



Royal Papworth Hospital  
NHS Foundation Trust

# Board Assurance Framework

November 2020

Produced by  
Anna Jarvis and Anna Pearman



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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 November 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:** Fifteen risks have a Residual Risk Rating above Risk Appetite.

**New BAF Risks:** System commissioning risk BAF risk 2697 (RRR of 9: C3xL3) will appear on future tracker reports.

**Closed risks: BAF 875:** None

### Other updates:

Cash risk from increased COVID expenditure **BAF 2541** (RRR 9: C3xL3) Risk reduced in light of funding available. The risk remains high overall.

Pandemic **BAF 2532** (RRR 15: C5xL3) The country is in a second national lockdown (England) and the Trust is a second surge. All measures remain in place and the risk rating is unchanged. The Trust has updated the linked risk (ID 2529) to reflect that face coverings are now to be issued to staff to wear in non clinical communal areas.

International PPE **BAF 2526** (RRR 10: C5xL2) There are no concerns regards supply of PPE at the moment. Estates continue to monitor via the PPE dashboard.

Super Surge **BAF 2572** (RRR 8: C4xL2) Issue of lack of regional Critical Care workforce volunteers and increased COVID case numbers is being considered but no immediate impact on rating. The impact of regional staffing requirements for of mass vaccination centres is also being assessed.

EU Exit **BAF 2338** (RRR 6: C2xL3): In September the EU Exit Board was re-established and planning continued through the CPLRP (Cambridgeshire & Peterborough Local Resilience Partnership) end of transition preparedness health and care group. The regional strategic update on PPE and Medication supply was rated as medium, and there were no other high/medium risks relating to healthcare.

Safer staffing **BAF 742** (RRR C4xL3): Care Hours Per Patient Day (CHPPD) remained green during October. The safe staffing fill rate was green for nights (94.6%) and amber for days (88.9%); both of which were an improved position from last month.

Cyber breach & data loss **BAF 1021** (RRR 16 C4xL4): Windows server upgrade programme now nearing completion. No change in RRR rating.

Reporting against BAF risks 730 remains suspended as a part of the operational response to COVID 19.

### Principal Risks (PR)

The November 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 November 2020.

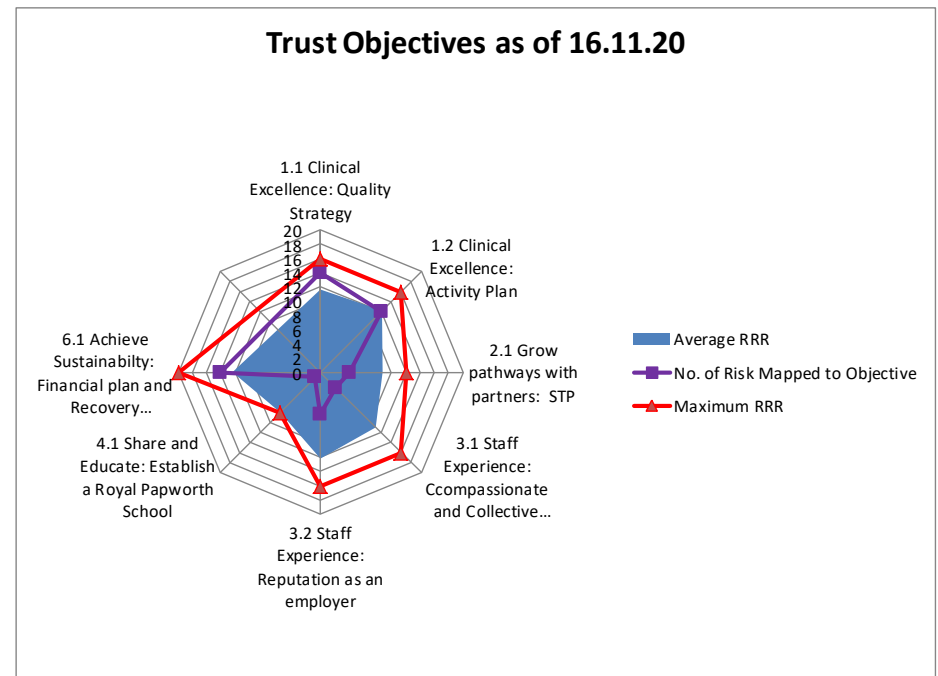
# 2 Risks Mapped to Strategic Objectives Analysis



Trust Objective	No. of Risk Mapped to Objective	Average RRR	Maximum RRR	Minimum RRR	Risks Opened	Risks Closed
1.1 Clinical Excellence: Quality Strategy	14	11.64	16	4		
1.2 Clinical Excellence: Activity Plan	12	12.25	16	6		
2.1 Grow pathways with partners: STP	4	8.75	12	6		
3.1 Staff Experience: Ccompassionate and Collective Leadership	3	11	16	8		
3.2 Staff Experience: Reputation as an employer	6	12.17	16	6		
4.1 Share and Educate: Establish a Royal Papworth School	1	8	8	8		
6.1 Achieve Sustainability: Financial plan and Recovery programme	14	12.36	20	6		

