



Royal Papworth Hospital
NHS Foundation Trust

Board Assurance Framework

February 2019

Produced by
Anna Jarvis and Anna Pearman



Contents



Royal Papworth Hospital
NHS Foundation Trust

- 1.0** Executive summary
- 2.0** Strategic Objectives BAF Analysis
- 3.0** Strategic Objectives Risk Rating
- 3.0** BAF Tracker Risks Above Risk Appetite
- 4.0** BAF Tracker Risks Above Risk Appetite

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 which includes the long term trend for each BAF risk is attached at Appendix A (above Appetite) and B (within Appetite).

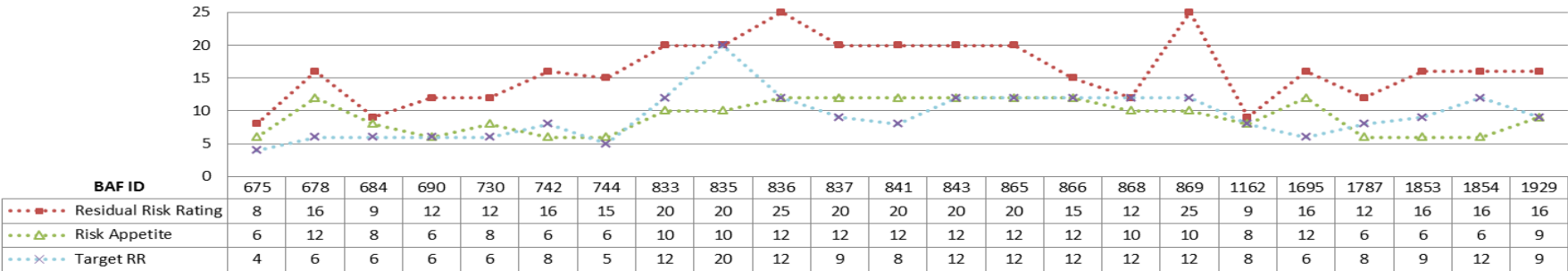
Headlines

- Twenty three BAF risks have a Residual Risk Rating above the Risk Appetite set by the Trust. One risk BAF 1511 has been closed in month.
- The Cyber Security Risk is awaiting Director approval.
- The plot of Risks Above Appetite identifies eight BAF risks where our ‘target’ exceeds our ‘appetite’ and these require review on the system.
- The highest levels of residual risks relate to delivery of patient targets and financial objectives.
- The overall number of entries on the BAF will reduce in 2019/20 as a number of risks will crystallise following the land sale and the move into the new hospital.

