



Report to:	Trust Board	05 September 2024
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 Noting	

1. Purpose

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

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

2. Headlines

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

- BAF 675: Failure to protect patient from harm from hospital acquired infections. The risk description and controls were revised in July 2024 to reflect the enhanced focus on eliminating surgical site infections and carbapenemase-producing Enterobacterales (CPE).
The progress notes were updated in August 2024 to reflect the progress re management of the recent CPE infection outbreak and the Surgical Site Infections improvement actions.
- BAF 742: Failure to meet safer staffing (NICE guidance and NQB). The risk description and controls were revised in July 2024 to reflect the enhanced focus on areas with high vacancy rates, such as Pharmacy.
The progress notes were updated in August 2024 to reflect the progress re pharmacy recruitment.
- BAF 1021: Potential for major organisational disruption due to cyber breach: The risk description was updated in July 2024 to reflect the need for the Trust to be “prepared for a cyber-attack”.
The Current Risk Rating was increased from 16 to 20 (Consequences 5 x Likelihood 4) in August 2024 to reflect the catastrophic impact of a cyber-attack.

- iv. BAF 1853: Staff Turnover. The additional risk information was updated in July 2024 to reference the impact of the national industrial relations environment and nurse pay banding issues.
The actions taken to mitigate the identified risks were updated in July 2024.
- v. BAF 1929: Low levels of staff engagement. The additional risk information was updated in July 2024 to reference the impact of the national industrial relations environment and nurse pay banding issues.
The actions taken (Controls in place) to mitigate the identified risks were also updated in July 2024.
- vi. BAF 2829: Achieving financial balance: The 'assurance' and 'gap in assurance' fields were significantly updated in August 2024.
- vii. BAF 2904: Achieving financial balance at ICS level: The 'gap in assurance' field was updated in August 2024.
- viii. BAF 3040: Failure to protect identified vulnerable patients from M abscesses: The progress notes were updated in August 2024 to reflect a new case of M abscessus which was awaiting relatedness results.
- ix. BAF 3223: Failure to recover patient elective and non-elective activity to contract levels: The risk description was updated in June 2024 to reflect the impact of waiting on patients
- x. BAF 3261: Industrial Action: (C4XL5): The Current Risk Rating was increased from 16 to 20 (Consequences **4** x Likelihood **5**) in May 2024.
The risk description was updated in July 2024 to reflect the difficult national employee relations environment.
The 'assurance' field was updated in August 2024.
- xi. BAF 3433: CT Backlog: The mitigations/controls for the risk entry were significantly revised in July 2024.
The progress notes were updated to reflect the progress made so far with the actions to reduce the CT backlog.
- xii. BAF 3449: Risk to delivery of strategic partnership across the Cambridge Biomedical Campus (CBC): The risk description was revised in July 2024 to reflect the wider strategic partnership working across the campus. The 'controls', 'assurance' and 'gap in assurance' rows were also significantly updated in July 2024 to reflect the revised scope of the risk entry.

3. For Noting

- xiii. BAF 2901: Emerging ICB Strategy may not be aligned to the RPH Five Year Strategy. The entry was **de-escalated** from the BAF in July 2024 because all mitigations had been implemented and the target risk rating had been achieved for a number of months.
- xiv. BAF 3536: The Trust's ability to recover from a digital incident: A **new** risk entry was **included** on the BAF in July 2024 to provide assurance on the measures and actions being taken to help the Trust to recover from a digital incident

4. Recommendation:

The Board is requested to:

- a. Review the updates.