



Royal Papworth Hospital
NHS Foundation Trust

Board Assurance Framework

May 2020

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 May 2020 includes the long term trend for each BAF risk and is attached at Appendix A (above Appetite) and B (within Appetite).

Headlines

Eighteen BAF risks have a Residual Risk Rating above Risk Appetite. **BAF 2532 Pandemic Risk** has a residual risk rating of 25 (5X5). The Pandemic risk appears as 'within' risk appetite. All BAF risks are managed to a level that is low as is reasonably practicable, however there are risks arising from the pandemic that we are not able to avoid, and that we are having to accept and manage in way that would not be tolerated under normal circumstances such as the cancellation of all routine surgery.

BAF 2526 Personal Protective Equipment COVID19 been escalated to the BAF and will appear in future reports. PPE escalation plans are in place and have been activated as required. The Trust has also secured and deployed a supply of reusable gowns for use in aerosol generating procedures.

BAF 742 Safer Staffing: Fill rates for March days and nights were red, impacted considerably due to bed closures and staff re-allocations for the COVID response. CHPPD remains green all areas. We continue to monitor safe staffing against patient acuity and dependency daily; it is also noted through Command and Control and, the Clinical Decision Cell as required.

BAF 1854 Recruitment: Rapid recruitment and induction interventions and the collaborative MOU on staff sharing across the STP has worked well, enabling us to on-board staff rapidly to key shortage areas. We continue to

ahead for long term R&R stability as we head towards new ways of working in the light of our long term response to COVID19.

BAF 1929 Staff Engagement: We are seeing many examples of staff engaging well, responding to change and displaying flexibility to get important work done. Significant effort has been taken to ensure safe working for staff in high risk health categories including facilitation home working and redeployment. Other activities have included resilience training, rest areas, free food and drink, chaplaincy support. We are working well with our staff side partners who are contributing expertise to our responses and putting their support behind decisions made.

Other updates

Reporting against the following BAF risks has been suspended as a part of the operational response to COVID 19: 730, 841, 843, 858, 865, 1787, 2249.

BAF 2225 FM Mobilisation and BAF 689 Pathology IMT have been closed.

Principal Risks

The May BAF tracker report reflects the earlier discussion at Board with principal risks relating to:

1. COVID-19 pandemic and the need to sustain operational effort and resources to the COVID 19 readiness and response.
2. Workforce, and the need to focus on recruitment and retention to support flow and our ability to deliver activity
3. Failure to optimise the new facility to deliver activity plans and meet patient demand.
4. The requirement to deliver our financial plan on a sustainable basis, addressing the underlying the structural deficit and our contribution to the wider system
5. Cyber security and data loss - the need to ensure that our services are resilient to cyber attack and that residual risks to resilience are managed.

Recommendation

The Committee is requested to note the BAF report for May 2020.

