



**Royal Papworth Hospital**  
NHS Foundation Trust

# Board Assurance Framework

January 2021

Produced by  
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# Contents



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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 and are captured within the Trusts' Datix reporting system. Executive Directors review open BAF risks on a monthly basis and BAF risks are brought to Trust Committees at each meeting. The BAF tracker for January 2021 includes the Residual Risk Rating (RRR) and long term trend for each BAF risk and is attached at Appendix A (above Appetite) and B (within Appetite).

**Headlines:** Fifteen risks have a Residual Risk Rating above Risk Appetite.

**New BAF Risks:** **BAF 2697** (RRR9 C3xL3): The System Commissioning/ Framework as previously reported.

**Closed risks:** **BAF 865:** Income Growth Risk Activity Transfers; **BAF 2526:** International PPE Supplies closed as we have a secure supply chain in place.

## Other updates:

**BAF 2532 Pandemic:** RRR increased 20 (C5xL4). EoE Region now in 'super surge'. RPH providing 20 ECMO beds and critical care surge areas have been opened. We are providing the regional critical care transfer service and respiratory surge capacity. Plans are in place for further surge areas as required. Day Ward and Clinical Education have been re-located and green cardiology and green surgery are co-located on the 5th floor. All clinical care is being prioritised (priority1/emergency and others based on clinical need). All staff all users have had communications from the CEO in support of the staffing response. (RRR change will be reflected in the next tracker report.)

**BAF 684: Failure to release staff for educational activity:** RRR increased to 12 (C3xL4). COVID Surge has necessitated cancellation of non-mandatory training for staff and deferment of many academic programs. Education teams are supporting core activities and welfare. Professional development continues in clinical settings within the parameters of staff availability.

**BAF 742: Safer Staffing:** Care Hours Per Patient Day (CHPPD) remained green for all areas during November: nights 97.8%, days 91.3%, both of which were an improvement from the previous month. However the risk rating remains the same, as we are in COVID-19 surge and staff are being re-deployed into Critical Care in phased cohorts. We are closely monitoring staffing levels and skill mix in line with patient acuity, dependency and clinical activity in order to titrate staffing as required in line with our COVID-19 response.

**BAF 1853: Staff turnover in excess of target:** Risk restated reflecting role of the Compassionate and Collective Leadership programme and measures being taken in response to the COVID19 pandemic. No change in RRR.

**BAF 841 & 843: CIP identification and delivery:** The 2020/21 CIP programme was re-established following the first COVID19 surge with new targets set for each department and meetings with Triumvirate leads supported by the CFO and COO. However the focus is now on progress with the pipeline of schemes which will contribute to delivery for 2021/22.

## Principal Risks (PR)

The January BAF tracker report reflects the earlier discussion at Board with principal risks relating to:

1. COVID-19 pandemic and the need to sustain operational effort and resources to the COVID 19 readiness and response.
2. Workforce, and the need to focus on recruitment and retention to support flow and our ability to deliver activity
3. Failure to optimise the new facility to deliver activity plans and meet patient demand.
4. The requirement to deliver our financial plan on a sustainable basis, addressing the underlying the structural deficit and our contribution to the wider system
5. Cyber security and data loss - the need to ensure that our services are resilient to cyber attack and that residual risks to resilience are managed.

## Recommendation

The Committee is requested to note the BAF report for January 2021.

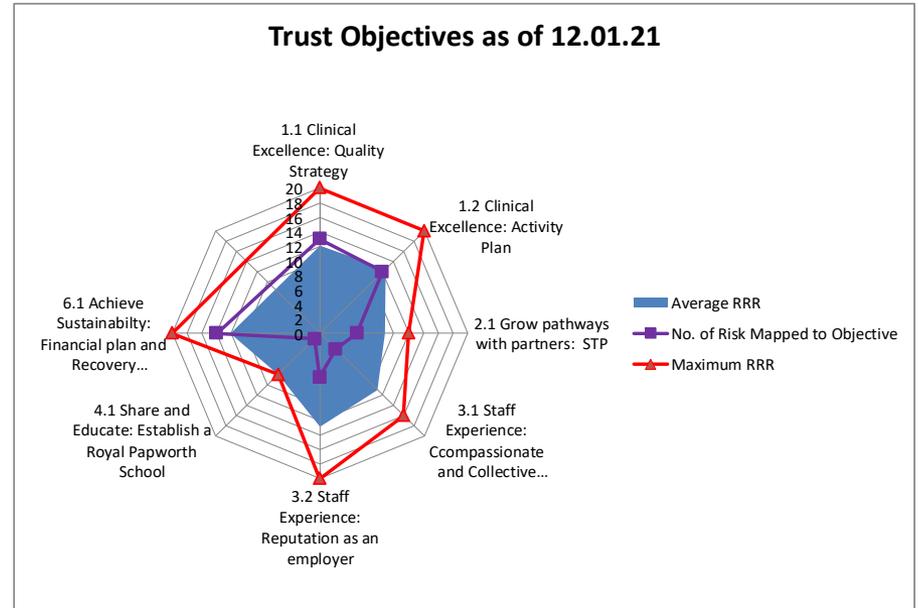
# 2 Risks Mapped to Strategic Objectives Analysis