Recommendation

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

Risks Above Appetite 08.02.19

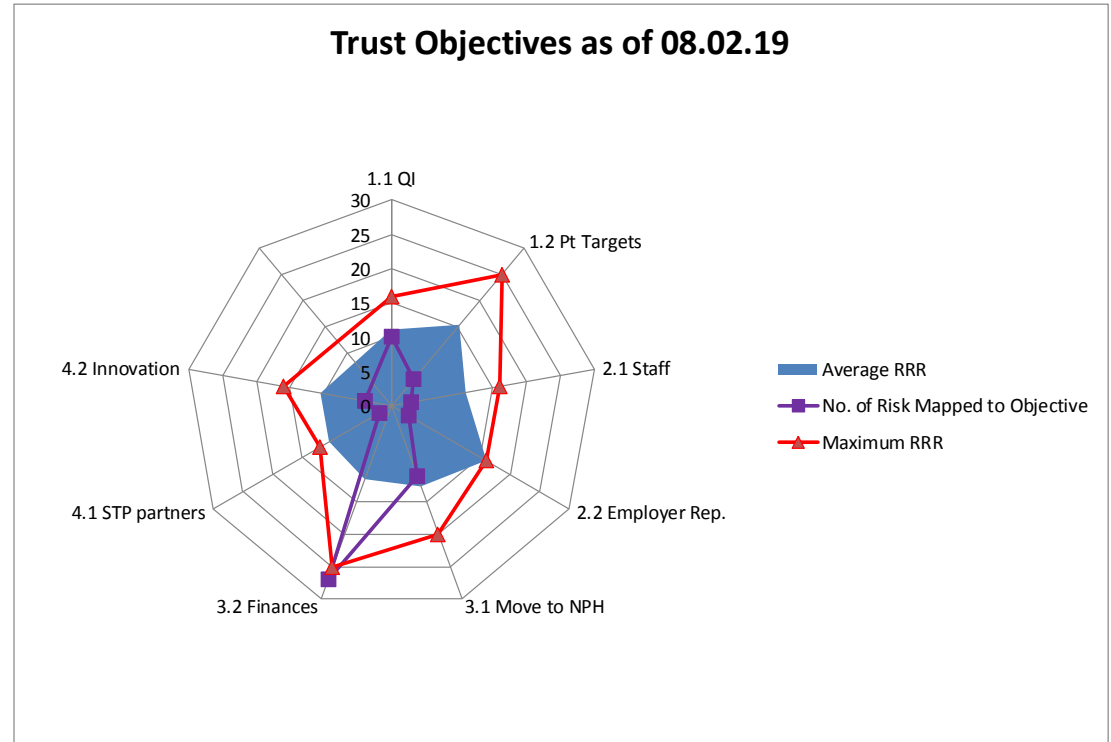


NB Chart lines are not linear. The chart provides a representation of the overall ‘risk universe’.

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 QI	10	11	16	6		1
1.2 Pt Targets	5	15	25	8		
2.1 Staff	3	11	16	8		
2.2 Employer Rep.	3	16	16	16		
3.1 Move to NPH	11	13	20	6		1
3.2 Finances	27	11	25	6		1
4.1 STP partners	2	11	12	9		
4.2 Innovation	4	11	16	6		



Trust Objectives 2018/2019 Key

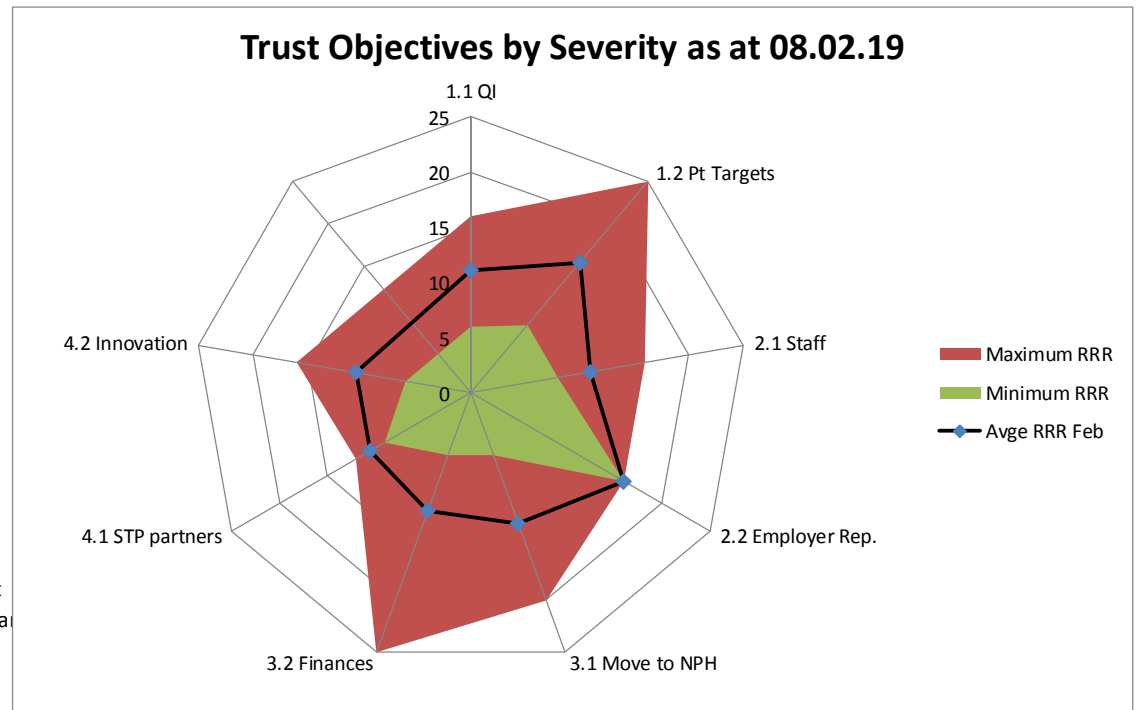
- 1.1 To deliver continuous quality improvement
- 1.2 Activity plan and meet our patient access targets
- 2.1 Support and engage with our staff
- 2.2 Enhance our reputation as an employer
- 3.1 Deliver a safe and effective move
- 3.2 Deliver our financial plan
- 4.1 Work closely with our STP partners to agree a high quality plan
- 4.2 Innovate at our new hospital

