Report to:	Trust Board (Public)	**Agenda item:**	SFT4117
Date of Meeting:	4 October 2018		

Report Title:	Board Assurance Framework and Corporate Risk Register			
Status:	**Information**	**Discussion**	**Assurance**	**Approval**
				X
Prepared by:	Andrea Prime, Deputy Head of Corporate Governance Lorna Wilkinson, Director of Nursing			
Executive Sponsor (presenting):	Lorna Wilkinson, Director of Nursing			
Appendices (list if applicable):	- Revised Board Assurance Framework (v6.4 Sept 2018) - Corporate Risk Register Summary (v0.2 Sept 2018) - Corporate Risk Register (v5.4 Sept 2018)			

Recommendation:
The Board are asked to consider and approve the revised Board Assurance Framework.

Executive Summary:
Background The Board Assurance Framework (BAF) provides the Trust Board with a means for satisfying itself that its responsibilities are being discharged effectively and objectives delivered. This informs the Annual Governance Statement and annual cycle of business. **Process:** The BAF format was adopted by the Board in December 2017 and is presented to the Board at each of its public meetings, together with the Corporate Risk Register (CRR), to ensure that the risks described are the most valid and the document remains fit for purpose following review of assigned sections through each of the Board's Committees: • Local Services : Finance & Performance Committee • Specialist Services : Finance & Performance Committee • Innovation: Clinical Governance Committee • Care : Clinical Governance Committee • People : Workforce Committee • Resources : Finance and Performance Committee • Strategic objectives: Strategy Committee

In addition the Trust Management Committee reviews the complete BAF and CRR as part of this bi-monthly process.

The aims of the revised BAF are to:

- Ensure there is clear alignment between the Trust's Strategy, BAF and CRR
- Enable the Board to be able to clearly see progress / deterioration of risks on the CRR and where required request further assurance / deep dive
- Support the updating of actions against gaps in one place

The BAF:

The BAF has been revised and updated. In order to assist in the easy identification of changes to the document:

- New content is highlighted in yellow
- Out-dated content to be removed is marked with ~~strike through~~

Supporting Documentation:

- The Corporate Risk Register (CRR) is presented alongside the BAF for review
- The Corporate Risk Register Summary supporting the CRR, tracks the risk over previous months, detailing the date of addition to the risk register and Lead Executive. Updates can also be requested and tracked through this summary sheet

Review of Risks:

It is clear from the 'Strategic Priorities – Risk Overview' summary that our highest risk areas are:

- People: continuing challenges in recruitment, particularly Registered Nurses
- Resources: higher than planned deficit position. Currently working with NHSI on financial recovery and sustainability plan

The following new risks have been added to the CRR:

- 5530 – consultation on wholly owned subsidiary – initial risk score 15
- 5193 – aging pharmacy robotic equipment – initial risk score 12
- 4571 – potential failure of sterilisers, washers and associated plant – initial risk score 15
- 5553 – SUS/SLAM reconciliation - initial risk score 15

Review of gaps in control:

Through the review process, the following gaps in control have been added to the BAF and are highlighted in yellow within the document, together with accompanying actions:

Strategic priority	Strategic objective	Gap
Local services	1 Development of an integrated frail elderly service	Lack of community pathways to facilitate discharge
Local services	2 Implement new systems to manage the flow of emergency patients	Inability to fill ED navigator role
Specialist services	2 Plastic surgery: Deliver capacity to separate elective and emergency care. Lead provision of plastic surgery	Effect of changes in capacity and pathways in other Trusts affecting flow of patients to SFT

	network across Wessex	
Specialist Services	3 Work with our partners in networks to develop care pathways for specialist services which improve effectiveness and patient experience (eg burns, cleft lip, genetics/genomics)	NHSE commissioning approach from 1 October 2018

Review of BAF process by the Audit Committee
As outlined in the report to Board from the September Audit Committee meeting, the Committee conducted its bi-annual review of the processes for the management of risk in the Trust. Whilst it was agreed that the existing processes were being followed, the Committee agreed that the process would further benefit from better engagement of the committees of the Board which review each of the sections of the BAF and the corporate risk register. The Executive will be reviewing this over the next three months with a view to embedding any changes identified early in the new calendar year.

