

Appendix 1: Board Assurance Framework

May 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.

Update: Please note the updates below for audit trail purposes Please also see Appendix 2 BAF Tracker Report for other highlighted updates

BAF 3261: Industrial Action: CRR 16 (C4XL4): The current risk score was reduced from 20 to 16 in May 2024 due to the likelihood of industrial action being reduced in light of consultants settling their dispute and junior doctors entering into mediation.

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 May 2024.

2. BAF Tracker Risks Above Target



BAF Tracker: Board Update 23/05/24

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QI	Exec	Opened	Title	Oct-23	Dec-23	Jan-24	Feb-24 Mar-24	Apr-24	Status since last month	Long running Trend (full data columns AS onwards)	Target Risk Rating	% RRR achieved	Risk Target achieved	SO1	\$05	503	S04	908	Responsible Committee in addition to the Board	Care	Effective	People Manag. &	Responsive	Sate Transformation
675	MS	11/06/2014	Failure to protect patient from harm from hospital aquired infections	16 1	6 16	16	16 1	6 16	\leftrightarrow		8	50%	×	$\stackrel{\wedge}{\boxtimes}$				×	Q&R				7	*
678	МН	11/06/2014	Risk to patient care and Trust reputation from not meeting access standards (RTT, DM01 and Cancer)	20 2	20	20	20 2	.0 20	\leftrightarrow		8	40%	X	\bigstar					Performance				\Rightarrow	
858	AR	01/02/2016	Optimisation and Development of EPR System	16 1	6 16	16	16 1	2 12	\leftrightarrow		8	67%	×	\bigstar	* 7	☆			SPC		×	7		☆
1021	AR	17/02/2016	Potential for major organisational disruption due to cyber breach	12 1	2 12	12	12 1	6 16	\leftrightarrow		8	50%	X	$\stackrel{\wedge}{\propto}$				$\stackrel{\wedge}{\simeq}$	Performance				-	☆ ☆
1853	MO	27/04/2018	Staff turnover in excess of our target level	15 1	5 15	15	15 1	5 15	\leftrightarrow		10	67%	X	$\stackrel{\wedge}{\sim}$	7	7		\Rightarrow	Workforce			$\stackrel{\wedge}{\sim}$		
1854	ОМ	27/04/2018	Unable to recruit number of staff with the required skills/experience	16 1	6 16	16	16 1	6 16	\leftrightarrow	~~	8	50%	×	\bigstar	7	*		☆	Workforce			$\stackrel{\wedge}{\approx}$	7	*
1929	MO	23/07/2018	Low levels of Staff Engagement	20 2	0 20	20	20 1	6 16	\leftrightarrow		8	50%	X	$\stackrel{\sim}{\sim}$	7	7		$\stackrel{\wedge}{\approx}$	Workforce			X		
3009	SH	27/08/2021	Continuity of services failure	12 1	2 12	12	12 1	2 12	\leftrightarrow	,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,	8	67%	X	×					Performance		2 2	7	* 7	Z.
3074	SH	16/11/2021	NHS Commissioning Reforms	12 1	2 12	12	12 1	2 12	\leftrightarrow	***************************************	8	67%	×		$\stackrel{\star}{\approx}$	7	$\stackrel{\wedge}{\approx}$	$\stackrel{\wedge}{\approx}$	Performance		2 2	3	$\stackrel{\wedge}{\approx}$	\Rightarrow
3223	НМ	22/07/2022	Failure to recover patient elective and non-elective activity to contract levels				16 1	6 16	\leftrightarrow	***************************************	8	50%	×	☆				\bigstar	Performance		* *	7	* 7	☆
3261	OM	09/09/2022	Industrial Action	20 2	20	20	20 2	0 16	\downarrow	,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,	12	75%	×	$\stackrel{\wedge}{\boxtimes}$		\$		$\stackrel{\star}{\approx}$	Performance		$\stackrel{\wedge}{\approx}$	$\stackrel{\wedge}{\boxtimes}$	$\stackrel{\wedge}{\approx}$	
3433	IS	08/01/2024	CT Backlog			16		6 16	\leftrightarrow	*****	6	38%	×	$\stackrel{\wedge}{\propto}$	7	3			Performance	е	$\stackrel{\wedge}{\approx}$		* 7	☆
3449	SH	21/12/2023	Risk to delivery of strategic partnership working with CUH		12	12	12 1	2 12	\leftrightarrow	****	8	67%	×	\Rightarrow	7	7			SPC					\bigstar

3. BAF Tracker Risks Below Target



BAF Tracker: Board Update 23/05/24

QΙ	Exec	Opened	Title	Oct-23	Dec-23	Jan-24	Feb-24	Mar-24 Apr-24	Status since last month	Long running Trend (full data columns AS onwards)	Target Risk Rating	% RRR achieved	Risk Target achieved	SO1	502	803	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 1	2 8	8	8	8 8	\leftrightarrow		8	100%	V	☆	≫	$\stackrel{\star}{\sim}$	$\stackrel{\sim}{\sim}$	Z ^A	Q&R					☆
2829	SH	23/02/2021	Achieving financial balance	8	8 8	8	8	8 8	\leftrightarrow		8	100%	V					X	Performance		7	3	\prod	
2901	HM	100/05/2021	Emerging ICB Strategy may not be aligned to RPH Five Year Strategy	9	9 9	6	6	6 6	\leftrightarrow		6	100%	V	$\stackrel{\wedge}{\boxtimes}$	$\stackrel{\wedge}{\boxtimes}$	$\stackrel{\wedge}{\propto}$	$\stackrel{\wedge}{\approx}$	* *	SPC		* 7	2 2	* *	\bigstar
2904	SH	11/05/2021	Achieving financial balance at ICS level	12 1	2 12	12	12	12 12	\leftrightarrow		12	100%	V		⋫			A	Performance		7	*		
2985	SH		Key Supplier Risk	10 1	0 10	10	10	10 10	\leftrightarrow	****	10	100%	V	$\stackrel{\wedge}{\boxtimes}$					Performance		$\stackrel{\wedge}{\boxtimes}$		$\stackrel{\wedge}{\boxtimes}$	
3040	MS	1/9/09//071	Failure to protect identified vulnerable patients from M labscesses	10 1	0 10	10	10	10 10	\leftrightarrow		10	100%	V	$\stackrel{\wedge}{\mathbb{A}}$			$\stackrel{\wedge}{\mathbb{A}}$	* *	Q&R					☆
		29/09/2021	Failure to protect identified vulnerable patients from M	10 1	0 10	10	10			***************************************	10			*			\bigstar	☆ ☆			X	_		X