



Royal Papworth Hospital
NHS Foundation Trust

Board Assurance Framework

January 2022

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1. Executive summary



Royal Papworth Hospital NHS Foundation Trust

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 November 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: Seventeen risks have a Residual Risk Rating above Risk Appetite.

New BAF Risks: None

Other updates:

BAF 1021: Cyber: RRR 20 (C5xL4): RRR increased in response to a vulnerability that presented in applications and organisations around the world. All available patches have been applied and remaining systems have additional security in place to mitigate the risk. All cyber alerts are responded to as they are received and the CareCert records updated accordingly. All actions resulting from alerts received are tracked and acted upon.

BAF 1854: Recruitment: RRR 12 (C4xL3): RRR increased in light of impact of external factors related to the national and local labour markets across a variety of roles. We are seeing a reduced quantity and quality of response to non registered posts and have experienced a significant reduction in the number of applicants for Band 2 HSCWs. The Workforce, Education and Communication teams are working together to improve our ability to recruit and retain staff in these roles. Further information is provided in PIPR.

BAF 1853: Turnover: RRR 15 (C5xL3): The Compassionate and Collective Leadership Programme our key vehicle for improving staff engagement and building a positive and compassionate culture. Sessions on the values and behaviours will restart in February 2022 (put back due to the omicron surge). A further programme aimed at improving staff experience and engagement is the line managers development programme which will launch in Q4 21/22.

BAF 841: Board Approved CIP: RRR 12 (C4xL3): RRR increased to reflect the impact of non-recurrent schemes on CIP requirements going into 2022/23. The Trust has delivered £4.5m (£2.8m non-recurrent) with £0.9m to be delivered.

Closed Risks: None

Principal Risks (PR) The November 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 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.

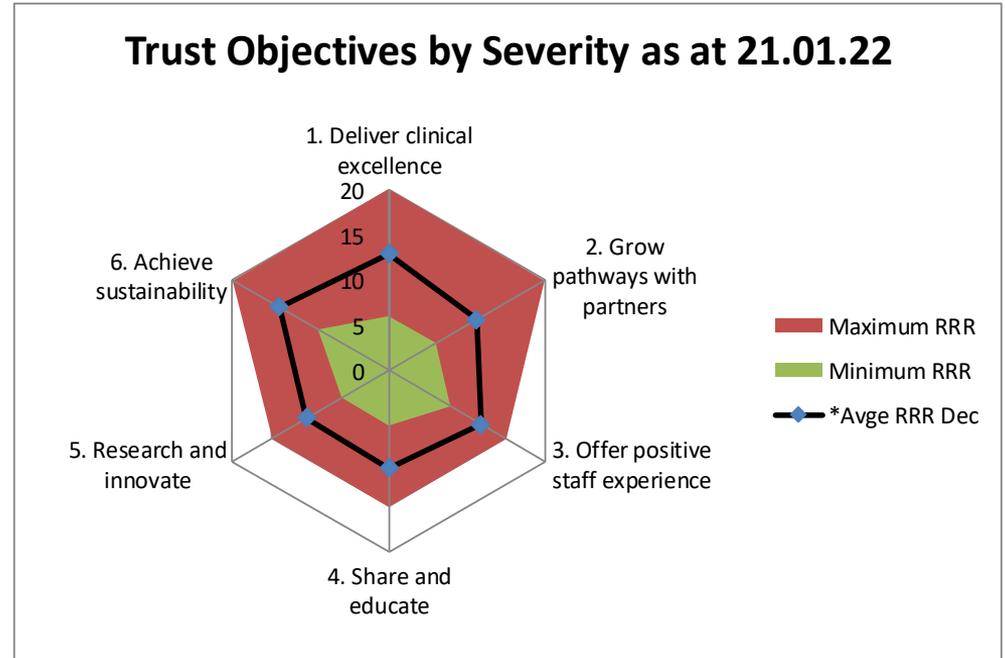
Recommendation

The Board is requested to note the BAF report for January 2022.

