



**Royal Papworth Hospital**  
NHS Foundation Trust

# Board Assurance Framework

August 2021

# 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
- 6.0 BAF Risks Committee Summary

# 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 for August 2021 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). Committee reports include further detail on controls and assurance for each BAF risk.

**Headlines:** Twelve risks have a Residual Risk Rating above Risk Appetite.

## **New BAF Risks:**

**BAF 2854: ICS Engagement: RRR 6 (C3xL3).** The ICS work includes Cardiology. **IF** we do not participate in the work as a tertiary centre **THEN** we will lose the ability to influence the patient pathways and contribute to the local health system and balance health inequalities. Mitigation includes leading the ICS CVD Strategy and chairing the STP Cardiology Steering Group. (This risk was included in the July Committee reports and maps to the SPC.)

## **Other updates:**

**BAF 675: Harm from Hospital Acquired Infections RRR 10 (C5xL2).** This risk rating will increase to RRR 15 following new national guidance on contact isolation for COVID19 as this could increase nosocomial and staff outbreaks. The Trust has developed a risk assessment process for staff coming back to work following contact and continues to maintain all IPC measures.

**BAF 2904: Achieving financial balance at ICS level: RRR 20 (C4xL5).** The continued uncertainty around the approach to funding for H2 2021/22 is driving the rating of this risk. The Trust is working with the ICS leads to ensure that longer-term modelling is developed, and the potential impact is understood.

**BAF 1853: Turnover: RRR 15 (5Cx3L)/ BAF 1854: Recruitment: RRR 10 (C5xL2)**  
We continue to address this through our CCL programme and in July we launched the Trust's revised values and behaviour framework.

We are ensuring that our revised Values are reflected in our adverts and recruitment process and there is good joint working between the Communications team and the Recruitment team to ensure that all possible opportunities to promote career opportunities within the Trust are maximised.

**Closed Risks: BAF 2338: EU Exit: RRR 6 (C2xL3):** This risk will now be managed through the Emergency Preparedness Committee (EPRR). This will be reflected in the next tracker report.

**Principal Risks (PR)** The August BAF report reflects the earlier discussion at Board with principal risks relating to:

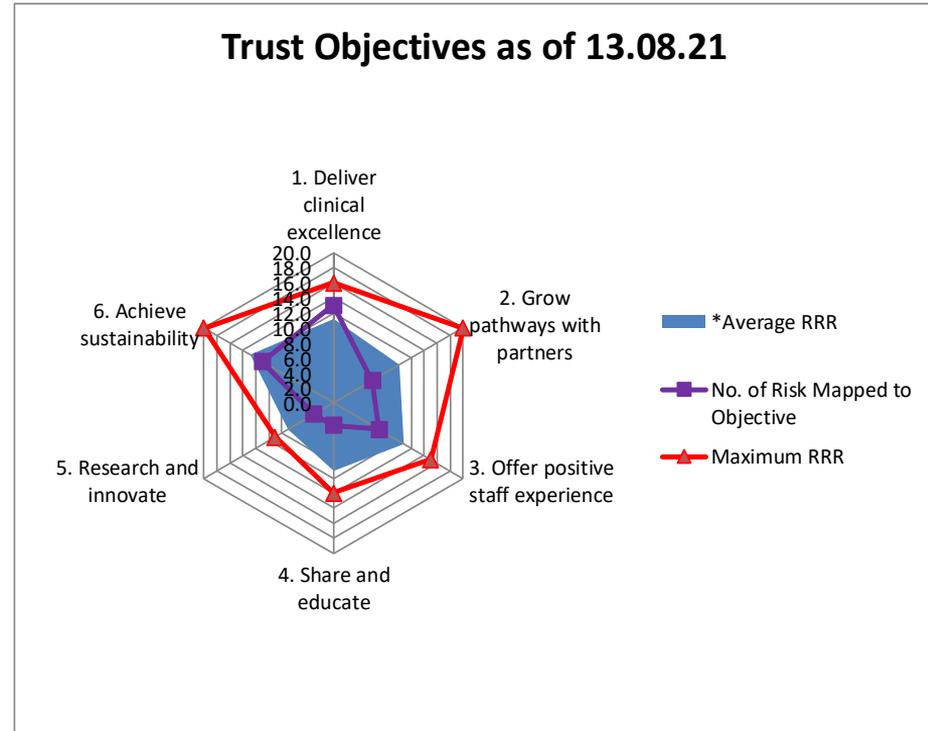
1. COVID19 pandemic and the need to sustain operational effort and resources to the COVID19 readiness and response.
2. Workforce, and the need to focus on recruitment and retention to support flow and our ability to deliver activity
3. Failure to optimise the new facility to deliver activity plans and meet patient demand.
4. The requirement to deliver our financial plan on a sustainable basis, addressing the underlying the structural deficit and our contribution to the wider system
5. Cyber security and data loss - the need to ensure that our services are resilient to cyber-attack and that residual risks to resilience are managed.

