



Royal Papworth Hospital
NHS Foundation Trust

Board Assurance Framework

October 2022

Contents



- 1.0 Executive summary
- 2.0 Strategic Objectives BAF Analysis
- 3.0 Strategic Objectives Risk Rating
- 4.0 BAF Tracker Risks Above Risk Appetite
- 5.0 BAF Tracker Risks Below Risk Appetite

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 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: None

Other updates:

BAF 1929: Staff Engagement RRR20 (C4xL5)/BAF 1853: Turnover: RRR20 (C5xL4) The Compassionate and Collective Leadership Programme is our vehicle for to promote staff engagement and build a positive and compassionate culture. This major programme contributes to reducing turnover by improving staff engagement. We are also establishing a Resourcing and Retention Programme to provide a structured and systematic approach to working collaboratively on a range of projects to improve retention.

BAF 3261 Industrial Action: RRR 16 (C4xL4): Trust plans in place which include an Industrial Action Task Force. The target RR rating has been revised to 12 (High). We have taken action to mitigate and protect emergency services, but we do not have direct control over whether action will be taken or the extent of this.

BAF 2532: COVID pandemic: RRR 6 (C3xL2). NHSE guidance removes screening for all asymptomatic patients. This will be closely monitored through the IPC. We have seen an increase in COVID sickness rates for staff which is being monitored.

BAF 3223: Productivity: RRR 16 (C4xL4). Dedicated theatre recovery programme in place reporting fortnightly to EDs. Weekly workstream updates in place and three times a week huddles reporting against action plan.

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.

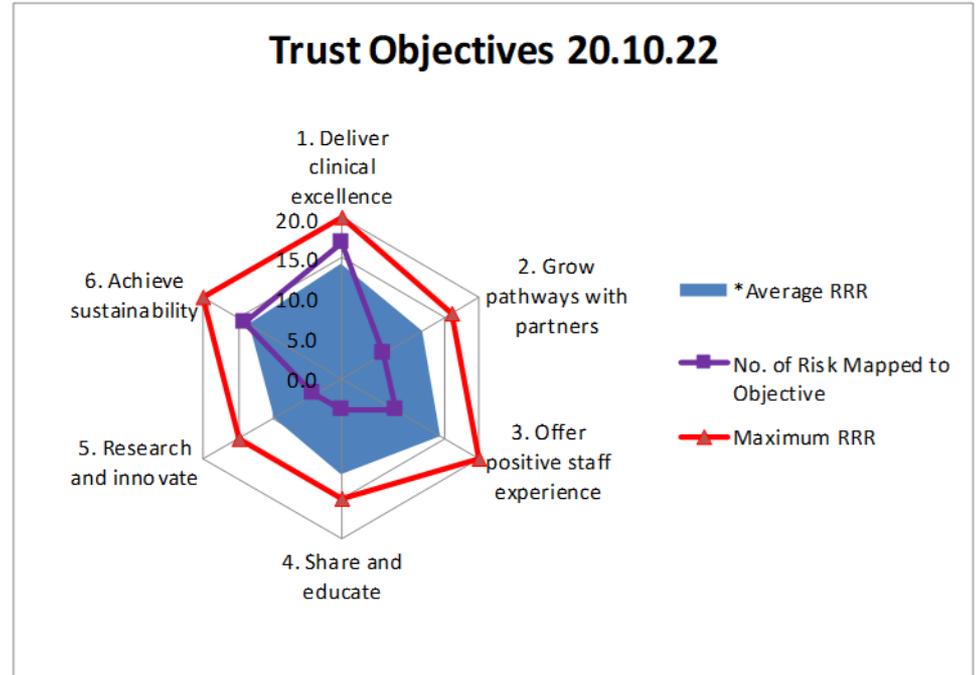
PR4 Cyber security and data loss: Failure to ensure that our services are as resilient as possible to ever present and escalating Cyber-attacks through the application of up-to-date cyber security controls, training, surveillance and early warning of potential threats, applying systems and management practices that ensure residual risks are mitigated appropriately.

Recommendation

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

2. Risks Mapped to Strategic Objectives

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		
2. Grow pathways with partners	6	11.8	16	6		
3. Offer positive staff experience	8	14.4	20	6		
4. Share and educate	4	12.0	15	9		
5. Research and innovate	4	9.8	15	6		
6. Achieve sustainability	14	13.4	20	6		

