



**Royal Papworth Hospital**  
NHS Foundation Trust

# Board Assurance Framework

September 2021

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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 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:** Thirteen risks have a Residual Risk Rating above Risk Appetite.

## **New BAF Risks:**

**BAF 3009** Continuity of supply of consumable or services failure RRR 15 (C5xL3): **IF** there are challenges in the supply of consumables or services **THEN** this could result in a failure to provide continuity of services, resulting in the inability to operate on patients. It has been agreed that a separate key supplier risk will also be escalated to the BAF, and this will be included in the next report.

**BAF 3008** Clinical Research Facility Core Grant Funding RRR 12 (C4xL3) **IF** there is a failure to maximise or achieve Clinical Research Facility Core Grant Funding into the Cambridge Biomedical Campus (CBC) **THEN** this will limit the ability of the HLRI to increase translational research activity on the CBC, resulting in the failure to establish Cambridge as a world-leading centre for cardiothoracic science, and ultimately reducing the pace at which fundamental scientific discoveries convert into clinic practice.

## **Other updates:**

**BAF 675: Harm from Hospital Acquired Infections** Increased to RRR 15 (C5xL3) as reported to Board last month following new national guidance on contact isolation for COVID19. The Trust has appropriate risk assessments in place for

staff coming back to work following contact and continues to maintain all IPC measures. A separate risk on M.Abscessus is also to be escalated to the BAF.

**BAF 2829:** Achieving financial balance RRR 16 (C4xL4): The Trust has more certainty over the funding for 2021/22 and confidence in achieving financial balance however future years represent a significant challenge and risk.

**BAF 742:** Safer Staffing: RRR 12 (C4xL3): Daily and weekly Matron validation of safe staffing provides visibility of safe staffing RAG rating and is reviewed weekly by EDs. We are also in the process of aligning new staffing establishments with ESR and Health Roster to ensure more accurate refectation of reported fill rates.

**Closed Risks: BAF 2338: EU Exit:** RRR 6 (C2xL3) moved to the CRR.

**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.

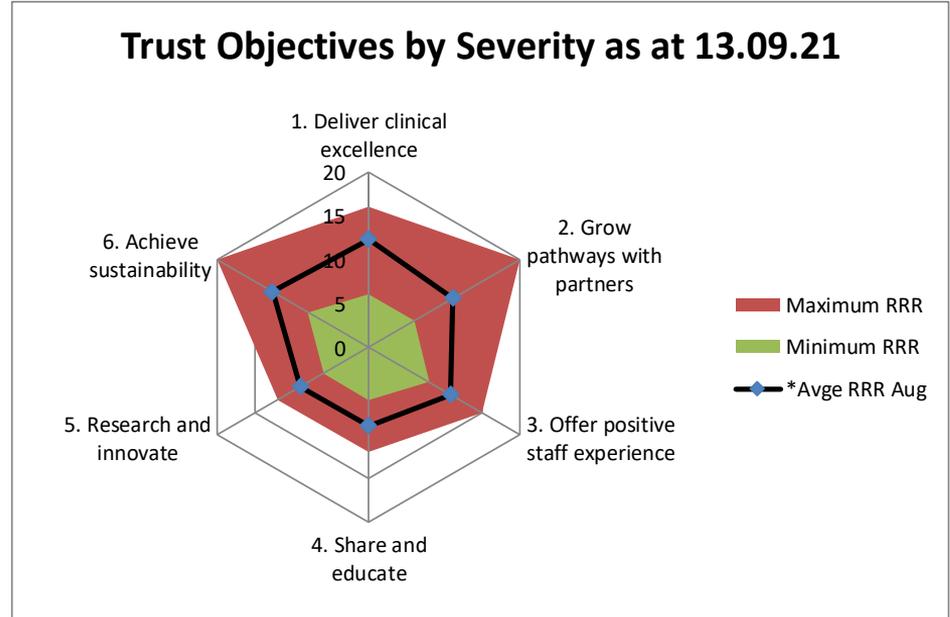
## **Recommendation**

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

## 2. Risks Mapped to Strategic Objectives

Trust Objective 2021/22	*Avge RRR Jul	*Avge RRR Aug	Maximum RRR	Minimum RRR	change in Avge RRR
1. Deliver clinical excellence	11.7	12.3	16	6	●
2. Grow pathways with partners	11.0	11.2	20	6	●
3. Offer positive staff experience	10.9	10.9	15	8	●
4. Share and educate	9.0	9.0	12	6	●
5. Research and innovate	7.5	9.0	12	6	●
6. Achieve sustainability	13.6	12.7	20	8	●

