



**Royal Papworth Hospital**  
NHS Foundation Trust

# Board Assurance Framework

January 2024

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

**New/Closed BAF Risks:** none.

**Other updates:**

**BAF 3433: CT Reporting Backlog: RRR 16 (C4xL4):** New BAF risk: *If the CT reporting backlog does not improve back to the 4-week reporting KPI, then patient pathways will continue to be delayed whilst awaiting results ultimately resulting in potential patient harm.* This risk has two linked risk which set out the departmental and digital factors relating to the backlog. Measures have been put in place to address this including: prioritisation of clinically indicated cases, reporting of activity to track progress reporting into the governance oversight structure (image working group), consultant recruitment and locum cover, deployment of virtual desktop infrastructure and additional workstations.

**BAF 3223: Activity recovery and productivity:** RRR 16 (C4xL4): The operational improvement plan has been incorporated into the Flow Programme delivering improvements across length of stay, discharge profile, theatre utilisation, DNAs, day case utilisation and delivery of the 2023/24 operational plan. The Flow Programme Steering Group held its first meeting in December 2023. No change in RRR.

**BAF 742 Safer Staffing:** RRR12 (C4xL3): The fill rate for day and night shifts for Registered Nurses continues to improve which is consistent with the reduced vacancy and turnover rates. Critical care capacity is adjusted to maintain safe staffing levels due to vacancies and high absence rates. No change in 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.

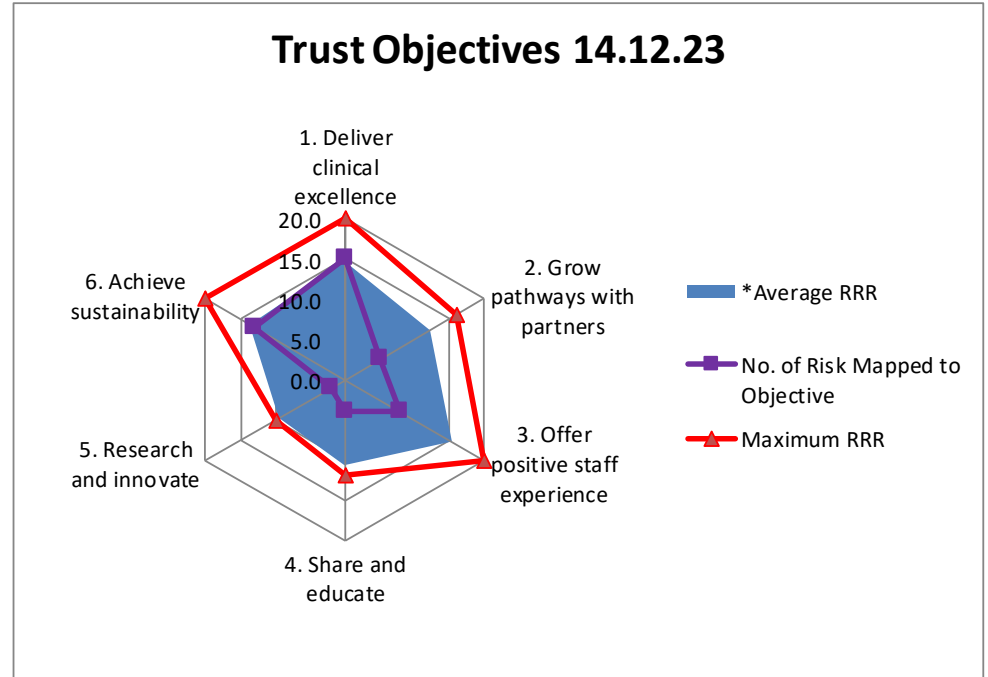
**PR4 Cyber security and data loss:** Failure to prioritise cyber resilience through the implementation of up-to-date cyber security controls, training, surveillance, risk management, business continuity and recovery planning increases the risk of a major cyber event causing data loss, key system failure, and prolonged disruption to services.

**Recommendation**

The Board is requested to note the BAF report for January 2024.

