



Royal Papworth Hospital
NHS Foundation Trust

Board Assurance Framework

July 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 for July 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.

Movements in month:

BAF 2145: Current Trading Impact risk has been increased as we are unlikely to meet planned activity levels over in remainder of the year. An Activity Recovery Plan has been put in place and taken through the Performance Committee setting out reasons for the variance from plan and actions to recover performance against planned activity levels

BAF 1854 Recruitment risk: The rating of this has been increased following ED review reflecting wider system impact of failure in recruitment. (This movement will appear on the tracker report from August 2019.) A weekly Recruitment Focus meeting started 10 the July 2019, to support recruitment efforts.

BAF 1021: Potential for cyber breach and data loss. This risk still remains extreme and the risk assessment has been increased in month from ‘unlikely’ to ‘possible’ . (This movement will appear on the tracker report from August 2019.)

BAF 2245 Service mobilisation: Reduced due to impact of service recovery plan

Closed Risks: BAF 731 Good Clinical Practice and Research Governance.

Key issues

BAF 2249: Hospital Optimisation: This risk is the key area of focus for the Executive and the Hospital Optimisation Group has been established with initial focus of work on surgical and outpatient optimisation. The work of the Group has informed the Activity Recovery Plan and this risk is on the agenda of all Board sub committees.

Principal Risks

The July BAF tracker reports reflects the earlier discussion at Board with principal risks relating to:

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 requirement to deliver our financial plan on a sustainable basis, addressing the underlying the structural deficit and our contribution to the wider system

Recommendation

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

2 Risks Mapped to Strategic Objectives Analysis

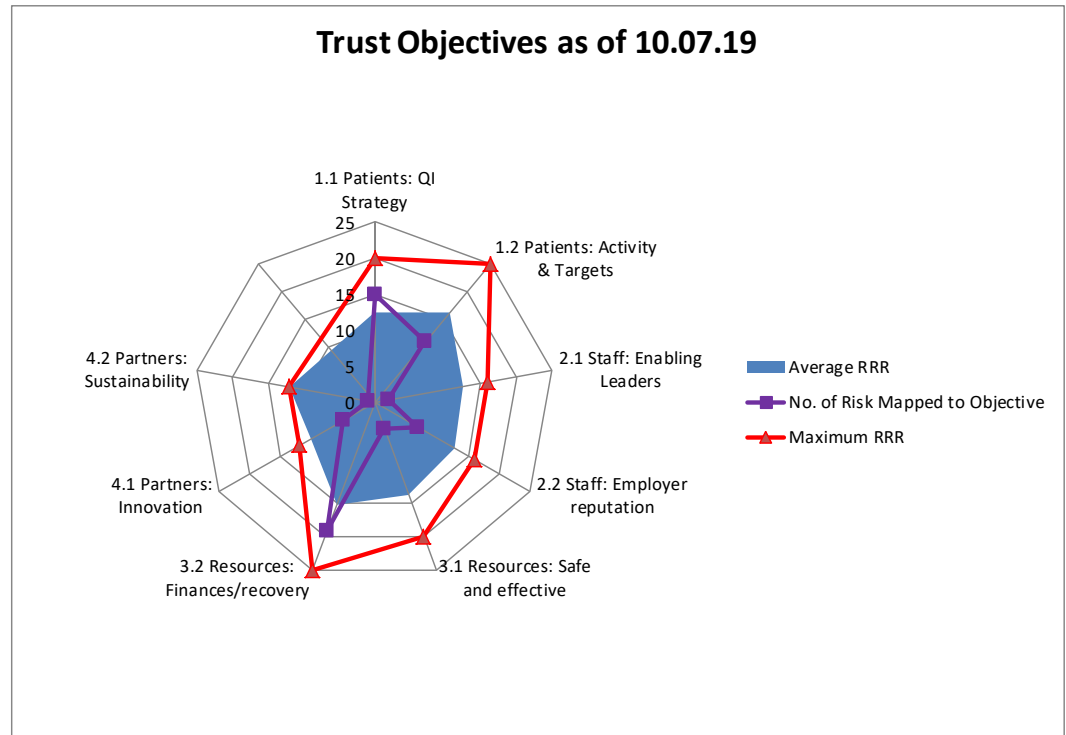


Trust Objective	No. of Risk Mapped to Objective	Average RRR	Maximum RRR	Minimum RRR	Risks Opened in Month	Risks Closed in Month
1.1 Patients: QI Strategy	15	12	20	6		1
1.2 Patients: Activity & Targets	11	16	25	9		
2.1 Staff: Enabling Leaders	2	13	16	9		
2.2 Staff: Employer reputation	7	13	16	9		
3.1 Resources: Safe and effective	4	14	20	10		
3.2 Resources: Finances/recovery	19	15	25	3		
4.1 Partners: Innovation	5	10	12	6		
4.2 Partners: Sustainability	1	12	12	12		

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:	0
Risks Closed in Month:	1



