



Royal Papworth Hospital  
NHS Foundation Trust

# Board Assurance Framework

August 2019

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**Royal Papworth Hospital**  
NHS Foundation Trust

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# 1. Executive summary

## 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. 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.

Action plans for BAF risks are reviewed on a monthly basis are captured within the Trusts' Datix reporting system.

Executive Directors review open BAF risks on a monthly basis and the BAF risks are brought to Trust Committees at each meeting. The BAF tracker for August 2019 which includes the long term trend for each BAF risk is attached at Appendix A (above Appetite) and B (within Appetite).

## Headlines

Twenty one BAF risks have a Residual Risk Rating above the Risk Appetite set by the Trust.

## Movements in month:

**BAF 1854 Recruitment risk:** The rating of this risk increased following ED review in July reflecting wider system impact of failure in recruitment. This movement is now reflected in the tracker report.

**BAF 1021:** Potential for cyber breach and data loss: This risk increased from 'unlikely' to 'possible' in July this is now reflected in the tracker report. Artificial Intelligence is being used to monitor potential cyber security risks to the estate and the server migration project has started with purchase of the new SQL cluster in train which forms part of the digital capital plan for 2020/2021. This risk still remains extreme.

**BAF 874:** Master Development and control plans - sales dates: increased reflecting risks to completion of sale of old site.

**Closed Risks:** BAF 849 Whole Hospital Equipping Plan - loan draw down has been closed in month.

## Key issues:

**BAF 2249:** Hospital Optimisation: This risk is considered by all Board Committees and extends across all aspects of Trust services. Terms of reference have been set and approved for the Hospital Optimisation Group. Projects have been identified and an activity recovery plan has been put in place.

**New BAF Risks:** Two new risks have been assessed in Month :

**Risk: IF** the STP fails to work in line with its MoU and deliver the joint plan **THEN** the Trust will be unable to deliver its Cardiology transformation in Cambridge and its wider STP support agenda.

**Risk: IF** we Leave EU without a deal **THEN** there could be a Trust wide impact on supplies including but not exclusively; medicines, our workforce, information flows, food provision, estates, Finance, R & D and clinical trials, Care Homes and BCPs.

These risks will be captured in the September tracker report.

## Principal Risks

The August BAF tracker reports reflects the earlier discussion at Board with principal risks relating to:

1. Workforce, and the need to focus on recruitment and retention to support flow and our ability to deliver activity
2. Failure to optimise the new facility to deliver activity plans and meet patient demand.
3. The requirement to deliver our financial plan on a sustainable basis, addressing the underlying the structural deficit and our contribution to the wider system

## Recommendation

The Board are requested to note the BAF report for August 2019.