## 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     | 15                              | 14.7          | 20          | 9           | 1            |              |
| 2. Grow pathways with partners     | 5                               | 12.2          | 16          | 9           |              |              |
| 3. Offer positive staff experience | 8                               | 15.5          | 20          | 9           | 1            |              |
| 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           |              |              |

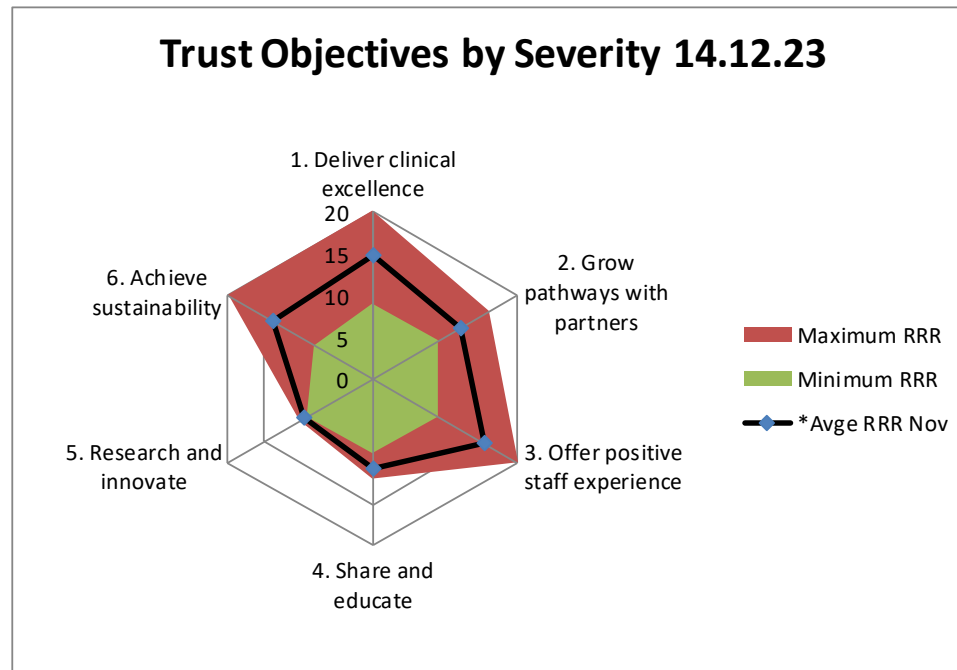


\* Average for risks included in current tracker report

### 3. Strategic Objectives by Severity of RRR

| Trust Objective 2023/24            | * Avge RRR Oct | * Avge RRR Nov | Maximum RRR | Minimum RRR | change in Avge RRR |
|------------------------------------|----------------|----------------|-------------|-------------|--------------------|
| 1. Deliver clinical excellence     | 14.6           | 14.7           | 20          | 9           | ●                  |
| 2. Grow pathways with partners     | 12.2           | 12.2           | 16          | 9           | ●                  |
| 3. Offer positive staff experience | 15.4           | 15.5           | 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