### 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



# 3 Strategic Objectives by severity of Residual Risk Rating

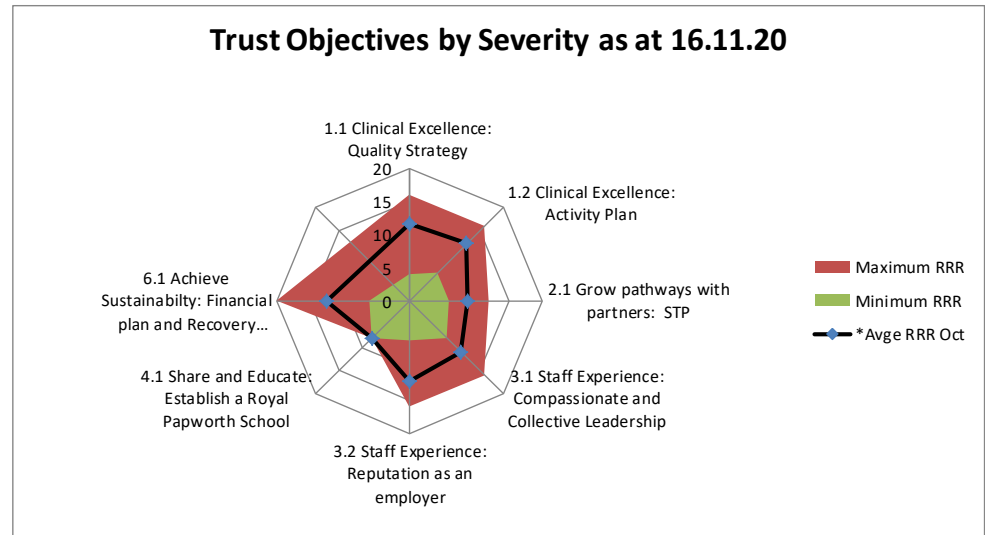


Trust Objective 2020/21	Severity - Residual Risk Rating				
	* Avge RRR Sept	* Avge RRR Oct	Maximum RRR	Minimum RRR	change in Avge RRR
1.1 Clinical Excellence: Quality Strategy	11.6	11.6	16	4	●
1.2 Clinical Excellence: Activity Plan	12.3	12.3	16	6	●
2.1 Grow pathways with partners: STP	8.8	8.8	12	6	●
3.1 Staff Experience: Compassionate and Collective Leadership	11.0	11.0	16	8	●
3.2 Staff Experience: Reputation as an employer	12.2	12.2	16	6	●
4.1 Share and Educate: Establish a Royal Papworth School	8.0	8.0	8	8	●
6.1 Achieve Sustainability: Financial plan and Recovery programme	12.6	12.4	20	6	●

## Trust Objectives 2019/20 Key

- 1.1 Clinical Excellence: Implement our Quality Strategy
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- 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

\* Average for risks included in current tracker report



# Appendix A: BAF Tracker Risks Above Risk Appetite



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**BAF Tracker 16/11/2020**  
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	Aug-20	Sep-20	Oct-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 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	9	9	9	↔	.....	8	<input checked="" type="checkbox"/>	89%	Y People Manag. & Cult.	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	
1021	AR	17/02/2016	Potential for cyber breach and data loss	16	16	16	↔	.....	3	<input checked="" type="checkbox"/>	19%	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	12	15	15	↔	.....	8	<input checked="" type="checkbox"/>	53%	Y Safe	Performance	
1854	OM	27/04/2018	Unable to recruit number of staff with the required skills/experience	12	15	15	↔	.....	8	<input checked="" type="checkbox"/>	53%	Y Safe	Performance	
1929	OM	23/07/2018	Low levels of Staff Engagement	8	16	16	↔	.....	6	<input checked="" type="checkbox"/>	38%	Y(HR) People Manag. & Cult.	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	
2541	TG	24/03/2020	Cash risk from increase COVID expenditure	12	12	9	↓	.....	6	<input checked="" type="checkbox"/>	67%	Y(F) Finance	Performance, Board	
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 16/11/2020**

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	Aug-20	Sep-20	Oct-20	Status since last month	Long running Trend	Risk Appetite	Risk Appetite achieved	% Risk Assurance against risk appetite	BAF with Datix action plan	CCQ/PIPR	Responsible Committee 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	
858	JR	01/02/2016	Electronic Patient Record System - benefits (Linked to ID1787)	12	12	12	↔		12	<input checked="" type="checkbox"/>	100%	Y Transformation	SPC	
865	EM	01/02/2016	Income Growth - activity transfers	16	12	12	↔		12	<input checked="" type="checkbox"/>	100%	Y(F) Finance	Performance	
2145	TG	29/03/2019	Current Trading Impacts - Planned Activity	8	8	8	↔		12	<input checked="" type="checkbox"/>	150%	Y(F) Effective	Performance	
2149	TG	29/03/2019	Capacity Assumptions	9	9	9	↔		10	<input checked="" type="checkbox"/>	111%	Y(F) Finance	Performance	
2163	TG	29/03/2019	Efficiency assumptions	12	12	12	↔		12	<input checked="" type="checkbox"/>	100%	Y(F) Finance	Performance	
2338	AR	29/08/2019	EU exit	6	6	6	↔		16	<input checked="" type="checkbox"/>	267%	Y(EDs) Finance	Board	
2526	JR	18/03/2020	International PPE supplies	10	10	10	↔		10	<input checked="" type="checkbox"/>	100%	Y(IPC) Safe	Board	
2532	JR	05/03/2020	Pandemic	15	15	15	↔		25	<input checked="" type="checkbox"/>	167%	Y(EDs) Effective	Board	

Parked due to COVID