Trust Objective	No. of Risk Mapped to Objective	Average RRR	Maximum RRR	Minimum RRR	Risks Opened	Risks Closed
1.1 Clinical Excellence: Quality Strategy	13	12.08	20	4		
1.2 Clinical Excellence: Activity Plan	12	12.58	20	6		
2.1 Grow pathways with partners: STP	5	8.8	12	6		
3.1 Staff Experience: Ccompassionate and Collective Leadership	3	11	16	8		
3.2 Staff Experience: Reputation as an employer	6	12.83	20	6		
4.1 Share and Educate: Establish a Royal Papworth School	1	8	8	8		
6.1 Achieve Sustainabilty: Financial plan and Recovery programme	14	12.14	20	6		1

### Trust Objectives 2019/20 Key

- 1.1 Clinical Excellence: Implement our Quality Strategy
- 1.2 Clinical Excellence: Deliver Our Activity Plan
- 1.3 Clinical Excellence: Use Digital as a key enabler
- 2.1 Grow pathways with partners: Continue to work in partnership with the STP
- 3.1 Staff Experience: Invest in our compassionate and collective leadership
- 3.2 Staff Experience: Enhance our reputation as an employer
- 4.1 Share and Educate: Establish a Royal Papworth School
- 5.1 Research and Innovate: Ensure progression of HLRI
- 5.2 Research and Innovate: Development of plans for utilisation of HLRI
- 6.1 Achieve Sustainabilty: Deliver our Financial plan and Recovery programme

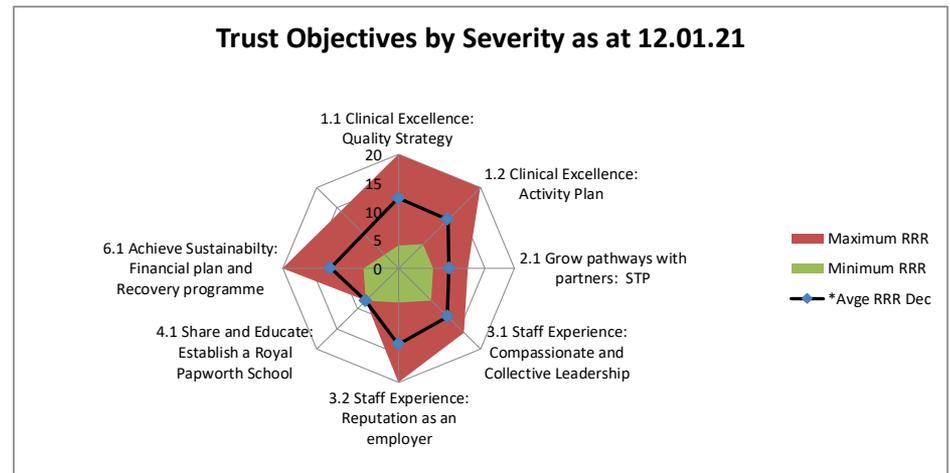


# 3 Strategic Objectives by severity of Residual Risk Rating



Severity - Residual Risk Rating

Trust Objective 2020/21	*Avge RRR Nov	*Avge RRR Dec	Maximum RRR	Minimum RRR	Change in Avge RRR
1.1 Clinical Excellence: Quality Strategy	12.1	12.3	20	4	●
1.2 Clinical Excellence: Activity Plan	12.6	12.1	20	6	●
2.1 Grow pathways with partners: STP	8.8	8.8	12	6	●
3.1 Staff Experience: Compassionate and Collective Leadership	11.0	12.0	16	8	●
3.2 Staff Experience: Reputation as an employer	12.8	13.3	20	6	●
4.1 Share and Educate: Establish a Royal Papworth School	8.0	8.0	8	8	●
6.1 Achieve Sustainability: Financial plan and Recovery programme	12.1	11.7	20	6	●



## Trust Objectives 2019/20 Key

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- 6.1 Achieve Sustainability: Deliver our Financial plan and Recovery programme

