



Royal Papworth Hospital
NHS Foundation Trust

Board Assurance Framework

April 2019

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May 2019

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 May 2019 which includes the long term trend for each BAF risk is attached at Appendix A (above Appetite) and B (within Appetite).

Headlines

Twenty BAF risks have a Residual Risk Rating above the Risk Appetite set by the Trust. Five of these are the new consolidated BAF Risks and these will appear on the datix tracker from the next report:

BAF 2145	Current Trading:	Residual Risk Rating 15
BAF 2148	Future Growth:	Residual Risk Rating 25
BAF 2149	Capacity Assumptions	Residual Risk Rating 15
BAF 2163	Efficiency Assumptions	Residual Risk Rating 15
BAF 2225	FM mobilisation and bedding in	Residual Risk Rating 20

Remapping of BAF Risks to Trust Strategic Objectives for 2019/20 is in progress but is not complete for all risks and so the updated analysis against strategic objectives will be included in the June BAF report to Board.

Key issues

The May BAF tracker reports reflects the month 1 position for 2019/20. There are limited movements in risk ratings in month however the move to the new site and the agreement of the 2019/20 Operational Plan has generated the consolidation of BAF risks as previously seen and approved at Committee and Board.

As well as the establishment of the new consolidated BAF risks noted the following 17 risks were closed in month as planned: 690, 833, 835, 836, 837, 838, 839, 840, 852, 866, 868, 869, 877, 882, 884, 1427 and 1965 (further details of closed risks can be found within the prior months’ BAF reports).

BAF 744 (CQC Fundamentals of Care) has seen improvement moving from a residual risk rating of 15 to 10. This follows completion of the RPIR and the self-assessment, which rated the organisation as ‘Good to Outstanding’. Additionally the Fundamentals of care Board is proving successful in driving through CQC awareness and supporting actions associated with the Mock inspections. Successful registration site visit with recommendation that we are registered, awaiting confirmation from CQC

Recommendation

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

Appendix A: BAF Tracker Risks Above Risk Appetite



BAF Tracker 13/05/2019																
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	Mar-19	Apr-19	May-19	Status since last month	Fig running Trend	Risk Appetite	Risk Appetite achieved	% Risk Assurance	Limit risk appetite	BAF with Datix action plan	COC/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	<input checked="" type="checkbox"/>	75%	Y	Safe	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	Performance		
684	JR	11/06/2014	Failure to release staff to undertake educational activity due to	9	9	9	↔		8	<input checked="" type="checkbox"/>	89%	Y	People Manag. & Cult.	Q&R		
690	RC	11/06/2014	Ageing Estate - CLOSED	12	12	12	↔		6	<input checked="" type="checkbox"/>	50%	Y	Safe	Q&R		
730	RH	01/04/2015	R&D strategic recognition	12	12	12	↔		8	<input checked="" type="checkbox"/>	67%	Y	Responsive	Q&R		
742	JR	30/01/2015	Safer staffing and Monitor's Agency Price cap	12	12	12	↔		4	<input checked="" type="checkbox"/>	33%	Y	Safe	Q&R		
744	JR	15/01/2015	CQC Fundamentals of care	15	15	10	↓		6	<input checked="" type="checkbox"/>	60%	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		
865	EM	01/02/2016	Income Growth - activity transfers	20	20	20	↔		12	<input checked="" type="checkbox"/>	60%	Y(F)	Finance	Performance		
1021	AR	17/02/2016	Potential for cyber breach and data loss	15	15	15	↔		3	<input checked="" type="checkbox"/>	20%	Y	Safe	SPC		
1162	EM	07/07/2016	If we don't engage with STP we won't influence local strategy for	9	9	9	↔		8	<input checked="" type="checkbox"/>	89%	Y	Transformation	SPC		
1787	JR	22/12/2017	Optimisation of the EPR systems	12	12	12	↔		6	<input checked="" type="checkbox"/>	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	<input checked="" type="checkbox"/>	38%	Y	Safe	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	Performance		
1929	OM	23/07/2018	Low levels of Staff Engagement	16	16	16	↔		9	<input checked="" type="checkbox"/>	56%	Y(F)	People Manag. & Cult.	Q&R		

Appendix B: BAF Tracker Risks Below Risk Appetite



BAF Tracker 13/05/2019

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	Mar-19	Apr-19	May-19	Status since last month	Fig running Trend	Risk Appetite	Risk Appetite achieved	% Risk Assurance joint risk appetite	BAF with Datix action plan	CCG/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
731	RH	01/04/2014	Research Good Clinical Practice and Research Governance	6	6	6	↔		8	<input checked="" type="checkbox"/>	133%	Y	Responsive	Q&R
746	RC	01/01/2015	Future financial performance	6	6	6	↔		12	<input checked="" type="checkbox"/>	200%	Y	Finance	Performance
847	RC	01/02/2016	Variations on the New Hospital	10	10	10	↔		10	<input checked="" type="checkbox"/>	100%	Y	Transformation	Performance
849	RC	01/02/2016	Whole Hospital Equipping Plan - loan draw down	6	6	6	↔		12	<input checked="" type="checkbox"/>	200%	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
872	RC	01/02/2016	Efficiency assumptions - government policy changes	6	6	6	↔		12	<input checked="" type="checkbox"/>	200%	Y	People Manag. & Cult.	Performance
873	RC	01/02/2016	Master Development and control plans - sale value	10	10	10	↔		10	<input checked="" type="checkbox"/>	100%	Y	Finance	Performance
874	RC	01/02/2016	Master Development and control plans - sales dates	10	10	10	↔		10	<input checked="" type="checkbox"/>	100%	Y	Finance	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	Performance