

BAF ASSURANCE - MARCH 2013

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.					Evidence provided of testing business continuity plans and review of hardware capacity has been addressed. Actions on risk treatment plan (RTP) complete. Controls strengthened. Executive review in Feb/March satisfied that the risk can be archived on the CRR and for the risk to be monitored and reviewed at Directorate level. Propose assurance grading to be increased from Amber/Green to Green.
BAF1b CRR84	Adverse clinical outcomes due to failure of reusable medical devices and equipment.					Some strengthening of controls, in particular; the records management system, maintenance schedules and policy update. Executive review in Feb/March agreed to retain the risk on CRR/BAF. Some positive movement on assurance. Propose assurance grading to be increased from Amber/Red to Amber/Green.
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.					Positive developments in the establishment of a <i>Data Flagging Procedure</i> and a Data Flagging Group. Some strengthening of controls relating to Incident Reporting Policy. Actions in early stages of implementation. Evidence is needed to provide assurance of effectiveness of those actions. The assurance level for this risk moved from Amber/Red to Amber/Green in January. Do not propose any further movement on assurance at this stage.
BAF3a CRR103	Inability to deliver performance targets and clinical quality standards.					There has been some strengthening of key controls for this risk. Given the concerns identified in risk movement report, relating to sickness absence and the delivery of Red 1 performance, Service Transformation Programme, Clinical Leadership Framework and the annual Training Plan, 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.					A primary additional assurance has been provided by the CQC. The Trust was assessed in January 2013 and a very positive report indicates full compliance with the Standards. Given the concerns identified in risk movement report, relating to delivery of local risk management and document management, the assurance level for this risk should remain at its year start position of Amber/Green.
KEY		No movement from previous iteration		Increased assurance		Reduced assurance

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		Red	Amber-Red	Amber-Green	Green	
BAF4a CRR104	Loss of income due to inability to secure/retain PTS and other significant service contracts, adversely influencing future service commissioning intentions.		↔			Action has been taken to mitigate the risk, primarily via the PTS transformation programme, however there have been no additional assurances received. Do not propose any changes to assurance level at this stage.
BAF5a CRR105	Inability to deliver service transformation and organisational change, including non-delivery of cost improvement programmes		↔			Some positive movement on the risk treatment plan in regard to CQUIN performance and CIP process. No further assurances received therefore do not propose any changes to assurance level at this stage.
BAF5b CRR69	Failure to learn from patient experience and adverse events due to inadequate data management systems for reporting and to identifying learning opportunities.			↔		A primary additional assurance has been provided by the CQC, with a very positive assessment report indicating full compliance with the Standards. Given the concerns identified in risk movement report, relating to delivery of local risk management and document management, the assurance level for this risk should remain at its current position of Amber/Green.
BAF6a CRR39	Adverse impact on clinical outcomes due to failure to embed the clinical leadership framework.			↔		There has been limited movement on actions to mitigate this risk, primarily due to competing operational demands, impacting on the implementation of the Clinical Leadership Framework. Do not propose any changes to assurance level at this stage.
BAF7a CRR74	Adverse impact on organisational performance and clinical outcomes due to significant events impacting on business continuity.			↔		There has been very positive movement on risk treatment plan for this risk over the year, however given the emerging issues outlined in the risk report, the risk score has been raised and the RTP will be refocused in the April BAF. Do not propose any changes to assurance level at this stage.
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.			→		The risk has reached its residual level, with all actions completed. gaps in controls and assurances have been addressed. Executive review in Feb/March agreed to close this risk and to create a new risk for the 2013/14 iterations of the BAF. It is proposed to increase the assurance level from Amber/Green to Green
BAF8b CRR106	Deficit against planned financial outturn due to significant overspending on the provision of Patient Transport Services		↔			Action has been taken to mitigate the risk, primarily via the PTS transformation programme and appointment of a new manager. Assurance is too limited to influence assurance movement at this stage.
KEY	↔ No movement from previous iteration		→ Increased assurance		← Reduced assurance	