



Royal Papworth Hospital
NHS Foundation Trust

Board Assurance Framework

May 2021

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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. BAF risks are mapped to the Trust's strategic objectives and reporting is managed through the DATIX system and escalated through the relevant Trust Committee structures.

Action plans for BAF risks are reviewed on a monthly basis and are captured within the Trusts' Datix reporting system. Executive Directors review open BAF risks on a monthly basis and BAF risks are brought to Trust Committees at each meeting. Each report now includes a more detailed summary of Committee risks including, control measures, assurances and progress notes.

The BAF tracker for May 2021 includes the Residual Risk Rating (RRR) and long term trend for each BAF risk and is attached at Appendix A (above Appetite) and B (within Appetite).

Headlines: Twelve risks have a Residual Risk Rating above Risk Appetite.

New BAF Risks:

BAF 2904: Achieving financial balance at ICS level: RRR 16 (C4xL4). **IF** the ICS does not achieve financial balance in the current year and beyond **THEN** the ICS and Trust will be subject to regulatory action which will impact on the Trust's ability to provide high quality, sustainable services to patients now and in the future. This risk has been remapped to the Performance Committee.

BAF 2901: Delivery of the Trust 5 year strategy 2020-2025: RRR 9 (C3xL3). **IF** there is misalignment of the objectives or priorities between the developing Integrated Care System (ICS) and the Trust's five year strategy, **THEN** delivery of the Trust strategic priorities could be compromised.

There is active engagement by Trust leaders at all levels in the ICS with Trust and Executive leadership of a number of ICS decision making and strategy developing groups. There is sharing of knowledge and support to optimise delivery against the system plan. Long term ICS financial modelling is being developed to understand the scale of future challenges. The Trust's CFCO is a key contributor to that and to the national specialist provider group which will shape the future of specialist commissioning.

Other updates:

BAF 675: Failure to protect patient from harm from hospital acquired infections: RRR 10 (C5xL2): Following review of the risks associated with hospital acquired infections both the inherent and the residual risk have been revised. The inherent rating has increased to a rating of 20 reflecting the potential catastrophic impact of nosocomial infections such as COVID19 and M.abscessus at an individual patient level. The Trust has significant controls in place which are reported to the Board and monitoring of all nosocomial infections has been added to Board reporting through PIPR. The assessment of RRR has increased to a rating of 10 (C5xL2).

BAF 1929: Staff Engagement: RRR 16 (C4xL4) risk is to be review to reflect any potential impacts on staff engagement as we emerge from the pandemic.

Closed Risks: None

Objective Mapping: Is being updated to Strategic Objectives for 2021/22

Principal Risks (PR)

The May BAF tracker report reflects the earlier discussion at Board with principal risks relating to:

1. COVID19 pandemic and the need to sustain operational effort and resources to the COVID19 readiness and response.
2. Workforce, and the need to focus on recruitment and retention to support flow and our ability to deliver activity
3. Failure to optimise the new facility to deliver activity plans and meet patient demand.
4. The requirement to deliver our financial plan on a sustainable basis, addressing the underlying the structural deficit and our contribution to the wider system
5. Cyber security and data loss - the need to ensure that our services are resilient to cyber attack and that residual risks to resilience are managed.

Recommendation

The Committee is requested to note the BAF report for May 2021.

2. Appendix A: BAF Tracker Risks Above Risk Appetite



BAF Tracker 12/05/2021
Produced by Dinusha De Silva, Risk Officer

Note: Data taken from Datix will reflect the score given to the risk as close as possible to 12th of the month to enable new Exec information to be updated on Datix post meeting. (Committee update 19.05.21)

ID	Exec	Opened	Title	Feb-21	Mar-21	Apr-21	Status since last month	Long running Trend	Risk Appetite	Risk Appetite achieved	% Risk Assurance against risk appetite	BAF with Datix action plan	COC/PIPR	Responsible Committee in addition to the Board
675	JR	11/06/2014	Failure to protect patient from harm from hospital acquired infections	4	4	10	↑		5	<input checked="" type="checkbox"/>	50%	Y	Safe	Q&R
678	EM	11/06/2014	Waiting list management	16	16	16	↔		12	<input checked="" type="checkbox"/>	75%	Y	Finance	Performance
742	JR	30/01/2015	Failure to meet safer staffing (NICE guidance and NQB)	12	12	12	↔		6	<input checked="" type="checkbox"/>	50%	Y	Safe	Q&R
841	EM	01/02/2016	Delivery of Efficiency Challenges - CIP Board approved	20	20	16	↓		8	<input checked="" type="checkbox"/>	50%	Y	Effective	Performance
1021	AR	17/02/2016	Potential for cyber breach and data loss	20	20	16	↓		3	<input checked="" type="checkbox"/>	19%	Y	Safe	SPC/Performance
1853	OM	27/04/2018	Staff turnover in excess of our target level	15	15	15	↔		8	<input checked="" type="checkbox"/>	53%	Y	Safe	Performance
1854	OM	27/04/2018	Unable to recruit number of staff with the required skills/experience	15	15	10	↓		8	<input checked="" type="checkbox"/>	80%	Y	Safe	Performance
1929	OM	23/07/2018	Low levels of Staff Engagement	16	16	16	↔		4	<input checked="" type="checkbox"/>	25%	Y(HR)	People Manag. & Cult.	Q&R
2829	TG	23/02/2021	Achieving financial balance	12	12	16	↑		8	<input checked="" type="checkbox"/>	50%	Y(F)	Finance	Performance
2833	TG	06/02/2021	maintain a safe and secure environment across the organisation	12	12	12	↔		6	<input checked="" type="checkbox"/>	50%	Y(Est)	Safe	Performance
2904	TG	11/05/2021	Achieving financial balance at ICS level NEW			16	↑		12	<input checked="" type="checkbox"/>	75%	Y(F)	Finance	Board
2901	EM	12/05/2021	Delivery of the Trust 5 year strategy 20/25 NEW			9	↑		4	<input checked="" type="checkbox"/>	44%			SPC

3. Appendix B: BAF Tracker Risks Below Risk Appetite



BAF Tracker 12/05/2021
Produced by Dinusha De Silva, Risk Officer

Note: Data taken from Datix will reflect the score given to the risk as close as possible to 12th of the month to enable new Exec information to be updated on Datix post meeting. (Committee update 19.05.21)

ID	Exec	Opened	Title	Feb-21	Mar-21	Apr-21	Status since last month	Long running Trend	Risk Appetite	Risk Appetite achieved	% Risk Assurance against risk appetite	BAF with Datix action plan	CQC/PIPR	Responsible Committee in addition to the Board
730	RH	01/04/2015	R&D strategic direction and recognition	6	6	6	↔	-----	8	<input checked="" type="checkbox"/>	133%	Y	Responsive	Q&R
858	AR	01/02/2016	Electronic Patient Record System - benefits	12	12	8	↓	-----	12	<input checked="" type="checkbox"/>	150%	Y	Transformation	SPC
2338	AR	29/08/2019	EU exit	6	6	6	↔	-----	16	<input checked="" type="checkbox"/>	267%	Y(EDs)	Finance	Board
2532	JR	05/03/2020	COVID Pandemic	20	15	10	↓	-----	25	<input checked="" type="checkbox"/>	250%	Y(EDs)	Effective	Board
			Parked due to COVID											