenda planning	Routine board report	
STEP up to GREAT strategic alignment*:	Great Outcomes	All
	Great Care	
	Great Place to Work	
	Part of the Community	
Board Assurance Framework considerations:	List risk number and title of risk	
Is the decision required consistent with LPT's risk appetite:	Yes	
False and misleading information (FOMI) considerations:	None	
Positive confirmation that the content does not risk the safety of patients or the public	Confirmed	
Equality considerations:	None	