Next Stages:
- The BAF will be reviewed again during November for presentation to Board at its meeting in December
- Risks on the Corporate Risk Register will continue to be reviewed by the Executive Leads to ensure they are representative of the actual current risk and that actions are up to date
- Further work is needed to ensure that all gaps identified on the BAF are trackable, either through relevant risks on the risk register or further development of this template
- This covering report will be further refined for the next report to Board to make the changes/progress with the risks more explicit
- The Director of Corporate Governance will review outcomes from the Well Led Review to identify further areas for improvement of BAF and related risk processes
- Board and Board sub-committee agenda items will also be mapped to risks highlighted on the BAF/CRR

Board Assurance Framework – Strategic Priorities	Select as applicable
Local Services - We will meet the needs of the local population by developing new ways of working which always put patients at the centre of all that we do	☒
Specialist Services - We will provide innovative, high quality specialist care delivering outstanding outcomes for a wider population	☒
Innovation - We will promote new and better ways of working, always looking to achieve excellence and sustainability in how our services are delivered	☒
Care - We will treat our patients, and their families, with care, kindness and compassion and keep them safe from avoidable harm	☒
People - We will make SFT a place to work where staff feel valued and are able to develop as individuals and as teams	☒
Resources - We will make best use of our resources to achieve a financially sustainable future, securing the best outcomes within the available resources	☒

Salisbury
NHS Foundation Trust

Board Assurance Framework
2018/19

V6.4 - as at 26/09/18

Trust Vision: An Outstanding Experience for Every Patient

Delivery of our vision and the strategic objectives is underpinned by our Trust Values and Behaviours: Patient Centred and Safe, Professional, Responsive, and Friendly. A drive to be 'outstanding every time.' It is also recognised (as illustrated above) that woven throughout the delivery of the strategy is the need to successfully develop and work across partnerships and collaborations which is why the Corporate Risk Register highlights both internal and external risks to delivery of our objectives.

Strategic Priorities

Local Services – We will meet the needs of the local population by developing new ways of working which always put patients at the centre of all that we do.

Specialist Services – We will provide innovative, high quality specialist care delivering outstanding outcomes for a wider population.

Innovation – We will promote new and better ways of working, always looking to achieve excellence and sustainability in how our services are delivered

Care – We will treat our patients, and their families, with care, kindness and compassion and keep them safe from avoidable harm

People - We will make SFT a place to work where staff feel valued and are able to develop as individuals and as teams

Resources – We will make best use of our resources to achieve a financially sustainable future, securing the best outcomes within the available resources

Board Assurance Framework – Glossary

Strategic priority	Executive Lead and Reporting Committee	Key Controls	Assurance on Controls	Positive Assurances	Gaps in Control	Gaps in Assurance
What the organisation aims to deliver	Executive lead for the risk The assuring committee that has responsibility for reporting to the Board on the risk.	What management controls/systems we have in place to assist in securing delivery of our objective	Where we gain independent evidence that our controls/ systems, on which we are placing reliance, are effective.	What evidence demonstrates we are reasonably managing our risks, and objectives are being delivered **Level 1 Internal Assurance** – Internally generated report or information which describes the effectiveness of the controls to manage the risk. For example – the Integrated Performance Report, self-assessments. **Level 2: semi-independent Assurance** For example – Non-Executive Director walk arounds, Internal Audits **Level 3 External Assurance** – Independent reports or information which describes the effectiveness of the controls to manage the risk. For example – External Audits, regulator inspection reports/reviews.	Where do we still need to put controls/systems in place? Where do we still need to make them effective?	Where do we still need to gain evidence that our controls/systems, on which we place reliance, are effective?

