



Royal Papworth Hospital
NHS Foundation Trust

Board Assurance Framework

September 2019

Produced by
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Contents



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

Headlines

Twenty one BAF risks have a Residual Risk Rating above the Risk Appetite set by the Trust.

Movements in month:

BAF 2338: EU Exit appears on the BAF Tracker following the rating approval at the Board in September. This is assessed as being within risk appetite.

New BAF Risks: One risk has been escalated to the BAF in Month:

BAF Risk 2146: If the Trust is unable to agree the Consultant Job plans prior to the start of the 2019/20 financial year, **then** this provides a risk of costs being in excess of planned levels.

The agreement of job plans has not been finalised in line with agreed timetables for 2019/20 and this presents a financial risk to current trading.

Closed Risks: BAF 744 CQC Fundamentals of care. The Committee agreed to the change in scope of this risk at the last meeting. This risk has now been closed.

Key issues:

BAF 1853/1854: The BAF Committee reports noted improvement in the workforce risks relating to recruitment and turnover. These are welcome but have not resulted in a change of the current risk assessment.

BAF 2145/2148: There has been activity ahead of planned levels in month 5 and this has recovered some of the GIC protection, if this trend continues then these risks could potentially be reduced.

Principal Risks

The September 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 September 2019.

2 Risks Mapped to Strategic Objectives Analysis

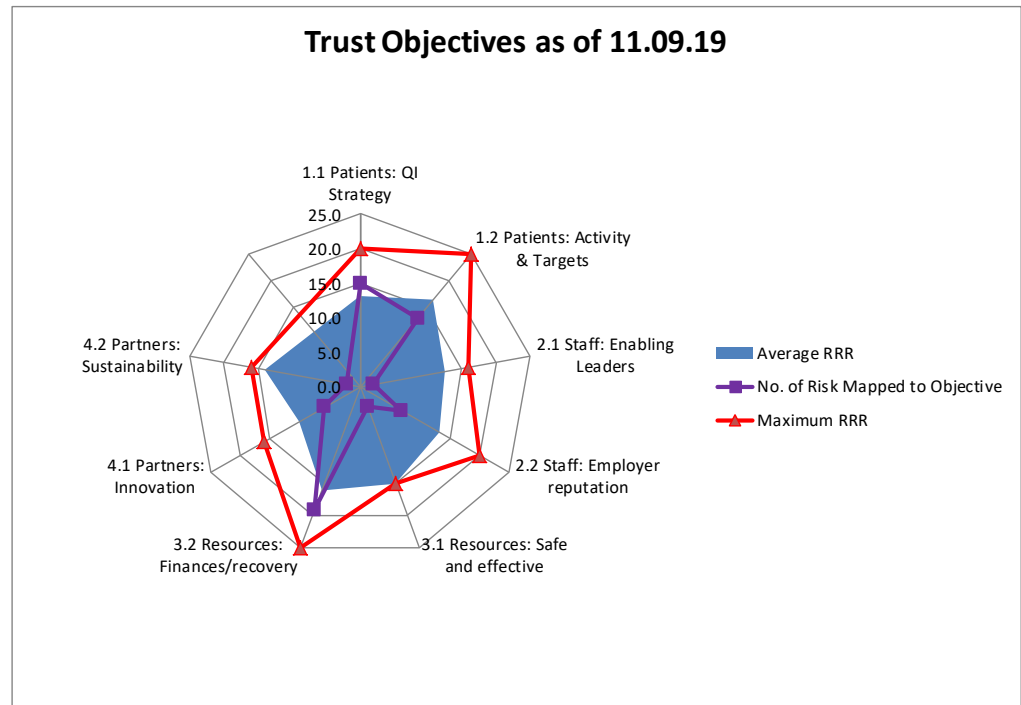


Trust Objective	No. of Risk Mapped to Objective	Average RRR	Maximum RRR	Minimum RRR	Risks Opened in Month	Risks Closed in Month
1.1 Patients: QI Strategy	15	13.1	20	6	1	1
1.2 Patients: Activity & Targets	13	16.5	25	9	2	
2.1 Staff: Enabling Leaders	2	12.5	16	9		
2.2 Staff: Employer reputation	7	13.3	20	6		
3.1 Resources: Safe and effective	3	15.0	15	10		1
3.2 Resources: Finances/recovery	19	16.1	25	8	1	
4.1 Partners: Innovation	6	10.2	16	6	1	
4.2 Partners: Sustainability	2	14.0	16	12	1	

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:	2
Risks Closed in Month:	1