2. Risks Mapped to Strategic Objectives

Trust Objective 2021/22	* Avge RRR Nov	* Avge RRR Dec	Maximum RRR	Minimum RRR	change in Avge RRR
1. Deliver clinical excellence	12.2	12.9	20	6	●
2. Grow pathways with partners	11.3	11.3	20	6	●
3. Offer positive staff experience	10.9	11.9	15	8	●
4. Share and educate	10.8	10.8	15	6	●
5. Research and innovate	10.5	10.5	15	6	●
6. Achieve sustainability	13.2	14.0	20	9	●

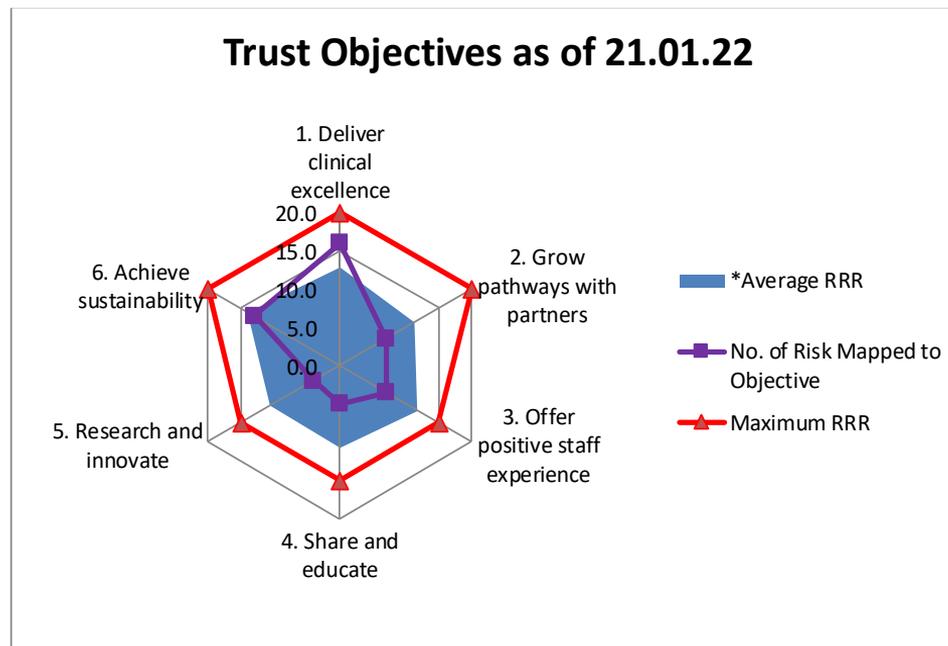
* Average for risks included in current tracker report



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	12.9	20.0	6.0		
2. Grow pathways with partners	7	11.3	20.0	6.0		
3. Offer positive staff experience	7	11.9	15.0	8.0		
4. Share and educate	5	10.8	15.0	6.0		
5. Research and innovate	4	10.5	15.0	6.0		
6. Achieve sustainability	13	14.0	20.0	9.0		

* Average for risks included in current tracker report



4. BAF Tracker Risks Above Risk Appetite



Royal Papworth Hospital
NHS Foundation Trust

BAF Tracker 11/01/2022 (Committee Update 21/01/22)

Produced by Anna Pearman, Risk Manager

ID	Exec	Opened	Title	Oct-21	Nov-21	Dec-21	Status since last month	Long running Trend	Risk Appetite	Risk Appetite achieved	% Risk Assurance against risk appetite	SO1	SO2	SO3	SO4	SO5	SO6	Responsible Committee	Safe	Effective	Finance	People Manag. & Cult.	Responsive	Transformation	
675	MS	11/06/2014	Failure to protect patient from harm from hospital acquired infections	8	8	8	↔		5	<input checked="" type="checkbox"/>	63%	★						Q&R	★						
678	EM	11/06/2014	Waiting list management	16	16	16	↔		8	<input checked="" type="checkbox"/>	50%	★						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	★						
841	EM	01/02/2016	Delivery of Efficiency Challenges - CIP Board approved	8	12	12	↑		8	<input checked="" type="checkbox"/>	67%						★	Performance		★					
1021	AR	17/02/2016	Potential for cyber breach and data loss	16	16	20	↑		5	<input checked="" type="checkbox"/>	25%	★					★	Performance	★					★	
1853	OM	27/04/2018	Staff turnover in excess of our target level	15	15	15	↔		6	<input checked="" type="checkbox"/>	40%	★					★	Performance	★				★		
1854	OM	27/04/2018	Unable to recruit number of staff with the required skills/experience	10	10	12	↑		6	<input checked="" type="checkbox"/>	50%	★		★				Performance	★				★		
1929	OM	23/07/2018	Low levels of Staff Engagement	12	12	12	↔		6	<input checked="" type="checkbox"/>	50%	★	★				★	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	↔		6	<input checked="" type="checkbox"/>	67%	★	★	★	★	★	★	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	20	20	20	↔		8	<input checked="" type="checkbox"/>	40%	★						Performance		★				★	
3008	TG	27/08/2021	Clinical Research Facility Core Grant Funding	12	12	12	↔		9	<input checked="" type="checkbox"/>	75%	★	★			★	★	SPC			★			★	
3009	TG	27/08/2021	Continuity of supply of consumable or services failure	15	10	10	↓		6	<input checked="" type="checkbox"/>	60%	★						Performance	★	★	★			★	
3040	MS	29/09/2021	M.Abscessus	15	15	15	↔		10	<input checked="" type="checkbox"/>	67%	★			★	★	★	Q&R	★						
3074	TG	16/11/2021	NHS Reforms & ICS strategic risk	12	12	12	↔		8	<input checked="" type="checkbox"/>	67%		★		★		★	Performance		★	★		★	★	