# 2 Risks Mapped to Strategic Objectives Analysis

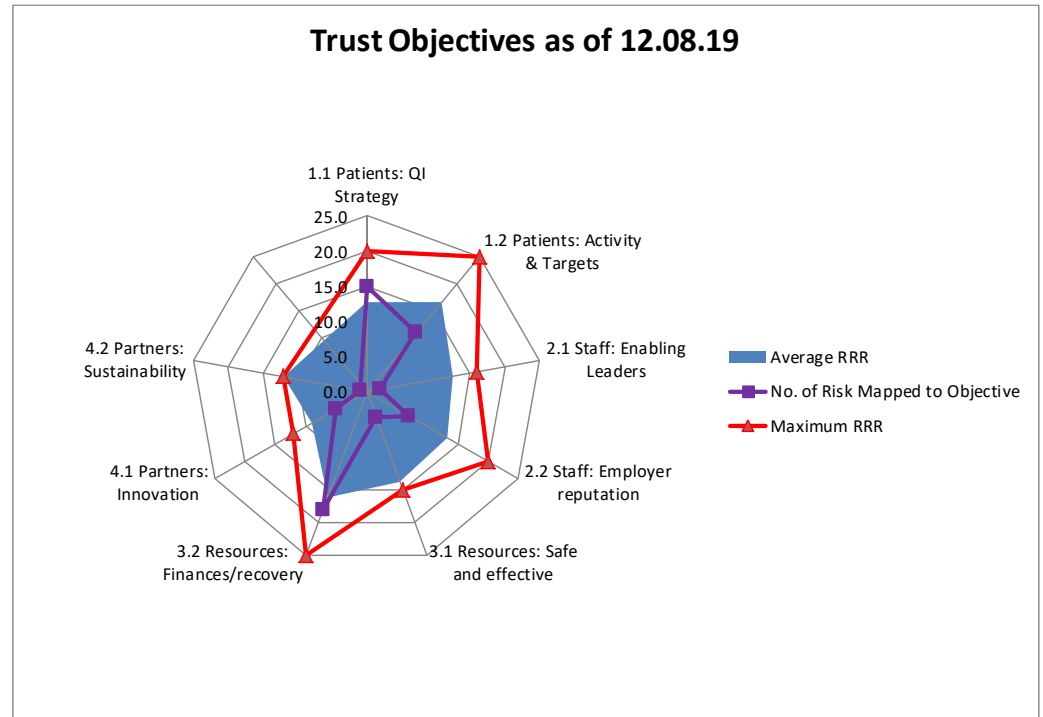


Trust Objective	No. of Risk Mapped to Objective	Average RRR	Maximum RRR	Minimum RRR	Risks Opened in Month	Risks Closed in Month
1.1 Patients: QI Strategy	15	12.7	20	6		
1.2 Patients: Activity & Targets	11	16.6	25	9		
2.1 Staff: Enabling Leaders	2	12.5	16	9		
2.2 Staff: Employer reputation	7	13.3	20	6		
3.1 Resources: Safe and effective	4	13.8	15	10		
3.2 Resources: Finances/recovery	18	16.1	25	8		1
4.1 Partners: Innovation	5	9.0	12	6		
4.2 Partners: Sustainability	1	12.0	12	12		

### Trust Objectives 2019/20 Key

- 1.1 Implement our Quality Strategy to deliver continuous quality improvement
- 1.2 Deliver activity plan and meet our patient access targets
- 2.1 Invest in leaders to enable them to deliver excellent care
- 2.2 Enhance our reputation as an employer
- 3.1 Deliver a safe and effective move
- 3.2 Deliver financial plan and recovery programme
- 4.1 use the opportunity of our new hospital and location to innovate, develop partnerships
- 4.2 Partners STP: support system plans, lead cardiothoracic services and refine patient pathways to improve outcomes

Risks Opened in Month:	0
Risks Closed in Month:	1



# 3 Strategic Objectives by severity of Residual Risk Rating



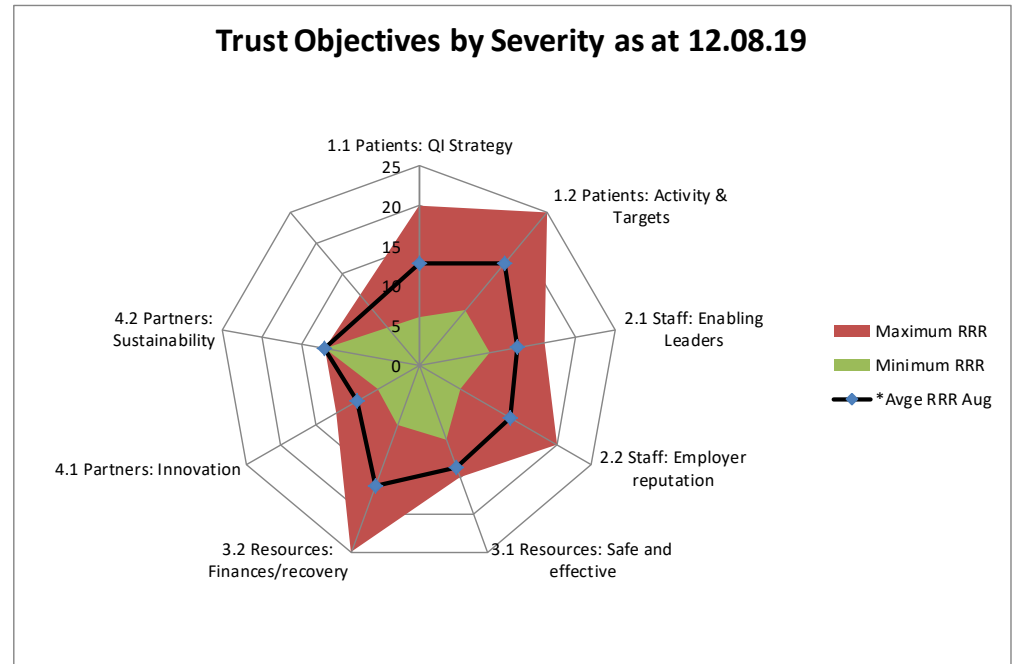
Severity - Residual Risk Rating

Trust Objective	* Avge RRR July	* Avge RRR Aug	Maximum RRR	Minimum RRR	change in Avge RRR
1.1 Patients: QI Strategy	12.1	12.7	20	6	●
1.2 Patients: Activity & Targets	15.8	16.6	25	9	●
2.1 Staff: Enabling Leaders	12.5	12.5	16	9	●
2.2 Staff: Employer reputation	12.9	13.3	20	6	●
3.1 Resources: Safe and effective	12.5	13.8	15	10	●
3.2 Resources: Finances/recovery	15.6	16.1	25	8	●
4.1 Partners: Innovation	10.2	9.0	12	6	●
4.2 Partners: Sustainability	12	12.0	12	12	●

## Trust Objectives 2019/20 Key

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\* Average for risks included in current tracker report



