

Reporting to:	Trust Board, 1st December 2016
Title	Board Assurance Framework - winter planning risk
Sponsoring Director	Chief Executive
Author(s)	Director of Corporate Governance
Previously considered by	Trust Board (Sept 16), Audit Committee (Sept 16), Tier Two Committees
Executive Summary	<p>The Board needs to be able to provide evidence that it has systematically identified the Trust's objectives and managed the principal risks to achieving them. Typically, this is achieved via the Board Assurance Framework (BAF) document and an embedded risk management approach. The individual risks are reviewed by the relevant Tier 2 Committees.</p> <p>Attachment 1 - Board Assurance Framework Summary</p> <p>This summary shows each risk is categorised by colour according to the current risk matrix.</p> <p>Attachment 2 - Board Assurance Framework - Winter Planning Risk</p> <p>The Chief Operating Officer has proposed and signed off a new risk for inclusion on the Board Assurance Framework. This risk is about winter planning and has been described as 'If there is a lack of system support for winter planning then this would have major impacts on the Trust's ability to deliver safe, effective and efficient care to patients'</p> <p>A draft of the risk is attached for Board approval and inclusion on the full framework (The full version of the BAF was discussed at Board in September 2016).</p>
Strategic Priorities	
1. Quality and Safety	<input checked="" type="checkbox"/> Reduce harm, deliver best clinical outcomes and improve patient experience. <input checked="" type="checkbox"/> Address the existing capacity shortfall and process issues to consistently deliver national healthcare standards <input checked="" type="checkbox"/> Develop a clinical strategy that ensures the safety and short term sustainability of our clinical services pending the outcome of the Future Fit Programme <input type="checkbox"/> To undertake a review of all current services at specialty level to inform future service and business decisions <input checked="" type="checkbox"/> Develop a sustainable long term clinical services strategy for the Trust to deliver our vision of future healthcare services through our Future Fit Programme
2. People	<input checked="" type="checkbox"/> Through our People Strategy develop, support and engage with our workforce to make our organisation a great place to work
3. Innovation	<input type="checkbox"/> Support service transformation and increased productivity through technology and continuous improvement strategies
4. Community and Partnership	<input type="checkbox"/> Develop the principle of 'agency' in our community to support a prevention agenda and improve the health and well-being of the population <input type="checkbox"/> Embed a customer focussed approach and improve relationships through our stakeholder engagement strategies
5. Financial Strength: Sustainable Future	<input checked="" type="checkbox"/> Develop a transition plan that ensures financial sustainability and addresses liquidity issues pending the outcome of the Future Fit Programme
Care Quality Commission (CQC) Domains	<input checked="" type="checkbox"/> Safe <input checked="" type="checkbox"/> Effective <input checked="" type="checkbox"/> Caring <input checked="" type="checkbox"/> Responsive <input checked="" type="checkbox"/> Well led

- Receive
- Review
- Note
- Approve

Recommendation

To review and approve the Winter Planning risk for inclusion on the BAF

Board Assurance Framework - Summary - November 2016

Key :	↑ Improvement	↓ Deterioration	= No change
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QUALITY AND SAFETY - reduce harm, deliver best clinical outcomes & improve patient experience
Risk Appetite - moderate

If we do not deliver **safe care** then patients may suffer avoidable harm and poor clinical outcomes and experience (RR415) *identified April 2012*

If we do not work with our partners to reduce the number of patients on the **Delayed Transfer of Care (DTOC)** lists, and streamline our internal processes we will not improve our 'simple' discharges. (951) *identified Nov 2014*

If there is a lack of system support for **winter planning** then this would have major impacts on the Trust's ability to deliver safe, effective and efficient care to patients (1134). *identified Oct 2016*

QUALITY AND SAFETY - Develop a clinical strategy that ensures the safety and short term sustainability of our clinical services pending the outcome of the Future Fit Programme
Risk Appetite - hungry

Risk to sustainability of clinical services due to potential shortages of key clinical staff (859) *identified March 2014*

- Medical Staffing
- Nurse Staffing

QUALITY AND SAFETY - Address the existing capacity shortfall & process issues to consistently deliver national healthcare standards
Risk Appetite - open

