

Appendix 2: Board Assurance Framework

March 2024





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1. Executive summary

Purpose: The Board Assurance Framework (BAF) forms a part of the overall risk management and assurance process of the Trust and allows the Board to maintain oversight of the principal risks to delivery of the Trust's strategic objectives.

Updates: Please see Appendix 1 BAF Report for the highlighted updates. Please also note the updates below for audit trail purposes

BAF 1021: Potential for cyber breach and data loss: CRR 16 (C4XL4): The current risk score was raised from 12 to 16 in March 2024 due to the ongoing Cyber incident affecting the University and the increased risk of Ransomware and DOS attacks affecting Health and Care organisations.

BAF 1929: Low levels of Staff Engagement: CRR 16 (C4xL4): The current risk score was dropped from 20 to 16 in March 2024 due to the improvements in the 2023 staff survey results

BAF 858: Electronic Patient Record System: CRR 16 (C4 x L4): The target risk score has been revised from 6 to 8, so it is better aligned with the current risk rating.

BAF 1021: Potential for cyber breach and data loss: CRR 16 (C4x L4): The target risk score has been revised from 6 to 8, so it is better aligned with the current risk rating.

BAF 1853: Staff turnover in excess of our target level: CRR 15 (C5x L3): The target risk score has been revised from 9 to 10, so it is better aligned with the current risk rating.

BAF 1854: Unable to recruit the number of staff with the required skills/experience: CRR 16 (C4xL4): The target risk score has been revised from 9 to 8, so it is better aligned with the current risk rating.



BAF 2985: Key Supplier Risk: CRR 10 (C5xL2): The target risk score has been revised from 6 to 10, so it is better aligned with the current risk rating.

Principal Risks (PR) The Board has agreed the following principal risks to delivery of its strategic objectives which underpin the delivery of outstanding, safe and high-quality care:

PR1 Workforce: Failure to maintain an engaged and skilled workforce in adequate numbers to support delivery of harm free care and positive patient experience, through staff that are well supported and aligned to our shared values, behaviours and purpose.

PR2 Productivity: Failure to achieve sufficient patient throughput to support timely and equitable access to care, and achieve financial stability, through optimising the productivity of our people and facilities.

PR3 Finances: Failure to deliver our financial plan on a sustainable basis and deliver our contribution to the wider system through rigorous financial management and an effective response to uncertainties in the future mechanisms for commissioning and innovation in specialised services.

PR4 Cyber security and data loss: Failure to prioritise cyber resilience through the implementation of up-to-date cyber security controls, training, surveillance, risk management, business continuity and recovery planning increases the risk of a major cyber event causing data loss, key system failure, and prolonged disruption to services.

Recommendation

The Board is requested to note and review the BAF report for March 2024.

