



**Royal Papworth Hospital**  
NHS Foundation Trust

# Board Assurance Framework

March 2023

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

**New/Closed BAF Risks:** BAF3008 CRF Grant Funding (RRR 6) has been closed as grant funding has been agreed for the next 3 years. BAF BAF2833 has been moved to the Corporate Risk Register as reported last month.

### Other updates:

The Audit Committee had requested Committees to report on the four risks that have a RRR of 20:

**BAF 678:** Waiting List Management: RRR 20 (C4xL5): The recovery trajectories have now been set in the activity recovery plan and regular reports will be brought to the Performance Committee.

**BAF 1853:** Staff turnover: RRR 20 (C5xL4): The KPI for this risk have been within target for three months however the staff survey results are a leading indicator and there is some concern that this risk should not be reduced prematurely.

**BAF 1929:** Staff Engagement: RRR (C4xL5): This risk remains escalated, and the remedial actions will take a significant period to deliver results.

**BAF 3261:** Industrial Action: RRR 20 (C4xL5). It has been recommended that the

mapping of BAF 3261 should be amended so that a single committee (Performance) is responsible for oversight.

No changes in ratings were recommended for any of the four risks.

**Principal Risks (PR)** The Board reviewed its principal risks and risk appetite statements on 2 March 2023, and these have been revised as follows:

**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.

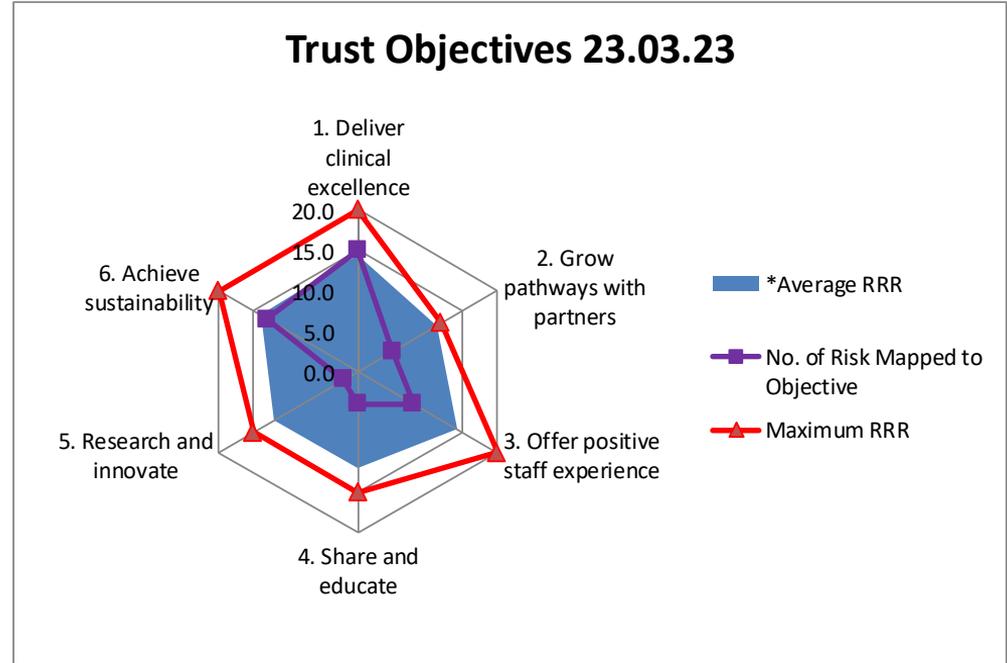
The revised risk appetite statements are appended to the April BAF report.