If we do not achieve safe and efficient **patient flow** and improve our processes and capacity and demand planning then we will fail the national quality and performance standards (RR 561) *identified April 2012*
Components:

- A&E Performance
- Cancer Waiting Times
- Referral to Treatment Times (RTT)

Trend

=	AMBER
=	AMBER
=	RED
NEW	RED
↓	RED
↓	RED
↓	RED
↑	RED
↓	RED
↓	RED
↓	RED
↑	GREEN
↑	AMBER

QUALITY AND SAFETY – Develop a sustainable long term clinical services strategy for the Trust to deliver our vision of future healthcare services through our Future Fit programme.
Risk Appetite - hungry

If we do not have a clear **clinical service vision** then we may not deliver the best services to patients (RR 668) *identified April 2012*

PEOPLE – Through our People Strategy develop, support and engage with our workforce to make our organisation a great place to work
Risk Appetite - open

If we do not get good levels of **staff engagement** to get a culture of continuous improvement then staff morale & patient outcomes may not improve (RR 423) *identified April 2012*

FINANCIAL STRENGTH: SUSTAINABLE FUTURE - Develop a transition plan that ensures financial sustainability & addresses liquidity pending the outcome of the Future Fit Programme
Risk Appetite - moderate

If we are unable to resolve the structural imbalance in the Trust's **Income & Expenditure** position then we will not be able to fulfil our financial duties & address the modernisation of our ageing estate & equipment (670) *identified Sept 2012*

Trend

↑	RED
↑	RED
=	AMBER
=	AMBER
↑	RED
↑	RED

Likelihood	Consequence				
	1 Insignificant	2 Minor	3 Moderate	4 Severe	5 Critical
5 - Almost Certain	AMBER	AMBER	RED	RED	RED
4 - Likely	AMBER	AMBER	AMBER	RED	RED
3 - Possible	GREEN	AMBER	AMBER	AMBER	RED
2 - Unlikely	GREEN	AMBER	AMBER	AMBER	AMBER
1 - Rare	GREEN	GREEN	AMBER	AMBER	AMBER

Key : ↑ Improvement ↓ Deterioration 0 = No change

Trust Risk Ref	Lead Director + Category of risk + Lead Committee	Principal Risk and Potential Impacts	Inherent Risk	Key Controls	Planned Sources of Assurance + date received/expected	Residual Risk rating & direction of travel	Gaps in Control + assurance	Action Lead
Principal Objective: QUALITY AND SAFETY– reduce harm, deliver best clinical outcomes & improve patient experience								
1134	Chief Operating Officer Safety and Patient Experience Safety Committee	<p>If there is a lack of system support for winter planning then this would have major impacts on the Trust's ability to deliver safe, effective and efficient care to patients.</p> <p>Potential Impacts</p> <ul style="list-style-type: none"> • Inability to continue with current provision of service • Poor experience for patients including over 8 hour trolley waits and cancelled operations • Failure to comply with national standards and best practice tariffs • Reduced patient safety • Reduced quality of care • Low staff morale • Increased levels of Delays in Transfers of Care • Additional escalation and staffing costs • Failure to achieve STF financial control total • Increased ambulance handover delays • Increased mortality 	RED	<p>Clinical sustainability group</p> <p>Temporary staffing department</p> <p>SaTH Escalation policy</p> <p>Whole System Surge Plan</p> <p>Care Group Boards</p> <p>Weekly LHE COO meetings</p> <p>Shropshire, T & W A&E Delivery Board</p> <p>Regional Urgent Care Network</p> <p>STP</p> <p>Divert Policy</p>	<p>A&E Exception Report</p> <p>SITREPS</p> <p>Daily Executive Report</p> <p>Operational Performance Report</p> <p>System Dashboard</p> <p>Incident reports</p> <p>RCA's</p> <p>Daily DToC report</p>	AMBER	<p>Gaps in Controls</p> <ul style="list-style-type: none"> • Inadequate Whole System Winter Plan * Non-compliance with Divert Policy <p>Gaps in Assurance/ Negative Assurance</p> <ul style="list-style-type: none"> • Shropshire CCG Special Measures • System financial deficit 	<p>Director of Nursing and Quality</p> <p>Chief Operating Officer</p>