



Royal Papworth Hospital
NHS Foundation Trust

Board Assurance Framework

October 2021

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1. Executive summary



Royal Papworth Hospital
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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. All 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.

The BAF tracker for October 2021 includes the Residual Risk Rating (RRR) and long-term trend for each BAF risk showing risks above Risk Appetite and within Appetite. Risks are mapped to the CQC Key Lines of Enquiry (KLOEs). Committee reports include further detail on controls and assurance for each BAF risk.

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

New BAF Risks: Two risks have been added to the BAF (as reported last month):

BAF 2985: Key Supplier Risk: RRR 20 (C5xL4) **IF** the Trust is reliant on key suppliers to deliver commissioner requested services, **THEN** the Trust has a higher likelihood of being exposed to financial and service delivery risks.

BAF 3040: M.Abscessus: RRR 15 (C5xL3) **IF** the measures that the Trust has put in place to control the spread of M.Abscessus in patients identified as clinically vulnerable to M.Abscessus are not affective **THEN** patients may come to harm and that may have an adverse effect on Trust performance and reputation. This risk is managed through the multi-professional M.Abscessus Steering Group.

Other updates:

BAF 675: Harm from Hospital Acquired Infections RRR 8 (C4xL2). Risk rating reduced following review of COVID pathways in the light of national guidance. Nosocomial infections and outbreaks being continuously monitored within the IPC team and managed. No increase in nosocomial or outbreaks identified.

BAF 841: CIP: RRR 12 (C4xL3). CIP plans identified for 2021/22 equating to £5.4m and the programme is now collecting ideas for 2022/23.

BAF 2532: COVID Pandemic: RRR 10 (C5xL2). Review of COVID pathways been undertaken with IPC and DIPC. COVID restrictions remain in place across the hospital. COVID booster vaccinations are now being administered to staff at the RPH vaccination clinic. The Trust continues to have COVID positive patients in the hospital, with continued high community prevalence. No change to RRR.

BAF 730: R&D Strategic Direction: RRR 6 (C2xL3) The R&D Innovation Fund is open with projects now in final review. The Trust has agreed to the centralise Research PA funding. The process for this is being finalised. No change to RRR.

Closed Risks: None

Principal Risks (PR) The October BAF 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 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.

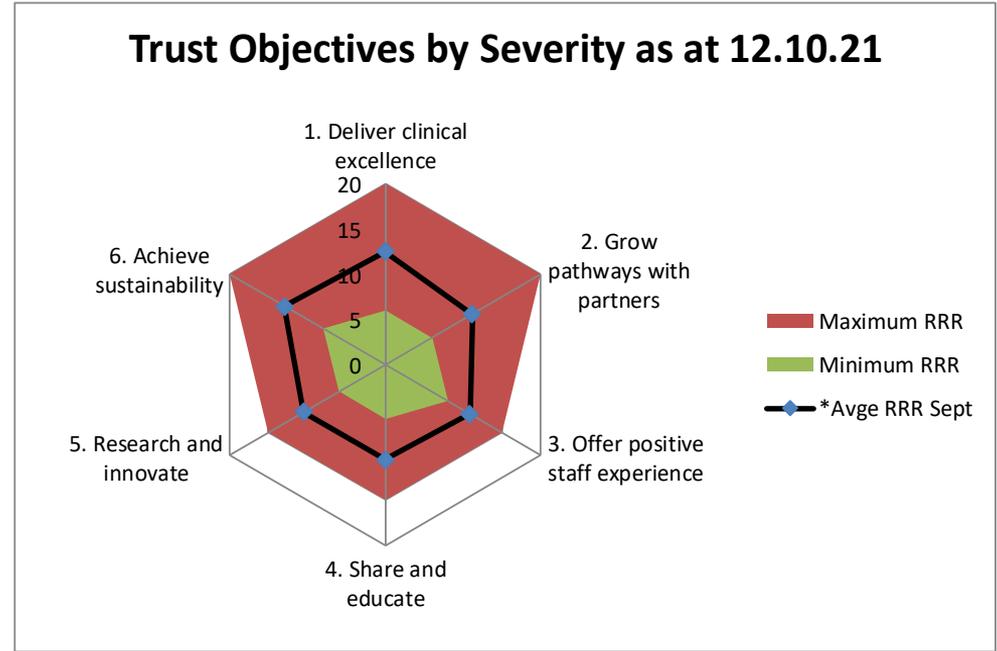
Recommendation

The Board is requested to note the BAF report for October 2021.

