



Royal Papworth Hospital  
NHS Foundation Trust

# Board Assurance Framework

January 2020

Produced by  
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**Royal Papworth Hospital**  
NHS Foundation Trust

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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 January 2020 includes the long term trend for each BAF risk and 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

BAF 858: EPR System delivery of benefits: (RRR 12) Risk increased at performance review. Work ongoing to ensure benefits are being achieved

## Key issues

BAF 2145/2148: Current Trading/Growth (RRR 25): Activity and income have remained behind plan in both M7 and M8.

BAF 841/843: CIP Risks (RRR 20): The identification and delivery of CIP targets remain significantly behind plan for 2019/20. Focus has shifted to CIP planning for 2020/21 where progress is being made.

BAF 865: Cardiology Transfer (RRR 20): The first phase of the service transfer was completed in December with non-recurrent funding from CUH. The CTP team are working to finalise the model for the service transfer with CUH.

BAF 1929: Staff Engagement: The Trust has seen an increased response rate for the staff survey 62% (against 54% in 2018) and scores in many individual

indicators have fallen. Concerns focus on a perceived lack of resources. There is a significant divergence of staff experience between areas of the Trust.

BAF 1853: Retention: Turnover has moved above the Trust target of 15% with an increase in December to 16.73%. This reflects the soft information previously reported and concerns over staff engagement.

## Other updates

BAF 1021: Potential for cyber breach & data loss (RRR 15): This risk is now reporting to both the SPC and the Performance Committee.

BAF 2249: Hospital Optimisation (RRR15): Hospital Optimisation programme updates on out-patients, critical care staffing, flow through cath labs and theatres and commissioning 4NW are included on PIPR report.

BAF 1854: Recruitment: There has been increased recruitment activity around the targeted areas. However, it will be a number of months before these staff are in a position to commence at the Trust.

BAF 2146: Current Trading Consultant job plans: Planning exercise completed for 2019/20. There is a recurrent cost pressure that is unmitigated.

