



Royal Papworth Hospital
NHS Foundation Trust

Board Assurance Framework

September 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 report 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). All BAF risks are assigned to a Board Committee and Committee reports include further detail on controls and assurance for each risk.

Headlines: Eighteen risks have a Residual Risk Rating above Target.

New BAF Risks:

BAF 3261 Industrial Action: RRR 16 (C4xL4): **If** industrial action is taken by staff, **then** it could lead to a reduction in workforce availability and a consequent reduction in our ability to provide services. The Trust continues to liaise with Trade Union representatives to ensure effective lines of communication and exchange of information. Impact and therefore the degree of risk will depend on the specific action implemented by the Trade Unions which will be understood subsequent to ballots. We are updating our protocols and put in place actions to be minimise the negative impact on patient services.

Other updates:

BAF 1853: Turnover: RRR increased to 20 (C5xL4) in light of the upward trend in turnover despite the measures being taken. This is a national trend and reflects pressures from cost-of-living increases impacting on the labour market and the after effect of the Covid Pandemic.

BAF 2532: COVID pandemic: RRR 6 (C3xL2). New testing guidance under review. Winter planning and vaccination programme starts September 2022.

BAF 2829: Achieving Financial Balance: Reduced to RRR 8 (C4xL2) reflecting M4 position and the mitigation of inflation risks.

Closed Risks: BAF 2854 ICS engagement: RRR 6 to be monitored through CRR.

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 a committed and skilled workforce in adequate numbers to support delivery of high-quality care, through staff that are 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 addressing the underlying structural deficit and 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 ensure that our services are as resilient as possible to ever present and escalating Cyber-attacks through the application of up-to-date cyber security controls, training, surveillance and early warning of potential threats, applying systems and management practices that ensure residual risks are mitigated appropriately.

Recommendation

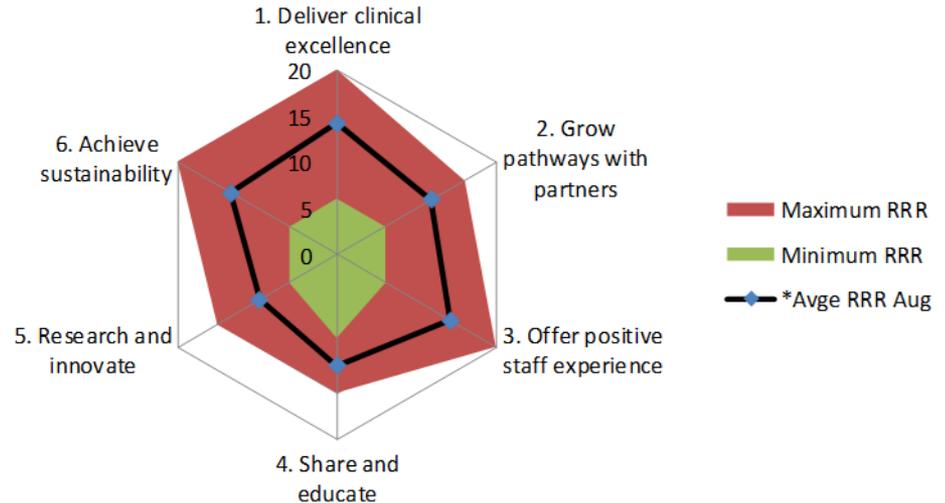
The Board is requested to note the BAF report for September 2022.

2. Risks Mapped to Strategic Objectives

| Trust Objective 2022/23 | * Avge RRR July | * Avge RRR Aug | Maximum RRR | Minimum RRR | change in Avge RRR |
|------------------------------------|-----------------|----------------|-------------|-------------|--------------------|
| 1. Deliver clinical excellence | 13.8 | 14.2 | 20 | 6 | ● |
| 2. Grow pathways with partners | 11.8 | 11.8 | 16 | 6 | ● |
| 3. Offer positive staff experience | 13.4 | 14.3 | 20 | 6 | ● |
| 4. Share and educate | 12.0 | 12.0 | 15 | 9 | ● |
| 5. Research and innovate | 9.8 | 9.8 | 15 | 6 | ● |
| 6. Achieve sustainability | 13.2 | 13.4 | 20 | 6 | ● |