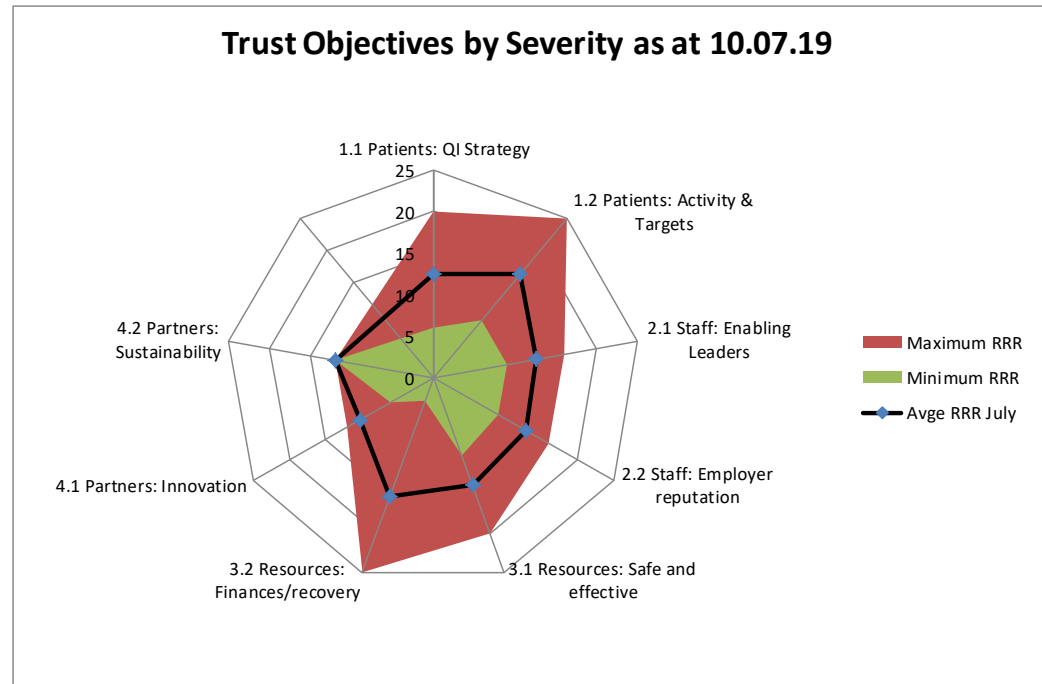
3 Strategic Objectives by severity of Residual Risk Rating



Severity - Residual Risk Rating

Trust Objective	Avg RRR June	Avg RRR July	Maximum RRR	Minimum RRR	change in Avg RRR
1.1 Patients: QI Strategy	12.5	12.5	20	6	🟡
1.2 Patients: Activity & Targets	15.8	16.3	25	9	🔴
2.1 Staff: Enabling Leaders	12.5	12.5	16	9	🟡
2.2 Staff: Employer reputation	12.9	12.9	16	9	🟡
3.1 Resources: Safe and effective	13.8	13.8	20	10	🟡
3.2 Resources: Finances/recovery	14.9	15.2	25	3	🔴
4.1 Partners: Innovation	10.2	10.2	12	6	🟡
4.2 Partners: Sustainability	12.0	12.0	12	12	🟡

Trust Objectives by Severity as at 10.07.19



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

Appendix A: BAF Tracker Risks Above Risk Appetite



BAF Tracker 12/07/2019

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	May-19	Jun-19	Jul-19	Status since last month	Long running Trend	Risk Appetite	Risk Appetite achieved	% Risk Assurance against risk appetite	BAF with Datix action plan	COC/PIPR	Responsible Committee 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	
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	10	10	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	
873	RC	01/02/2016	Master Development and control plans - sale value	10	20	20	↔	10	<input checked="" type="checkbox"/>	50% Y	Finance	Performance	
1021	AR	17/02/2016	Potential for cyber breach and data loss	15	10	10	↔	3	<input checked="" type="checkbox"/>	30% Y	Safe	SPC	
1162	EM	07/07/2016	We will not utilise our expertise to 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(HR)	People Manag. & Cult.	Q&R	
2145	EM	29/03/2019	Current Trading		20	25	↑	12	<input checked="" type="checkbox"/>	48% Y(F)	Effective	Performance	
2148	RC	29/03/2019	Current Growth		25	25	↔	12	<input checked="" type="checkbox"/>	48% Y(F)	Finance	Performance	
2149	RC	29/03/2019	Capacity Assumptions		15	15	↔	10	<input checked="" type="checkbox"/>	67% Y(F)	Finance	Performance	
2163	RC	29/03/2019	Efficiency assumptions		15	15	↔	12	<input checked="" type="checkbox"/>	80% Y(F)	Finance	Performance	
2225	RC	29/03/2019	FM mobilisation and bedding in		20	20	↔	15	<input checked="" type="checkbox"/>	75% Y(F)	Safe	Performance	
2249	JR	07/06/2019	Hospital Optimisation		15	15	↔	10	<input checked="" type="checkbox"/>	67% Y(Ex)	Effective	PC, Q&R, SPC	

Appendix B: BAF Tracker Risks Below Risk Appetite



BAF Tracker 12/07/2019

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	May-19	Jun-19	Jul-19	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 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
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	3	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 regulations	10	10	10	↔	10	<input checked="" type="checkbox"/>	100%	Y	Transformation	Performance