



Royal Papworth Hospital
NHS Foundation Trust

Board Assurance Framework

October 2019

Produced by
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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. There were no movements reported in the October tracker.

Escalations

BAF 678: RTT and Cancer Waiting time Targets (RRR 16): Concerns about system factors having an adverse impact on delivery of Cancer targets have been escalated through the Q&R Committee to the Board.

BAF 858: EPR Benefits realisation (RRR 6): This risk has been reviewed in month and escalated to a rating of 15 which will be captured in the tracker next month. The delivery of savings is adversely affected by the overall hospital optimisation as benefits are activity dependent. (The action plan for the linked risk BAF 1787 Optimisation of the EPR systems, has been referred for review through CPAC and Q&R).

Key issues

BAF 2145/2148: Current Trading (RRR 25): We have seen continued activity ahead of planned levels in month 6 and this has recovered some of the GIC protection, if this trend continues then this risk could potentially be reduced.

BAF 841/843: CIP Risks (RRR 20): The identification and delivery of CIP

targets remains significantly behind plan for 2019/20.

BAF 865: Cardiology Transfer (RRR 20): The proposal for transfer is progressing with identification of the detail of the CUH activity transfer. The final STP submission is due at the end of November.

BAF 1854: Recruitment (RRR 20): The Trust has seen good induction numbers and these will have a positive impact on the vacancy rate. However as new starters require a period of induction and supernumerary training we will continue to have beds closed in the short term. Additionally the increase in establishment supporting the Cardiology transfer from CUH will increase vacancy rates again.

Other updates

BAF 1021: Potential for cyber breach & data loss (RRR 15): Board Cyber Security briefing taking place in November. Simulated Phishing exercise undertaken and a communications campaign using the NHS Digital "Keep I.T. Confidential" campaign will take place in November.

BAF 2249: Hospital Optimisation (RRR15): The HOG has agreed the Project Master programme. External programme supported by Meridian started in October focusing on outpatients and patient flow. Theatre six opened as planned on the 1 October along with additional ward and critical care beds.

Principal Risks

The October BAF tracker report 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 October 2019.

2 Risks Mapped to Strategic Objectives Analysis

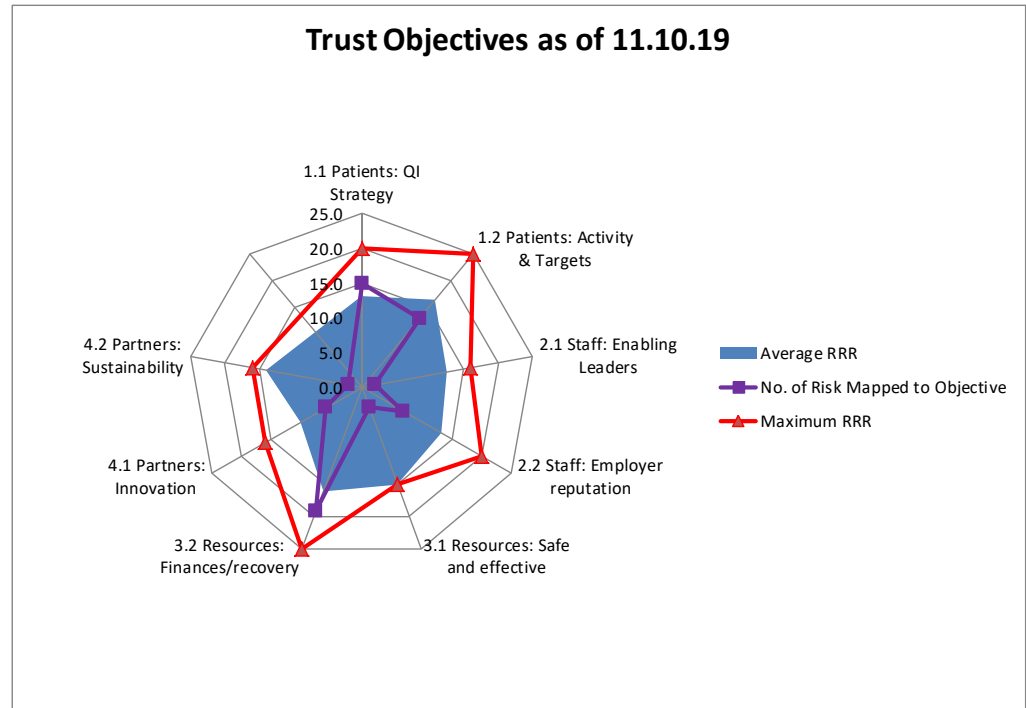


Trust Objective	No. of Risk Mapped to Objective	Average RRR	Maximum RRR	Minimum RRR	Risks Opened in Month	Risks Closed in Month
1.1 Patients: QI Strategy	15	13.1	20	6		
1.2 Patients: Activity & Targets	13	16.5	25	9		
2.1 Staff: Enabling Leaders	2	12.5	16	9		
2.2 Staff: Employer reputation	7	13.3	20	6		
3.1 Resources: Safe and effective	3	15.0	15	15		
3.2 Resources: Finances/recovery	19	16.1	25	8		
4.1 Partners: Innovation	6	10.2	16	6		
4.2 Partners: Sustainability	2	14.0	16	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:	0



