



Royal Papworth Hospital
NHS Foundation Trust

Board Assurance Framework

November 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: Sixteen risks have a Residual Risk Rating above Target.

New BAF Risks: None

Other updates:

BAF 3261 Industrial Action: RRR 16 (C4xL4): The RCN has a mandate for strike action at the Trust. We have set up an Industrial Action Task Force to mitigate and protect services and are liaising with TU representatives. Guidance has been developed for managers and staff. Business continuity plans are under review.

BAF 3223: Productivity: RRR 16 (C4xL4). Theatre recovery plans continue to with overarching themes (staffing, and culture and productivity) and four areas of focus (organisational development support, roster and workforce planning, comms/project support and optimisation). A recovery trajectory has been developed which requires 4.5 theatres to be running by end of January and detailed actions are being taken to deliver this. Thereafter, additional work is being undertaken to accelerate recovery further.

BAF 675: Health Care Acquired Infections: RRR 16 (C4xL4). Surgical Site Infection rates for inpatients and readmitted patients has decreased but there remains a concern in respect to overall SSI rate and our actions continue to address this.

BAF 1854: Recruitment: RRR16 (C4xL4) There is good joint working in place at the Trust and with the ICS supply group. We have put a plan in place to mitigate the impact of the health clearance backlog. We are also tendering for a new electronic recruitment system with implementation by the end of 22/23.

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.

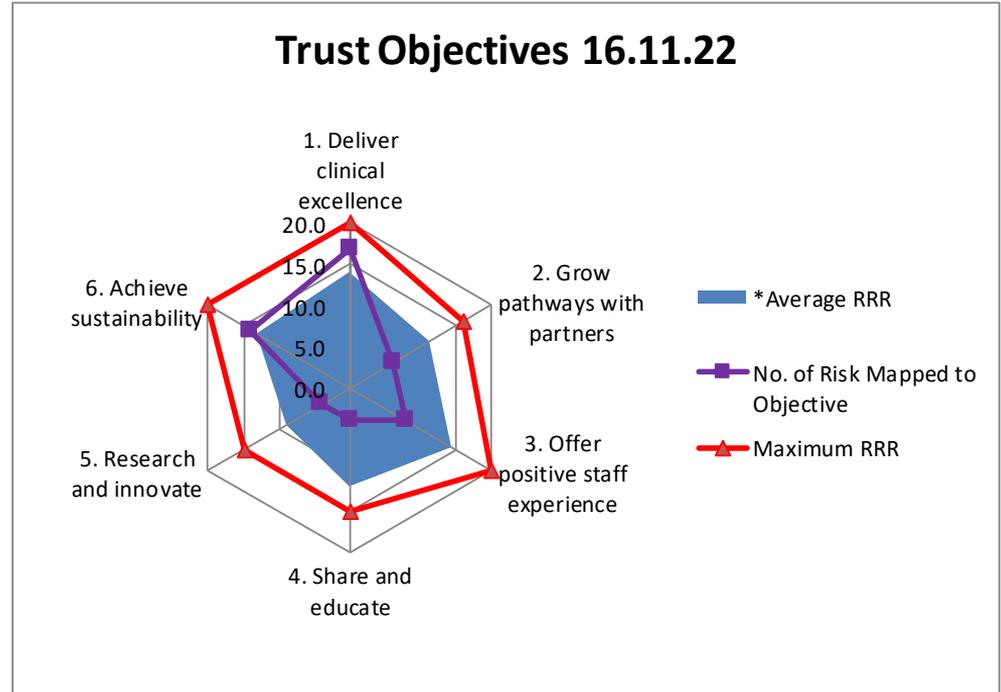
Recommendation

The Board is requested to note the BAF report for November 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	14.0	20	6		
2. Grow pathways with partners	6	11.2	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	9.0	15	6		
6. Achieve sustainability	14	13.1	20	6		

