K

Board Assurance Framework Refresh 2025/26
Trust Board 25 March 2025

1. Introduction and Background

This paper provides a guide to the development of the refreshed Board Assurance Framework (BAF) for 2025/26 aligned to our new group strategy 'THRIVE'. It also includes close down detail for the 2024/25 BAF risks which have been mapped to the refreshed BAF.

This next iteration of our BAF intends to ensure that our processes remain current and continue to strive for best in class in our approach and discussions. It will go live from 1 April 2025 in line with our new strategy.

Trust Board members are required to understand and articulate the Trust's strategic objectives and be able to identify the principal risks that may threaten the achievement of those objectives. The purpose of the BAF is to bring together in one place all of the relevant information on the risks to the Board's strategic objectives. It is an essential tool for boards to enable the right conversations about risk.

2. Identification of Board Assurance Framework Risks

A full review of the global, national, regional, system and trust strategic risk profile has been provided in Appendix One which has identified key themes which profile risk across our landscape as follows;
- Digital transformation
- Digital disruption
- Health inequalities
- Engaging in research
- Access to services
- Patient safety
- Emergency preparedness
- Workforce strategies
- Inclusive Culture
- Quality of estate
- Sustainability
- Capital funding
- Financial position

A full review of the 2024/25 BAF has been provided in Appendix Two. This details the following options for treatment for each risk;

- Closure. This is recommended where a risk has materialised and is an issue which is being managed.
- Transfer to the new BAF for 2025/26. This is recommended where a risk remains valid and is aligned to the risk profiling provided in Appendix One.
- It also highlights any new risk areas for inclusion in the new 2025/26 BAF.

3. Format

The format of the Board Assurance Framework will largely remain the same with some minor alterations; we are removing reference to system risk and the CRR on the slide as these are presented to the Strategic Executive Board in detail and are based on the live CRR so we can be assured that the

information is up to date. We are also sighted on the CRR detail in the Executive Management Board and the level 1 committees.

Decision

- Approve the revised BAF in line with our Thrive strategic ambition for 2025/26
- Approve the mapping of BAF 2024/25 to the revised BAF 2025/26 and the addition of two new risks
- Approve the approach to including Group strategic risks within the BAF deck for use in Trust governance and the Group Public Board (if approved).
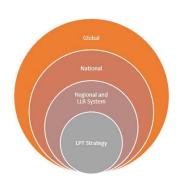
Appendix One BAF Risk Assessment 2025/26

The risk assessment for 2025/26 has been informed by the following key documents and summarised for each zone below;

Zone 1 Global Risk Profile

The 2025 global risk profile has been summarised by the World Economic Forum by prioritising the following top 5 risks by severity over the short term (2 years). The following chart and excerpt have been taken directly from the report (The Global Risks Report 2025, 20th Edition Insight Report. World Economic Forum).

'As we enter 2025, the global outlook is increasingly fractured across geopolitical, environmental, societal, economic and technological domains. Over the last year we have witnessed the expansion and escalation of conflicts, a multitude of extreme weather events amplified by climate change, widespread societal and political polarization, and continued technological advancements accelerating the spread of false or misleading information'. (page 6)

1st	Misinformation and disinformation
2nd	Extreme weather events
3rd	State-based armed conflict
4th	Societal polarization
5th	Cyber espionage and warfare

Zone 2 National Risk Profile;

The national risk register 2025 edition (HM Government) contains the governments assessment of the most serious risks facing the UK. Whilst the local resilience forum focuses on this register, with local resilience partners producing a Community Risk Register, the key areas are reviewed as part of the wider national risk profile for the Trust's Board Assurance Framework. There are several relevant acute and chronic risk themes including:
- Terrorism (including attacks in venues and public spaces)
- Cyber (including attacks on health and social care systems)
- Accidents and systems failures (including adult social care failure, water and food supply contamination)
- Natural and environmental hazards (including humanitarian, weather events, poor air quality)
- Human, animal and plant health (including pandemic, infection disease outbreaks)
- Societal (including public disorder and industrial action)
- Conflict and Instability (conflict and attack or UK forces)

