

## Public Board Meeting 31 March 2011

### Board Assurance Framework

Presented by Colin Johnston, Director of Patient Safety, Medical Director

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This paper informs the Board of the current position relating to the key risks to the achievement of the organisation's objectives. The risks are aligned to the strategic objectives contained in the Integrated Business Plan. The following is a summary of changes since the last Board meeting (27 January 2011). The Audit Committee has reviewed an earlier iteration of this report, as has the Integrated Risk and Governance Committee and amendments made accordingly.

### Summary

Following Board approval of amendments at the January meeting there are currently **19** risks recorded on the Assurance Framework.

With the exception of Risk 2598 (recruit, retain staff), ownership of which has recently passed to the Director of Workforce, all entries have been subject to review and updated with actions and assurances. The complete Assurance Framework can be found at **Appendix One**.

Risk 11516 has been redefined to expand the risk from one focused on MRSA to risk of exceeding the Hospital Acquired Infection trajectory to reflect the increase in incidence of clostridium Difficile. The likelihood score has increased for this risk to 4, resulting in an increased risk score of 16.

The record includes one new risk entry to the Assurance Framework since the last report, relating to **Objective 2**: Improve Outcomes and Quality of Care, yet to be assigned a risk reference:

- Risk to maintaining delivery of high quality maternity services that meets the requirements of CQC Outcomes for Care and will achieve CNST (NHSLA) accreditation to Level 3 in 2012.

This entry reflects an aggregation of a number of risks which are currently presenting to Maternity Services as a result of the following factors:

**Midwifery Staffing and Leadership** – there are a number of factors affecting staffing of the services provided these include: Senior leadership (midwifery) vacancies, midwife vacancies, changes in staff demographics, lack of supervisors of midwives and over-reliance on bank and agency staff. The BAF risk 2659 is related to this risk.

### Obstetric Leadership

It is vital to the delivery of a clinically effective service going forward that there is a defined vision and strategy for the service over the next five years, recognising the anticipated increases in demand and changes in case mix of women choosing WHHT for maternity care.

**Increase in activity beyond current capacity of model:**

Anticipated activity for 2010/11 was set at 5660 deliveries based on the preceding three years activity. The forecast at Month 10 extrapolation is 5900 deliveries. This has created significant pressure on the service, with negative impact on staff morale, and the potential to threaten the positive work that has been done to improve the reputation of the service for patients, commissioners and potential new recruits

### Patient Safety

The service is currently reporting a higher than peer number of serious incidents.

This risk was discussed at the Integrated Risk and Governance Committee meeting dated 10 March 2011 where it was proposed this new risk is added to the Board Assurance Framework.

The current risk rating for 1 entry (1629 Old Pathology System) has reduced (⬇️) from 12 (amber) to 8 (amber) following go live of the new system on 14 February 2011. The risk will be subject to further review in May to determine the extent of any outstanding commissioning problems. The current risk rating for risk 11516 (hospital acquired infection) has increased (⬆️) from 8 (amber) to 16 (red) to reflect that the likelihood of the risk materialising has increased as a result of gaps in control. The risk rating for the remaining entries remains unchanged (●).

Following the addition of 1 new risk, a total of 10 entries have a current risk rating of 15 or above (red) and have ongoing mitigating actions.

See table following:

Current Risk Rating	Risk Reference and Risk Description	Since Trust Board (January 2011)		ACTION
		Change in Risk Rating	Previous Risk Rating	
8	2145 Inadequate resilience in core IT systems	●	8	MITIGATE
	2146 Failure to complete the process to deliver the Integrated Business Plan	●	8	MITIGATE
	1629 Old pathology system	⬇️	12	TOLERATE
9	1272 Lack of physical space to accommodate decontamination of equipment	●	9	TOLERATE
10	2722 PCT intention to reduce hospital based demand and reduction in income and reduction in capacity	●	10	MITIGATE
12				
	1465 Inadequate data quality to recover income and plan and monitor performance	●	12	MITIGATE
	2721 Failure to follow data confidentiality and systems security	●	12	MITIGATE
	2598 Failure to recruit, retain and motivate staff	●	12	MITIGATE
15	1512 Risk to target to organise and treat patients within 18 week referral	●	15	MITIGATE
16	11516 Risk of exceeding MRSA trajectory	⬆️	8	MITIGATE
	2659 Risks related to maternity staffing linked cost pressures	●	16	MITIGATE
	2720 Risk of failing to achieve NHSLA L. 2	●	16	MITIGATE
20	2136 Residual Estates Issues	●	20	MITIGATE

Current Risk Rating	Risk Reference and Risk Description	Since Trust Board (January 2011)		ACTION
		Change in Risk Rating	Previous Risk Rating	
	2143 Inability to discharge patients when acute medical care no longer required	●	20	MITIGATE
	2286 Risk of failing to deliver £8.6m surplus and maintaining FRR of 3	●	20	MITIGATE
	2287 Liquidity risk rating - Monitor	●	20	MITIGATE
	2719 Risk from seasonal flu related demand	●	20	MITIGATE
<b>20</b>	NEW Risk to maintaining delivery of high quality maternity services.	NEW		MITIGATE

**Risk entries requiring Board approval of changes in current risk rating:**

1. The Board is asked to approve the reduced current risk rating for:

1629 Old Pathology System 12

2. The Board is asked to approve the redefining of the risk relating to hospital acquired infection and to approve the increased risk rating for:

11516 Risk of exceeding HAI trajectory 16

3. The Board is asked to approve the addition to the Board Assurance Framework of the following risk and the scores assigned:

- Risk to maintaining delivery of high quality maternity services that meets the requirements of CQC Outcomes for Care and will achieve CNST (NHSLA) accreditation to Level 3 in 2012. 20

**Colin Johnston**  
**Medical Director**  
**March 2011**