* Average for risks included in current tracker report

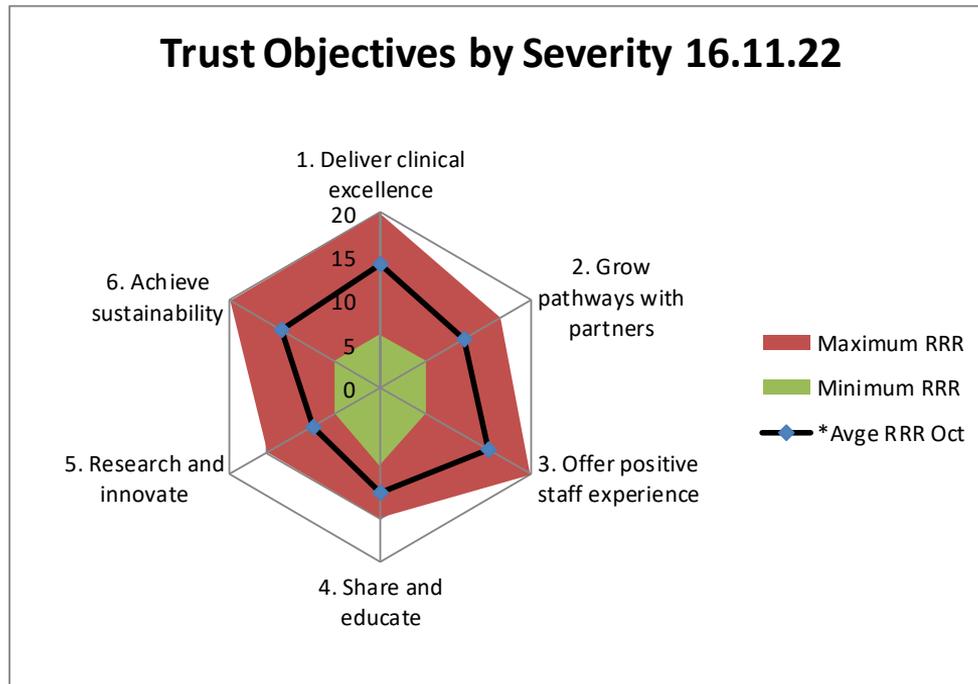


3. Strategic Objectives by Severity of RRR

Trust Objective 2022/23	* Avge RRR Sept	* Avge RRR Oct	Maximum RRR	Minimum RRR	change in Avge RRR
1. Deliver clinical excellence	14.2	14.0	20	6	●
2. Grow pathways with partners	11.8	11.2	16	6	●
3. Offer positive staff experience	14.4	14.4	20	6	●
4. Share and educate	12.0	12.0	15	9	●
5. Research and innovate	9.8	9.0	15	6	●
6. Achieve sustainability	13.4	13.1	20	6	●

* Average for risks included in current tracker report

Trust Objectives by Severity 16.11.22



4. BAF Tracker Risks Above Target



BAF Tracker: Committee Update 16/11/2022

ID	Exec	Opened	Title	Aug-22	Sep-22	Oct-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	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					★	
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	Lorenzo Optimisation 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	20	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	12	↓		8	67%	<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		★	★	★	★	★
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	16	↔		12	75%	<input checked="" type="checkbox"/>	6	★		★		★		Performance	★			★	★	

5. BAF Tracker Risks Below Target



BAF Tracker: Committee Update 16/11/2022

ID	Exec	Opened	Title	Aug-22	Sep-22	Oct-22	Status since last month	Long running Trend (full data columns A-S 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	
730	IS	01/04/2015	R&D strategic direction and recognition	9	9	6	↓		6	100%	<input checked="" type="checkbox"/>	8					★		Q&R					★		
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	8	8	8	↔		8	100%	<input checked="" type="checkbox"/>	8								Performance			★			
2904	TG	11/05/2021	Achieving financial balance at ICS level	16	16	12	↓		12	100%	<input checked="" type="checkbox"/>	12		★					★	Performance			★			
3008	TG	27/08/2021	Clinical Research Facility Core Grant Funding	6	6	6	↔		6	100%	<input checked="" type="checkbox"/>	9	★	★				★	★	SPC			★		★	