## Principal Risks

The January 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

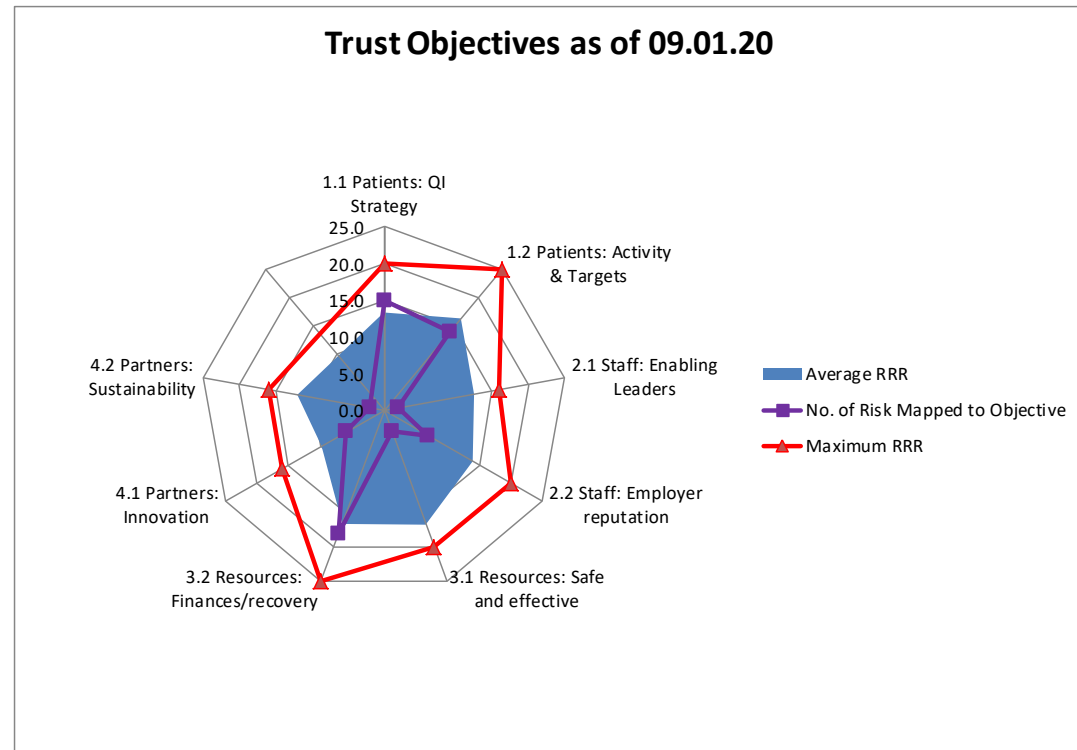
## Recommendation

The Board are requested to note the BAF report for January 2020.

# 2 Risks Mapped to Strategic Objectives Analysis



| Trust Objective                   | No. of Risk Mapped to Objective | Average RRR | Maximum RRR | Minimum RRR | Risks Opened | Risks Closed |
|-----------------------------------|---------------------------------|-------------|-------------|-------------|--------------|--------------|
| 1.1 Patients: QI Strategy         | 15                              | 13.3        | 20          | 8           |              |              |
| 1.2 Patients: Activity & Targets  | 14                              | 16.3        | 25          | 9           | 1            |              |
| 2.1 Staff: Enabling Leaders       | 2                               | 12.5        | 16          | 9           |              |              |
| 2.2 Staff: Employer reputation    | 7                               | 14.0        | 20          | 6           |              |              |
| 3.1 Resources: Safe and effective | 3                               | 16.7        | 20          | 15          |              |              |
| 3.2 Resources: Finances/recovery  | 18                              | 16.6        | 25          | 9           | 1            | 2            |
| 4.1 Partners: Innovation          | 6                               | 9.8         | 16          | 6           |              |              |
| 4.2 Partners: Sustainability      | 2                               | 12.0        | 16          | 8           |              |              |



## 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

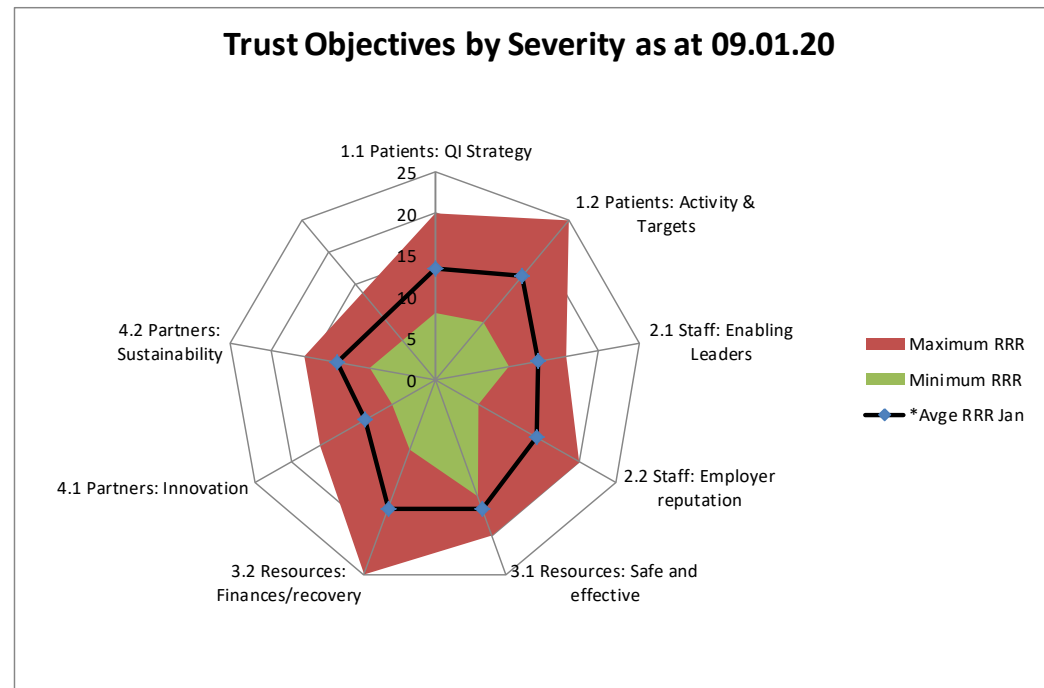
|                                       |   |
|---------------------------------------|---|
| Risks added to BAF since last report: | 1 |
| BAF Risks closed since last report:   | 2 |