Risk Matrix Score Key

Low Risk	Moderate Risk	High Risk	Extreme Risk
1-3	4-6	8-12	15-25

Strategic Priorities – Risk Overview

	Overall risk score
Local Services We will meet the needs of the local population by developing new ways of working which always put patients at the centre of all that we do.	
Specialist Services We will provide innovative, high quality specialist care delivering outstanding outcomes for a wider population.	
Innovation We will promote new and better ways of working, always looking to achieve excellence and sustainability in how our services are delivered	
Care We will treat our patients, and their families, with care, kindness and compassion and keep them safe from avoidable harm	
People We will make SFT a place to work where staff feel valued and are able to develop as individuals and as teams	
Resources We will make best use of our resources to achieve a financially sustainable future, securing the best outcomes within the available resources	

Strategic Priority:

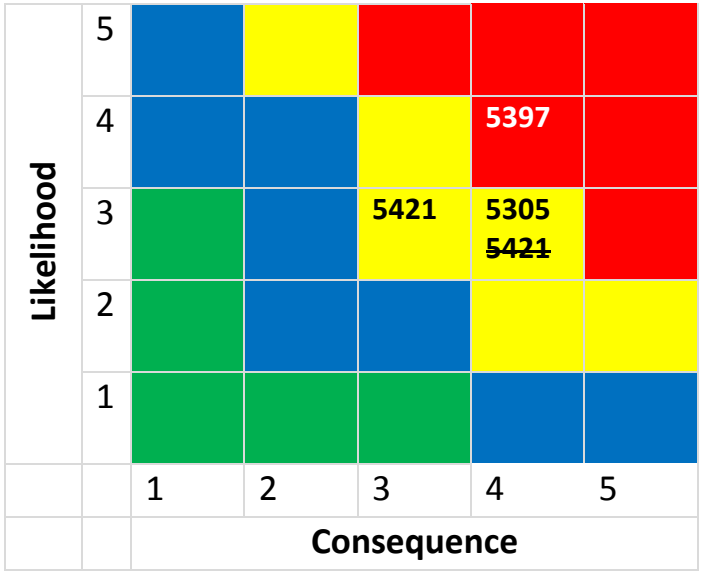
> **Local Services –** We will meet the needs of the local population by developing new ways of working which always put patients at the centre of all that we do.

Executive Lead: Chief Operating Officer **Reporting Committee:** Finance & Performance Committee

Plan to do:

Objective	Exec Lead	Due Date	Progress
1. **Frail Elderly** - Development of an integrated frail elderly service	COO	April 2019	
2. **Emergency Care** - Implement new systems to manage the flow of emergency patients	COO	~~April 2019~~Dec 2018	
3. **Delayed Discharge** - Develop with partners a series of initiatives to ensure patients do not stay in hospital any longer than they need	COO	April 2019	
4. **Access** – Improving access to core services to support prompt, responsive care	COO	Oct 2018	

Corporate Risk Register Principal Linked Risks



5305 – Consitutional performance standards may not be met as result of increased demand or decreased capacity

5421 – Incident reports – clinician requested timescales

5397 - inability to recruit enough nurse a decision has been taken not to open the additional medical beds

~~Linked risks:~~

Key Controls	Assurance on Controls
• Established performance monitoring and accountability framework • Access policy • Accountability Framework • Ward reconfiguration governance structure • Engagement with commissioners and system (EDLDB) • Escalation processes in line with the Trust's OPEL status • Weekly Delivery Group meeting • Executive membership of Wilts Health and Care	• Integrated performance report • Performance review meetings with CCG • Whole system reports (EDLDB) • Market intelligence to review competitor activity and commissioning changes • Performance reports to weekly Delivery Group