2. BAF Tracker Risks Above Target



BAF Tracker: Committee Update 19/03/24

BAF Tracker: Committee Update 19/03/24																							
Exec	Opened	Title	Sep-23				◆ Feb-24	Status since last month	Long running Trend (full data columns AS onwards)	Target Risk Rating	% RRR achieved	Rick Target achieved	♦ SO1	╝.			\$00 P	Responsible Committee in addition to the Board	√ Care	■ Effective ■ Finance	Yeople Manag. &	■ Responsive	SafeTransformation
MS	11/06/2014	Failure to protect patient from harm from hospital aquired infections	16	6 16	16 1	6 16	16	\leftrightarrow		8	50%	×	\bigstar				☆	Q&R					*
НМ	11/06/2014	Risk to patient care and Trust reputation from not meeting access standards (RTT, DM01 and Cancer)	20	0 20 2	20 2	0 20	20		********	8	40%	×	*					Performance				*	
AR	01/02/2016	Electronic Patient Record System	16	6 16 1	16 1	6 16	16	\$		8	50%	×	\bigstar	* 7	7			SPC		1	7		\bigstar
AR	17/02/2016	Potential for cyber breach and data loss	12	2 12	12 1	2 12	16	→	~ [~] ~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~	8	50%	×	\bigstar				\Rightarrow	Performance					\star
MO	27/04/2018	Staff turnover in excess of our target level	15	5 15 1	15 1	5 15	15			10	67%	×	\bigstar	7	4		\Rightarrow	Workforce			\bigstar		
ОМ	27/04/2018	Unable to recruit number of staff with the required skills/experience	16	6 16	16 1	6 16	16	\$	•••	8	50%	×	*	7	4		\Rightarrow	Workforce			*		*
OM	23/07/2018	Low levels of Staff Engagement	20					+		8	50%	×	\bigstar	7	7		\Rightarrow	Workforce			\Rightarrow		
	27/08/2021	Continuity of supply of consumable or services failure						\leftrightarrow	~	9	75%	×	\Rightarrow					Performance		* 1	7	\bigstar	\bigstar
SH	16/11/2021	NHS Reforms & ICS strategic risk	12	2 12 ′	12 1	2 12	12	\leftrightarrow		8	67%	×		\bigstar	7	k	\Rightarrow	Performance		* 1	7	\bigstar	\bigstar
НМ	22/07/2022	Failure to recover patient elective and non-elective activity to contract levels	16					\leftrightarrow	***************************************	8	50%	×	*							* 1	7	*	*
	09/09/2022	Industrial Action	20	0 20 2	20 2	0 20	20	\$	***************************************	12	60%	×	\bigstar	7	7		\Rightarrow	Performance		\bigstar	\bigstar	\bigstar	
IS	08/01/2024	CT Backlog		16	16 1	6 16	16	\Leftrightarrow	••••	6	38%	×	\bigstar	7	7			Performance	*	\bigstar		*	\bigstar
SH	21/12/2023	Risk to delivery of strategic partnership working with CUH			1:	2 12	12	\leftrightarrow		8	67%	×	\Rightarrow	7	7			SPC					\bigstar
	MS HM AR AR OM OM SH SH HM	MS 11/06/2014 HM 11/06/2014 AR 01/02/2016 AR 17/02/2016 OM 27/04/2018 OM 27/04/2018 OM 23/07/2018 SH 27/08/2021 SH 16/11/2021 HM 22/07/2022 OM 09/09/2022 IS 08/01/2024	MS 11/06/2014 Failure to protect patient from harm from hospital aquired infections HM 11/06/2014 Risk to patient care and Trust reputation from not meeting access standards (RTT, DM01 and Cancer) AR 01/02/2016 Electronic Patient Record System AR 17/02/2016 Potential for cyber breach and data loss OM 27/04/2018 Staff turnover in excess of our target level Unable to recruit number of staff with the required skills/experience OM 23/07/2018 Low levels of Staff Engagement SH 27/08/2021 Continuity of supply of consumable or services failure SH 16/11/2021 NHS Reforms & ICS strategic risk Failure to recover patient elective and non-elective activity to contract levels OM 09/09/2022 Industrial Action IS 08/01/2024 CT Backlog	MS 11/06/2014 Failure to protect patient from harm from hospital aquired infections HM 11/06/2014 Risk to patient care and Trust reputation from not meeting access standards (RTT, DM01 and Cancer) AR 01/02/2016 Electronic Patient Record System AR 17/02/2016 Potential for cyber breach and data loss OM 27/04/2018 Staff turnover in excess of our target level Unable to recruit number of staff with the required skills/experience OM 23/07/2018 Low levels of Staff Engagement SH 27/08/2021 Continuity of supply of consumable or services failure HM 22/07/2022 Failure to recover patient elective and non-elective activity to contract levels OM 09/09/2022 Industrial Action Is 08/01/2024 CT Backlog	MS 11/06/2014 Failure to protect patient from harm from hospital aquired infections HM 11/06/2014 Risk to patient care and Trust reputation from not meeting access standards (RTT, DM01 and Cancer) AR 01/02/2016 Electronic Patient Record System AR 17/02/2016 Potential for cyber breach and data loss OM 27/04/2018 Staff turnover in excess of our target level Unable to recruit number of staff with the required skills/experience OM 23/07/2018 Low levels of Staff Engagement SH 27/08/2021 Continuity of supply of consumable or services failure SH 16/11/2021 NHS Reforms & ICS strategic risk HM 22/07/2022 Failure to recover patient elective and non-elective activity to contract levels OM 09/09/2022 Industrial Action 20 20 21 22 23 24 25 26 26 27 28 28 29 20 20 20 20 20 20 20 20 20 20 20 20 20	MS	Staff turnover in excess of our target level 15 15 15 15 15 15 15 15 15 15 15 15 15	Failure to protect patient from harm from hospital aquired infections 16 16 16 16 16 16 16 1	Section Sec	Part Part	## Page 1 Page 2 Page 2 Page 3 Page 3	Section Part Par	Part Part	Page Page	Section Sect	No.	Section Page Page	Section Part Part	Part Part	Section Part Part	Section Part Part	Section Part Part	Section Sect

3. BAF Tracker Risks Below Target



BAF Tracker: Committee Update 19/03/24

ID	Exec	Opened	Title	Sep-23	Oct-23	Nov-23	◆ Dec-23	Jan-24	◀ Feb-24	Status since last ■ month	Long running Trend (full data columns AS onwards)	Target Risk Rating	% RRR achieved	↑ Pisk Target achieved			SO3	♦ SO4	√ SO5	♦ SO6	Responsible Committee in addition to the Board	Care	■ Effective	Finance People Manag &	Responsive	✓ Safe✓ Transformation
742	MS	30/01/2015	Failure to meet safer staffing (NICE guidance and NQB)	12	2 12	12	8	8	8	\leftrightarrow	******************************		3 100	% ✓	*	\Rightarrow	☆	\bigstar		\bigstar	Q&R					☆
2829	SH	23/02/2021	Achieving financial balance	8	8 8	8	8	8	8	\leftrightarrow			3 100	%						\bigstar	Performance			\Rightarrow		
2901	НМ	100/05/7071	Emerging ICB Strategy may not be aligned to RPH Five Year Strategy	9	9 9	9	9	6	6	\leftrightarrow	••••••		6 100	% ✓	*	*	\bigstar	\bigstar	☆	\bigstar	SPC		*	☆ ★	*	*
2904	SH	11/05/2021	Achieving financial balance at ICS level	12	2 12	12	12	12	12	\leftrightarrow	***************************************	1:	2 100	% ✓		\Rightarrow				\Rightarrow	Performance			\Rightarrow		
2985	SH	18/08/2021	Key Supplier Risk	10	0 10	10	10	10	10	\leftrightarrow	****	. 10	100	% ₹	*						Performance		\bigstar		\bigstar	
3040	MS	129/09/2021	Failure to protect identified vulnerable patients from M abscesses	10	10	10	10	10	10	\leftrightarrow	*************	. 1	100	% ✓	*			\bigstar	☆	\bigstar	Q&R					*