# Appendix A: BAF Tracker Risks Above Risk Appetite



BAF Tracker 12/8/2019 v1														
Produced by Anna Pearman, Risk Manager														
Note: Data taken from Datix will reflect the score given to the risk as close as possible to 12th of the month to enable new Exec information to be updated on Datix post meeting.														
ID	Exec	Opened	Title	Jun-19	Jul-19	Aug-19	Status since last month	Running Trend	Risk Appetite	Risk Appetite achieved	% Risk Assurance against risk appetite	BAF with Datix action plan	CQC/PIPR	Responsible Committee in addition to the Board
675	JR	11/06/2014	Failure to stay within ceiling trajectories for all HCAI's	8	8	8	↔		6	☒	75%	Y	Safe	Q&R
678	EM	11/06/2014	Failure to meet cardiac and cancer waiting targets	16	16	16	↔		12	☒	75%	Y	Finance	Performance
684	JR	11/06/2014	Failure to release staff to undertake educational activity due to	9	9	9	↔		8	☒	89%	Y	People Manag. & Cult.	Q&R
742	JR	30/01/2015	Safer staffing and Monitor's Agency Price cap	12	12	12	↔		4	☒	33%	Y	Safe	Q&R
744	JR	15/01/2015	CQC Fundamentals of care	10	10	10	↔		6	☒	60%	Y	Safe	Q&R
841	EM	01/02/2016	Delivery of Efficiency Challenges - CIP Board approved	20	20	20	↔		12	☒	60%	Y	Effective	Performance
843	EM	01/02/2016	Delivery of Efficiency Challenges - CIP targets	20	20	20	↔		12	☒	60%	Y(F)	Effective	Performance
865	EM	01/02/2016	Income Growth - activity transfers	20	20	20	↔		12	☒	60%	Y(F)	Finance	Performance
873	RC	01/02/2016	Master Development and control plans - sale value	20	20	20	↔		10	☒	50%	Y	Finance	Performance
874	RC	01/02/2016	Master Development and control plans - sales dates	10	10	15	↑		10	☒	67%	Y	Finance	Performance
1021	AR	17/02/2016	Potential for cyber breach and data loss	10	10	15	↑		3	☒	20%	Y	Safe	SPC
1162	EM	07/07/2016	We will not utilise our expertise to influence local strategy for	9	9	9	↔		8	☒	89%	Y	Transformation	SPC
1787	JR	22/12/2017	Optimisation of the EPR systems	12	12	12	↔		6	☒	50%	Y	Safe	Q&R
1853	OM	27/04/2018	Turnover in excess of target and will increase as a result of the move	16	16	16	↔		6	☒	38%	Y	Safe	Performance
1854	OM	27/04/2018	Unable to recruit number of staff with the required skills/experience	16	16	20	↑		6	☒	30%	Y	Safe	Performance
1929	OM	23/07/2018	Low levels of Staff Engagement	16	16	16	↔		9	☒	56%	Y(HR)	People Manag. & Cult.	Q&R
2145	EM	29/03/2019	Current Trading	20	25	25	↔		12	☒	48%	Y(F)	Effective	Performance
2148	RC	29/03/2019	Current Growth	25	25	25	↔		12	☒	48%	Y(F)	Finance	Performance
2149	RC	29/03/2019	Capacity Assumptions	15	15	15	↔		10	☒	67%	Y(F)	Finance	Performance
2163	RC	29/03/2019	Efficiency assumptions	15	15	15	↔		12	☒	80%	Y(F)	Finance	Performance
2249	JR	07/06/2019	Hospital Optimisation	15	15	15	↔		10	☒	67%	Y(Ex)	Effective	Performance, Q&R, SPC

# Appendix B: BAF Tracker Risks Below Risk Appetite



BAF Tracker 12/8/2019 v1														
Produced by Anna Pearman, Risk Manager														
Note: Data taken from Datix will reflect the score given to the risk as close as possible to 12th of the month to enable new Exec information to be updated on Datix post meeting.														
ID	Exec	Opened	Title	Jun-19	Jul-19	Aug-19	Status since last month	Current running Trend	Risk Appetite	Risk Appetite achieved	% Risk Assurance against risk appetite	BAF with Datix action plan	COC/PIPR	Responsible Committee in addition to the Board
689	AR	11/06/2014	Pathology IM&T systems	12	12	12	↔		12	<input checked="" type="checkbox"/>	100%	Y	Transformation	SPC
730	RH	01/04/2015	Failure to give R&D strategic direction and recognition	12	12	6	↓		8	<input checked="" type="checkbox"/>	133%	Y	Responsive	Q&R
847	RC	01/02/2016	Variations on the New Hospital	10	10	10	↔		10	<input checked="" type="checkbox"/>	100%	Y	Transformation	Performance
850	RC	01/02/2016	Whole Hospital Equipping Plan purchases vs loan value	8	8	8	↔		12	<input checked="" type="checkbox"/>	150%	Y	Transformation	Performance
858	JR	01/02/2016	Electronic Patient Record System - benefits (Linked to ID1787)	6	6	6	↔		12	<input checked="" type="checkbox"/>	200%	Y	Transformation	SPC
875	RC	01/02/2016	Master Development and control plans - local planning regulations	10	10	10	↔		10	<input checked="" type="checkbox"/>	100%	Y	Transformation	Performance
2225	RC	29/03/2019	FM mobilisation and bedding in	20	15	15	↔		15	<input checked="" type="checkbox"/>	100%	Y(F)	Safe	Performance