Key Headlines - Objectives

Objective	Positive Assurance	Gaps in Control / Assurance	Action	Due
1. Development of an integrated frail elderly service	• Performance against quality metrics including increased number of discharges within 48 hours • Workshop to develop pathways for older people across the health economy has been agreed; actions being taken forward • Patient ward moves reduced (Getting the patient to the right place, first time) • Locality model for elderly pathways now fully implemented	• Unsuccessful recruitment of acute physicians		
		• Agreeing pathways from ED/AMU to frailty	Fortnightly huddles with each medical ward to embed learning and monitor patient flow measures Recovery Action Plan to be presented to COO - AH	June 18 Ongoing Sept 18
		• Inability to create capacity between AMU and Durrington to support the frail elderly pathway	Address improvements through Patient Flow workstream Improvement actions to be embedded through the daily operational meetings - AH	July 2018 Complete Nov 2018
		• Records of patient moves not consistently kept up to date	Systems and processes to be addressed through Patient Flow workstream (delivery linked to recruitment plan) Audit July moves between 8 pm and 6 am - AH	Q3 18/19 Oct 18

		• Lack of single community bed base to ensure seamless pathway	Address through EDLBD: • Weekly senior leaders meeting reviewing community capacity	Oct 18
		• Lack of community pathways to facilitate discharge	• Monthly Strategic Frailty meetings established (Acute, Community) • STP launch (Older Persons) • SFT Operational working group meetings established (bi-monthly) • Process map patient pathway (internal, external partners including outreach clinics) • Research National Older persons work and present findings to Strategic Group • Comprehensive Geriatrician Assessment (CGA) forms reviewed and revised (Internal/External)	Complete Sept 18 Complete Oct 18 Oct 18 Dec 18

Objective	Positive Assurance	Gaps in Control / Assurance	Action	Due
2. Implement new systems to manage the flow of emergency patients	• Performance against national standards and internal quality metrics (improving length of stay and flow of patients) • Positive ED quality metrics • Good progress with new build, project on track - Ophthalmology, AMU and short stay surgery units open; Pembroke move completed May 2018 • Active use of escalation process over winter period • Escalation of ambulance handover delays has improved this issue	• Reliance on agency staff effecting ability to embed new ways of working	Trust wide recruitment plan –PH	Q3 18/19
		• Accurate data entry at ward levels	SFT IT team working with supplier to develop the two way link – AH/LA	Complete July 18
		• Medicine length of stay greater than benchmark • Additional medical beds not opening ~~in Q1~~	Improvements in patient flow, including length of stay reductions, being managed through a revised action plan with agreed KPIs and via a weekly PMB - AH	November 18
		• Inability to fill ED navigator role	Escalate workforce requirement with ambulance service – AH	Oct 18

Objective	Positive Assurance	Gaps in Control / Assurance	Action	Due
3. Develop with partners a series of initiatives to ensure patients do not stay in hospital any longer than they need	• Clarity on the number of non DTOC delays being reported • Early triggers in place to alert other providers when numbers of delays are increasing • Trust membership of Joint Commissioning Board • Trust membership of Health and Wellbeing Board • Trust representation on the Integration and Better Care Fund group	• Community/voluntary sector funding and capacity	Being addressed through Council CQC action plan and ED Local Delivery Board - AH	Dec 18
		• Staff availability to identify and develop opportunities to improve pathways and discharge	Local Workforce Action Board (LWAB) system wide workforce recruitment plan - PH	Q4 18/19
		• Inability of the health system to respond to increases in demand	Regular senior decision maker meetings taking place across the health economy to address actions - AH In-depth review of all delayed discharges across south Wiltshire – AH NHSE escalation framework being followed due to lack of community capacity including daily gold calls now including CEO level – AH Development of Trust plan should community capacity not be delivered - AH	Sept 18 20 June 18 Complete Oct 18 Oct 18
		• Community capacity not aligned to need	STP capacity and demand modelling across the system - AH	Oct 18
		• Capacity within health system to step up discharge support as part of a major incident response	System-wide weekly meeting to agree actions to reduce the number of stranded patients – AH	Ongoing

