



Royal Papworth Hospital  
NHS Foundation Trust

# Board Assurance Framework

August 2020

Produced by  
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# Contents



**Royal Papworth Hospital**  
NHS Foundation Trust

- 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 August 2020 includes the Residual Risk Rating (RRR) and long term trend for each BAF risk and is attached at Appendix A (above Appetite) and B (within Appetite).

**Headlines:** Nineteen risks have a Residual Risk Rating above Risk Appetite.

**New BAF Risks:** The Performance Committee has requested that the Board consider the risks and impact of new system funding mechanisms.

**Closed risks: BAF 2249:** Hospital Optimisation. This work has been superseded by the Living with COVID Steering Group which has programme risk reporting in place.

## Other updates:

**BAF risk 1929:** Low levels of Staff Engagement: RRR reduced to 8 (C4xL2). Workforce programmes to promote staff engagement are starting up after a period of suspension due to COVID19. This includes our compassionate leadership programme which will thread through all the work we do to engage with and support our staff. We have support mechanisms in place to enable staff to work safely and to receive support for their health and wellbeing. We are developing a comprehensive plan for engagement reflecting the principles of the national people plan and this will be supported by two new posts - one for EDI and one for Mental Health and Wellbeing.

**BAF 1854:** Recruitment: RRR reduced to 12\* (C4xL3). The vacancy rate is the lowest it has been in 3 years. We are actively recruiting and have had a positive response to recruitment events online. We have also improved our time to hire from 60+ to 42 days which helps to reduce the risk of attrition.

**BAF 1853:** Turnover: RRR reduced to 12\* (C4xL3). Turnover has been within target over the last 3 months. This is principally due to COVID and this may increase where staff had put their plans on hold. We are actively progressing plans to improve flexibility, engagement, compassionate leadership and education which will have a positive impact on how staff feel about the Trust.

\*These changes will appear in the next tracker report.

**BAF Risk 858:** EPR Benefits: RRR remains at 16 due to ongoing funding risks identified at the end of the RPA as set out in the Digital five year plan.

**BAF risk 2541:** Cash risk COVID expenditure: RRR reduced to 12 (C4xL3) as the national team has indicated that these costs will be reimbursed in 2020/21.

**BAF risks 873/874:** Land sale value/land sale date: RRR reduced to reflect the progress in discussions with DHSC regarding refinancing of the bridging loan and the likely site sale in 2020/21.

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

## Principal Risks

The August 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 August 2020.

