



Royal Papworth Hospital
NHS Foundation Trust

Board Assurance Framework

June 2019

Produced by
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NHS Foundation Trust

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

Headlines

Twenty two BAF risks have a Residual Risk Rating above the Risk Appetite set by the Trust. The key new risk is BAF 2249 Hospital Optimisation.

New BAF risk 2249: *'If we fail to optimise the new hospital then we will fail to utilise the full capacity and fail to deliver safe and effective services'* reflects the risk to delivery identified in discussion at Board and Committee. A Hospital Optimisation group has been established and action plans are being put in place with review across Board Committees. This is an overarching risk that is underpinned by plans across: delivery of staffing levels to maximise use of capacity; modernisation of ways of working; delivery of the digital transformation agenda; delivery of strategic system partnerships to support research and innovation, as well as shifts in services. The action plan for this risk will be owned by the Executive Directors.

BAF risk 873: Master Development and control plans - sale value: has an increased level of risk following the contractual issues identified relating to the proposed land sale.

Key issues

The BAF reflects the month 2 position for 2019/20 with risks relating to our:

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 consequent financial impact on sustainability and our contribution to the wider system

all featuring materially within our BAF.

Other changes

There are a number of changes in the tracker reflecting:

Remapping of BAF Risks to Trust Strategic Objectives for 2019/20 which has now been complete for all risks and so the updated analysis against strategic objectives is included in this report.

The consolidated BAF risks 2145, 2148, 2163 and risk 2225 being added to the BAF tracker as discussed last month.

The short risk description for BAF 1162 has been revised to better capture the risk to the Trust.

BAF Risks closed in month in line with previous reports to Board: 690, 746, 872.

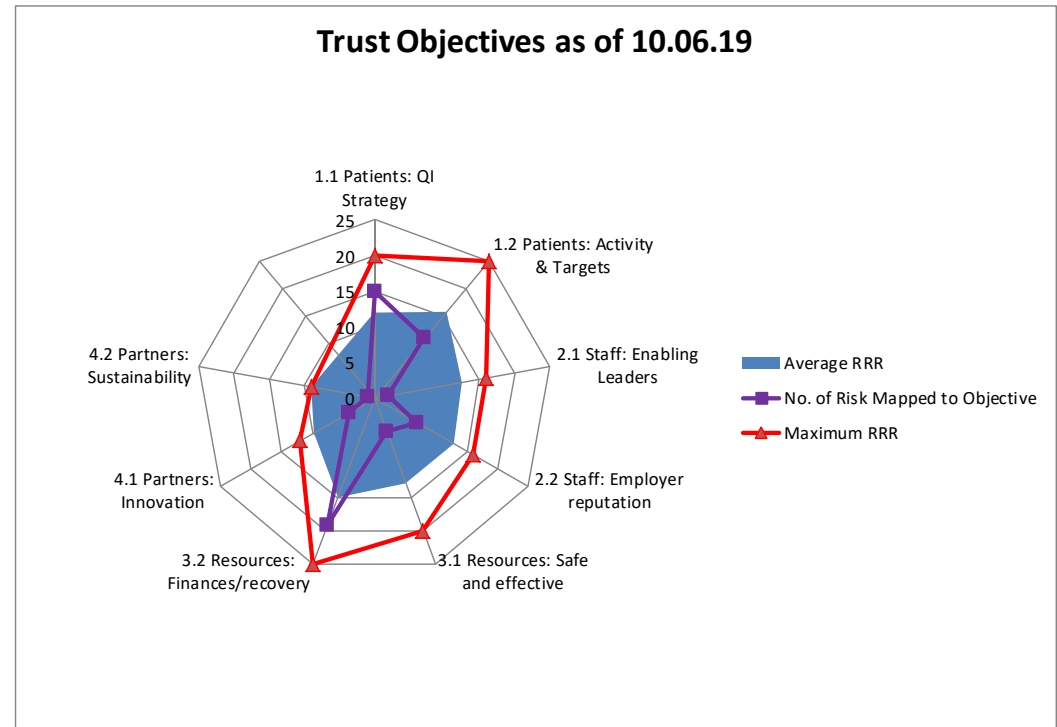
Recommendation

The Board are requested to note the BAF report for June 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	20	6		
1.2 Patients: Activity & Targets	11	16	25	9		
2.1 Staff: Enabling Leaders	2	13	16	9		
2.2 Staff: Employer reputation	7	13	16	9		
3.1 Resources: Safe and effective	5	13	20	9		
3.2 Resources: Finances/recovery	19	15	25	3		
4.1 Partners: Innovation	4	10	12	6		
4.2 Partners: Sustainability	1	9	9	9		



