



**Royal Papworth Hospital**  
NHS Foundation Trust

# Board Assurance Framework

June 2023

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# 1. Executive summary



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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:** Fifteen risks have a Residual Risk Rating above Target.

**New/Closed BAF Risks:** None.

## **Other updates:**

**BAF 3621: Industrial Action:** RRR 20 (C4xL5): This remains extreme reflecting the forthcoming strike action by the BMA junior doctors and consultant staff. We have plans to manage and mitigate this but there will be a significant impact on delivery of our services as a result of the planned action.

**BAF 3223: Activity recovery and productivity:** RRR 16 (C4xL4) We have an oversight structure for the STA division which aligns to the performance oversight policy. However, the impact of industrial action will affect recovery and productivity.

**BAF 3009: Continuity of supply or service failure:** RRR increased to 12 (C4xL3) in light of challenges in over recent months. Overall residual risk remains high. Ongoing position being monitored, and procurement are pro-actively working and considering strategies to manage supply. Procurement are also working with Directorate leads to ensure BCPs are robust to manage supply chain challenges.

**BAF 2904: ICS Financial balance:** RRR 12 (C4xL3): The rating for this risk is to be reviewed given increased concerns about the ICS financial position.

**BAF 858: Electronic Patient Record System:** RRR 16 (C4xL4): Work continues on system finances, product review and timelines.

**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 an engaged and skilled workforce in adequate numbers to support delivery of high-quality care and drive innovation, through staff that are well supported and 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 and deliver 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 prioritise cyber resilience through the implementation of up-to-date cyber security controls, training, surveillance, risk management, business continuity and recovery planning increases the risk of a major cyber event causing data loss, key system failure, and prolonged disruption to services.

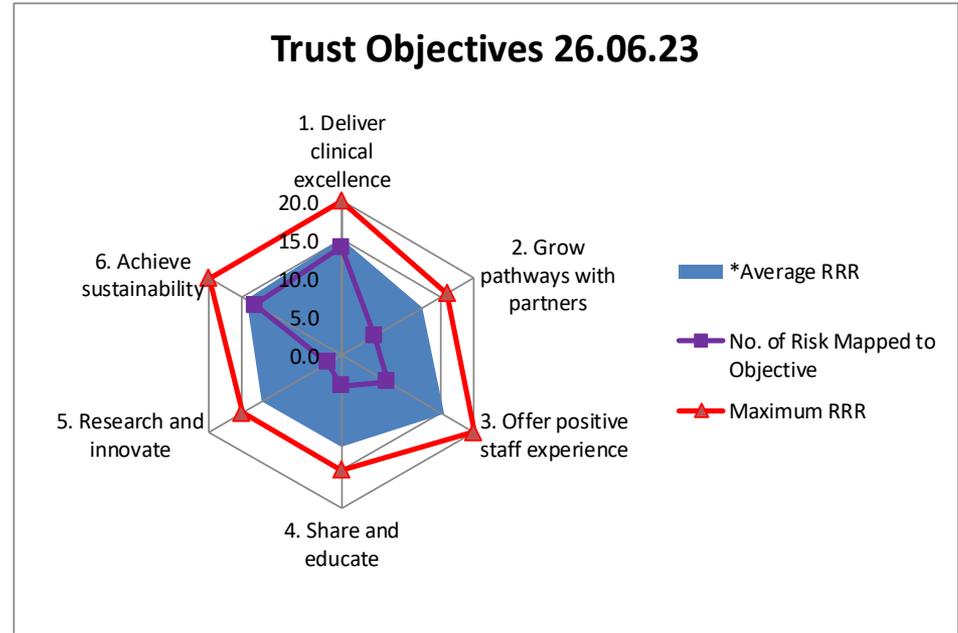
## **Recommendation**

The Board is requested to note the BAF report for June 2023.