Objective	Positive Assurance	Gaps in Control / Assurance	Action	Due
4. Improving access to core services to support prompt, responsive care	• Delivering national access standard • Reports indicate current performance and waiting list now delivering • RTT waiting list has stabilised • Clarity obtained as to what capacity is required to clear backlogs	• Accurate capacity and demand modelling to inform consultant job planning	Operational demand and capacity mapping – AH Job planning process and job planning review framework set up and managed through PMB – PH	Oct 18 Q3 18/19
		• Follow up waiting list still being validated	Plastics and Urology follow up waiting list being administratively validated up to 2017 –AH All follow-up waiting lists being administratively validated up to 2018 - AH	July 18 Complete Dec 18
		• Additional short term capacity required to clear backlogs – concern about affordability and whether deliverable delivered	Capacity and demand modelling is addressing - AH	Sept 18
		• Inability to increase capacity to clear backlogs in a timely way (may be affected by financial position)	Capacity and demand modelling to identify gap to be addressed -AH	Sept 18
		• Review of Access policy (underway)	Access policy shared with other providers and CCGs – AH	Sept 18
		• Assurance that all capacity is being fully utilised	Forward look tool and weekly assurance meetings being developed - SW	Sept 18

Strategic Priority:

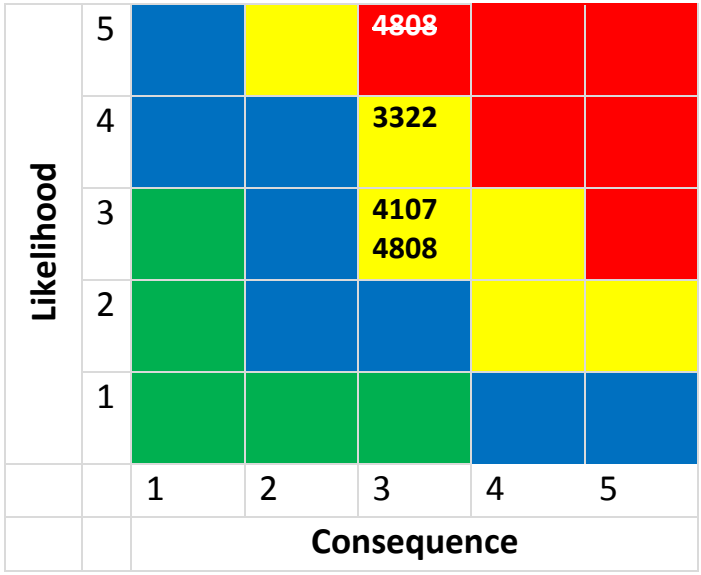
> **Specialist Services –** We will provide innovative, high quality specialist care delivering outstanding outcomes for a wider population.

Executive Lead: Chief Operating Officer **Reporting Committee:** Finance & Performance Committee

Plan to do:

Objective	Exec Lead	Due Date	Progress
1. **Spinal Centre –** Service improvement initiatives within Spinal Cord Injury Centre	MD	April 2018 (Phase 1) Phase 2 tbc	
2. **Plastics** - Delivery capacity to separate elective and emergency care. Lead provision of plastic surgery network across Wessex	COO	~~April 2019~~ Dec 2018	
3. **Partnership Working** - Work with our partners in networks to develop care pathways for specialist services which improve effectiveness and patient experience (eg burns, cleft lip, genomics)	MD/COO/DoCD	June 2018 (Phase 1)	

Corporate Risk Register Principal Linked Risks



3322 - Genetics National reconfiguration

4808 - Vascular surgery cover

Linked risks:

4107 - Failure to adhere to clinician requested timeframes for follow-up appointments for skin cancer patients. (Care section)