SO Reference	1.1	1.2	2.1	2.2	3.1	3.2	4.1	4.2
Number of risks mapped to objective	15	13	2	7	3	19	6	2
Avg RRR September	13.13	16.46	12.5	13.29	15	16	10.17	14
Avg RRR October	13.13	16.46	12.5	13.29	15	16	10.17	14
Max	20	25	16	20	15	25	16	16
Min	6	9	9	6	15	8	6	12

3 Strategic Objectives by severity of Residual Risk Rating



Severity - Residual Risk Rating

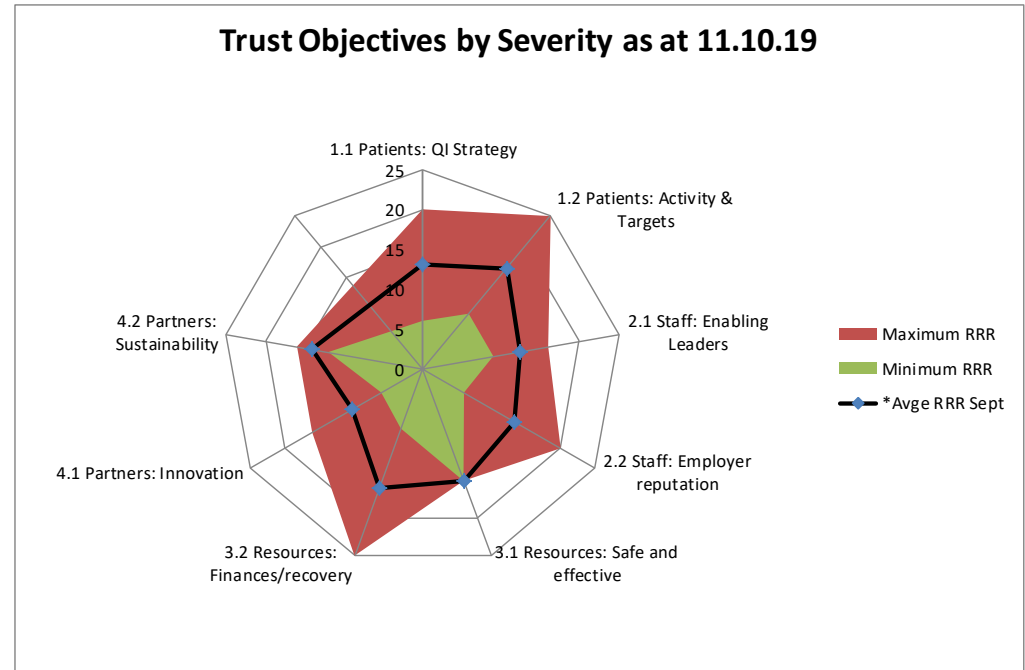
Trust Objective	* Avge RRR Aug	* Avge RRR Sept	Maximum RRR	Minimum RRR	change in Avge RRR
1.1 Patients: QI Strategy	13.1	13.1	20	6	🟡
1.2 Patients: Activity & Targets	16.5	16.5	25	9	🟡
2.1 Staff: Enabling Leaders	12.5	12.5	16	9	🟡
2.2 Staff: Employer reputation	13.3	13.3	20	6	🟡
3.1 Resources: Safe and effective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

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* Average for risks included in current tracker report

Trust Objectives by Severity as at 11.10.19



Appendix A: BAF Tracker Risks Above Risk Appetite



BAF Tracker 11/10/2019 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	Aug-19	Sep-19	Oct-19	Status since last month	Long running Trend	Risk Appetite	Risk Appetite achieved	% Risk Assurance against risk	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	☒	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. & 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	15	15	15	↔	10	☒	67%	Y	Finance	Performance
1021	AR	17/02/2016	Potential for cyber breach and data loss	15	15	15	↔	3	☒	20%	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	16	16	16	↔	6	☒	38%	Y	Safe	Performance
1854	OM	27/04/2018	Unable to recruit number of staff with the required skills/experience	20	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	Current Trading Impacts - Consultant Job Plans		15	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(ED)	Effective	Performance, Q&R, SPC

Appendix B: BAF Tracker Risks Below Risk Appetite



BAF Tracker 11/10/2019 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	Aug-19	Sep-19	Oct-19	Status since last month	Long running Trend	Risk Appetite	Risk Appetite achieved	% Risk Assurance against risk	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
730	RH	01/04/2015	R&D strategic recognition	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
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	EU exit		16	16	↔	..	16	<input checked="" type="checkbox"/>	100%	Y(ED)	Finance	Board