



Royal Papworth Hospital
NHS Foundation Trust

Board Assurance Framework

January 2019

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

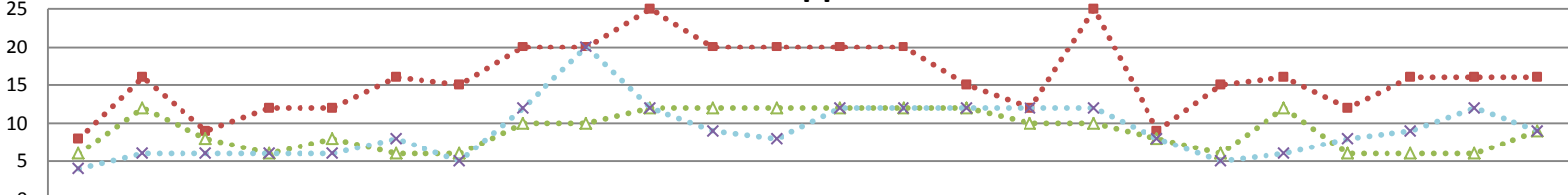
Headlines

- Twenty four BAF risks have a Residual Risk Rating above the Risk Appetite set by the Trust. One risk BAF 1114 has been closed in month.
- A review of risk appetite and risk target had been undertaken in January 2019. This will consolidate a number of risks across income and expenditure and which will reduce from 8 to 2 consolidated risks. It has identified those risks that will crystallise through the delivery of the operational plan and the move to the new hospital. The updated assessments will be reflected in future reports.
- The Cyber Security Risk noted at the last meeting will be captured in the February report.

Recommendation

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

Risks Above Appetite 08.01.19



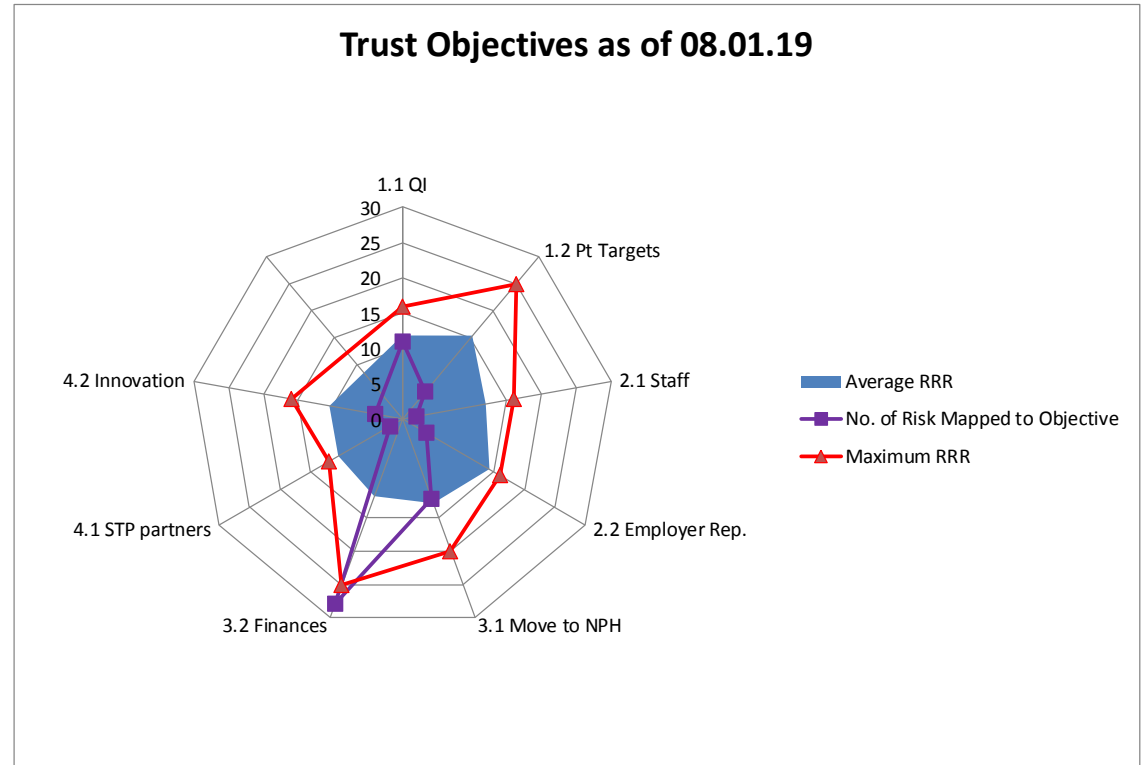
BAF ID	675	678	684	690	730	742	744	833	835	836	837	841	843	865	866	868	869	1162	1511	1695	1787	1853	1854	1929
Residual Risk Rating	8	16	9	12	12	16	15	20	20	25	20	20	20	20	15	12	25	9	15	16	12	16	16	16
Risk Appetite	6	12	8	6	8	6	6	10	10	12	12	12	12	12	12	10	10	8	6	12	6	6	6	9
Target RR	4	6	6	6	6	8	5	12	20	12	9	8	12	12	12	12	12	8	5	6	8	9	12	9