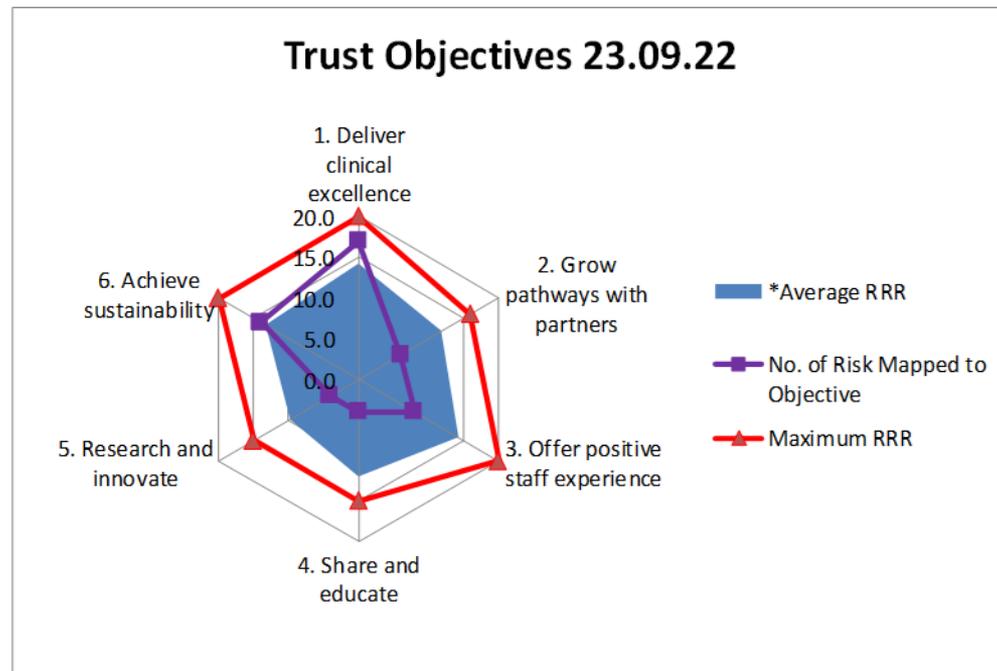
* Average for risks included in current tracker report

Trust Objectives by Severity 23.09.22



3. Strategic Objectives by Severity of RRR

| Trust Objective 2022/23 | No. of Risk Mapped to Objective | *Average RRR | Maximum RRR | Minimum RRR | Risks Opened | Risks Closed |
|------------------------------------|---------------------------------|--------------|-------------|-------------|--------------|--------------|
| 1. Deliver clinical excellence | 17 | 14.2 | 20 | 6 | 1 | 1 |
| 2. Grow pathways with partners | 6 | 11.8 | 16 | 6 | | 1 |
| 3. Offer positive staff experience | 8 | 14.3 | 20 | 6 | 1 | |
| 4. Share and educate | 4 | 12.0 | 15 | 9 | | |
| 5. Research and innovate | 4 | 9.8 | 15 | 6 | | 1 |
| 6. Achieve sustainability | 14 | 13.4 | 20 | 6 | 1 | |



* Average for risks included in current tracker report

4. BAF Tracker Risks Above Target



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BAF Tracker Committee update 23/09/2022