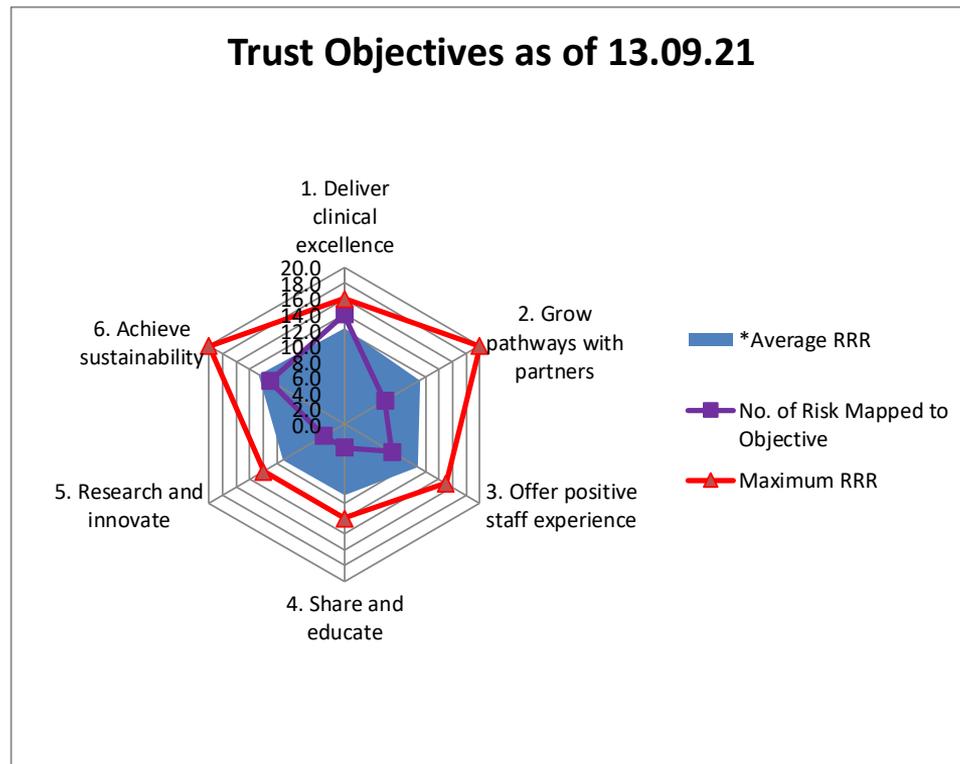
\* Average for risks included in current tracker report



### 3. Strategic Objectives by Severity of RRR

Trust Objective 2021/22	No. of Risk Mapped to Objective	* Average RRR	Maximum RRR	Minimum RRR	Risks Opened	Risks Closed
1. Deliver clinical excellence	14	12.3	16.0	6.0	2	1
2. Grow pathways with partners	6	11.2	20.0	6.0	1	1
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	9.0	12.0	6.0	1	1
6. Achieve sustainability	11	12.7	20.0	8.0	1	1

\* Average for risks included in current tracker report



# 4. BAF Tracker Risks Above Risk Appetite



Royal Papworth Hospital  
NHS Foundation Trust

BAF Tracker 13/09/2021

Produced by Anna Pearman, Risk Manager

ID	Exec	Opened	Title	Jun-21	Jul-21	Aug-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 aquired infections	10	10	15	↑		5	<input checked="" type="checkbox"/>	33%	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	★					
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	15	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	16	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	20	20	20	↔		12	<input checked="" type="checkbox"/>	60%		Performance			★			
3008	TG	27/08/2021	Clinical Research Facility Core Grant Funding <b>New</b>			12	↑		8	<input checked="" type="checkbox"/>	67%		SPC			★			★
3009	TG	27/08/2021	Continuity of supply of consumable or services failure <b>New</b>			15	↑		6	<input checked="" type="checkbox"/>	40%		Performance	★	★	★			★