BAF Tracker: Committee Update 11/01/24

| ID   | Exec | Opened     | Title  | Aug-23 | Sep-23 | Oct-23 | Nov-23 | Dec-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 | Care        | Effective | Finance | People Manag. & Cult. | Responsive | Safe | Transformation | ID   |
|------|------|------------|--|--------|--------|--------|--------|--------|-------------------------|---|--------------------|----------------|----------------------|---------------|-----|-----|-----|-----|-----|-----|--|-------------|-----------|---------|-----------------------|------------|------|----------------|------|
| 675  | MS   | 11/06/2014 | Failure to protect patient from harm from hospital acquired infections | 16     | 16     | 16     | 16     | 16     | ↔                       |   | 6                  | 38%            | ☒                    | 4             | ★   |     |     |     |     | ★   | Q&R  |             |           |         |                       |            | ★    |                | 675  |
| 678  | HM   | 11/06/2014 | Waiting list management  | 20     | 20     | 20     | 20     | 20     | ↔                       |   | 8                  | 40%            | ☒                    | 8             | ★   |     |     |     |     |     |  | Performance |           |         |                       |            | ★    |                | 678  |
| 858  | AR   | 01/02/2016 | Electronic Patient Record System                                       | 16     | 16     | 16     | 16     | 16     | ↔                       |   | 6                  | 38%            | ☒                    | 6             | ★   | ★   | ★   |     |     |     |  |             | ★         |         |                       |            |      | ★              | 858  |
| 1021 | AR   | 17/02/2016 | Potential for cyber breach and data loss                               | 12     | 12     | 12     | 12     | 12     | ↔                       |   | 9                  | 75%            | ☒                    | 9             | ★   |     |     |     |     | ★   |  | Performance |           |         |                       |            | ★    | ★              | 1021 |
| 1853 | OM   | 27/04/2018 | Staff turnover in excess of our target level                           | 15     | 15     | 15     | 15     | 15     | ↔                       |   | 9                  | 60%            | ☒                    | 6             | ★   |     | ★   |     |     | ★   |  | Workforce   |           |         | ★                     |            |      |                | 1853 |
| 1854 | OM   | 27/04/2018 | Unable to recruit number of staff with the required skills/experience  | 16     | 16     | 16     | 16     | 16     | ↔                       |   | 9                  | 56%            | ☒                    | 6             | ★   |     | ★   |     |     | ★   |  | Workforce   |           |         | ★                     | ★          |      |                | 1854 |
| 1929 | OM   | 23/07/2018 | Low levels of Staff Engagement   | 20     | 20     | 20     | 20     | 20     | ↔                       |   | 8                  | 40%            | ☒                    | 6             | ★   |     | ★   |     |     | ★   |  | Workforce   |           |         | ★                     |            |      |                | 1929 |
| 2901 | HM   | 06/05/2021 | Delivery of Trust 5 year strategy                                      | 9      | 9      | 9      | 9      | 9      | ↔                       |   | 6                  | 67%            | ☒                    | 6             | ★   | ★   | ★   | ★   | ★   | ★   |  | SPC         |           | ★       | ★                     | ★          | ★    | ★              | 2901 |
| 2985 | SH   | 18/08/2021 | Key Supplier Risk  | 10     | 10     | 10     | 10     | 10     | ↔                       |   | 6                  | 60%            | ☒                    | 8             | ★   |     |     |     |     |     |  | Performance | ★         |         |                       | ★          |      |                | 2985 |
| 3009 | SH   | 27/08/2021 | Continuity of supply of consumable or services failure                 | 12     | 12     | 12     | 12     | 12     | ↔                       |   | 9                  | 75%            | ☒                    | 6             | ★   |     |     |     |     |     |  | Performance | ★         | ★       |                       | ★          | ★    |                | 3009 |
| 3074 | SH   | 16/11/2021 | NHS Reforms & ICS strategic risk                                       | 12     | 12     | 12     | 12     | 12     | ↔                       |   | 8                  | 67%            | ☒                    | 8             |     | ★   |     | ★   |     | ★   |  | Performance | ★         | ★       |                       | ★          | ★    |                | 3074 |
| 3223 | HM   | 22/07/2022 | Activity recovery and productivity                                     | 16     | 16     | 16     | 16     | 16     | ↔                       |   | 8                  | 50%            | ☒                    | 4             | ★   |     |     |     |     | ★   |  | Performance | ★         | ★       |                       | ★          | ★    |                | 3223 |
| 3261 | OM   | 09/09/2022 | Industrial Action  | 20     | 20     | 20     | 20     | 20     | ↔                       |   | 12                 | 60%            | ☒                    | 6             | ★   |     | ★   |     |     | ★   |  | Performance | ★         |         | ★                     | ★          |      |                | 3261 |
| 3433 | JS   | 08/01/2024 | CT Backlog   |        |        | 16     | 16     | 16     | ↔                       |   | 6                  | 38%            | ☒                    | 3             | ★   |     | ★   |     |     |     |  | Performance | ★         | ★       |                       | ★          | ★    |                | 3433 |
| 3449 | SH   | 21/12/2023 | Risk to delivery of strategic partnership working with CUH             |        |        |        |        | 12     | ↑                       |   | 8                  | 67%            | ☒                    | 8             | ★   |     | ★   |     |     |     |  | SPC         |           |         |                       |            | ★    |                | 3449 |