\* Average for risks included in current tracker report

# Appendix A: BAF Tracker Risks Above Risk Appetite



**BAF Tracker 12/01/2021**

Produced by Dinusha De Silva, Risk Officer

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	Oct-20	Nov-20	Dec-20	Status since last month	Long running Trend	Risk Appetite	Risk Appetite achieved	% Risk Assurance against risk appetite	BAF with Datix action plan	CCQ/PIPR	Responsible Committee in addition to the Board
678	EM	11/06/2014	Failure to meet cardiac and cancer waiting targets	16	16	16	↔		12	<input checked="" type="checkbox"/>	75% Y	Finance	Performance	
684	IG	11/06/2014	Failure to release staff to undertake educational activity due to workload	9	9	12	↑		8	<input checked="" type="checkbox"/>	67% Y	People Manag. & Cult.	Q&R	
742	JR	30/01/2015	Safer staffing and Monitor's Agency Price cap	12	12	12	↔		6	<input checked="" type="checkbox"/>	50% Y	Safe	Q&R	
841	EM	01/02/2016	Delivery of Efficiency Challenges - CIP Board approved	20	20	20	↔		12	<input checked="" type="checkbox"/>	60% Y	Effective	Performance	
843	EM	01/02/2016	Delivery of Efficiency Challenges - CIP targets	20	20	20	↔		12	<input checked="" type="checkbox"/>	60% Y(F)	Effective	Performance	
1021	AR	17/02/2016	Potential for cyber breach and data loss	16	20	20	↔		3	<input checked="" type="checkbox"/>	15% Y	Safe	SPC/Performance	
1162	EM	07/07/2016	We will not utilise our expertise to influence local strategy for cardiology	9	9	9	↔		8	<input checked="" type="checkbox"/>	89% Y	Transformation	SPC	
1787	JR	22/12/2017	Optimisation of the EPR systems	8	8	8	↔		6	<input checked="" type="checkbox"/>	75% Y	Safe	Q&R	
1853	OM	27/04/2018	Staff turnover in excess of target	15	15	15	↔		8	<input checked="" type="checkbox"/>	53% Y	Safe	Performance	
1854	OM	27/04/2018	Unable to recruit number of staff with the required skills/experience	15	15	15	↔		8	<input checked="" type="checkbox"/>	53% Y	Safe	Performance	
1929	OM	23/07/2018	Low levels of Staff Engagement	16	16	16	↔		4	<input checked="" type="checkbox"/>	25% Y(HR)	People Manag. & Cult.	Q&R	
2146	TG	29/03/2019	Current Trading Impacts - Consultant Job Plans	15	15	15	↔		10	<input checked="" type="checkbox"/>	67% Y(F)	Finance	Performance	
2541	TG	24/03/2020	Cash risk from increase COVID expenditure	9	9	9	↔		6	<input checked="" type="checkbox"/>	67% Y (F)	Finance	Performance, Board	
2572	JR	16/04/2020	Super Surge COVID19	8	8	8	↔		6	<input checked="" type="checkbox"/>	75% Y (EDs)	Effective	Board	
2697	TG	14/09/2020	Commissioning Framework/arrangements		9	9	↔		6	<input checked="" type="checkbox"/>	67% Y (EDs)	Finance	Performance	

Parked due to COVID

# Appendix B: BAF Tracker Risks Below Risk Appetite



**BAF Tracker 12/01/2021**

Produced by Dinusha De Silva, Risk Officer

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	Oct-20	Nov-20	Dec-20	Status since last month	Long 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	4	4	4	↔		6	<input checked="" type="checkbox"/>	150%	Y	Safe	Q&R
730	RH	01/04/2015	R&D strategic recognition	6	6	6	↔		8	<input checked="" type="checkbox"/>	133%	Y	Responsive	Q&R
858	RA	01/02/2016	Electronic Patient Record System - benefits (Linked to ID1787)	12	12	12	↔		12	<input checked="" type="checkbox"/>	100%	Y	Transformation	SPC
2145	TG	29/03/2019	Current Trading Impacts - Planned Activity	8	8	8	↔		12	<input checked="" type="checkbox"/>	150%	Y(F)	Effective	Performance
2148	EM	29/03/2019	Current Growth	15	15	9	↓		12	<input checked="" type="checkbox"/>	133%	Y(F)	Finance	Performance
2149	EM	29/03/2019	Capacity Assumptions	9	9	9	↔		10	<input checked="" type="checkbox"/>	111%	Y(F)	Finance	Performance
2163	TG	29/03/2019	Efficiency assumptions	12	12	12	↔		12	<input checked="" type="checkbox"/>	100%	Y(F)	Finance	Performance
2338	AR	29/08/2019	EU exit	6	6	6	↔		16	<input checked="" type="checkbox"/>	267%	Y(EDs)	Finance	Board
2532	IG	05/03/2020	Pandemic	15	15	15	↔		25	<input checked="" type="checkbox"/>	167%	T(EDs)	Effective	Board
Parked due to COVID														