## **Recommendation**

The Board is requested to note the BAF report for August 2021.

# 2. Risks Mapped to Strategic Objectives

Trust Objective 2021/22	No. of Risk Mapped to Objective	* Average RRR	Maximum RRR	Minimum RRR	Risks Opened	Risks Closed
1. Deliver clinical excellence	13	11.2	16.0	6.0		
2. Grow pathways with partners	6	10.2	20.0	6.0		
3. Offer positive staff experience	7	10.9	15.0	8.0		
4. Share and educate	3	9.0	12.0	6.0		
5. Research and innovate	3	7.0	9.0	6.0		
6. Achieve sustainability	11	12.9	20.0	6.0		

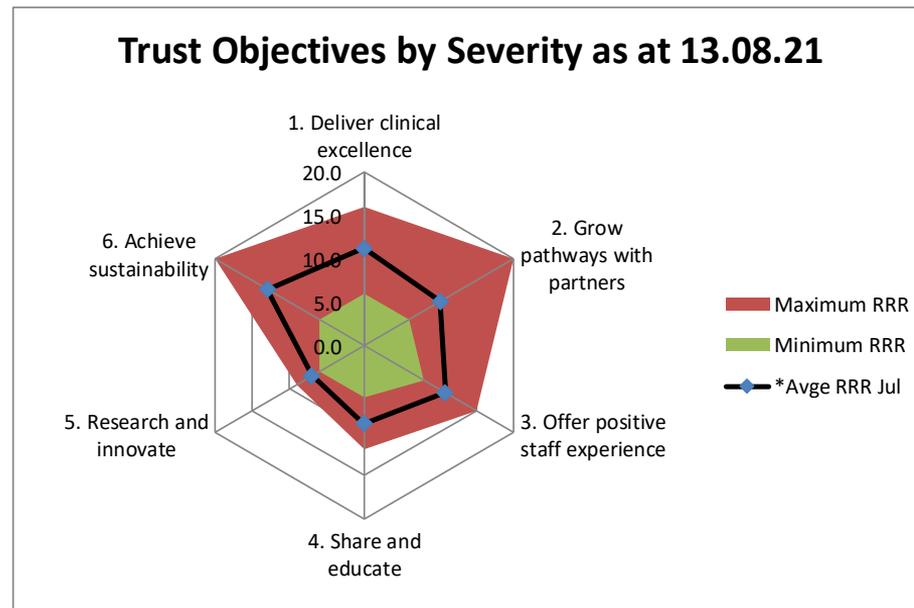


\* Average for risks included in current tracker report

### 3. Strategic Objectives by Severity of RRR

Trust Objective 2021/22	*Avge RRR Jun	*Avge RRR Jul	Maximum RRR	Minimum RRR	change in Avge RRR
1. Deliver clinical excellence	11.2	11.2	16.0	6	●
2. Grow pathways with partners	10.2	10.2	20.0	6	●
3. Offer positive staff experience	10.9	10.9	15.0	8	●
4. Share and educate	9.0	9.0	12.0	6	●
5. Research and innovate	7.0	7.0	9.0	6	●
6. Achieve sustainability	12.9	12.9	20.0	6	●