# 3 Strategic Objectives by severity of Residual Risk Rating



Severity - Residual Risk Rating

| Trust Objective                   | *Avge RRR Dec | *Avge RRR Jan | Maximum RRR | Minimum RRR | change in Avge RRR |
|-----------------------------------|---------------|---------------|-------------|-------------|--------------------|
| 1.1 Patients: QI Strategy         | 12.9          | 13.3          | 20          | 8           | ●                  |
| 1.2 Patients: Activity & Targets  | 16.3          | 16.3          | 25          | 9           | ●                  |
| 2.1 Staff: Enabling Leaders       | 12.5          | 12.5          | 16          | 9           | ●                  |
| 2.2 Staff: Employer reputation    | 14.0          | 14.0          | 20          | 6           | ●                  |
| 3.1 Resources: Safe and effective | 16.7          | 16.7          | 20          | 15          | ●                  |
| 3.2 Resources: Finances/recovery  | 16.6          | 16.6          | 25          | 9           | ●                  |
| 4.1 Partners: Innovation          | 8.8           | 9.8           | 16          | 6           | ●                  |
| 4.2 Partners: Sustainability      | 12.0          | 12.0          | 16          | 8           | ●                  |



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\*Average for risks included in current tracker report

# Appendix A: BAF Tracker Risks Above Risk Appetite



## BAF Tracker 09/01/2020 v1

Produced by James Bielby, Risk Officer

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  | Nov-19 | Dec-19 | Jan-20 | Status since last month | 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      | 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     | 16     | 16     | ↔                       | .....         | 12            | ☒                      | 75% Y(F)                               | Finance                    | Performance           |  |
| 873  | RC   | 01/02/2016 | Master Development and control plans - sale value                      | 20     | 25     | 25     | ↔                       | .....         | 10            | ☒                      | 40% 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     | 20     | 20     | ↔                       | .....         | 3             | ☒                      | 15% 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     | 8      | 8      | ↔                       | .....         | 6             | ☒                      | 75% 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 Impacts - Planned Activity                             | 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)                              | Effective                  | Performance, Q&R, SPC |  |

# Appendix B: BAF Tracker Risks Below Risk Appetite



**BAF Tracker 09/01/2020 v1**

Produced by James Bielby, Risk Officer

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|------|------|------------|---|--------|--------|--------|-------------------------|--------------------|---------------|-------------------------------------|--|----------------------------|----------------|--|
| 689  | AR   | 11/06/2014 | Pathology IM&T systems  | 12     | 8      | 8      | ↔                       | .....              | 12            | <input checked="" type="checkbox"/> | 150%                                   | 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  |
| 858  | JR   | 01/02/2016 | Electronic Patient Record System - benefits (Linked to ID1787)    | 6      | 6      | 12     | ↑                       | .....              | 12            | <input checked="" type="checkbox"/> | 100%                                   | 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                                    |
| 2147 | RC   | 29/03/2019 | Current Trading Impacts - Control total                           | 15     | 10     | 10     | ↔                       | .....              | 12            | <input checked="" type="checkbox"/> | 120%                                   | Y(HR)                      | Finance        | 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)                      | Finance        | Board  |