



**Royal Papworth Hospital**  
NHS Foundation Trust

# Board Assurance Framework

November 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 November 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:** Sixteen risks have a Residual Risk Rating above Risk Appetite.

**New BAF Risks:** One risk has been added to the BAF:

**BAF 3074: NHS Reforms & ICS Strategic Risk:** RRR 12 (C4xL3): If RPH fails to engage with the national system reforms then delivery of its strategy and future sustainability could be adversely effected through strategic shifts away from the Trust and changes in patient flows. It is proposed that this risk is reported through to Performance Committee only (rather than jointly with SPC).

**Other updates:**

**BAF 742: Safer Staffing:** RN fill rate is green for Oct 2021. All CHPPD are rated green except: 4NW, 3 South, and Critical Care. There is no indication of impact on nurse sensitive indicators. Falls per 1000 bed days remains green at 2.8 for October. There continues to be increased support focused on Critical Care due to high acuity and dependency and short-term sickness absence. All support is being given as required and where possible, activity is reduced (for example theatre list reduced, ECMO or transplant activity diverted). Red flags are also closely monitored.

**BAF 675: Hospital Acquired Infections:** RRR 8 (C4xL2): We have reviewed our visitor policy and agreed to go to level 1 in allowing visitors. This will be closely

monitored. All IPC audit continue to monitor compliance.

**BAF 841: Board Approved CIP:** RRR 12 (C4xL3): The programme has started to collate ideas, and these are to be reported to the COO and Chief Finance officer for their consideration in the next two weeks. Star chamber meetings are underway and plan for 2022/23 are a priority in Divisional meetings.

**BAF 2833: Safe and secure environment:** RRR 16 (C4xL4): Security assessment undertaken. Workshop between Trust and PFI partner teams held 03/11/21, with colleagues representing all Estates-related activity present. Several activities to build on the work are progressing, with initial positive response. No change to RRR.

**Closed Risks: None**

**Principal Risks (PR)** The November 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**

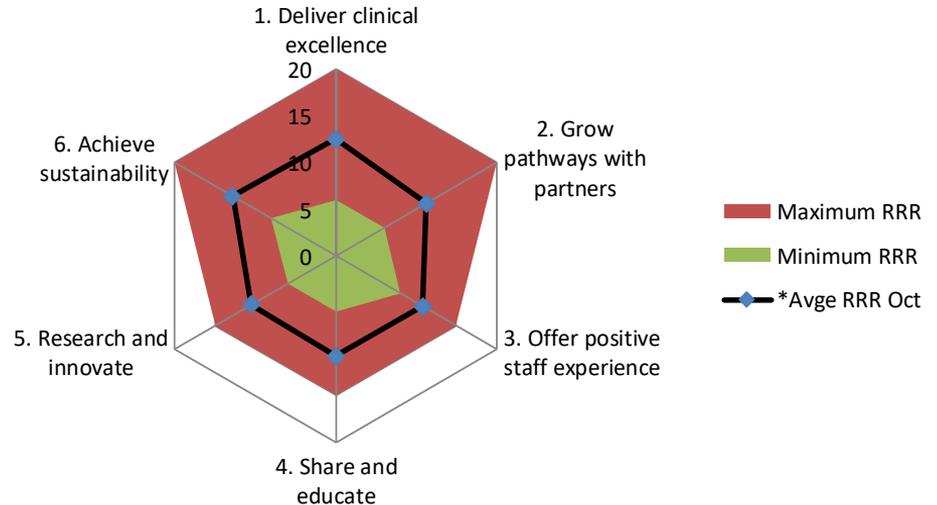
The Board is requested to note the BAF report for November 2021.

## 2. Risks Mapped to Strategic Objectives

Trust Objective 2021/22	* Avge RRR Sept	* Avge RRR Oct	Maximum RRR	Minimum RRR	change in Avge RRR
1. Deliver clinical excellence	12.5	12.5	20	6	●
2. Grow pathways with partners	11.2	11.3	20	6	●
3. Offer positive staff experience	10.9	10.9	15	8	●
4. Share and educate	10.5	10.8	15	6	●
5. Research and innovate	10.5	10.5	15	6	●
6. Achieve sustainability	12.9	12.9	20	8	●

