



**Royal Papworth Hospital**  
NHS Foundation Trust

# Board Assurance Framework

November 2023

# 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 Committee Risks

# 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 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:** Performance and Q&R Committees received a summary of three corporate risks on the CT reporting backlog. An overarching risk is to be added to the BAF. It is proposed to be overseen by the Performance Committee.

### Other updates:

**BAF 675: Hospital Acquired Infections:** RRR 16 (C4xL4): We have seen an increase in gram negative bacterial infections in the last six months and have increased our focus on environment. All actions on SSIs are monitored by the SSI stakeholder group. We have seen a slight increase in nosocomial infections in October with 1 definite and 1 probable infection. No change in RRR.

**BAF 742 Safer Staffing:** RRR12 (C4xL3): Staffing fill rates improved in October and Ward sister supervisory time also saw a slight improvement from the previous month. Ward sisters and Matrons are working on an improvement plan for this. The pipeline for registered and unregistered staff is positive. There have been no adverse clinical outcomes as a result of fill rates. No change in RRR.

**BAF 2904:** Achieving financial balance at ICS level: RRR 12 (C4xL3). NHSE have revised elective targets and made provision for additional non-recurrent funding. These changes are being worked through at a system level to understand the

implications for financial positions and are expected to be non-recurrent. The ICS financial position appears to benchmark favourably. The regulatory impact and consequence of any deficit remains significant. No change in RRR.

**BAF 1854: Recruitment: RRR 16 (C4xL4):** Delays in Occupational Health pre-employment health screening have improved. No change to 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.

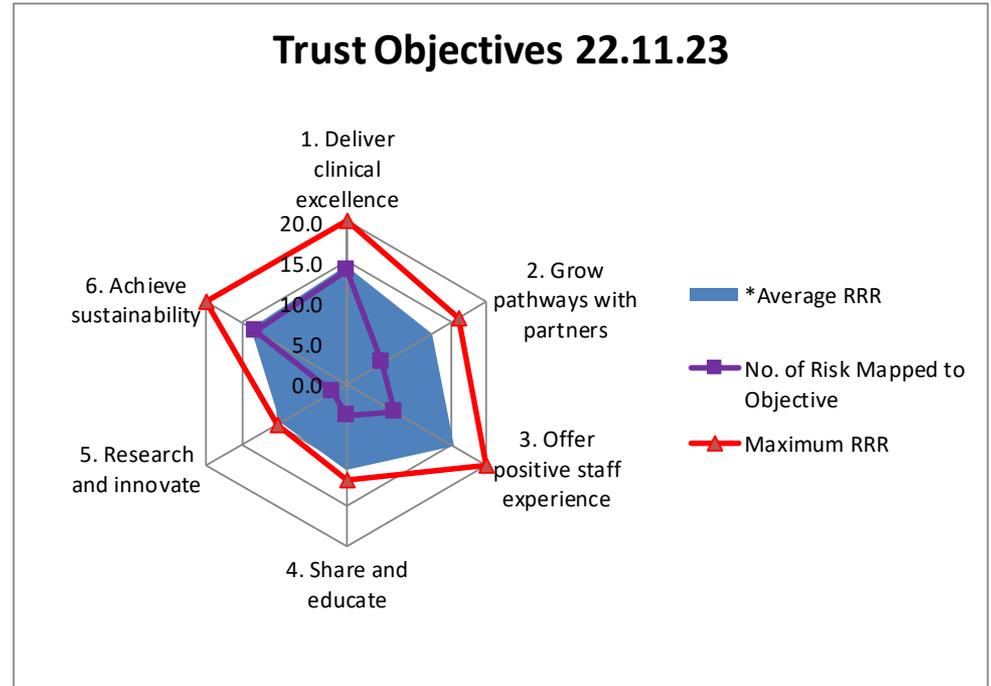
### Recommendation

The Board is requested to note the BAF report for November 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		

