

BAF RISK MOVEMENT - MARCH 2013

KEY									
↔ No movement from previous iteration		← Increased risk			→ Reduced risk				
Risk ID	Risk Description	Initial Risk Rating	Current Risk Position					Residual Risk Rating	Comments
			>=20	16	12	6	<=3		
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.	8	→					4	Gaps in controls relating to testing business continuity plans and review of hardware capacity have been addressed. Actions on risk treatment plan (RTP) complete. Controls strengthened. Executive review in Feb/March agreed to archive the risk and to monitor and review at Directorate level.
BAF1b CRR84	Adverse clinical outcomes due to failure of reusable medical devices and equipment.	10	→					5	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 but with a refocused RTP on developing the process and monitoring compliance.
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.	12	→					4	Some strengthening of controls relating to Incident Reporting Policy. Some progress against actions and reduction in risk score to 8. Actions in early stages of implementation. Evidence is needed to provide assurance of effectiveness of those actions. Executive review in Feb/March agreed to retain the risk on CRR/BAF but with a refocused RTP on monitoring compliance.
BAF3a CRR103	Inability to deliver performance targets and clinical quality standards.	15	←					10	Risk score returned to 15 due to emerging issues relating to delivery of Red 1 performance, Clinical Leadership Framework and training plan delivery. Executive review in Feb/March agreed to retain the risk on CRR/BAF but with a refocused RTP with additional actions relating to the gaps identified above.

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BAF3b CRR94	Lack of compliance with key regulatory requirements (CQC,HSE, IGT, NHSLA) due to inconsistent application across the Trust.	10	↔					5	This risk has been well mitigated during the year, however; due to residual issues relating to delivery of local risk management and document management the risk level will remain. Executive review in Feb/March agreed to retain the risk on CRR/BAF but with a refocused RTP with additional actions relating to the gaps identified above.
BAF4a CRR104	Loss of income due to inability to secure/retain PTS and other significant service contracts, adversely influencing future service commissioning intentions.	16	→					8	Action has been taken to mitigate the risk, primarily via the PTS transformation programme and appointment of a new manager. Executive review in Feb/March agreed to retain the risk on CRR/BAF.
BAF5a CRR105	Inability to deliver service transformation and organisational change, including non-delivery of cost improvement programmes	20	→					10	Some positive movement on RTP in regard to CQUIN performance and CIP process resulting in slight movement on the risk score. Executive review in Feb/March agreed to retain the risk on CRR/BAF.
BAF5b CRR69	Failure to learn from patient experience and adverse events due to inadequate data management systems for reporting and to identifying learning opportunities.	8	↔					4	This risk has been well mitigated with the introduction of new data management systems however; due to residual issues relating to clinical audit capability, investigation process and management development the risk level will remain. Executive review in Feb/March agreed to retain the risk on CRR/BAF but with a refocused RTP with additional actions relating to the gaps identified above.

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BAF6a CRR39	Adverse impact on clinical outcomes due to failure to embed the clinical leadership framework.	12	←					4	Risk score returned to 12 due to emerging issues relating to operational demand impacting on the implementation of the Clinical Leadership Framework and training plan. Executive review in Feb/March agreed to retain the risk on CRR/BAF but with a refocused RTP with additional actions relating to the gaps identified above.
BAF7a CRR74	Adverse impact on organisational performance and clinical outcomes due to significant events impacting on business continuity.	15	←					10	This risk has been well mitigated during the year, however; due to residual issues relating to operational demand impacting on the implementation of the training plan, and the annual requirement to test business continuity plans, the risk score has returned to 15. Executive review in Feb/March agreed to retain the risk on CRR/BAF but with a refocused RTP with additional actions relating to the gaps identified above.
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.	15	→					5	The risk has reached its residual level of 5, with all actions completed. Controls have been strengthened. The risk statement will be rewritten with a focus on delivery of contractual performance and included in the April iteration of the BAF. Executive review in Feb/March agreed to close this risk and to create a new risk for the 2013/14 iterations of the BAF.

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BAF8b CRR106	Deficit against planned financial outturn due to significant overspending on the provision of Patient Transport Services	20				10	New risk following TEG review in June 2012. Action has been taken to mitigate the risk, primarily via the PTS transformation programme and appointment of a new manager. Executive review in Feb/March agreed to retain the risk on CRR/BAF.