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

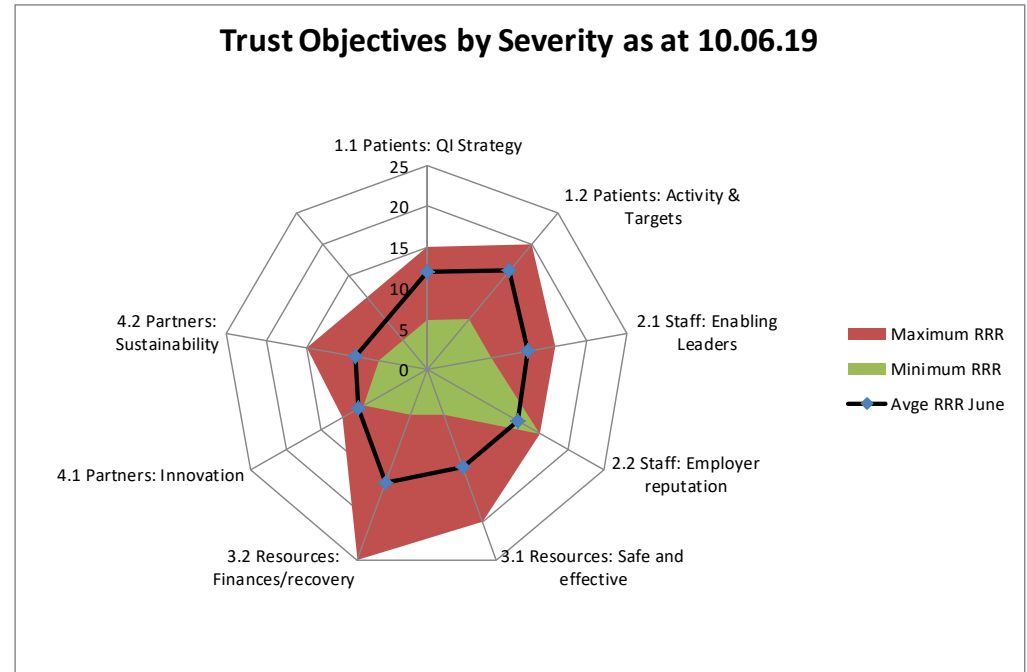
Risks Opened in Month:	
Risks Closed in Month:	

First report 2019/20

3 Strategic Objectives by severity of Residual Risk Rating



Trust Objective	Severity - Residual Risk Rating				
	Avg RRR May*	Avg RRR June	Maximum RRR	Minimum RRR	change in Avg RRR
1.1 Patients: QI Strategy	12.4	12.0	15	6	●
1.2 Patients: Activity & Targets	16.3	15.8	20	8	●
2.1 Staff: Enabling Leaders	12.5	12.5	16	8	●
2.2 Staff: Employer reputation	13.6	12.9	16	16	●
3.1 Resources: Safe and effective	13.8	12.8	20	6	●
3.2 Resources: Finances/recovery	14.6	14.9	25	6	●
4.1 Partners: Innovation	9.8	9.8	12	9	●
4.2 Partners: Sustainability	9.0	9.0	15	6	●



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* New consolidated risks assumed to have same values at opening in May

Appendix A: BAF Tracker Risks Above Risk Appetite



BAF Tracker 10/6/2019 v3 reproduced 19/06/2019
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	Apr-19	May-19	Jun-19	↑/↓/↔ 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	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 workload	9	9	9	↔	8	☒	89%	Y	People Manag. &	Q&R
730	RH	01/04/2015	R&D strategic recognition: Risk of damage to reputation as a centre of excellence	12	12	12	↔	8	☒	67%	Y	Responsive	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	BAF CQC Fundamentals of care	15	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	10	10	20	↑	10	☒	50%	Y	Finance	Performance
1021	AR	17/02/2016	Potential for cyber breach and data loss	15	15	10	↓	3	☒	30%	Y	Safe	SPC
1162	EM	07/07/2016	We will not utilise our expertise to influence local strategy for cardiology	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: Risks - loss of key skills, reduced levels of	16	16	16	↔	6	☒	38%	Y	Safe	Performance
1854	OM	27/04/2018	Unable to recruit number of staff with the required skills/experience: Risks - safe staffing levels, delivery of activity	16	16	16	↔	6	☒	38%	Y	Safe	Performance
1929	OM	23/07/2018	Low levels of Staff Engagement: Risks - turnover, recruitment, sickness absence, staff morale, team working	16	16	16	↔	9	☒	56%	(Y)H	People Manag. &	Q&R
2145	EM	29/03/2019	Current Trading: Risks - delivery of planned activity and prices			20	↑	12	☒	60%	(Y)F	Effective	Performance
2148	RC	29/03/2019	Current Growth: Risks - change in casemix resulting on lower income/cash			25	↑	12	☒	48%	(Y)F	Finance	Performance
2149	RC	29/03/2019	Capacity Assumptions: Risks - assumptions could understate costs or overstate income levels			15	↑	10	☒	67%	(Y)F	Finance	Performance
2163	RC	29/03/2019	Efficiency assumptions: Risks - assumptions result in cost pressures			15	↑	12	☒	80%	(Y)F	Finance	Performance
2225	RC	29/03/2019	FM mobilisation and bedding in: Risks - failures will impact on delivery of FM services			20	↑	15	☒	75%	(Y)F	Safe	Performance
2249	JR	07/06/2019	Optimisation: Risks - failure to utilise capacity and deliver safe & effective services			15	↑	10	☒	67%	Y	Effective	All

Appendix B: BAF Tracker Risks Below Risk Appetite



BAF Tracker 10/6/2019 v3 reproduced 19/06/2019

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	Apr-19	May-19	Jun-19	tus 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
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
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	3	↓		12	<input checked="" type="checkbox"/>	400%	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
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	10	10	10	↔		10	<input checked="" type="checkbox"/>	100%	Y	Transformation	Performance