



Royal Papworth Hospital
NHS Foundation Trust

Board Assurance Framework

July 2020

Produced by
Anna Jarvis and Anna Pearman



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 July 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 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.

New BAF risk 2541: Cash risk from increase COVID expenditure: Residual risk Rating of Risk increased to 20 (C5xL4) as costs of recovery planning becomes clearer, alongside a lack of clarity nationally over future funding arrangements.

BAF 684 Failure to release staff to undertake educational activity due to workload: Rating reduced to 9 (C3xL3) as HEE LBR/CPD funding has been confirmed for 2020-21 and core training requirements are moving to e-learning in line with CSTF guidelines. This has a positive impact on our delivery of our strategic objectives relating to clinical excellence (1.1) and staff experience (3.1 and 3.2).

Other updates

BAF 2149 20 (C3xL3). Capacity Assumptions: The impact of the COVID pandemic has resulted in a fundamental change in activity profile and

volumes. The draft 2020/21 activity plan is on hold and the impact has been centrally mitigated. The likelihood of not meeting the original plan is high however the impact of this is mitigated by the national framework and directions in place at this point in time. The Trust is working through an action plan which will reset planned activity levels in the context of its new operating model for Living with Covid-19.

BAF1853/1854 Turnover rates have remained stable and vacancy rates are low. We continue to plan for long term R&R stability as we move towards new ways of working in the light of our long term response to COVID19.

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. A number of these risks will be updated following the establishment of the Living with COVID Steering Group workstreams and

Principal Risks

The July 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 July 2020.

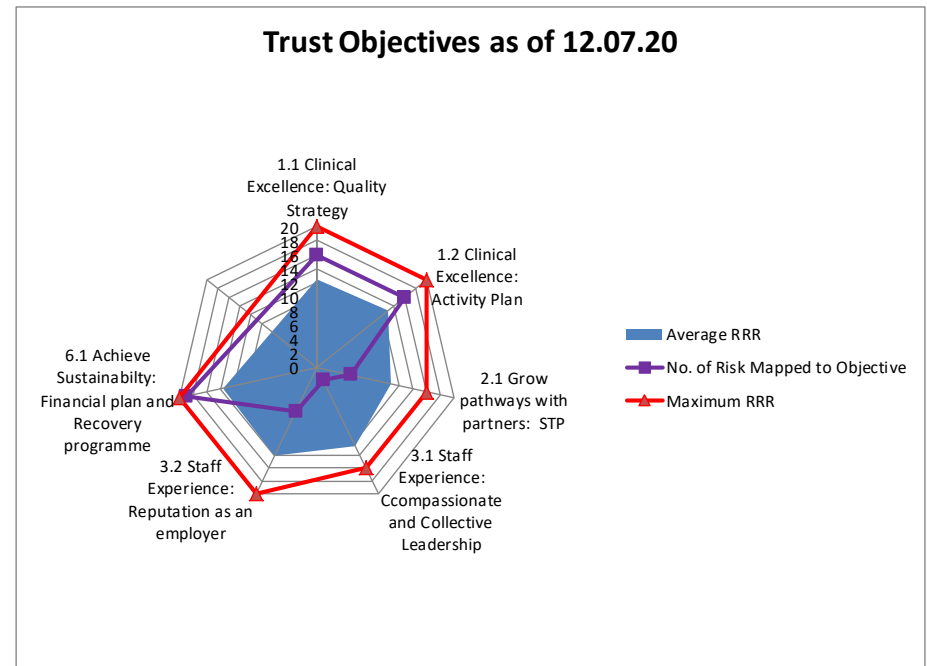
2 Risks Mapped to Strategic Objectives Analysis



| Trust Objective | No. of Risk Mapped to Objective | Average RRR | Maximum RRR | Minimum RRR | Risks Opened | Risks Closed |
|--|---------------------------------|-------------|-------------|-------------|--------------|--------------|
| 1.1 Clinical Excellence: Quality Strategy | 16 | 12.5 | 20 | 4 | | |
| 1.2 Clinical Excellence: Activity Plan | 16 | 12.94 | 20 | 6 | | |
| 2.1 Grow pathways with partners: STP | 5 | 10.8 | 16 | 6 | | |
| 3.1 Staff Experience: Ccompassionate and Collective Leadership | 2 | 12.5 | 16 | 9 | | |
| 3.2 Staff Experience: Reputation as an employer | 7 | 14 | 20 | 6 | | |
| 6.1 Achieve Sustainabilty: Financial plan and Recovery programme | 19 | 13.69 | 20 | 8 | 1 | |

Trust Objectives 2019/20 Key

- 1.1 Clinical Excellence: Implement our Quality Strategy
- 1.2 Clinical Excellence: Deliver Our Activity Plan
- 1.3 Clinical Excellence: Use Digital as a key enabler
- 2.1 Grow pathways with partners: Continue to work in partnership with the STP
- 3.1 Staff Experience: Invest in our compassionate and collective leadership
- 3.2 Staff Experience: Enhance our reputation as an employer
- 4.1 Share and Educate: Establish a Royal Papworth School
- 5.1 Research and Innovate: Ensure progression of HLRI
- 5.2 Research and Innovate: Development of plans for utilisation of HLRI
- 6.1 Achieve Sustainabilty: Deliver our Financial plan and Recovery programme



