



Royal Papworth Hospital
NHS Foundation Trust

Board Assurance Framework

September 2023

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

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

New/Closed BAF Risks: None.

Other updates:

BAF 3621: Industrial Action: RRR 20 (C4xL5): Plans are in place to manage and mitigate IA but there is a continued impact on delivery of our services.

BAF 675: Hospital Acquired Infections: RRR 16 (C4xL4): Recommendations and actions from the external peer review by NHSE are being taken forward through the SSI governance structure with oversight from the SSI stakeholder group which has NHSE representation. We have a focus on hand hygiene on wards and continue with the Trust wide IPC environment rounds.

BAF 678: Waiting List Management: RRR 20 (C4xL5): Action is being taken to reduce the number of patients waiting above 40 weeks in line with national programme for recovery. We have set up Patient Safety Initiatives (PSI) focused on clearing those patients waiting over 40 weeks. These initiatives started in September and will run for 3 months. No change in RRR.

BAF 1021: Potential for Cyber Breach and data loss: RRR 12 (C4xL3) Controls have been updated to reflect the impact of regular communications with staff, mandatory IG training, and PEN/simulation exercises. No change in RRR.

BAF 742: Safer Staffing: RRR 12 (C4xL3). Mitigations in place which reduce capacity in wards and departments to mitigate staffing gaps. In-patient outcomes were not adversely affected. No change in RRR.

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.

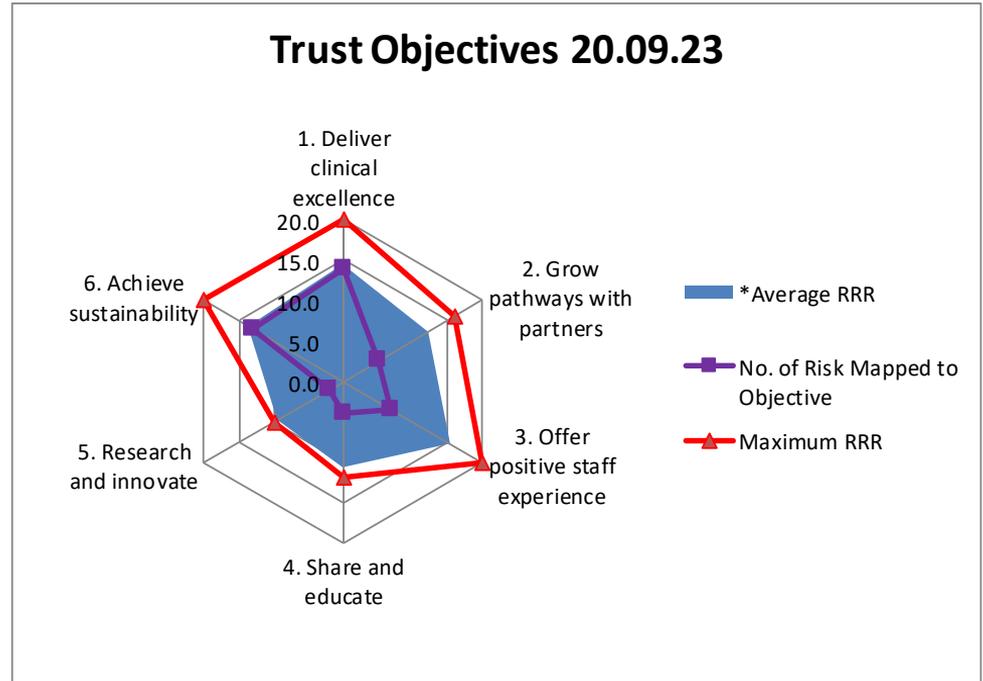
Recommendation

The Board is requested to note the BAF report for September 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	14.6	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	10.8	12	9		
5. Research and innovate	2	9.5	10	9		
6. Achieve sustainability	13	13.7	20	8		