2 Risks Mapped to Strategic Objectives Analysis

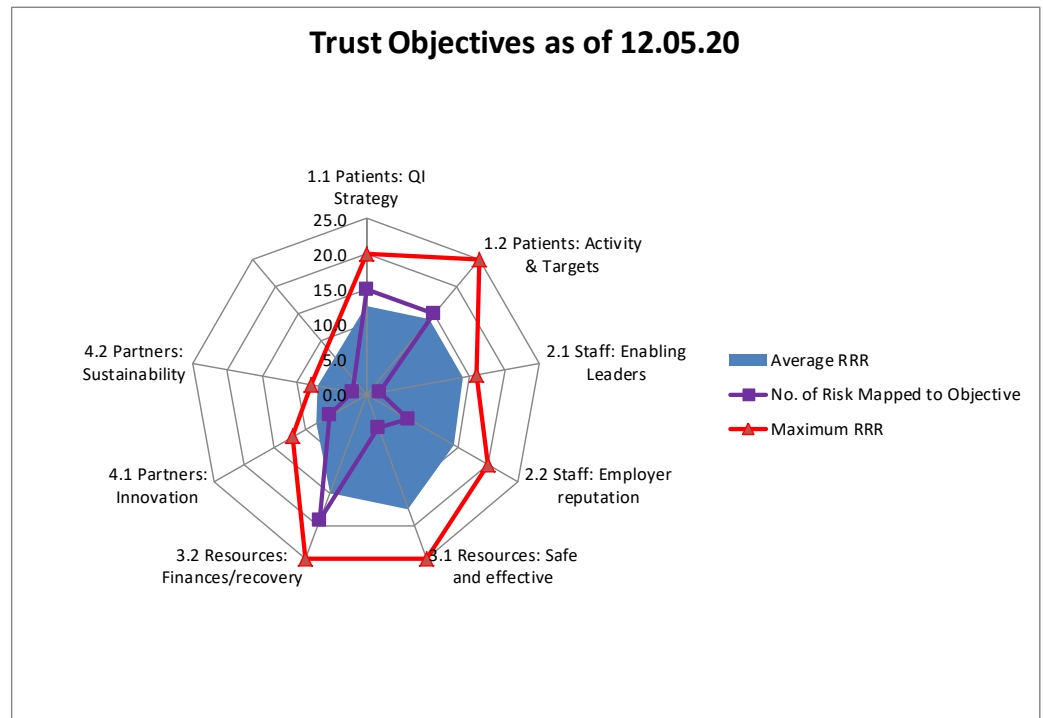


Trust Objective	No. of Risk Mapped to Objective	Average RRR	Maximum RRR	Minimum RRR	Risks Opened	Risks Closed
1.1 Patients: QI Strategy	15	12.6	20	4		
1.2 Patients: Activity & Targets	15	14.0	25	6		
2.1 Staff: Enabling Leaders	2	14.0	16	12		
2.2 Staff: Employer reputation	7	14.4	20	6		
3.1 Resources: Safe and effective	5	17.4	25	12		
3.2 Resources: Finances/recovery	19	15.0	25	9		
4.1 Partners: Innovation	6	8.2	12	6		
4.2 Partners: Sustainability	2	7.0	8	6		

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:	
BAF Risks closed since last report:	