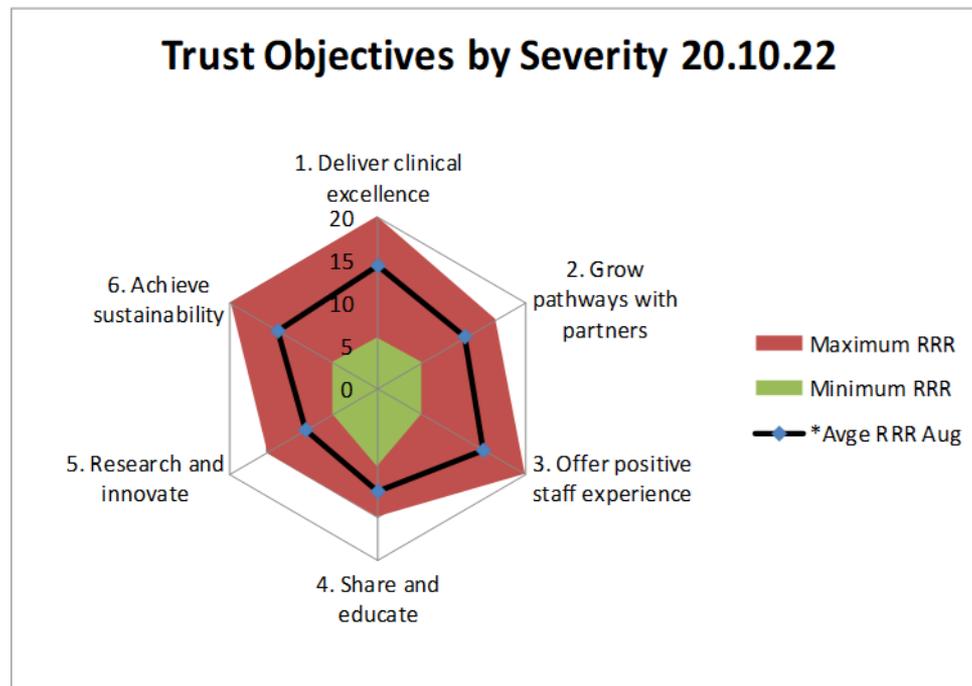


* Average for risks included in current tracker report

3. Strategic Objectives by Severity of RRR

Trust Objective 2022/23	* Avge RRR July	* Avge RRR Aug	Maximum RRR	Minimum RRR	change in Avge RRR
1. Deliver clinical excellence	14.18	14.24	20	6	●
2. Grow pathways with partners	11.83	11.83	16	6	●
3. Offer positive staff experience	14.25	14.38	20	6	●
4. Share and educate	12.00	12.00	15	9	●
5. Research and innovate	9.75	9.75	15	6	●
6. Achieve sustainability	13.36	13.43	20	6	●

* Average for risks included in current tracker report



4. BAF Tracker Risks Above Target



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BAF Tracker: Board update 27/10/2022

ID	Exec	Opened	Title	Jul-22	Aug-22	Sep-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.	Responsive	Transformation
675	MS	11/06/2014	Failure to protect patient from harm from hospital acquired infections	16	16	16	↔		6	38%	<input checked="" type="checkbox"/>	4	★						Q&R	★					
678	AB	11/06/2014	Waiting list management	20	20	20	↔		8	40%	<input checked="" type="checkbox"/>	8	★						Performance					★	
730	IS	01/04/2015	R&D strategic direction and recognition	9	9	9	↔		6	67%	<input checked="" type="checkbox"/>	8					★		Q&R					★	
742	MS	30/01/2015	Failure to meet safer staffing (NICE guidance and NQB)	12	12	12	↔		8	67%	<input checked="" type="checkbox"/>	6	★	★	★	★		★	Q&R	★					
858	AR	01/02/2016	Electronic Patient Record System - benefits	16	16	16	↔		6	38%	<input checked="" type="checkbox"/>	6	★	★	★				SPC						★
1021	AR	17/02/2016	Potential for cyber breach and data loss	16	16	16	↔		9	56%	<input checked="" type="checkbox"/>	9	★					★	Performance	★					★
1853	OM	27/04/2018	Staff turnover in excess of our target level	15	20	20	↔		9	45%	<input checked="" type="checkbox"/>	6	★		★			★	Performance				★		
1854	OM	27/04/2018	Unable to recruit number of staff with the required skills/experience	16	16	16	↔		9	56%	<input checked="" type="checkbox"/>	6	★		★			★	Performance	★			★		
1929	OM	23/07/2018	Low levels of Staff Engagement	20	20	20	↔		8	40%	<input checked="" type="checkbox"/>	6	★		★			★	Q&R				★		
2833	TG	06/02/2021	Maintaining safe and secure environment across the organisation	16	16	16	↔		8	50%	<input checked="" type="checkbox"/>	6	★						SPC						
2901	AB	06/05/2021	Delivery of Trust 5 year strategy	9	9	9	↔		6	67%	<input checked="" type="checkbox"/>	6	★	★	★	★	★		SPC		★	★	★	★	★
2904	TG	11/05/2021	Achieving financial balance at ICS level	16	16	16	↔		12	75%	<input checked="" type="checkbox"/>	12		★				★	Performance			★			
2985	TG	18/08/2021	Key Supplier Risk	10	10	10	↔		6	60%	<input checked="" type="checkbox"/>	8	★						Performance		★				★
3009	TG	27/08/2021	Continuity of supply of consumable or services failure	12	12	12	↔		6	50%	<input checked="" type="checkbox"/>	6	★						Performance	★	★	★		★	
3040	MS	29/09/2021	M.Abscessus	15	15	15	↔		10	67%	<input checked="" type="checkbox"/>	10	★			★	★	★	Q&R	★					
3074	TG	16/11/2021	NHS Reforms & ICS strategic risk	12	12	12	↔		8	67%	<input checked="" type="checkbox"/>	8		★		★		★	Performance		★	★		★	★
3223	AB	22/07/2022	Activity recovery and productivity	16	16	16	↔		8	50%	<input checked="" type="checkbox"/>	4	★					★	Performance	★	★	★		★	
3261	OM	09/09/2022	Industrial Action	15	16		↑		12	75%	<input checked="" type="checkbox"/>	6	★		★			★	Performance		★		★	★	

5. BAF Tracker Risks Below Target



BAF Tracker: Board update 27/10/2022

ID	Exec	Opened	Title	Jul-22	Aug-22	Sep-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
2532	MS	05/03/2020	COVID Pandemic	6	6	6	↔		6	100%	<input checked="" type="checkbox"/>	10	★		★			★	Q&R	★	★		★	★	
2829	TG	23/02/2021	Achieving financial balance	12	8	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			★		★