3 Strategic Objectives by severity of Residual Risk Rating

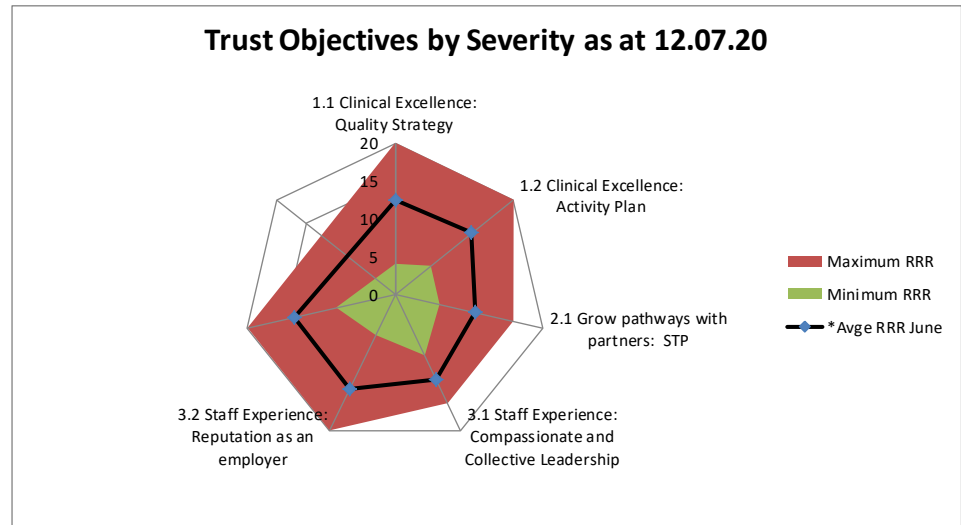


| Trust Objective 2020/21 | Severity - Residual Risk Rating | | | | |
|---|---------------------------------|-----------------|-------------|-------------|--------------------|
| | * Avge RRR May | * Avge RRR June | Maximum RRR | Minimum RRR | change in Avge RRR |
| 1.1 Clinical Excellence: Quality Strategy | 12.7 | 12.5 | 20 | 4 | ● |
| 1.2 Clinical Excellence: Activity Plan | 12.9 | 12.9 | 20 | 6 | ● |
| 2.1 Grow pathways with partners: STP | 10.8 | 10.8 | 16 | 6 | ● |
| 3.1 Staff Experience: Compassionate and Collective Leadership | 14.0 | 12.5 | 16 | 9 | ● |
| 3.2 Staff Experience: Reputation as an employer | 14.4 | 14.0 | 20 | 6 | ● |
| 6.1 Achieve Sustainability: Financial plan and Recovery programme | 12.6 | 13.7 | 20 | 8 | ● |

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- 6.1 Achieve Sustainability: Deliver our Financial plan and Recovery programme