\* Average for risks included in current tracker report



# 4. BAF Tracker Risks Above Risk Appetite



Royal Papworth Hospital  
NHS Foundation Trust

BAF Tracker 13/08/2021

Produced by Anna Pearman, Risk Manager

ID	Exec	Opened	Title	May-21	Jun-21	Jul-21	Status since last month	Long running Trend	Risk Appetite	Risk Appetite achieved	% Risk Assurance against risk appetite	BAF with Datix action plan	Responsible Committee 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	10	10	10	↔		5	<input checked="" type="checkbox"/>	50%	Y	Q&R	★					
678	EM	11/06/2014	Waiting list management	16	16	16	↔		12	<input checked="" type="checkbox"/>	75%	Y	Performance					★	
742	MS	30/01/2015	Failure to meet safer staffing (NICE guidance and NQB)	12	12	12	↔		6	<input checked="" type="checkbox"/>	50%	Y	Q&R	★					
841	EM	01/02/2016	Delivery of Efficiency Challenges - CIP Board approved	16	16	16	↔		8	<input checked="" type="checkbox"/>	50%	Y	Performance	★	★				
1021	AR	17/02/2016	Potential for cyber breach and data loss	16	16	16	↔		3	<input checked="" type="checkbox"/>	19%	Y	Performance	★					★
1853	OM	27/04/2018	Staff turnover in excess of our target level	10	15	15	↔		8	<input checked="" type="checkbox"/>	53%	Y	Performance				★		
1854	OM	27/04/2018	Unable to recruit number of staff with the required skills/experience	10	10	10	↔		8	<input checked="" type="checkbox"/>	80%	Y	Performance	★			★		
1929	OM	23/07/2018	Low levels of Staff Engagement	12	12	12	↔		4	<input checked="" type="checkbox"/>	33%	Y(HR)	Q&R				★		
2829	TG	23/02/2021	Achieving financial balance	16	16	16	↔		8	<input checked="" type="checkbox"/>	50%	Y(F)	Performance			★			
2833	TG	06/02/2021	Maintain a safe and secure environment across the organisation	12	16	16	↔		6	<input checked="" type="checkbox"/>	38%	Y(Est)	SPC	★					
2901	EM	06/05/2021	Delivery of Trust 5 year strategy	9	9	9	↔		4	<input checked="" type="checkbox"/>	44%		SPC		★	★	★	★	★
2904	TG	11/05/2021	Achieving financial balance at ICS level	16	20	20	↔		12	<input checked="" type="checkbox"/>	60%		Performance			★			

# 5. BAF Tracker Risks Below Risk Appetite



Royal Papworth Hospital  
NHS Foundation Trust

BAF Tracker 13/08/2021

Produced by Anna Pearman, Risk Manager

ID	Exec	Opened	Title	May-21	Jun-21	Jul-21	Status since last month	Long running Trend	Risk Appetite	Risk Appetite achieved	% Risk Assurance against risk appetite	BAF with Datix action plan	Responsible Committee in addition to the Board	Safe	Effective	Finance	People Manag. & Cult.	Responsive	Transformation
730	RH	01/04/2015	R&D strategic direction and recognition	6	6	6	↔		8	<input checked="" type="checkbox"/>	133%	Y	Q&R						★
858	AR	01/02/2016	Electronic Patient Record System - benefits (Linked to ID1787)	8	8	8	↔		12	<input checked="" type="checkbox"/>	150%	Y	SPC						★
2338	AR	29/08/2019	EU exit	6	6	6	↔		16	<input checked="" type="checkbox"/>	267%	Y(EDs)	Board		★	★			
2532	JR	05/03/2020	COVID Pandemic	10	10	10	↔		25	<input checked="" type="checkbox"/>	250%	Y(EDs)	Q&R	★	★		★	★	
2854	EM	15/03/2021	ICS engagement	6	6	6	↔		6	<input checked="" type="checkbox"/>	100%	Y(EDs)	SPC						★