2. Risks Mapped to Strategic Objectives

Trust Objective 2021/22	*Avge RRR Aug	*Avge RRR Sept	Maximum RRR	Minimum RRR	change in Avge RRR
1. Deliver clinical excellence	12.8	12.5	20	6	●
2. Grow pathways with partners	11.2	11.2	20	6	●
3. Offer positive staff experience	10.9	10.9	15	8	●
4. Share and educate	9.0	10.5	15	6	●
5. Research and innovate	9.0	10.5	15	6	●
6. Achieve sustainability	12.7	12.9	20	8	●

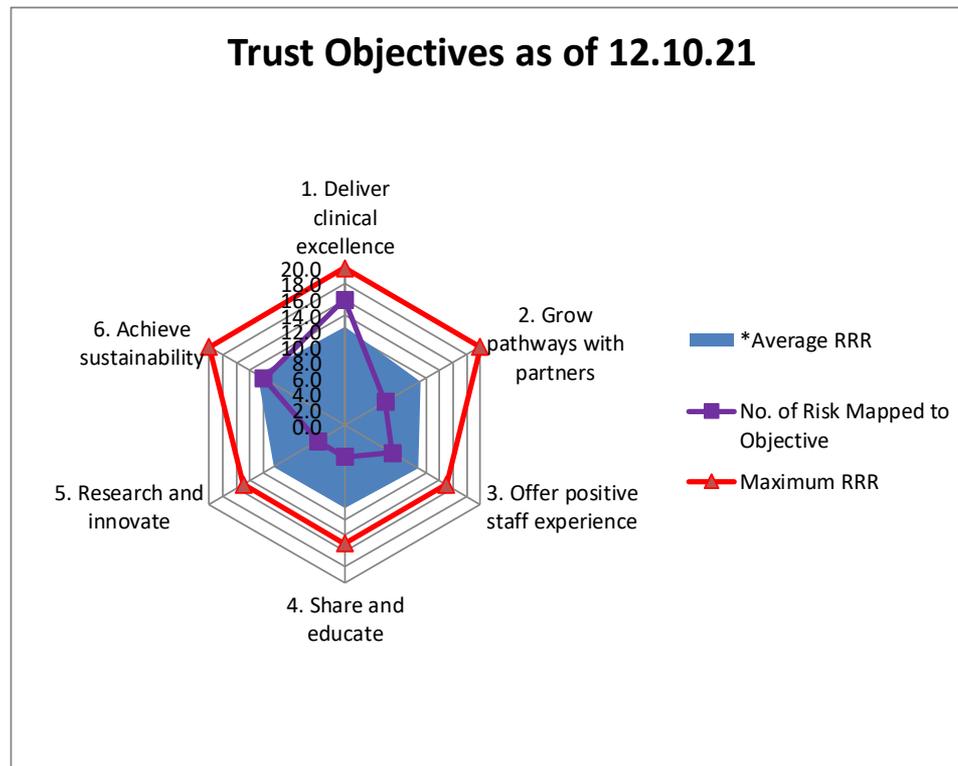
* Average for risks included in current tracker report



3. Strategic Objectives by Severity of RRR

Trust Objective 2021/22	No. of Risk Mapped to Objective	*Average RRR	Maximum RRR	Minimum RRR	Risks Opened	Risks Closed
1. Deliver clinical excellence	16	12.5	20.0	6.0	2	
2. Grow pathways with partners	6	11.2	20.0	6.0		
3. Offer positive staff experience	7	10.9	15.0	8.0		
4. Share and educate	4	10.5	15.0	6.0	1	
5. Research and innovate	4	10.5	15.0	6.0	1	
6. Achieve sustainability	12	12.9	20.0	8.0	1	