# 5. BAF Tracker Risks Below Target



BAF Tracker: Committee Update 11/01/24

| ID   | Exec | Opened     | Title  | Aug-23 | Sep-23 | Oct-23 | Nov-23 | Dec-23 | Status since last month | Title<br>Long running Trend<br>(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 | Care | Effective | Finance | People Manag. & Cult. | Responsive | Safe | Transformation |  |
|------|------|------------|--|--------|--------|--------|--------|--------|-------------------------|---|--------------------|----------------|-------------------------------------|---------------|-----|-----|-----|-----|-----|-----|--|------|-----------|---------|-----------------------|------------|------|----------------|--|
| 742  | MS   | 30/01/2015 | Failure to meet safer staffing (NICE guidance and NQB) | 12     | 12     | 12     | 12     | 8      | ↓                       |   | 8                  | 100%           | <input checked="" type="checkbox"/> | 4             | ★   | ★   | ★   | ★   |     | ★   | Q&R  |      |           |         |                       |            |      | ★              |  |
| 2829 | SH   | 23/02/2021 | Achieving financial balance                            | 8      | 8      | 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     | 12     | ↔                       |   | 12                 | 100%           | <input checked="" type="checkbox"/> | 12            | ★   |     |     |     |     | ★   | Performance                                    |      |           | ★       |                       |            |      |                |  |
| 3040 | MS   | 29/09/2021 | M.Abscessus  | 10     | 10     | 10     | 10     | 10     | ↔                       |   | 10                 | 100%           | <input checked="" type="checkbox"/> | 6             | ★   |     |     |     | ★   | ★   | Q&R  |      |           |         |                       |            | ★    |                |  |

# 6. Performance Committee Risks



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BAF Tracker: Committee Update 11/01/24

| ID   | Exec | Opened     | Title  | Aug-23 | Sep-23 | Oct-23 | Nov-23 | Dec-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 | Care        | Effective | Finance | People Manag. & Cult. | Responsive | Safe | Transformation |
|------|------|------------|--|--------|--------|--------|--------|--------|-------------------------|---|--------------------|----------------|-------------------------------------|---------------|-----|-----|-----|-----|-----|-----|--|-------------|-----------|---------|-----------------------|------------|------|----------------|
| 678  | HM   | 11/06/2014 | Waiting list management                                | 20     | 20     | 20     | 20     | 20     | ↔                       |   | 8                  | 40%            | <input checked="" type="checkbox"/> | 8             | ★   |     |     |     |     |     | Performance                                    |             |           |         |                       | ★          |      |                |
| 1021 | AR   | 17/02/2016 | Potential for cyber breach and data loss               | 12     | 12     | 12     | 12     | 12     | ↔                       |   | 9                  | 75%            | <input checked="" type="checkbox"/> | 9             | ★   |     |     |     |     |     | ★  | Performance |           |         |                       |            | ★    | ★              |
| 2829 | SH   | 23/02/2021 | Achieving financial balance                            | 8      | 8      | 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     | 12     | ↔                       |   | 12                 | 100%           | <input checked="" type="checkbox"/> | 12            | ★   |     |     |     |     |     | ★  | Performance |           |         | ★                     |            |      |                |
| 2985 | SH   | 18/08/2021 | Key Supplier Risk                                      | 10     | 10     | 10     | 10     | 10     | ↔                       |   | 6                  | 60%            | <input checked="" type="checkbox"/> | 8             | ★   |     |     |     |     |     | Performance                                    |             | ★         |         |                       | ★          |      |                |
| 3009 | SH   | 27/08/2021 | Continuity of supply of consumable or services failure | 12     | 12     | 12     | 12     | 12     | ↔                       |   | 9                  | 75%            | <input checked="" type="checkbox"/> | 6             | ★   |     |     |     |     |     | Performance                                    |             | ★         | ★       |                       | ★          | ★    |                |
| 3074 | SH   | 16/11/2021 | NHS Reforms & ICS strategic risk                       | 12     | 12     | 12     | 12     | 12     | ↔                       |   | 8                  | 67%            | <input checked="" type="checkbox"/> | 8             |     | ★   |     | ★   |     | ★   | Performance                                    |             | ★         | ★       |                       | ★          | ★    |                |
| 3223 | HM   | 22/07/2022 | Activity recovery and productivity                     | 16     | 16     | 16     | 16     | 16     | ↔                       |   | 8                  | 50%            | <input checked="" type="checkbox"/> | 4             | ★   |     |     |     |     |     | ★  | Performance |           | ★       | ★                     |            | ★    | ★              |
| 3261 | OM   | 09/09/2022 | Industrial Action                                      | 20     | 20     | 20     | 20     | 20     | ↔                       |   | 12                 | 60%            | <input checked="" type="checkbox"/> | 6             | ★   |     | ★   |     |     |     | ★  | Performance |           | ★       |                       | ★          | ★    |                |
| 3433 | JS   | 08/01/2024 | CT Backlog   |        |        | 16     | 16     | 16     | ↔                       |   | 6                  | 38%            | <input checked="" type="checkbox"/> | 3             | ★   |     | ★   |     |     |     | Performance                                    | ★           | ★         |         |                       | ★          | ★    |                |