### Recommendation

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

## 2. Risks Mapped to Strategic Objectives

Trust Objective 2022/23	No. of Risk Mapped to Objective	* Average RRR	Maximum RRR	Minimum RRR	Risks Opened	Risks Closed
1. Deliver clinical excellence	15	14.5	20	6		2
2. Grow pathways with partners	5	11.4	12	9		1
3. Offer positive staff experience	8	14.4	20	6		
4. Share and educate	4	12.0	15	9		
5. Research and innovate	2	12.0	15	9		1
6. Achieve sustainability	13	14.0	20	6		1

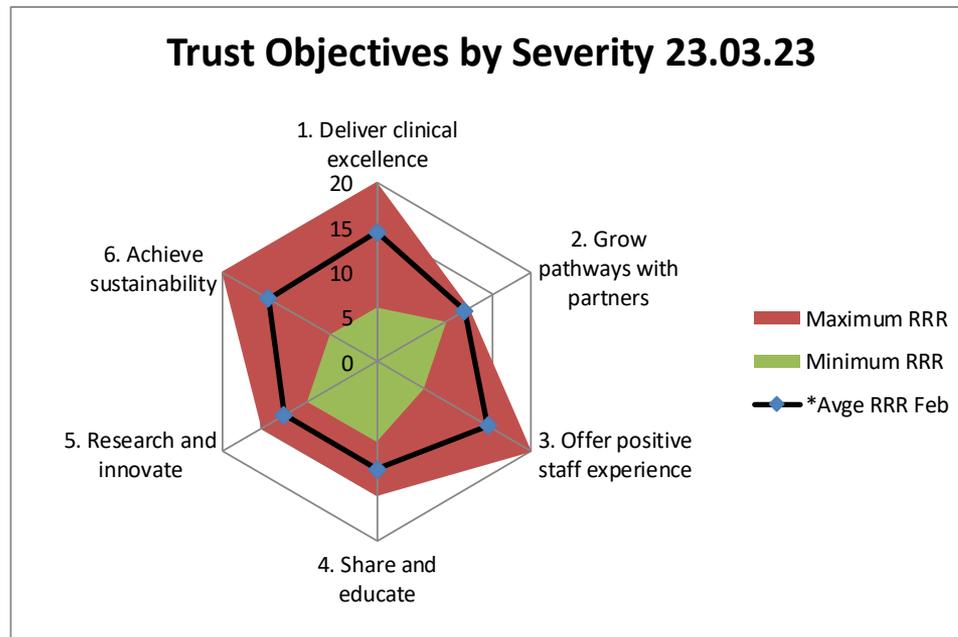


\* Average for risks included in current tracker report

# 3. Strategic Objectives by Severity of RRR

Trust Objective 2022/23	*Avge RRR Jan	*Avge RRR Feb	Maximum RRR	Minimum RRR	change in Avge RRR
1. Deliver clinical excellence	14.9	14.5	20	6	●
2. Grow pathways with partners	12.2	11.4	12	9	●
3. Offer positive staff experience	14.9	14.4	20	6	●
4. Share and educate	12.0	12.0	15	9	●
5. Research and innovate	12.0	12.0	15	9	●
6. Achieve sustainability	14.0	14.0	20	6	●

\* Average for risks included in current tracker report



# 4. BAF Tracker Risks Above Target



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BAF Tracker: Committee Update 23/03/23

ID	Exec	Opened	Title	Dec-22	Jan-23	Feb-23	Status since last month	Long running Trend (full data columns A/S 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 aquired infections	16	16	16	↔		6	38%	☒	4	★						Q&R	★					
678	AB	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	16	16	12	↓		6	50%	☒	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	20	20	20	↔		9	45%	☒	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	AB	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		★			★	★
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	AB	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	★		★			★	Workforce/PC/Q&R		★		★	★	★

# 5. BAF Tracker Risks Below Target



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BAF Tracker: Committee Update 23/03/23

ID	Exec	Opened	Title	Dec-22	Jan-23	Feb-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
2532	MS	05/03/2020	COVID Pandemic	6	6	6	↔		6	100%	<input checked="" type="checkbox"/>	10	★		★			★	Q&R	★	★		★	★	
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			★			
3009	TG	27/08/2021	Continuity of supply of consumable or services failure	12	12	9	↓		9	100%	<input checked="" type="checkbox"/>	6	★						Performance	★	★	★		★	