3 Strategic Objectives by severity of Residual Risk Rating

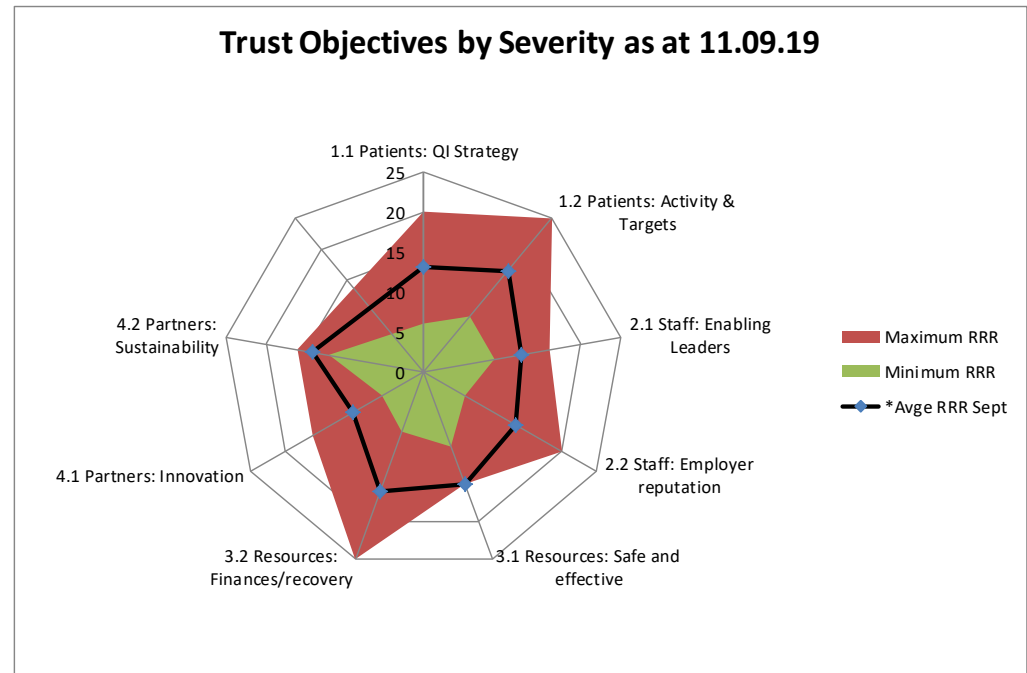


Trust Objective	Severity - Residual Risk Rating				
	* Avge RRR Aug	* Avge RRR Sept	Maximum RRR	Minimum RRR	change in Avge RRR
1.1 Patients: QI Strategy	12.9	13.1	20	6	●
1.2 Patients: Activity & Targets	16.6	16.5	25	9	●
2.1 Staff: Enabling Leaders	12.5	12.5	16	9	●
2.2 Staff: Employer reputation	13.3	13.3	20	6	●
3.1 Resources: Safe and effective	15	15.0	15	10	●
3.2 Resources: Finances/recovery	16.1	16.1	25	8	●
4.1 Partners: Innovation	9	10.2	16	6	●
4.2 Partners: Sustainability	12	14.0	16	12	●

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* Average for risks included in current tracker report



Appendix A: BAF Tracker Risks Above Risk Appetite



BAF Tracker 11/9/2019 v1

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	Jul-19	Aug-19	Sep-19	Status since last month	Running Trend	Risk Appetite	Risk Appetite achieved	% Risk Assurance	Joint risk appetite	BAF with Datix action plan	CCC/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	9	9	9	↔	8	☒	89%	Y	People Manag. & Cult.	Q&R	
742	JR	30/01/2015	Safer staffing and Monitor's Agency Price cap	12	12	12	↔	4	☒	33%	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	20	20	20	↔	10	☒	50%	Y	Finance	Performance	
874	RC	01/02/2016	Master Development and control plans - sales dates	10	15	15	↔	10	☒	67%	Y	Finance	Performance	
1021	AR	17/02/2016	Potential for cyber breach and data loss	10	15	15	↔	3	☒	20%	Y	Safe	SPC	
1162	EM	07/07/2016	We will not utilise our expertise to influence local strategy for	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	16	16	16	↔	6	☒	38%	Y	Safe	Performance	
1854	OM	27/04/2018	Unable to recruit number of staff with the required skills/experience	16	20	20	↔	6	☒	30%	Y	Safe	Performance	
1929	OM	23/07/2018	Low levels of Staff Engagement	16	16	16	↔	9	☒	56%	Y(HR)	People Manag. & Cult.	Q&R	
2145	EM	29/03/2019	Current Trading	25	25	25	↔	12	☒	48%	Y(F)	Effective	Performance	
2146	RC	29/03/2019	NEW - Current Trading Impacts - Consultant Job Plans			15	↑	12	☒	80%	Y(F)	Finance	Performance	
2148	RC	29/03/2019	Current Growth	25	25	25	↔	12	☒	48%	Y(F)	Finance	Performance	
2149	RC	29/03/2019	Capacity Assumptions	15	15	15	↔	10	☒	67%	Y(F)	Finance	Performance	
2163	RC	29/03/2019	Efficiency assumptions	15	15	15	↔	12	☒	80%	Y(F)	Finance	Performance	
2249	JR	07/06/2019	Hospital Optimisation	15	15	15	↔	10	☒	67%	Y(EDs)	Effective	Performance, Q&R, SPC	

Appendix B: BAF Tracker Risks Below Risk Appetite



BAF Tracker 11/9/2019 v1

Produced by Anna Pearman, Risk Manager

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ID	Exec	Opened	Title	Jul-19	Aug-19	Sep-19	Status since last month	Running Trend	Risk Appetite	Risk Appetite achieved	% Risk Assurance against risk appetite	BAF with Datix action plan	COC/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
730	RH	01/04/2015	Failure to give R&D strategic direction and recognition	12	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
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
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
2225	RC	29/03/2019	FM mobilisation and bedding in	15	15	15	↔	15	<input checked="" type="checkbox"/>	100%	Y(F)	Safe	Performance
2338	AR	29/08/2019	NEW - EU exit			16	↑	16	<input checked="" type="checkbox"/>	100%	Y(EDs)	Finance	Board