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	Severity - Residual Risk Rating				Risks Opened in Month	Risks Closed in Month
	No. of Risk Mapped to Objective	Average RRR	Maximum RRR	Minimum RRR		
1.1 QI	11	12	16	6		
1.2 Pt Targets	5	15	25	8		
2.1 Staff	2	12	16	8		
2.2 Employer Rep.	4	14	16	9		
3.1 Move to NPH	12	13	20	6		
3.2 Finances	28	12	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 1114

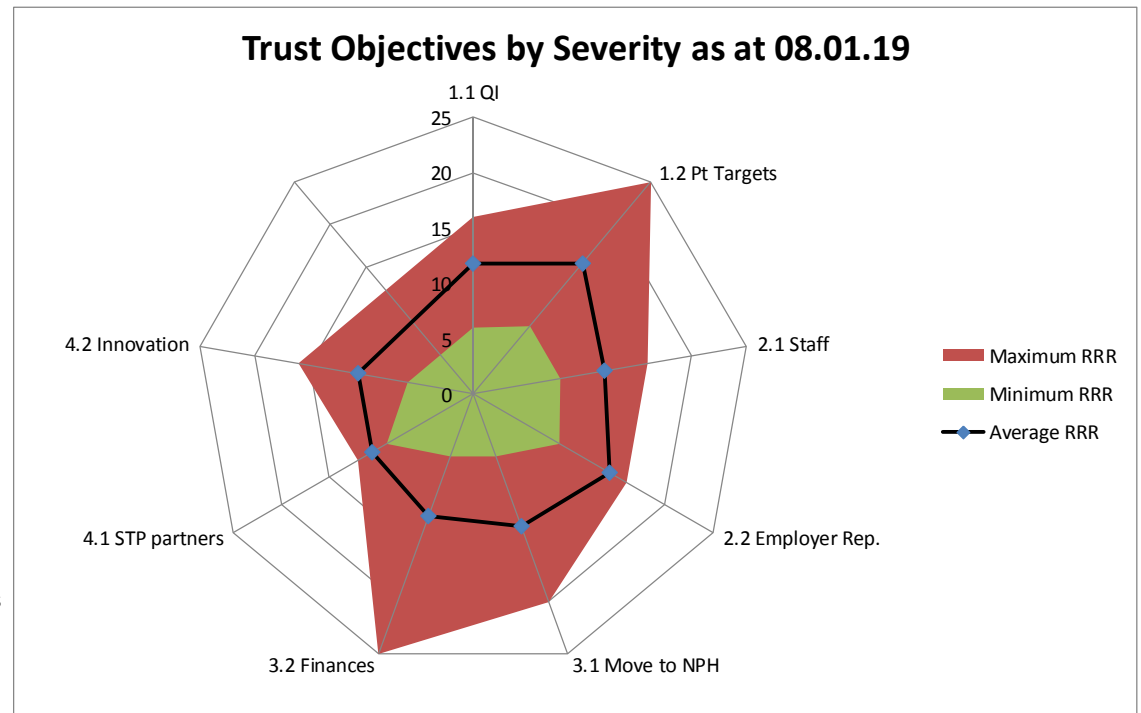
3 Strategic Objectives by severity of Residual Risk Rating



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

Trust Objectives 2018/2019 Key

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Appendix A: BAF Tracker Risks Above Risk Appetite



BAF Tracker 8/1/2019															
Produced by Anna Pearman, Risk Manager															
Note: Data taken from Datix will reflect the score given to the risk as close as possible to 1st of the month. i.e. Some risks were updated mid-month and thus other Trust reports may have captured a different score															
ID	Exec	Opened	Title	Nov-18	Dec-18	Jan-19	Status since last month	Running Trend	Current Risk Appetite as at 17/02/2017	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
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	16	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	20	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	Strategic Projects
1511	JR	05/05/2017	Inability to retain or recruit staff affecting quality, care and capacity	15	15	15	↔		6	<input checked="" type="checkbox"/>	40%	Y	People Manag. & Cult.	1.1, 3.1, 3.2	Q&R
1695	OM	22/09/2017	Insufficient workforce 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	Strategic Projects
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	↔		9	<input checked="" type="checkbox"/>	56%	Y	Safe	2.2	Performance
1854	OM	27/04/2018	Unable to recruit number of staff with the required skills/experience.	16	16	16	↔		12	<input checked="" type="checkbox"/>	75%	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 8/1/2019