# 5. BAF Tracker Risks Below Risk Appetite



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BAF Tracker 13/09/2021

Produced by Anna Pearman, Risk Manager

ID	Exec	Opened	Title	Jun-21	Jul-21	Aug-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	
730	RH	01/04/2015	R&D strategic direction and recognition	6	6	6	↔		8	<input checked="" type="checkbox"/>	133%	Y	Q&R						★	
841	EM	01/02/2016	Delivery of Efficiency Challenges - CIP Board approved	16	16	8	↓		8	<input checked="" type="checkbox"/>	100%	Y	Performance		★					
858	AR	01/02/2016	Electronic Patient Record System - benefits (Linked to ID1787)	8	8	8	↔		12	<input checked="" type="checkbox"/>	150%	Y	SPC							★
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 13/09/2021

ID	Exec	Opened	Title	Jun-21	Jul-21	Aug-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
675	MS	11/06/2014	Failure to protect patient from harm from hospital acquired infections	10	10	15	↑		5	<input checked="" type="checkbox"/>	33%	Y	★						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							★
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						★	
2532	JR	05/03/2020	COVID Pandemic	10	10	10	↔		25	<input checked="" type="checkbox"/>	250%	Y(Eds)	★		★			★	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 13/09/2021

ID	Exec	Opened	Title	Jun-21	Jul-21	Aug-21	Status since last month	Long running Trend	Risk Appetite	Risk Appetite achieved	% Risk Assurance against risk appetite	BAF with Datix action plan	S01	S02	S03	S04	S05	S06	Responsible Committee addition to the Board	Safe	Effective	Finance	People Manag. & Cult.	Responsive	Transformation
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	8	↓	.....	8	☑	100%	Y						★	Performance		★				
1021	AR	17/02/2016	Potential for cyber breach and data loss	16	16	16	↔	.....	3	☑	19%	Y	★					★	Performance	★					★
1853	OM	27/04/2018	Staff turnover in excess of our target level	15	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	★			★		
2829	TG	23/02/2021	Achieving financial balance	16	16	16	↔	.....	8	☑	50%	Y(F)						★	Performance			★			
2904	TG	11/05/2021	Achieving financial balance at ICS level	20	20	20	↔	.....	12	☑	60%			★				★	Performance			★			
3009	TG	27/08/2021	Continuity of supply of consumable or services failure <b>New</b>			15	↑	.....	6	☑	40%		★						Performance	★	★	★		★	

### Trust Objectives 2021/2022 Key

- 1 Deliver clinical excellence
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- 5 Research and innovate
- 6 Achieve sustainability

# 6. Strategic Projects Committee Risks



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BAF Tracker 13/09/2021

Produced by Anna Pearman, Risk Manager

ID	Exec	Opened	Title	Jun-21	Jul-21	Aug-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
858	AR	01/02/2016	Electronic Patient Record System - benefits (Linked to ID1787)	8	8	8	↔	↗	12	☑	150%	Y	★	★	★				SPC						★
2833	TG	06/02/2021	Maintain a safe and secure environment across the organisation	16	16	16	↔	↔	6	☑	38%	Y(Est)	★						SPC	★					
2854	EM	15/03/2021	ICS engagement	6	6	6	↔	↔	6	☑	100%	Y(EDs)	★	★		★			SPC						★
2901	EM	06/05/2021	Delivery of Trust 5 year strategy	9	9	9	↔	↔	4	☑	44%		★	★	★	★	★	★	SPC		★	★	★	★	★
3008	TG	27/08/2021	Clinical Research Facility Core Grant Funding <b>New</b>			12	↑	↔	8	☑	67%		★	★			★	★	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