Key Controls	Assurance on Controls
• NHS England contract standards • Access Policy • Work with key network partners in Plastic Surgery - Solent Alliance/Plastics Venture Board • COO Delivery Group	• Integrated Performance Report • Specialist Services dashboards

Key Headlines – Objectives

Objective	Positive Assurance	Gaps in Control / Assurance	Action	Due
1. Service improvement initiatives within Spinal Cord Injury Centre	• Reducing the delay to admission and acceptance of admissions. • Reducing LoS by introducing intense rehab and standardisation of care, whilst also introducing a step down facility for rehab. • Ensuring a sustainable outpatient model, with every patient being recorded. • Improved therapy collaborative working across patient pathway, including inpatient and outpatient services • Recruitment of a clinical lead to support change within the teams • Implemented and embedded multi-disciplinary ward round, including support from respiratory • Improvement plan in place and maintained via Directorate Performance Reviews	• The historical and cultural national referral process restrictions.		
		• Workforce gaps in staffing levels and conflicting priorities.		
		• Levels of therapy engagement resulted in pilot work being stopped.	New approach from lead therapist to be worked through.	
		• Multi-disciplinary ward round, including support from urology not yet implemented and embedded	Recruitment of spinal urologist	
		• Common MDT vision and strategy not yet developed		

Objective	Positive Assurance	Gaps in Control / Assurance	Action	Due
2. Plastic Surgery: Deliver capacity to separate elective and emergency care. Lead provision of plastic surgery network across Wessex	• Theatre timetables have been redesigned to ensure that elective and emergency capacity is separated • Support to PHT to become sustainable out of hours • Network approach to Plastic surgery service provision • Recruited band 7 lead for Plastics and Burns	• Required changes to operational and clinical practice/behaviour associated with reconfiguration of Burns and Plastics Inpatient Ward is not yet embedded	• COO monitoring numbers and location of outliers – AH	Ongoing
		• SLAs for providing services to other Trusts are not in place across the network	Trust wide piece of work to establish SLAs with other Trusts - AH	Aug 18
		• Changes in operational practice from relocation of weekend Plastics Trauma Clinics to Burns and Plastics Inpatient dept	Monitoring via Executive Performance Reviews with MSK - AH	Ongoing
		• Workforce and skills gaps in Nursing Team	• Trust wide recruitment programme for nursing - PH • Working with Deputy Director of nursing to mitigate training risk - AH	Q3 18/19 July 18 Complete
		• Gap between income and expenditure in plastics and burns	Implement action plan - AH	Mar 19
		Effect of changes in capacity and pathways in other Trusts affecting flow of patients to SFT	Plastics network launched – AH Meeting with Southampton Trauma Director - AH Meeting with COO of Portsmouth - AH	July 18 Complete Sept 18 Sept 18

Objective	Positive Assurance	Gaps in Control / Assurance	Action	Due
3. Work with our partners in networks to develop care pathways for specialist services which improve effectiveness and patient experience (eg burns, cleft lip, genetics/genomics)	• Cleft appointed new consultant cleft surgeon, who is also rotated on the plastic surgery O/C rota. • Work continues with Oxford and Southampton in ensuring the appropriate site is available for cleft surgery • Genetics - good progress in forming an alliance partnership with BWCH, UHB, OUH and UHS	• As part of the national tender process for genetics/genomics the following gaps have emerged: - Clarity on what genetics services will continue to be offered at SFT - Clarity on genetics service implications for workforce, estates and infrastructure • Forum for discussing pathways with Southampton as the tertiary provider • NHSE Commissioning approach for genetics from 1 October 2018	Responding to NHSE requests for further information in advance of procurement decision - LA Meeting with Southampton regarding laboratory services - LA Quarterly meetings between MDs and COOs - AH Continue to engage with commissioners and consider implications of new commissioning arrangements - LA	Ongoing 10 Aug & 5 Sept Q3 Q3