* Average for risks included in current tracker report

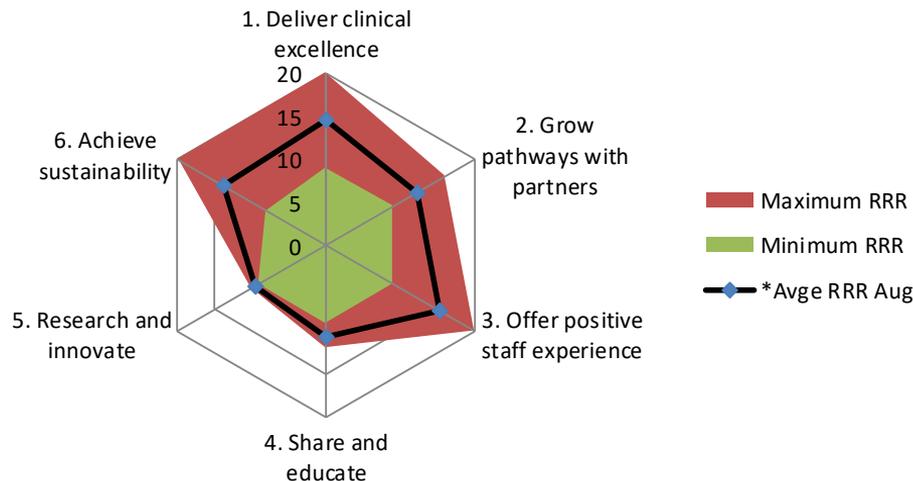


3. Strategic Objectives by Severity of RRR

Trust Objective 2023/24	*Avge RRR Jul	*Avge RRR Aug	Maximum RRR	Minimum RRR	change in Avge RRR
1. Deliver clinical excellence	14.6	14.6	20	9	2
2. Grow pathways with partners	12.2	12.2	16	9	2
3. Offer positive staff experience	15.4	15.4	20	9	2
4. Share and educate	10.8	10.8	12	9	2
5. Research and innovate	9.5	9.5	10	9	2
6. Achieve sustainability	13.7	13.7	20	8	2

* Average for risks included in current tracker report

Trust Objectives by Severity 20.09.23



4. BAF Tracker Risks Above Target



BAF Tracker: Committee Update 20/09/23

ID	Exec	Opened	Title	Jun-23	Jul-23	Aug-23	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 aquired infections	16	16	16	↔		6	38%	<input checked="" type="checkbox"/>	4	★					★	Q&R	★					
678	HM	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	Electronic Patient Record System	16	16	16	↔		6	38%	<input checked="" type="checkbox"/>	6	★	★	★				SPC			★			★
1021	AR	17/02/2016	Potential for cyber breach and data loss	12	12	12	↔		9	75%	<input checked="" type="checkbox"/>	9	★					★	Performance	★					★
1853	OM	27/04/2018	Staff turnover in excess of our target level	15	15	15	↔		9	60%	<input checked="" type="checkbox"/>	6	★					★	Workforce						
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	★		★			★	Workforce	★			★		
1929	OM	23/07/2018	Low levels of Staff Engagement	20	20	20	↔		8	40%	<input checked="" type="checkbox"/>	6	★		★			★	Workforce				★		
2901	HM	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	↔		9	75%	<input checked="" type="checkbox"/>	6	★						Performance	★	★	★			★
3074	TG	16/11/2021	NHS Reforms & ICS strategic risk	12	12	12	↔		8	67%	<input checked="" type="checkbox"/>	8		★		★		★	Performance		★	★		★	★
3223	HM	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	20	20	20	↔		12	60%	<input checked="" type="checkbox"/>	6	★		★			★	Performance		★		★	★	

5. BAF Tracker Risks Below Target



BAF Tracker: Committee Update 20/09/23

ID	Exec	Opened	Title	Jun-23	Jul-23	Aug-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	12	12	12	↔		12	100%	<input checked="" type="checkbox"/>	12		★						Performance			★			
3040	MS	29/09/2021	M.Abscessus	10	10	10	↔		10	100%	<input checked="" type="checkbox"/>	10	★			★	★	★	Q&R	★						