# 2 Risks Mapped to Strategic Objectives Analysis

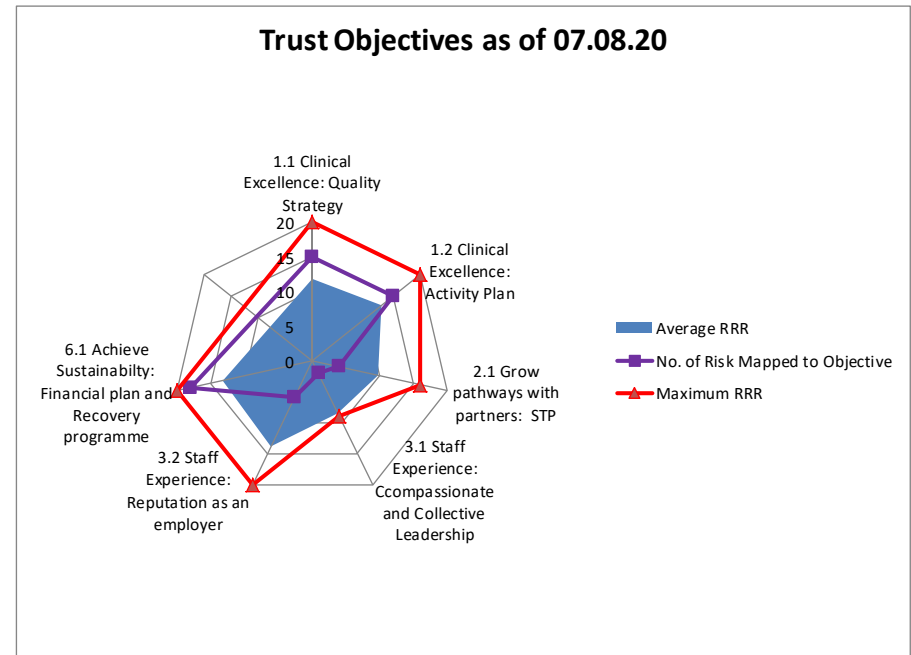


Trust Objective	No. of Risk Mapped to Objective	Average RRR	Maximum RRR	Minimum RRR	Risks Opened	Risks Closed
1.1 Clinical Excellence: Quality Strategy	15	11.8	20	4		1
1.2 Clinical Excellence: Activity Plan	15	12.8	20	6		1
2.1 Grow pathways with partners: STP	4	9.75	16	6		1
3.1 Staff Experience: Ccompassionate and Collective Leadership	2	8.5	9	8		
3.2 Staff Experience: Reputation as an employer	6	13.83	20	6		1
6.1 Achieve Sustainability: Financial plan and Recovery programme	18	13.28	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 Sustainability: Deliver our Financial plan and Recovery programme

Closed Risk BAF 2249 Hospital Optimisation



# 3 Strategic Objectives by severity of Residual Risk Rating



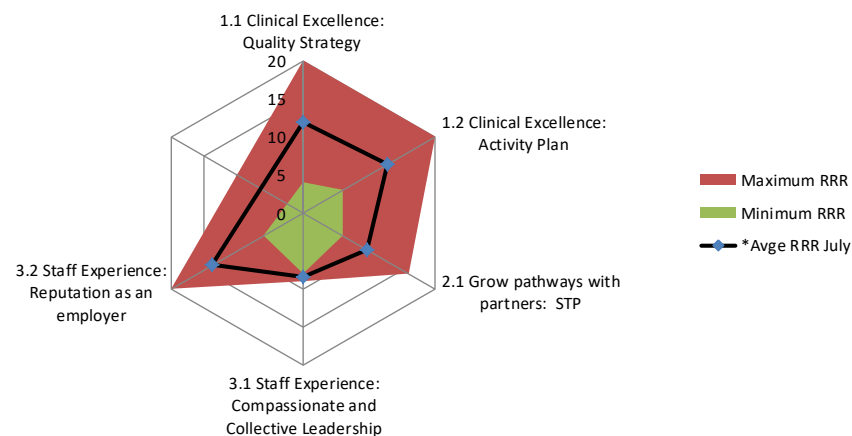
Trust Objective 2020/21	*Avge RRR June	*Avge RRR July	Maximum RRR	Minimum RRR	change in Avge RRR
1.1 Clinical Excellence: Quality Strategy	12.3	11.8	20	4	●
1.2 Clinical Excellence: Activity Plan	12.8	12.8	20	6	●
2.1 Grow pathways with partners: STP	9.8	9.8	16	6	●
3.1 Staff Experience: Compassionate and Collective Leadership	12.5	8.5	9	8	●
3.2 Staff Experience: Reputation as an employer	13.8	13.8	20	6	●
6.1 Achieve Sustainability: Financial plan and Recovery programme	14.8	13.3	20	8	●

### Trust Objectives 2019/20 Key

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\* Average for risks included in current tracker report

### Trust Objectives by Severity as at 07.08.20



# Appendix A: BAF Tracker Risks Above Risk Appetite



**BAF Tracker 07/08/2020**

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	May-20	Jun-20	Jul-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
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	9	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)	16	16	16	↔	.....	12	<input checked="" type="checkbox"/>	75%	Y	Transformation	Strategic Projects
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	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	8	↓	.....	6	<input checked="" type="checkbox"/>	75%	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	15	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
2541	TG	24/03/2020	Cash risk from increase COVID expenditure	6	20	12	↓	.....	6	<input checked="" type="checkbox"/>	50%	Y(F)	Finance	Performance
2572	JR	16/04/2020	Super Surge COVID19	8	8	8	↔	.....	6	<input checked="" type="checkbox"/>	75%	Y(EDs)	Effective	Board

# Appendix B: BAF Tracker Risks Below Risk Appetite



**BAF Tracker 07/08/2020**

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	May-20	Jun-20	Jul-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	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
874	TG	01/02/2016	Master Development and control plans - sales dates	15	15	9	↓	.....	10	<input checked="" type="checkbox"/>	111%	Y	Finance	Performance
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	15	15	15	↔	.....	25	<input checked="" type="checkbox"/>	167%	Y(EDs)	Effective	Board
2526	JR	18/03/2020	International PPE supplies	10	10	10	↔	.....	10	<input checked="" type="checkbox"/>	100%	Y(IPC)	Safe	Board