\* Average for risks included in current tracker report

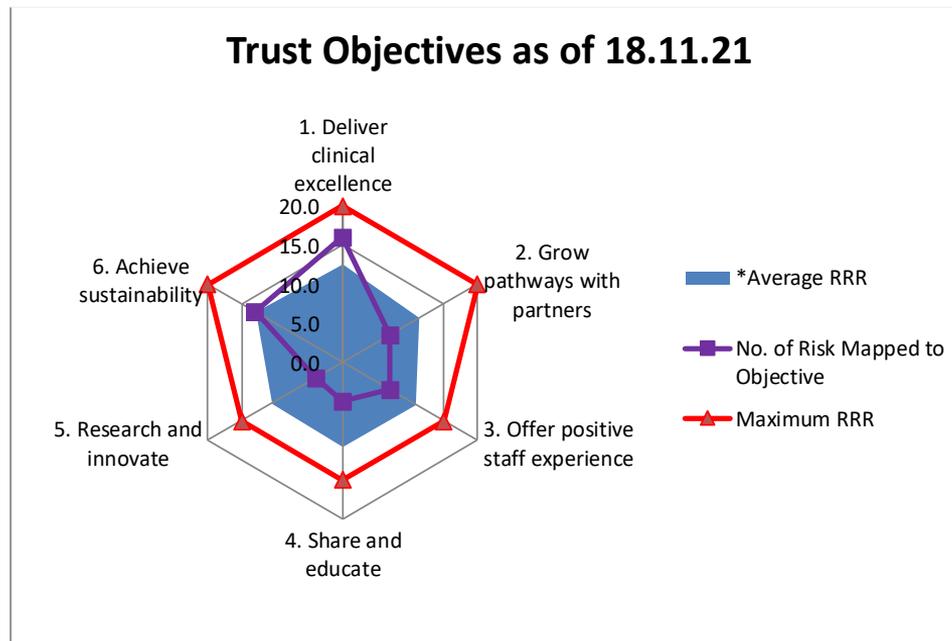
### Trust Objectives by Severity as at 18.11.21



### 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	16	12.5	20.0	6.0		
2. Grow pathways with partners	7	11.3	20.0	6.0	1	
3. Offer positive staff experience	7	10.9	15.0	8.0		
4. Share and educate	5	10.8	15.0	6.0	1	
5. Research and innovate	4	10.5	15.0	6.0		
6. Achieve sustainability	13	12.9	20.0	8.0	1	

\* Average for risks included in current tracker report



# 4. BAF Tracker Risks Above Risk Appetite



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BAF Tracker 12/11/2021 (Updated 18/11/21)

Produced by Anna Pearman, Risk Manager

ID	Exec	Opened	Title	Aug-21	Sep-21	Oct-21	Status since last month	Long running Trend	Risk Appetite	Risk Appetite achieved	% Risk Assurance against 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 aquired infections	15	8	8	↔		5	<input checked="" type="checkbox"/>	63%	★						Q&R	★					
678	EM	11/06/2014	Waiting list management	16	16	16	↔		12	<input checked="" type="checkbox"/>	75%	★						Performance					★	
742	MS	30/01/2015	Failure to meet safer staffing (NICE guidance and NQB)	12	12	12	↔		6	<input checked="" type="checkbox"/>	50%	★	★	★	★		★	Q&R	★					
1021	AR	17/02/2016	Potential for cyber breach and data loss	16	16	16	↔		3	<input checked="" type="checkbox"/>	19%						★	Performance	★					★
1853	OM	27/04/2018	Staff turnover in excess of our target level	15	15	15	↔		8	<input checked="" type="checkbox"/>	53%	★		★				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%	★		★			★	Performance	★			★		
1929	OM	23/07/2018	Low levels of Staff Engagement	12	12	12	↔		4	<input checked="" type="checkbox"/>	33%	★		★			★	Q&R				★		
2829	TG	23/02/2021	Achieving financial balance	16	16	16	↔		8	<input checked="" type="checkbox"/>	50%						★	Performance			★			
2833	TG	06/02/2021	Maintain a safe and secure environment across the organisation	16	16	16	↔		6	<input checked="" type="checkbox"/>	38%	★						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			★			
2985	TG	18/08/2021	Key Supplier Risk	20	20	20	↔		8	<input checked="" type="checkbox"/>	40%	★						Performance		★			★	
3008	TG	27/08/2021	Clinical Research Facility Core Grant Funding	12	12	12	↔		9	<input checked="" type="checkbox"/>	75%	★	★			★	★	SPC			★			★
3009	TG	27/08/2021	Continuity of supply of consumable or services failure	15	15	15	↔		6	<input checked="" type="checkbox"/>	40%	★						Performance	★	★	★		★	
3040	MS	29/09/2021	M.Abscessus		15	15	↔		10	<input checked="" type="checkbox"/>	67%	★			★	★	★	Q&R	★					
3074	TG	16/11/2021	NHS Reforms & ICS Strategic Risk <b>NEW</b>			12	↔		8	<input checked="" type="checkbox"/>	67%		★		★		★	Performance/SPC		★	★		★	★

# 5. BAF Tracker Risks Below Risk Appetite



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BAF Tracker 12/11/2021 (Updated 18/11/21)

Produced by Anna Pearman, Risk Manager

ID	Exec	Opened	Title	Aug-21	Sep-21	Oct-21	Status since last month	Long running Trend	Risk Appetite	Risk Appetite achieved	% Risk Assurance against risk appetite	SO1	SO2	SO3	SO4	SO5	SO6	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	☑	133%					★		Q&R					★	
841	EM	01/02/2016	Delivery of Efficiency Challenges - CIP Board approved	8	8	8	↔		8	☑	100%					★		Performance		★				
858	AR	01/02/2016	Electronic Patient Record System - benefits (Linked to ID1787)	8	8	8	↔		12	☑	150%	★	★	★				SPC						★
2532	MS	05/03/2020	COVID Pandemic	10	10	10	↔		25	☑	250%	★	★			★		Q&R	★	★		★	★	
2854	EM	15/03/2021	ICS engagement	6	6	6	↔		6	☑	100%	★	★		★			SPC						★