Risks Opened in Month:	
Risks Closed in Month:	BAF 1511

3 Strategic Objectives by severity of Residual Risk Rating



Trust Objective	Severity - Residual Risk Rating				
	Ave RRR Jan	Ave RRR Feb	Maximum RRR	Minimum RRR	change in Ave RRR
1.1 QI	12	11	16	6	●
1.2 Pt Targets	15	15	25	8	●
2.1 Staff	12	11	16	8	● *
2.2 Employer Rep.	14	16	16	16	● *
3.1 Move to NPH	13	13	20	6	●
3.2 Finances	12	11	25	6	●
4.1 STP partners	11	11	12	9	●
4.2 Innovation	11	11	16	6	●



Trust Objectives 2018/2019 Key

- 1.1 To deliver continuous quality improvement
- 1.2 Activity plan and meet our patient access targets
- 2.1 Support and engage with our staff
- 2.2 Enhance our reputation as an employer
- 3.1 Deliver a safe and effective move
- 3.2 Deliver our financial plan
- 4.1 Work closely with our STP partners to agree a high quality plan
- 4.2 Innovate at our new hospital

* BAF 684 mapping to SO 2.1 & SO2.2 corrected in February figures no change in reported risks

Appendix A: BAF Tracker Risks Above Risk Appetite



BAF Tracker 8/2/2019

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	Dec-18	Jan-19	Feb-19	Status since last month	Running Trend	Trend Risk Appetite as at 8/02/2019	Risk Appetite achieved	% Risk Assurance against risk appetite BAF with Datix action plan	Safe/Effective/Responsive	CQC/PIPR	Trust Strategic Objectives 2018/2019 (key at bottom of page)	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	<input checked="" type="checkbox"/>	75%	Y	Safe	1.1, 1.2, 2.1, 3.1, 3.2, 4.2	Q&R
678	EM	11/06/2014	Failure to meet cardiac and cancer waiting targets	16	16	16	↔		12	<input checked="" type="checkbox"/>	75%	Y	Finance	1.2	Performance
684	JR	11/06/2014	Failure to release staff to undertake educational activity due to workload	9	9	9	↔		8	<input checked="" type="checkbox"/>	89%	Y	People Manag. & Cult.	2.1	Q&R
690	RC	11/06/2014	Ageing Estate	12	12	12	↔		6	<input checked="" type="checkbox"/>	50%	Y	Safe	1.1, 3.1, 3.2	Q&R
730	RH	01/04/2015	R&D strategic recognition	12	12	12	↔		8	<input checked="" type="checkbox"/>	67%	Y	Responsive	4.1	Q&R
742	JR	30/01/2015	Safer staffing and Monitor's Agency Price cap	20	16	16	↔		6	<input checked="" type="checkbox"/>	38%	Y	Safe	1.1	Q&R
744	JR	15/01/2015	CQC Fundamentals of care	15	15	15	↔		6	<input checked="" type="checkbox"/>	40%	Y	Safe	1.1, 3.1	Q&R
833	RC	01/02/2016	Current Trading Income performance	20	20	20	↔		10	<input checked="" type="checkbox"/>	50%	Y	Finance	3.2	Performance
835	RC	01/02/2016	Current Trading Expenditure	20	20	20	↔		10	<input checked="" type="checkbox"/>	50%	Y	Finance	3.2	Performance
836	EM	01/02/2016	Income Growth - targets	25	25	25	↔		12	<input checked="" type="checkbox"/>	48%	Y	Finance	3.2	Performance
837	EM	01/02/2016	Income Growth - case mix	20	20	20	↔		12	<input checked="" type="checkbox"/>	60%	Y(F)	Finance	3.2	Performance
841	EM	01/02/2016	Delivery of Efficiency Challenges - SIP Board approved	20	20	20	↔		12	<input checked="" type="checkbox"/>	60%	Y	Effective	3.2	Performance
843	EM	01/02/2016	Delivery of Efficiency Challenges - SIP targets	20	20	20	↔		12	<input checked="" type="checkbox"/>	60%	Y(F)	Effective	3.2	Performance
865	EM	01/02/2016	Income Growth - activity transfers	20	20	20	↔		12	<input checked="" type="checkbox"/>	60%	Y(F)	Finance	3.1	Performance
866	RC	01/02/2016	Expenditure Growth - New ways of working	15	15	15	↔		12	<input checked="" type="checkbox"/>	80%	Y	Transformation	3.1, 3.2	Performance
868	EM	01/02/2016	Capacity assumptions - length of stay	12	12	12	↔		10	<input checked="" type="checkbox"/>	83%	Y(F)	Responsive	1.2	Performance
869	EM	01/02/2016	Capacity assumptions - activity	25	25	25	↔		10	<input checked="" type="checkbox"/>	40%	Y(F)	Responsive	1.2	Performance
1162	EM	07/07/2016	The STP work includes Cardiology	9	9	9	↔		8	<input checked="" type="checkbox"/>	89%	Y	Transformation	4.1	SPC
1695	OM	22/09/2017	Insufficient workforce levels to meet the staffing requirements of new RPH	16	16	16	↔		12	<input checked="" type="checkbox"/>	75%	Y	Safe	1.1, 1.2, 3.1, 4.2	SPC
1787	JR	22/12/2017	Optimisation of the EPR systems	12	12	12	↔		6	<input checked="" type="checkbox"/>	50%	Y	Safe	1.1	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	<input checked="" type="checkbox"/>	38%	Y	Safe	2.2	Performance
1854	OM	27/04/2018	Unable to recruit number of staff with the required skills/experience.	16	16	16	↔		6	<input checked="" type="checkbox"/>	38%	Y	Safe	2.2	Performance
1929	OM	23/07/2018	Low levels of Staff Engagement	16	16	16	↔		9	<input checked="" type="checkbox"/>	56%	Y(HR)	People Manag. & Cult.	2.1, 2.2	Q&R