## 2. Risks Mapped to Strategic Objectives

Trust Objective 2023/24	No. of Risk Mapped to Objective	* Average RRR	Maximum RRR	Minimum RRR	Risks Opened	Risks Closed
1. Deliver clinical excellence	14	15.2	20	9		
2. Grow pathways with partners	5	12.2	16	9		
3. Offer positive staff experience	7	15.4	20	9		
4. Share and educate	4	12.0	15	9		
5. Research and innovate	2	12.0	15	9		
6. Achieve sustainability	13	14.4	20	8		

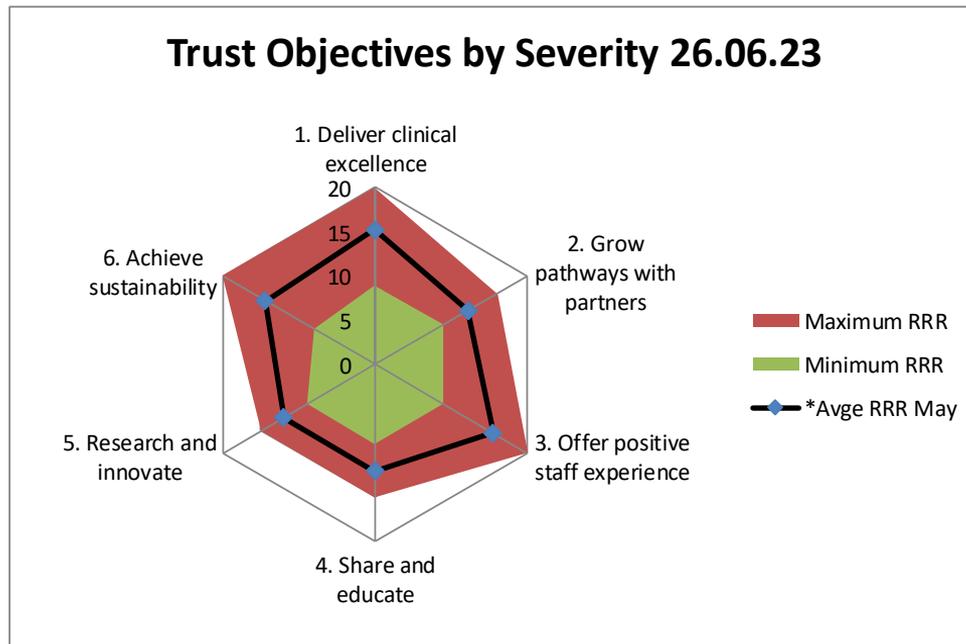
\* Average for risks included in current tracker report



### 3. Strategic Objectives by Severity of RRR

Trust Objective 2023/24	*Avge RRR Apr	*Avge RRR May	Maximum RRR	Minimum RRR	change in Avge RRR
1. Deliver clinical excellence	15.0	15.2	20	9	●
2. Grow pathways with partners	12.2	12.2	16	9	●
3. Offer positive staff experience	15.4	15.4	20	9	●
4. Share and educate	12.0	12.0	15	9	●
5. Research and innovate	12.0	12.0	15	9	●
6. Achieve sustainability	14.4	14.4	20	8	●

\* Average for risks included in current tracker report



# 4. BAF Tracker Risks Above Target



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BAF Tracker: Committee Update 26/06/23

ID	Exec	Opened	Title	Mar-23	Apr-23	May-23	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%	☒	4	★					★	Q&R	★					
678	HM	11/06/2014	Waiting list management	20	20	20	↔		8	40%	☒	8	★							Performance					★
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	12	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	15	↔		9	60%	☒	6	★		★			★	Workforce				★		
1854	OM	27/04/2018	Unable to recruit number of staff with the required skills/experience	16	16	16	↔		9	56%	☒	6	★		★			★	Workforce	★				★	
1929	OM	23/07/2018	Low levels of Staff Engagement	20	20	20	↔		8	40%	☒	6	★	★				★	Workforce				★		
2901	HM	06/05/2021	Delivery of Trust 5 year strategy	9	9	9	↔		6	67%	☒	6	★	★	★	★	★	★	SPC		★	★	★	★	★
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	9	9	12	↑		9	75%	☒	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	HM	22/07/2022	Activity recovery and productivity	16	16	16	↔		8	50%	☒	4	★					★	Performance	★	★	★		★	
3261	OM	09/09/2022	Industrial Action	20	20	20	↔		12	60%	☒	6	★		★			★	Performance		★		★	★	

# 5. BAF Tracker Risks Below Target



BAF Tracker: Committee Update 26/06/23

ID	Exec	Opened	Title	Mar-23	Apr-23	May-23	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.	Responsible	Transformation
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	12	12	↔		12	100%	<input checked="" type="checkbox"/>	12	★					★	Performance			★			