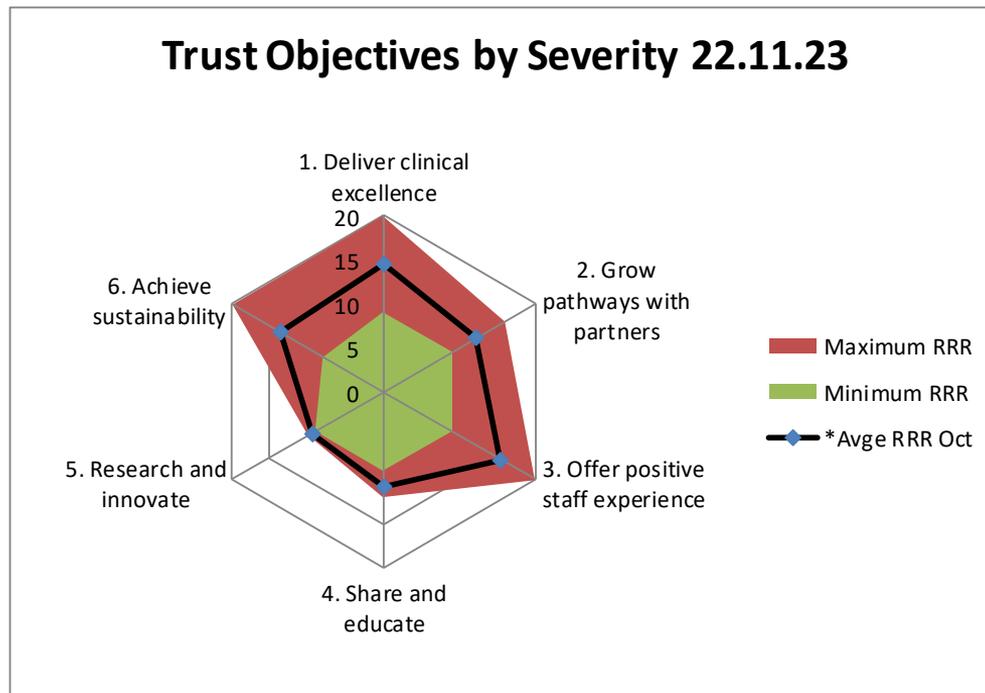
\* Average for risks included in current tracker report



### 3. Strategic Objectives by Severity of RRR

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

\* Average for risks included in current tracker report



# 4. BAF Tracker Risks Above Target



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BAF Tracker: Committee Update 22/11/23

ID	Exec	Opened	Title	Aug-23	Sep-23	Oct-23	Status since last month	Long running Trend	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 acquired infections	16	16	16	↔		6	38%	☒	4	★					★	Q&R	★					
678	HM	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	16	↔		6	38%	☒	6	★	★	★				SPC			★			★
1021	AR	17/02/2016	Potential for cyber breach and data loss	12	12	12	↔		9	75%	☒	9	★					★	Performance	★					★
1853	OM	27/04/2018	Staff turnover in excess of our target level	15	15	15	↔		9	60%	☒	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	HM	06/05/2021	Delivery of Trust 5 year strategy	9	9	9	↔		6	67%	☒	6	★	★	★	★	★	★	SPC		★	★	★	★	★
2985	SH	18/08/2021	Key Supplier Risk	10	10	10	↔		6	60%	☒	8	★						Performance		★				
3009	SH	27/08/2021	Continuity of supply of consumable or services failure	12	12	12	↔		9	75%	☒	6	★						Performance	★	★	★			
3074	SH	16/11/2021	NHS Reforms & ICS strategic risk	12	12	12	↔		8	67%	☒	8		★		★		★	Performance		★	★		★	★
3223	HM	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	★		★			★	Performance		★		★	★	

# 5. BAF Tracker Risks Below Target



BAF Tracker: Committee Update 22/11/23

ID	Exec	Opened	Title	Aug-23	Sep-23	Oct-23	Status since last month	Long running Trend	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
2829	SH	23/02/2021	Achieving financial balance	8	8	8	↔		8	100%	<input checked="" type="checkbox"/>	8						★	Performance			★			
2904	SH	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	★					