The "Risk in Focus 2025" report by the European Confederation of Institutes of Internal Auditing (ECIIA) provides a comprehensive analysis of the key risks that organisations should prioritise in the upcoming year; these include;

- AI and digital disruption. This risk is forecast to be the second most significant risk across the business landscape by 2028.
- Cybersecurity continues to be a concern given the increasing sophistication of cyber threats.
- Human capital and talent management. Managing workforce strategies which include diversity, talent acquisition and retention, skills shortages, and budget constraints.
- Macroeceonmic and geopolitical uncertainty. This risk is reduced in the rankings but remains significant due to the impact of global economic uncertainty.
- Climate change and environmental risks. There is a wider risk around environmental sustainability and the need to integrate these risks across our systems

(2025 Risk in focus – hot topics for internal auditors ECIIA)

Zone 3. Regional, Leicester, Leicestershire, and Rutland Risk Profile

The Leicester, Leicestershire and Rutland Integrated Care Board has produced a Five-Year Plan (2023/24 to 2027/28) which sets out they intend to support the improvement in care and outcomes for patients, reduce the equity gap across LLR and become financially sustainable. The emphasis within this plan is on partnership, integration and continuous improvement. The plan identifies six cross cutting themes which may impact on health care providers across the system (page 57);
- Improving health equity
- Population health management
- Quality improvement
- Delivery of net zero
- Research and innovation.
- Supporting broader social and economic development (anchor institutions)

Zone 4 Group Strategy Risk Profile

An organisations' core set of strategic risk areas are aligned to strategic objectives. In LPT the revised strategy for 2025/26 has been developed as a Group strategy with our Group partner Northamptonshire Healthcare NHS Foundation Trust and is presented as 'Together We Thrive; building compassionate care and wellbeing for all'. The revised BAF for 2025/26 has been aligned to the goals aligned to the acronym THRIVE;

T – Technology

One of the most important elements of this strategy is our approach to innovation, staying ahead of the curve and being creative in our approach. The NHS 10-year plan, also known as Change the NHS, sets out a clear ambition to make better use of technology, to move from analogue ways of working to digital. We have launched our Group digital transformation programme with nine key areas of work that will transform how our communities can access our services, make appointments to fit into their lives and access more support from us.

H – Healthy communities

It is important we listen and hear from our communities, we need to understand how health impacts the individual, our communities and how we can provide support. We work in the heart of our communities and our efforts are focused on building the health and wellbeing of our communities together. We are working with primary care partners and local communities in our neighbourhoods to develop very local services, working with our five local authorities and with others, across Leicester, Leicestershire and Rutland (LLR), Northamptonshire, and the wider East Midlands.

R – Responsive

Together we need to grow our positive attitude to change and transformation, collaboration and partnerships – and in turn increase our ability to influence wider system change for the benefit of our communities.

We understand the impact from COVID-19 and new healthcare needs. The pandemic generated a series of social, economic and cultural effects which will have long-term impacts, many outliving this strategy. In particular, the pandemic has exposed, exacerbated and solidified existing inequalities in society. It has also made some individuals' and groups' living places and communities even more vulnerable than before. It has also exposed areas of strength, resilience, creativity and innovation across our systems and at place. Our strong local and hyper-local voluntary and community sector organisations, together with our by-and-for organisations, are playing such a pivotal part in helping us reach the communities which were most at risk.

I – Including everyone

The NHS is for everyone. We need to ensure we listen to all our communities and take responsibility for what we have been told, co-producing solutions and creating improvements to patient care. We are proud to serve diverse communities across LLR and Northamptonshire. Through co-production we are making a difference in our communities while continuing to learn about what is important to them. Northamptonshire's Integrated Care Strategy identifies that people are to be accepted and valued for who they are, diversity is celebrated, and people are valued. And similarly, the LLR Integrated Care Strategy is built on the foundations of participation, involvement and engagement and an inclusive learning culture where we understand the needs of our communities and design services appropriate to those needs. As a Group, we will proudly embody these principles as we implement this strategy.

V – Valuing our people

Investing in and ensuring we prioritise the health and wellbeing of our workforce (our greatest asset) has never been more important. We know the importance of valuing people – it is part of Leicester, Leicestershire and Rutland's 10-year strategy to build a 'one team' culture and to maximise the potential of communities, and in Northamptonshire we want everyone to access the best available education and learning and employment that keeps people and their families out of poverty.