# 6. Strategic Projects Committee Risks



BAF Tracker: Committee Update 11/01/24

| ID   | Exec | Opened     | Title  | Aug-23 | Sep-23 | Oct-23 | Nov-23 | Dec-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 | Care | Effective | Finance | People Manag. & Cult. | Responsive | Safe | Transformation |
|------|------|------------|--|--------|--------|--------|--------|--------|-------------------------|---|--------------------|----------------|-------------------------------------|---------------|-----|-----|-----|-----|-----|-----|--|------|-----------|---------|-----------------------|------------|------|----------------|
| 858  | AR   | 01/02/2016 | Electronic Patient Record System                           | 16     | 16     | 16     | 16     | 16     | ↔                       |   | 6                  | 38%            | <input checked="" type="checkbox"/> | 6             | ★   | ★   | ★   |     |     |     | SPC  |      |           | ★       |                       |            |      | ★              |
| 2901 | HM   | 06/05/2021 | Delivery of Trust 5 year strategy                          | 9      | 9      | 9      | 9      | 9      | ↔                       |   | 6                  | 67%            | <input checked="" type="checkbox"/> | 6             | ★   | ★   | ★   | ★   | ★   | ★   | SPC  |      | ★         | ★       | ★                     | ★          |      | ★              |
| 3449 | SH   | 21/12/2023 | Risk to delivery of strategic partnership working with CUH |        |        |        |        | 12     | ↑                       |   | 8                  | 67%            | <input checked="" type="checkbox"/> | 8             | ★   |     | ★   |     |     |     | SPC  |      |           |         |                       |            |      | ★              |

# 6. Workforce Committee Risks



BAF Tracker: Committee Update 11/01/24

| ID   | Exec | Opened     | Title   | Aug-23 | Sep-23 | Oct-23 | Nov-23 | Dec-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 | Care | Effective | Finance | People Manag. & Cult. | Responsive | Safe | Transformation |
|------|------|------------|---|--------|--------|--------|--------|--------|-------------------------|---|--------------------|----------------|-------------------------------------|---------------|-----|-----|-----|-----|-----|-----|--|------|-----------|---------|-----------------------|------------|------|----------------|
| 1853 | OM   | 27/04/2018 | Staff turnover in excess of our target level                          | 15     | 15     | 15     | 15     | 15     | ↔                       |   | 9                  | 60%            | <input checked="" type="checkbox"/> | 6             | ★   |     | ★   |     |     | ★   | Workforce                                      |      |           |         | ★                     |            |      |                |
| 1854 | OM   | 27/04/2018 | Unable to recruit number of staff with the required skills/experience | 16     | 16     | 16     | 16     | 16     | ↔                       |   | 9                  | 56%            | <input checked="" type="checkbox"/> | 6             | ★   |     | ★   |     |     | ★   | Workforce                                      |      |           |         | ★                     |            | ★    |                |
| 1929 | OM   | 23/07/2018 | Low levels of Staff Engagement  | 20     | 20     | 20     | 20     | 20     | ↔                       |   | 8                  | 40%            | <input checked="" type="checkbox"/> | 6             | ★   |     | ★   |     |     | ★   | Workforce                                      |      |           |         | ★                     |            |      |                |