| ID | Exec | Opened | Title | Jun-22 | Jul-22 | Aug-22 | Status since last month | Long running Trend (full data columns AS onwards) | Target Risk Rating | % RRR achieved | Risk Target achieved | Risk Appetite | SO1 | SO2 | SO3 | SO4 | SO5 | SO6 | Responsible Committee in addition to the Board | Safe | Effective | Finance | People Manag. & Cult. | Responsive | Transformation |
|------|------|------------|--|--------|--------|--------|-------------------------|---|--------------------|----------------|----------------------|---------------|-----|-----|-----|-----|-----|-----|--|------|-----------|---------|-----------------------|------------|----------------|
| 675 | AB | 11/06/2014 | Failure to protect patient from harm from hospital acquired infections | 16 | 16 | 16 | ↔ | | 6 | 38% | ☒ | 4 | ★ | | | | | | Q&R | ★ | | | | | |
| 678 | AB | 11/06/2014 | Waiting list management | 16 | 20 | 20 | ↔ | | 8 | 40% | ☒ | 8 | ★ | | | | | | Performance | | | | | ★ | |
| 730 | RH | 01/04/2015 | R&D strategic direction and recognition | 9 | 9 | 9 | ↔ | | 6 | 67% | ☒ | 8 | | | | | ★ | | Q&R | | | | | ★ | |
| 742 | MS | 30/01/2015 | Failure to meet safer staffing (NICE guidance and NQB) | 12 | 12 | 12 | ↔ | | 8 | 67% | ☒ | 6 | ★ | ★ | ★ | ★ | ★ | | Q&R | ★ | | | | | |
| 858 | AR | 01/02/2016 | Electronic Patient Record System - benefits | 16 | 16 | 16 | ↔ | | 6 | 38% | ☒ | 6 | ★ | ★ | ★ | | | | SPC | | | | | | ★ |
| 1021 | AR | 17/02/2016 | Potential for cyber breach and data loss | 16 | 16 | 16 | ↔ | | 9 | 56% | ☒ | 9 | ★ | | | | ★ | | Performance | ★ | | | | | ★ |
| 1853 | OM | 27/04/2018 | Staff turnover in excess of our target level | 15 | 15 | 20 | ↑ | | 9 | 45% | ☒ | 6 | ★ | ★ | | | ★ | | Performance | | | | ★ | | |
| 1854 | OM | 27/04/2018 | Unable to recruit number of staff with the required skills/experience | 16 | 16 | 16 | ↔ | | 9 | 56% | ☒ | 6 | ★ | ★ | | | ★ | | Performance | ★ | | | ★ | | |
| 1929 | OM | 23/07/2018 | Low levels of Staff Engagement | 20 | 20 | 20 | ↔ | | 8 | 40% | ☒ | 6 | ★ | ★ | | | ★ | | Q&R | | | | ★ | | |
| 2833 | TG | 06/02/2021 | Maintaining safe and secure environment across the organisation | 16 | 16 | 16 | ↔ | | 8 | 50% | ☒ | 6 | ★ | | | | | | SPC | ★ | | | | | |
| 2901 | AB | 06/05/2021 | Delivery of Trust 5 year strategy | 9 | 9 | 9 | ↔ | | 6 | 67% | ☒ | 6 | ★ | ★ | ★ | ★ | ★ | ★ | SPC | | ★ | ★ | ★ | ★ | ★ |
| 2904 | TG | 11/05/2021 | Achieving financial balance at ICS level | 16 | 16 | 16 | ↔ | | 12 | 75% | ☒ | 12 | ★ | | | | ★ | | Performance | | | ★ | | | |
| 2985 | TG | 18/08/2021 | Key Supplier Risk | 10 | 10 | 10 | ↔ | | 6 | 60% | ☒ | 8 | ★ | | | | | | Performance | | ★ | | | ★ | |
| 3009 | TG | 27/08/2021 | Continuity of supply of consumable or services failure | 12 | 12 | 12 | ↔ | | 6 | 50% | ☒ | 6 | ★ | | | | | | Performance | ★ | ★ | ★ | | ★ | |
| 3040 | MS | 29/09/2021 | M.Abscessus | 15 | 15 | 15 | ↔ | | 10 | 67% | ☒ | 10 | ★ | | ★ | ★ | ★ | | Q&R | ★ | | | | | |
| 3074 | TG | 16/11/2021 | NHS Reforms & ICS strategic risk | 12 | 12 | 12 | ↔ | | 8 | 67% | ☒ | 8 | ★ | ★ | ★ | ★ | | | Performance | | ★ | ★ | | ★ | ★ |
| 3223 | AB | 22/07/2022 | Activity recovery and productivity | | 16 | 16 | ↔ | | 8 | 50% | ☒ | 8 | ★ | | | | ★ | | Performance | ★ | ★ | ★ | | ★ | |
| 3261 | OM | 09/09/2022 | Risk of industrial action | | | 15 | ↑ | | 9 | 60% | ☒ | 6 | ★ | ★ | | | ★ | | Performance | | ★ | | ★ | ★ | |

5. BAF Tracker Risks Below Target



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BAF Tracker Committee update 23/09/2022

| ID | Exec | Opened | Title | Jun-22 | Jul-22 | Aug-22 | Status since last month | Long running Trend (full data columns AS onwards) | Target Risk Rating | % RRR achieved | Risk Target achieved | Risk Appetite | S01 | S02 | S03 | S04 | S05 | S06 | Responsible Committee in addition to the Board | Safe | Effective | Finance | People Manag. & Cult. | Responsible | Transformation |
|------|------|------------|---|--------|--------|--------|-------------------------|---|--------------------|----------------|-------------------------------------|---------------|-----|-----|-----|-----|-----|-----|--|------|-----------|---------|-----------------------|-------------|----------------|
| 2532 | MS | 05/03/2020 | COVID Pandemic | 10 | 6 | 6 | ↔ | | 10 | 167% | <input checked="" type="checkbox"/> | 10 | ★ | | ★ | | | ★ | Q&R | ★ | ★ | | ★ | ★ | |
| 2829 | TG | 23/02/2021 | Achieving financial balance | 16 | 12 | 8 | ↓ | | 8 | 100% | <input checked="" type="checkbox"/> | 8 | | | | | | ★ | Performance | | | ★ | | | |
| 3008 | TG | 27/08/2021 | Clinical Research Facility Core Grant Funding | 6 | 6 | 6 | ↔ | | 6 | 100% | <input checked="" type="checkbox"/> | 9 | ★ | ★ | | | | ★ | ★ | SPC | | | ★ | | ★ |