Produced by Anna Pearman, Risk Manager

Note: Data taken from Datix will reflect the score given to the risk as close as possible to 1st of the month. i.e. Some risks were updated mid-month and thus other Trust reports may have captured a different score

ID	Exec	Opened	Title	Nov-18	Dec-18	Jan-19	Status since last month	ngoing running Trend	Risk Appetite as at 17/02/2017	Risk Appetite achieved	% Risk Assurance gained 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	<input checked="" type="checkbox"/>	100%	Y	Transformation	4.2	Strategic Projects
731	RH	01/04/2014	Research Good Clinical Practice and Research Governance	6	6	6	↔		8	<input checked="" type="checkbox"/>	133%	Y	Responsive	1.1	Q&R
746	RC	01/01/2015	Future financial performance	6	6	6	↔		12	<input checked="" type="checkbox"/>	200%	Y	Finance	3.2	Performance
838	JR	01/02/2016	Income Growth - CQUIN rates	9	9	9	↔		12	<input checked="" type="checkbox"/>	133%	Y	Finance	3.2	Performance
839	RC	01/02/2016	Efficiency Assumptions - inflation rates	8	8	8	↔		12	<input checked="" type="checkbox"/>	150%	Y	Finance	3.2	Performance
840	RC	01/02/2016	Efficiency Assumptions - tariff changes	8	8	8	↔		12	<input checked="" type="checkbox"/>	150%	Y	Finance	3.2	Performance
847	RC	01/02/2016	Variations on the New Hospital	10	10	10	↔		10	<input checked="" type="checkbox"/>	100%	Y	Transformation	3.1, 3.2	Performance
849	RC	01/02/2016	Whole Hospital Equipping Plan - loan draw down	6	6	6	↔		12	<input checked="" type="checkbox"/>	200%	Y	Transformation	3.2	Performance
850	RC	01/02/2016	Whole Hospital Equipping Plan purchases vs loan value	12	12	8	↓		12	<input checked="" type="checkbox"/>	150%	Y	Transformation	3.1, 3.2	Performance
852	RC	01/02/2016	Operational Transition - Transitional Relief	6	6	6	↔		9	<input checked="" type="checkbox"/>	150%	Y	Finance	3.1, 3.2	Performance
858	JR	01/02/2016	Electronic Patient Record System - benefits (Linked to ID1787)	8	8	6	↓		12	<input checked="" type="checkbox"/>	200%	Y	Transformation	1.1, 4.2, 3.2	Strategic Projects
872	RC	01/02/2016	Efficiency assumptions - government policy changes	12	6	6	↔		12	<input checked="" type="checkbox"/>	200%	Y	People Manag. & Cult.	3.2	Performance
873	RC	01/02/2016	Master Development and control plans - sale value	10	10	10	↔		10	<input checked="" type="checkbox"/>	100%	Y	Finance	3.2	Performance
874	RC	01/02/2016	Master Development and control plans - sales dates	10	10	10	↔		10	<input checked="" type="checkbox"/>	100%	Y	Finance	3.2	Performance
875	RC	01/02/2016	Master Development and control plans - local planning regulations	10	10	10	↔		10	<input checked="" type="checkbox"/>	100%	Y	Transformation	3.2	Performance
877	RC	01/02/2016	Unitary Payment - RPI increases	9	9	9	↔		9	<input checked="" type="checkbox"/>	100%	Y	Finance	3.2	Performance
882	RC	01/02/2016	Whole hospital equipping plan - deficit position	12	12	12	↔		12	<input checked="" type="checkbox"/>	100%	Y	Finance	1.1, 3.1, 3.2	Performance
884	RC	01/02/2016	Operational Transition - Transitional Relief	9	6	6	↔		9	<input checked="" type="checkbox"/>	150%	Y	Finance	3.2	Performance
1030	AR	17/02/2016	Microsoft Software Licenses Non-compliance	12	12	12	↔		12	<input checked="" type="checkbox"/>	100%	Y	Finance	1.1, 3.2	Strategic Projects
1427	RC	10/02/2017	Failure to deliver the operational financial plan	10	10	10	↔		12	<input checked="" type="checkbox"/>	120%	Y	Finance	3.2	Performance