E – Efficient and effective

This Group strategy provides the opportunity to strengthen our resilience, learning from each other to become more efficient in what and how we carry out our work. Part of the transformation of the NHS over the next 10 years must be the greater delivery of efficient and effective public services. We have delivered a number of changes through our Group value programme but know there is more we can and must do.

Group Priorities

Within the delivery of this strategy, there are areas which will be delivered together as part of the programme of Group priorities. Any risks to the achievement of our strategic objectives in these areas will be presented as Group risks, and whist these will be reviewed by each trust, they will be mirrored in each trust and reviewed in a Group Public Trust Board meeting.

Appendix Two: Mapping of risk from BAF 2024/25 to BAF 2025/26 and new risk

2024/25 BAF Number	2024/25 BAF Risk Title	BAF Treatment	2025/26 BAF Number	2025/26 BAF Risk Title
BAF01	Without **timely access** to services, we cannot provide high quality safe care for our patients which will impact on clinical outcomes.	**Transfer** No changes	BAF3.2	Without **timely access** to services, we cannot provide high quality safe care for our patients which will impact on clinical outcomes.
BAF02	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.	**Transfer** Identified as a Group risk Updated risk title	GROUP BAF3.1	If we do not engage in **research, quality improvement** and innovation, we will not identify opportunities for improvement which will impact on the quality and design of our services.
BAF03	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).	**Transfer** Updated to reflect the new financial year.	BAF6.4	Inadequate control, reporting and management of the Trust's 2025/26 **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).
BAF04	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.	**Transfer** No changes	BAF6.1	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.
BAF05	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.	**Transfer** Updated risk title	BAF3.4	If we do not have appropriate **emergency preparedness**, resilience and response controls in place, we may be impacted by accidents, incidents and system failures affecting our ability to maintain continuity of services.
BAF06	If we do not adequately utilise **workforce** resourcing strategies, we will have poor recruitment, retention and representation, resulting in high agency usage.	**Transfer** No changes	BAF4.1	If we do not adequately utilise **workforce** resourcing strategies, we will have poor recruitment, retention and representation, resulting in high agency usage.
BAF07	If we do not lead with compassion, we will not promote an **inclusive culture**, resulting in unwanted behaviours and closed cultures.	**Transfer** Identified as Group risk No changes	BAF5.1	If we do not lead with compassion, we will not promote an **inclusive culture**, resulting in unwanted behaviours and closed cultures.
BAF08	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.	**Transfer** by merging with BAF09 Identified as a Group risk	BAF2.1	If we do not continue to work closely with our community, strengthen partnerships, and build new ones, we will not deliver joined up, place-based services which will impact on our ability to contribute to social value reduce health inequalities across our health economies.

BAF09	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.	**Transfer** by merging with BAF08 Identified as a Group risk		
BAF10	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	**Transfer** Updated to reflect the new financial year	BAF6.3	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 2025/26 and in the medium term
BAF11	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.	**Transfer** No changes	BAF3.3	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.
BAF12	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.	**Transfer** Identified as a Group risk No changes	GROUP BAF1.1	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.
--	--	**New Risk**	BAF1.2	If we are not sufficiently prepared, we may be impacted by **digital disruption** which will affect our ability to access our electronic systems and provide safe care to our service users.
--	--	**New Risk**	BAF6.2	If we do not continue to strive for **sustainability,** we will be impacted by adverse environmental factors which may impact on the health outcomes for our population

Governance Table

For Board and Board Committees:	Trust Board 25 March 2025
Paper sponsored by:	Kate Dyer, Director of Governance and Risk
Paper authored by:	Kate Dyer, Director of Governance and Risk
Date submitted:	13 March 2025
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):	
If considered elsewhere, state the level of assurance gained by the Board Committee or other forum i.e., assured/ partially assured / not assured:	NA
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	Monthly
LPT strategic alignment:	Great Health Outcomes — Yes
	Great Care — Yes
	Great Place to Work — Yes
	Part of the Community — Yes
CRR/BAF 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