# 6. Q&R Committee Risks:



## BAF Committee Summary 13/08/2021

ID	Exec	Opened	Title	May-21	Jun-21	Jul-21	Status since last month	Long running Trend	Risk Appetite	Risk Appetite achieved	% Risk Assurance against risk appetite	BAF with Datix action plan	SO1	SO2	SO3	SO4	SO5	SO6	Responsible Committee addition to the Board	Safe	Effective	Finance	People Manag. & Cult.	Responsive	Transformation
742	MS	30/01/2015	Failure to meet safer staffing (NICE guidance and NQB)	12	12	12	↔	.....	6	<input checked="" type="checkbox"/>	50%	Y	★	★	★	★	★	★	Q&R	★					
1929	OM	23/07/2018	Low levels of Staff Engagement	12	12	12	↔	.....	4	<input checked="" type="checkbox"/>	33%	Y(HR)	★		★			★	Q&R				★		
675	MS	11/06/2014	Failure to protect patient from harm from hospital aquired infections	10	10	10	↔	.....	5	<input checked="" type="checkbox"/>	50%	Y	★						Q&R	★					
2532	JR	05/03/2020	COVID Pandemic	10	10	10	↔	.....	25	<input checked="" type="checkbox"/>	250%	Y(EDs)	★		★			★	Q&R	★	★		★	★	
730	RH	01/04/2015	R&D strategic direction and recognition	6	6	6	↔	.....	8	<input checked="" type="checkbox"/>	133%	Y					★		Q&R				★		

### Trust Objectives 2021/2022 Key

- 1 Deliver clinical excellence
- 2 Grow pathways with partners
- 3 Offer positive staff experience
- 4 Share and educate
- 5 Research and innovate
- 6 Achieve sustainability

# 6. Performance Committee Risks



## BAF Committee Summary 13/08/2021

ID	Exec	Opened	Title	May-21	Jun-21	Jul-21	Status since last month	Long running Trend	Risk Appetite	Risk Appetite achieved	% Risk Assurance against risk appetite	BAF with Datix action plan	SO1	SO2	SO3	SO4	SO5	SO6	Responsible Committee addition to the Board	Safe	Effective	Finance	People Manag. & Cult.	Responsive	Transformation
2904	TG	11/05/2021	Achieving financial balance at ICS level	16	20	20	↔	.....	12	☑	60%							★	Performance			★			
678	EM	11/06/2014	Waiting list management	16	16	16	↔	.....	12	☑	75% Y		★						Performance					★	
841	EM	01/02/2016	Delivery of Efficiency Challenges - CIP Board approved	16	16	16	↔	.....	8	☑	50% Y								Performance		★				★
1021	AR	17/02/2016	Potential for cyber breach and data loss	16	16	16	↔	.....	3	☑	19% Y		★						Performance	★					★
2829	TG	23/02/2021	Achieving financial balance	16	16	16	↔	.....	8	☑	50% Y(F)								Performance			★			
1853	OM	27/04/2018	Staff turnover in excess of our target level	10	15	15	↔	.....	8	☑	53% Y		★	★					Performance					★	
1854	OM	27/04/2018	Unable to recruit number of staff with the required skills/experience	10	10	10	↔	.....	8	☑	80% Y		★		★				Performance	★				★	

### Trust Objectives 2021/2022 Key

- 1 Deliver clinical excellence
- 2 Grow pathways with partners
- 3 Offer positive staff experience
- 4 Share and educate
- 5 Research and innovate
- 6 Achieve sustainability

# 6. Strategic Projects Committee Risks



Royal Papworth Hospital  
NHS Foundation Trust

BAF Committee Summary 13/08/2021

ID	Exec	Opened	Title	May-21	Jun-21	Jul-21	Status since last month	Long running Trend	Risk Appetite	Risk Appetite achieved	% Risk Assurance against risk appetite	BAF with Datix action plan	SO1	SO2	SO3	SO4	SO5	SO6	Responsible Committee in addition to the Board	Safe	Effective	Finance	People Manag. & Cult.	Responsive	Transformation
2833	TG	06/02/2021	Maintain a safe and secure environment across the organisation	12	16	16	↔	....	6	☒	38%	Y(Est)	★						SPC	★					
2901	EM	06/05/2021	Delivery of Trust 5 year strategy	9	9	9	↔	....	4	☒	44%		★	★	★	★	★	★	SPC		★	★	★	★	★
858	AR	01/02/2016	Electronic Patient Record System - benefits (Linked to ID1787)	8	8	8	↔	.....	12	☒	150%	Y	★	★	★				SPC						★
2854	EM	15/03/2021	ICS engagement	6	6	6	↔	....	6	☒	100%	Y(EDs)	★	★		★			SPC						★

## Trust Objectives 2021/2022 Key

- 1 Deliver clinical excellence
- 2 Grow pathways with partners
- 3 Offer positive staff experience
- 4 Share and educate
- 5 Research and innovate
- 6 Achieve sustainability