5. BAF Tracker Risks Below Risk Appetite



BAF Tracker 11/01/2022 (Committee Update 21/01/22)

Produced by Anna Pearman, Risk Manager

ID	Exec	Opened	Title	Oct-21	Nov-21	Dec-21	Status since last month	Long running Trend	Risk Appetite	Risk Appetite achieved	% Risk Assurance against risk appetite	SO1	SO2	SO3	SO4	SO5	SO6	Responsible Committee	Safe	Effective	Finance	People Manag. & Cult.	Responsive	Transformation
730	RH	01/04/2015	R&D strategic direction and recognition	6	6	6	↔		8	<input checked="" type="checkbox"/>	133%					★		Q&R					★	
858	AR	01/02/2016	Electronic Patient Record System - benefits	8	8	8	↔		12	<input checked="" type="checkbox"/>	150%	★	★	★				SPC						★
2532	MS	05/03/2020	COVID Pandemic	10	10	15	↑		25	<input checked="" type="checkbox"/>	167%	★		★			★	Q&R	★	★		★	★	
2854	EM	15/03/2021	ICS engagement	6	6	6	↔		6	<input checked="" type="checkbox"/>	100%	★	★		★			SPC						★

6. Review of Risk Appetite

Background:

In December, the Board asked the Executive to review the variation in Risk Appetite across BAF risks and look at whether there was good reason for this or whether there was a need to review our approach to these assessments. This has seen a change in the risk appetite for a number of individual BAF risks and suggests a need for some further work with the Board on how we use Risk Appetite and Target Risk Ratings. This work is continuing but some observations from discussion are set out below.

As background the different assessments of risks within the BAF are as follows:

- Risk Appetite (Assessment)
- Inherent Risk Rating (Consequence x Likelihood)
- Residual Risk Rating (Consequence x Likelihood)
- Target Risk Rating (Consequence x Likelihood)

Board and Committee reporting currently uses the first three fields to track BAF risks. A chart setting out the mapping of BAF risks against all fields, bringing in target risk rating, is included below. This illustrates the variation in how risk is assessed against each of these ratings.

There is still some significant variation in how we assess our risk appetite. For example for the Pandemic Risk (BAF 2532) the Board has considered the risk appetite in detail and it is set at the highest level to reflect some of the extraordinary measures that we have needed to apply in our response to

COVID-19, measures which would not be acceptable in usual circumstances.

Target risk ratings seem to have less variation and we plan to look at whether using this field in the tracker report might be better to set the expectation for improvement, giving a clearer measure for the Board of progress against 'actionable risk'.

We also see that in some areas there is no variation between the inherent and residual risk ratings. This is likely to reflect risks that are a part of our 'business as usual' but are key to delivery of our strategic objectives and where we rely on the continuing operation of control frameworks.

In addition to the Board request, the Risk Maturity Audit undertaken by BDO in October 2021 included a recommendation that a risk appetite statement(s) should be developed to ensure there was a clear message on the Trust's tolerance to risk and what was expected of employees to manage risk.

We have agreed that this work will be brought together and considered as a part of the annual self assessment and review of risk and the Board development session in March.

Recommendation: The Board is asked to note the update on the BAF and the review of risk appetite.

6. Review of Risk Appetite



BAF RISKS 21.01.22