* Average for risks included in current tracker report



4. BAF Tracker Risks Above Risk Appetite



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BAF Tracker 12/10/2021

Produced by Anna Pearman, Risk Manager

ID	Exec	Opened	Title	Jul-21	Aug-21	Sep-21	Status since last month	Long running Trend (full data columns AS onwards)	Risk Appetite	Risk Appetite achieved	% Risk Assurance against risk appetite	Responsible Committee in addition to the Board	Safe	Effective	Finance	People Manag. &	Responsive	Transformation	
675	MS	11/06/2014	Failure to protect patient from harm from hospital acquired infections	10	15	8	↓		5	<input checked="" type="checkbox"/>	63%	Q&R	★						
678	EM	11/06/2014	Waiting list management	16	16	16	↔		12	<input checked="" type="checkbox"/>	75%	Performance					★		
742	MS	30/01/2015	Failure to meet safer staffing (NICE guidance and NQB)	12	12	12	↔		6	<input checked="" type="checkbox"/>	50%	Q&R	★						
1021	AR	17/02/2016	Potential for cyber breach and data loss	16	16	16	↔		3	<input checked="" type="checkbox"/>	19%	Performance	★						★
1853	OM	27/04/2018	Staff turnover in excess of our target level	15	15	15	↔		8	<input checked="" type="checkbox"/>	53%	Performance	★			★			
1854	OM	27/04/2018	Unable to recruit number of staff with the required skills/experience	10	10	10	↔		8	<input checked="" type="checkbox"/>	80%	Performance	★			★			
1929	OM	23/07/2018	Low levels of Staff Engagement	12	12	12	↔		4	<input checked="" type="checkbox"/>	33%	Q&R				★			
2829	TG	23/02/2021	Achieving financial balance	16	16	16	↔		8	<input checked="" type="checkbox"/>	50%	Performance			★				
2833	TG	06/02/2021	Maintain a safe and secure environment across the organisation	16	16	16	↔		6	<input checked="" type="checkbox"/>	38%	SPC	★						
2901	EM	06/05/2021	Delivery of Trust 5 year strategy	9	9	9	↔		4	<input checked="" type="checkbox"/>	44%	SPC		★	★	★	★	★	★
2904	TG	11/05/2021	Achieving financial balance at ICS level	20	20	20	↔		12	<input checked="" type="checkbox"/>	60%	Performance			★				
2985	TG	18/08/2021	Key Supplier Risk NEW		20	20	↔		8	<input checked="" type="checkbox"/>	40%	Performance		★				★	
3008	TG	27/08/2021	Clinical Research Facility Core Grant Funding		12	12	↔		9	<input checked="" type="checkbox"/>	75%	SPC			★				★
3009	TG	27/08/2021	Continuity of supply of consumable or services failure		15	15	↔		6	<input checked="" type="checkbox"/>	40%	Performance	★	★	★			★	
3040	MS	29/09/2021	M.Abscessus NEW			15	↔		10	<input checked="" type="checkbox"/>	67%	Q&R	★						

5. BAF Tracker Risks Below Risk Appetite



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BAF Tracker 12/10/2021

Produced by Anna Pearman, Risk Manager

ID	Exec	Opened	Title	Jul-21	Aug-21	Sep-21	Status since last month	Long running Trend (full data columns AS onwards)	Risk Appetite	Risk Appetite achieved	% Risk Assurance against risk appetite	Responsible Committee in addition to the Board	Safe	Effective	Finance	People Manag. &	Responsive	Transformation	
730	RH	01/04/2015	R&D strategic direction and recognition	6	6	6	↔		8	<input checked="" type="checkbox"/>	133%	Q&R						★	
841	EM	01/02/2016	Delivery of Efficiency Challenges - CIP Board approved	16	8	8	↔		8	<input checked="" type="checkbox"/>	100%	Performance		★				★	
858	AR	01/02/2016	Electronic Patient Record System - benefits (Linked to ID1787)	8	8	8	↔		12	<input checked="" type="checkbox"/>	150%	SPC							★
2532	MS	05/03/2020	COVID Pandemic	10	10	10	↔		25	<input checked="" type="checkbox"/>	250%	Q&R	★	★					
2854	EM	15/03/2021	ICS engagement	6	6	6	↔		6	<input checked="" type="checkbox"/>	100%	SPC							★