Appendix B: BAF Tracker Risks Below Risk Appetite



BAF Tracker 8/2/2019

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	Dec-18	Jan-19	Feb-19	Status since last month	ngoing running Trend	Risk Appetite as at 8/02/2019	Risk Appetite achieved	% Risk Assurance against risk appetite	BAF with Datix action plan	CQC/PIPR	Trust Strategic Objectives 2018/2019 (Key at bottom of page)	Responsible Committee in addition to the Board
689	AR	11/06/2014	Pathology IM&T systems	12	12	12	↔		12	☑	100%	Y	Transformation	4.2	SPC
731	RH	01/04/2014	Research Good Clinical Practice and Research Governance	6	6	6	↔		8	☑	133%	Y	Responsive	1.1	Q&R
746	RC	01/01/2015	Future financial performance	6	6	6	↔		12	☑	200%	Y	Finance	3.2	Performance
838	JR	01/02/2016	Income Growth - CQUIN rates	9	9	9	↔		12	☑	133%	Y	Finance	3.2	Performance
839	RC	01/02/2016	Efficiency Assumptions - inflation rates	8	8	8	↔		12	☑	150%	Y	Finance	3.2	Performance
840	RC	01/02/2016	Efficiency Assumptions - tariff changes	8	8	8	↔		12	☑	150%	Y	Finance	3.2	Performance
847	RC	01/02/2016	Variations on the New Hospital	10	10	10	↔		10	☑	100%	Y	Transformation	3.1, 3.2	Performance
849	RC	01/02/2016	Whole Hospital Equipping Plan - loan draw down	6	6	6	↔		12	☑	200%	Y	Transformation	3.2	Performance
850	RC	01/02/2016	Whole Hospital Equipping Plan purchases vs loan value	12	8	8	↔		12	☑	150%	Y	Transformation	3.1, 3.2	Performance
852	RC	01/02/2016	Operational Transition - Transitional Relief	6	6	6	↔		9	☑	150%	Y	Finance	3.1, 3.2	Performance
858	JR	01/02/2016	Electronic Patient Record System - benefits (Linked to ID1787)	8	6	6	↔		12	☑	200%	Y	Transformation	1.1, 4.2, 3.2	SPC
872	RC	01/02/2016	Efficiency assumptions - government policy changes	6	6	6	↔		12	☑	200%	Y	People Manag. & Cult.	3.2	Performance
873	RC	01/02/2016	Master Development and control plans - sale value	10	10	10	↔		10	☑	100%	Y	Finance	3.2	Performance
874	RC	01/02/2016	Master Development and control plans - sales dates	10	10	10	↔		10	☑	100%	Y	Finance	3.2	Performance
875	RC	01/02/2016	Master Development and control plans - local planning regulations	10	10	10	↔		10	☑	100%	Y	Transformation	3.2	Performance
877	RC	01/02/2016	Unitary Payment - RPI increases	9	9	9	↔		9	☑	100%	Y	Finance	3.2	Performance
882	RC	01/02/2016	Whole hospital equipping plan - deficit position	12	12	12	↔		12	☑	100%	Y	Finance	1.1, 3.1, 3.2	Performance
884	RC	01/02/2016	Operational Transition - Transitional Relief	6	6	6	↔		9	☑	150%	Y	Finance	3.2	Performance
1030	MJ	17/02/2016	Microsoft Software Licenses Non-compliance	12	12	8	↓		12	☑	150%	Y	Finance	1.1, 3.2	SPC
1427	RC	10/02/2017	Failure to deliver the operational financial plan	10	10	10	↔		12	☑	120%	Y	Finance	3.2	Performance