* Average for risks included in current tracker report



Appendix A: BAF Tracker Risks Above Risk Appetite



| BAF Tracker 12/07/2020 | | | | | | | | | | | | | | |
|--|------|------------|--|--------|--------|--------|-------------------------|--------------------|---------------|-------------------------------------|-----------------------|----------------------------|-----------------|--|
| 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 | Apr-20 | May-20 | Jun-20 | Status since last month | Long running Trend | Risk Appetite | Risk Appetite achieved | 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 | <input checked="" type="checkbox"/> | 75% | Y | Finance | Performance |
| 684 | JR | 11/06/2014 | Failure to release staff to undertake educational activity due to workload | 12 | 12 | 9 | ↓ | | 8 | <input checked="" type="checkbox"/> | 89% | Y | People Manag. & | Q&R |
| 742 | JR | 30/01/2015 | Safer staffing and Monitor's Agency Price cap | 12 | 12 | 12 | ↔ | | 6 | <input checked="" type="checkbox"/> | 50% | Y | Safe | Q&R |
| 841 | EM | 01/02/2016 | Delivery of Efficiency Challenges - CIP Board approved | 20 | 20 | 20 | ↔ | | 12 | <input checked="" type="checkbox"/> | 60% | Y | Effective | Performance |
| 843 | EM | 01/02/2016 | Delivery of Efficiency Challenges - CIP targets | 20 | 20 | 20 | ↔ | | 12 | <input checked="" type="checkbox"/> | 60% | Y(F) | Effective | Performance |
| 858 | JR | 01/02/2016 | Electronic Patient Record System - benefits (Linked to ID1787) | 12 | 16 | 16 | ↔ | | 12 | <input checked="" type="checkbox"/> | 75% | Y | Transformation | SPC |
| 865 | EM | 01/02/2016 | Income Growth - activity transfers | 16 | 16 | 16 | ↔ | | 12 | <input checked="" type="checkbox"/> | 75% | Y(F) | Finance | Performance |
| 873 | TG | 01/02/2016 | Master Development and control plans - sale value | 20 | 20 | 20 | ↔ | | 10 | <input checked="" type="checkbox"/> | 50% | Y | Finance | Performance |
| 874 | TG | 01/02/2016 | Master Development and control plans - sales dates | 15 | 15 | 15 | ↔ | | 10 | <input checked="" type="checkbox"/> | 67% | Y | Finance | Performance |
| 1021 | AR | 17/02/2016 | Potential for cyber breach and data loss | 20 | 20 | 20 | ↔ | | 3 | <input checked="" type="checkbox"/> | 15% | Y | Safe | SPC/Performance |
| 1162 | EM | 07/07/2016 | We will not utilise our expertise to influence local strategy for cardiology | 9 | 9 | 9 | ↔ | | 8 | <input checked="" type="checkbox"/> | 89% | Y | Transformation | SPC |
| 1787 | JR | 22/12/2017 | Optimisation of the EPR systems | 8 | 8 | 8 | ↔ | | 6 | <input checked="" type="checkbox"/> | 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 | ↔ | | 8 | <input checked="" type="checkbox"/> | 50% | Y | Safe | Performance |
| 1854 | OM | 27/04/2018 | Unable to recruit number of staff with the required skills/experience | 20 | 20 | 20 | ↔ | | 8 | <input checked="" type="checkbox"/> | 40% | Y | Safe | Performance |
| 1929 | OM | 23/07/2018 | Low levels of Staff Engagement | 16 | 16 | 16 | ↔ | | 6 | <input checked="" type="checkbox"/> | 38% | Y(HR) | People Manag. & | Q&R |
| 2146 | TG | 29/03/2019 | Current Trading Impacts - Consultant Job Plans | 15 | 15 | 15 | ↔ | | 10 | <input checked="" type="checkbox"/> | 67% | Y(F) | Finance | Performance |
| 2148 | TG | 29/03/2019 | Current Growth | 10 | 15 | 15 | ↔ | | 12 | <input checked="" type="checkbox"/> | 80% | Y(F) | Finance | Performance |
| 2163 | TG | 29/03/2019 | Efficiency assumptions | 15 | 15 | 15 | ↔ | | 12 | <input checked="" type="checkbox"/> | 80% | Y(F) | Finance | Performance |
| 2249 | JR | 07/06/2019 | Hospital Optimisation | 15 | 15 | 15 | ↔ | | 10 | <input checked="" type="checkbox"/> | 67% | Y(EDs) | Effective | Performance, Q&R, SPC |
| 2541 | TG | 24/03/2020 | Cash risk from increase COVID expenditure (New) | 15 | 6 | 20 | ↑ | | 6 | <input checked="" type="checkbox"/> | 30% | Y(F) | Finance | Performance |
| 2572 | JR | 16/04/2020 | Super Surge COVID19 | 12 | 8 | 8 | ↔ | | 6 | <input checked="" type="checkbox"/> | 75% | Y(EDs) | Effective | Board |

Appendix B: BAF Tracker Risks Below Risk Appetite



| BAF Tracker 12/07/2020 | | | | | | | | | | | | | | |
|--|------|------------|---|--------|--------|--------|-------------------------|--------------------|---------------|-------------------------------------|-----------------------|----------------------------|----------------|--|
| 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 | Apr-20 | May-20 | Jun-20 | Status since last month | Long running Trend | Risk Appetite | Risk Appetite achieved | 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 | 4 | 4 | 4 | ↔ | | 6 | <input checked="" type="checkbox"/> | 150% | Y | Safe | Q&R |
| 730 | RH | 01/04/2015 | R&D strategic recognition | 6 | 6 | 6 | ↔ | | 8 | <input checked="" type="checkbox"/> | 133% | Y | Responsive | Q&R |
| 875 | TG | 01/02/2016 | Master Development and control plans - local planning regulations | 10 | 10 | 10 | ↔ | | 10 | <input checked="" type="checkbox"/> | 100% | Y | Transformation | Performance |
| 2145 | TG | 29/03/2019 | Current Trading Impacts - Planned Activity | 10 | 10 | 10 | ↔ | | 12 | <input checked="" type="checkbox"/> | 120% | Y(F) | Effective | Performance |
| 2149 | TG | 29/03/2019 | Capacity Assumptions | 9 | 9 | 9 | ↔ | | 10 | <input checked="" type="checkbox"/> | 111% | Y(F) | Finance | Performance |
| 2338 | AR | 29/08/2019 | EU exit | 6 | 6 | 6 | ↔ | | 16 | <input checked="" type="checkbox"/> | 267% | Y(EDs) | Finance | Board |
| 2532 | JR | 05/03/2020 | Pandemic | 25 | 15 | 15 | ↔ | | 25 | <input checked="" type="checkbox"/> | 167% | Y(EDs) | Effective | Board |
| 2526 | JR | 18/03/2020 | International PPE supplies | 25 | 10 | 10 | ↔ | | 10 | <input checked="" type="checkbox"/> | 100% | Y(IPC) | Safe | Board |