

## BAF ASSURANCE - NOVEMBER 2012

Risk ID	Risk Description	Assurance Movement				Comments
		Red	Amber-Red	Amber-Green	Green	
BAF1a CRR22	Significant disruption to 999 service provision, leading to adverse impact on clinical outcomes due to the complexity and interface of different IT systems.			↔		There has been limited movement on this risk and there have been no additional assurances received during this period. Further detail is provided in the Risk Movement Report. An additional risk treatment plan is required to reflect the new revised risk which is much broader and strategic in context. Work on the risk treatment plan is underway. No additional assurances received during this period.
BAF1b CRR84	Adverse clinical outcomes due to failure of reusable medical devices and equipment.		→			Positive developments in equipment maintenance scheduling systems. Weekly monitoring arrangements established within Directorate. Positive comments received from NHSLA Assessor during assessment process. Further monitoring required to ensure continued improvements in this area.
BAF2a CRR66	Harm to patients, staff and others due to deficiencies in the data flagging process leading to potential for data flags not being brought to the attention of interested parties.		↔			Some movement on risk treatment plan. Further detail is provided in the Risk Movement Report. There have been no additional assurances received during this period.
BAF3a CRR103	Inability to deliver performance targets and clinical quality standards.		↔			Additional positive assurances for BAF 3a include; an Internal Audit review of Statutory and Mandatory training rated as substantial assurance and an NHSLA Mock assessment identified good workforce policy management. However; given the concerns identified in risk movement report, the assurance level for this risk should remain at its year start position of Amber/Red.
BAF3b CRR94	Lack of compliance with key regulatory requirements (CQC,HSE, IGT, NHSLA) due to inconsistent application across the Trust.			↔		Some movement on risk treatment plan and assurance provided from inspections for improvement process. Some areas of concern identified from CQC October QRP and H&S Executive relating to Moving and handling. Further detail is provided in the Risk Movement Report.
BAF4a CRR104	Loss of income due to inability to secure/retain PTS and other significant service contracts, adversely influencing future service commissioning intentions.		↔			Risk treatment plan still to be finalised. Newly appointed Associate Director of PTS is taking required actions forward. No additional assurances received during this period.
BAF5a CRR105	Inability to deliver service transformation and organisational change, including non-delivery of cost improvement programmes		→			Some positive movement on risk treatment plan. This risk is closely monitored by a number of executive groups and primarily the Quality Committee. The trend in risk movement and also assurance is positive.

**KEY**      ↔ No movement from previous iteration      → Increased assurance      ← Reduced assurance

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BAF5b CRR69	Failure to learn from patient experience and adverse events due to inadequate data management systems for reporting and to identifying learning opportunities.		→			Good progress on risk treatment plan. The identified gaps in controls and assurances are also diminishing. Assurance has improved from Amber/Red to Amber/Green
BAF6a CRR39	Adverse impact on clinical outcomes due to failure to embed the clinical leadership framework.			↔		Some positive movements in the risk treatment plan. Recent concerns identified relating to training of clinical supervisors. Further detail is provided in the Risk Movement Report. Limited assurance provided, but too limited to influence assurance level.
BAF7a CRR74	Adverse impact on organisational performance and clinical outcomes due to significant events impacting on business continuity.			→		Some positive movements in the risk treatment plan, although HART Team experiencing some difficulties in relocation. Further detail is provided in the Risk Movement Report. Additional positive assurance with satisfactory live testing of 8 business continuity plans. The trend in risk movement and also assurance is positive.
BAF8a CRR93	Adverse impact on developments in urgent/unscheduled care services in partnership with other providers due to failure to implement 111 service/WYUC provision.			↔		Some movement on risk treatment plan, although there a number of risks emerging relating recruitment and training. Project is comprehensively monitored by 111 project board. On balance assurance too limited to influence assurance movement at this stage.

<b>KEY</b>	↔ No movement from previous iteration	→ Increased assurance	← Reduced assurance
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