



Royal Papworth Hospital
NHS Foundation Trust

Board Assurance Framework

November 2019

Produced by
Anna Jarvis and Anna Pearman



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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 November 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 November tracker.

Escalations

Key issues

BAF 2145/2148: Current Trading (RRR 25): Having seen some earlier improvement activity and income have fallen behind plan in M7. The ratings for these BAF risks are therefore to be maintained at the current levels.

BAF 841/843: CIP Risks (RRR 20): The identification and delivery of CIP targets remain significantly behind plan for 2019/20. Focus is now shifting to CIP planning for 2020/21.

BAF 865: Cardiology Transfer (RRR 20): The first phase of the service transfer is progressing with CUH funding of £0.3m in 2019/20 to support the costs of the activity transfer on a non-recurrent basis. The activity transfer will be reflected in STP planning submission.

BAF 1854: Recruitment (RRR 20): Overall staffing numbers increased in September and October 2019. However, the opening of Theatre 6 and CCA beds increased establishment and so the vacancy figure has not reduced. The Trust is experiencing challenges in recruitment in Respiratory and CCA nursing as well as Radiographers and Cardiac Physiologists which is affecting ability to deliver services.

BAF 678: Failure to meet cardiac and cancer waiting targets. Weekly operational meeting including booking and theatres are in place to support Trust wide optimisation work.

Other updates

BAF 1021: Potential for cyber breach & data loss (RRR 15): The Board Cyber Security briefing took place as planned in November. The Board reflected on the rating given to Cyber security by other NHS organisations.

BAF 2249: Hospital Optimisation (RRR15): Specific project risks have been identified as a part of highlight reporting and all project risks are to be reviewed at HOG 25.11.19.

Principal Risks

The November 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

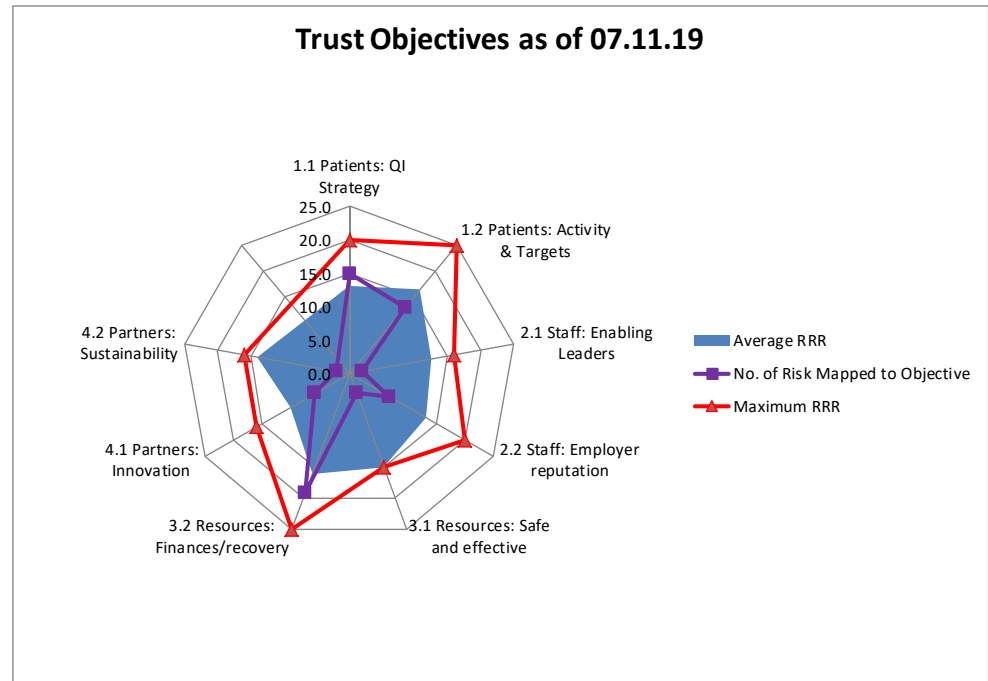
Recommendation

The Board are requested to note the BAF report for November 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 objecti	15	13	2	7	3	19	6	2
Avg RRR October	13.13	16.46	12.5	13.29	15	16	10.17	14
Avg RRR November	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



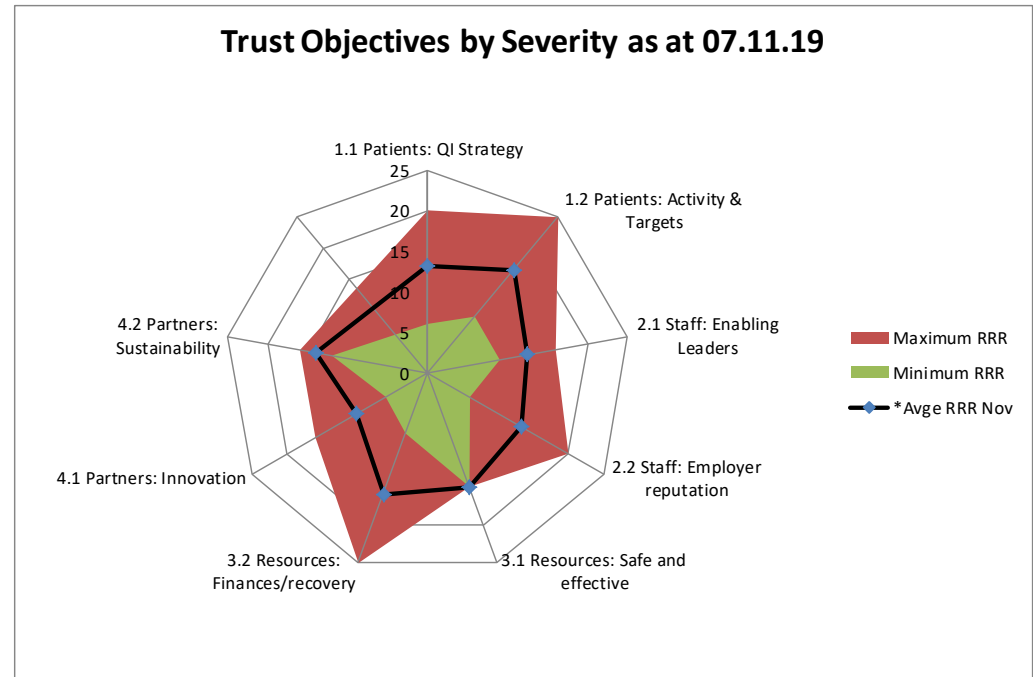
Severity - Residual Risk Rating

Trust Objective	*Avge RRR Oct	*Avge RRR Nov	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 07.11.19



Appendix A: BAF Tracker Risks Above Risk Appetite



BAF Tracker 07/11/2019 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	Sep-19	Oct-19	Nov-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	☒	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 - land sale value	20	20	20	↔	10	☒	50% Y	Finance	Performance	
874	RC	01/02/2016	Master Development and control plans - land sale 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	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's)	Effective	Performance, Q&R, SPC	

Appendix B: BAF Tracker Risks Below Risk Appetite



BAF Tracker 07/11/2019 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	Sep-19	Oct-19	Nov-19	Status since last month	Running Trend	Risk Appetite	Risk Appetite achieved	% Risk Assurance	Int 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	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	↔	***	16	<input checked="" type="checkbox"/>	100%	Y(ED's)	Finance	Board	