3 Strategic Objectives by severity of Residual Risk Rating



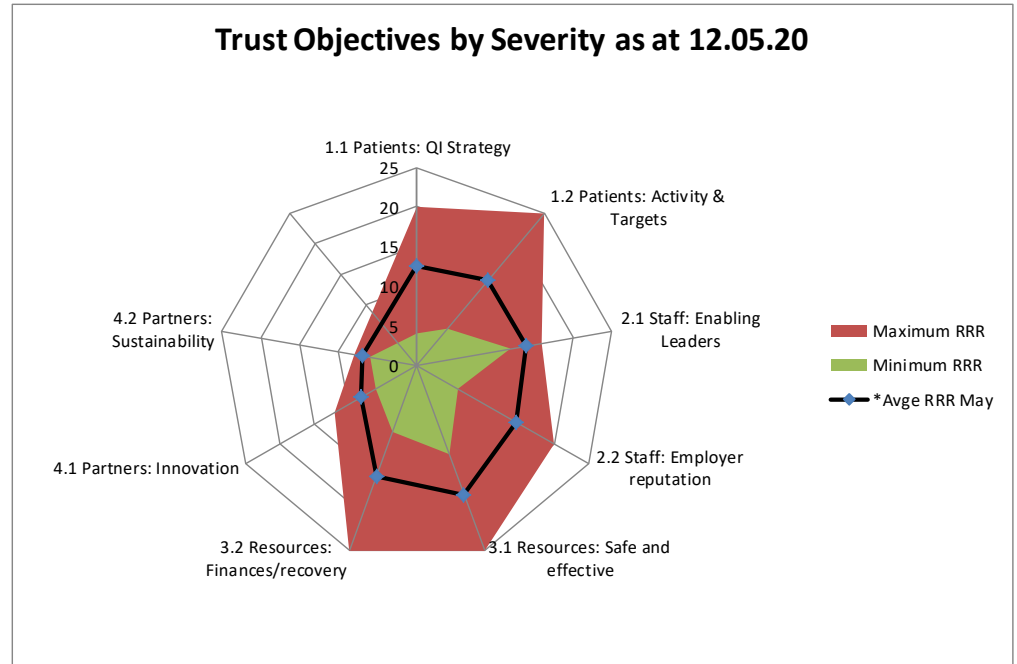
Severity - Residual Risk Rating

Trust Objective	*Avge RRR Apr	*Avge RRR May	Maximum RRR	Minimum RRR	change in Avge RRR
1.1 Patients: QI Strategy	12.6	12.6	20	4	●
1.2 Patients: Activity & Targets	14.0	14.0	25	6	●
2.1 Staff: Enabling Leaders	14.0	14.0	16	12	●
2.2 Staff: Employer reputation	14.4	14.4	20	6	●
3.1 Resources: Safe and effective	17.4	17.4	25	12	●
3.2 Resources: Finances/recovery	15.0	15.0	25	9	●
4.1 Partners: Innovation	8.2	8.2	12	6	●
4.2 Partners: Sustainability	7.0	7.0	8	6	●

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*Average for risks included in current tracker report



Appendix A: BAF Tracker Risks Above Risk Appetite



BAF Tracker 12/05/2020

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	Mar-20	Apr-20	May-20	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 in addition to the Board
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	12	12	↔	8	☒	67%	Y	People Manag. &	Q&R
742	JR	30/01/2015	Safer staffing and Monitor's Agency Price cap	12	12	12	↔	6	☒	50%	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	16	16	16	↔	12	☒	75%	Y(F)	Finance	Performance
873	TG	01/02/2016	Master Development and control plans - sale value	20	20	20	↔	10	☒	50%	Y	Finance	Performance
874	TG	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	20	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	8	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	16	16	16	↔	8	☒	50%	Y	Safe	Performance
1854	OM	27/04/2018	Unable to recruit number of staff with the required	20	20	20	↔	8	☒	40%	Y	Safe	Performance
1929	OM	23/07/2018	Low levels of Staff Engagement	16	16	16	↔	6	☒	38%	Y(HR)	People Manag. &	Q&R
2146	TG	29/03/2019	Current Trading Impacts - Consultant Job Plans	15	15	15	↔	10	☒	67%	Y(F)	Finance	Performance
2163	TG	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,
2572	JR	16/04/2020	Super Surge COVID19		12	12	↔	..	6	☒	50%	Y(EDs)	Effective	Board

Appendix B: BAF Tracker Risks Below Risk Appetite



BAF Tracker 12/05/2020														
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	Mar-20	Apr-20	May-20	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 in addition to the Board
675	JR	11/06/2014	Failure to stay within ceiling trajectories for all HCAI's	8	4	4	↔	6	☑	150%	Y	Safe	Q&R
689	AR	11/06/2014	Pathology IM&T systems	8	8	8	↔	12	☑	150%	Y	Transformation	SPC
730	RH	01/04/2015	R&D strategic recognition	6	6	6	↔	8	☑	133%	Y	Responsive	Q&R
858	JR	01/02/2016	Electronic Patient Record System - benefits (Linked to ID1787)	12	12	12	↔	12	☑	100%	Y	Transformation	SPC
875	TG	01/02/2016	Master Development and control plans - local planning regulations	10	10	10	↔	10	☑	100%	Y	Transformation	Performance
2145	EM	29/03/2019	Current Trading Impacts - Planned Activity	25	10	10	↔	12	☑	120%	Y(F)	Effective	Performance
2148	TG	29/03/2019	Current Growth	25	10	10	↔	12	☑	120%	Y(F)	Finance	Performance
2149	TG	29/03/2019	Capacity Assumptions	15	9	9	↔	10	☑	111%	Y(F)	Finance	Performance
2225	TG	29/03/2019	FM mobilisation and bedding in	15	15	15	↔	15	☑	100%	Y(F)	Safe	Performance
2338	AR	29/08/2019	EU exit	6	6	6	↔	16	☑	267%	Y(EDs)	Finance	Board
2532	JR	05/03/2020	Pandemic		25	25	↔	25	☑	100%	Y(EDs)	Effective	Board