Strategic Priority:

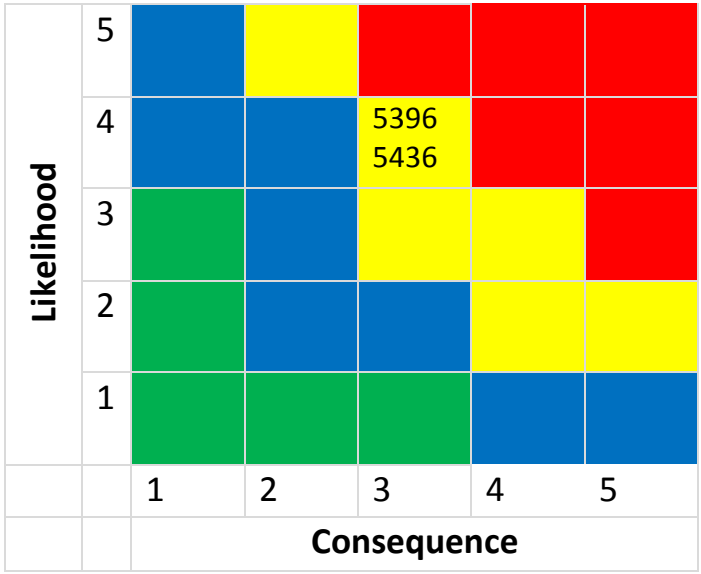
Innovation – We will promote new and better ways of working, always looking to achieve excellence and sustainability in how our services are delivered

Executive Lead: Medical Director **Reporting Committee:** Clinical Governance Committee

Plan to do:

Objective	Exec Lead	Due Date	Progress
1. **Research -** Deliver an increased range of high quality research which directly benefits patient care and increases the Trust's reputation	MD	April 2019	
2. **Improvement -** Build a culture of innovation and continuous improvement	COO/MD	Oct 18	
3. **Innovation -** Introduce innovative processes, pathways and to change how we deliver our services to improve effectiveness of our services and to bring additional benefit for our patients	MD/COO	April 2019	

Corporate Risk Register Principal Risks



5436 – Quality improvement methodology funding

Linked risks:

5396 – Delivery of CQUIN (resources section)

Key Controls	Assurance on Controls
• Outstanding Every Time Board • QI training and coordination via PMO • Research Governance Framework	• Model Hospital benchmarking • NIHR Wessex

Key Headlines – Objectives

Objective	Positive Assurance	Gaps in Control / Assurance	Action	Due
1. Deliver an increased range of high quality research which directly benefits patient care and increases the level of research income earned	• Attaining recruitment target • Increased number of departments are research active • Good progress in recruiting to time and target • Team won national Research Excellence Award • Approval to recruit two research fellows from NIHR support	Availability of suitable high recruiting portfolio studies	Review NIHR bulletins to identify suitable studies - CB	Monthly
2. Build a culture of innovation and continuous improvement adopting a consistent QI methodology	• Business case approved setting out future QI approach	Historically there has been no consistent approach to QI. Business case not funded; alternatives being explored Fragmented capture of QI work within the Trust and unclear accountability for delivery	~~Review opportunities within existing capacity – SW~~ Scope current QI activity, capacity and capability in the organisation – LW/LAr ~~Review opportunities within existing capacity - SW~~	~~Q2 18/19~~ End Oct 18 ~~Q2 18/19~~
3. Introduce innovative processes, pathways and to change how we deliver our services to improve effectiveness of our services and to bring additional benefit for our patients	• Trust weighted activity unit benchmark in top 10% of country as per the Model Hospital tool. • Consistently approving introduction of new procedures • New ambulatory gynaecology service • Introduction of virtual fracture clinic and patient initiated follow up • Roll out of email advice service	Surgical pathway requires improvement to reduce pre-surgery bed days	Length of Stay Project Board to identify pathways with excessive length of stay	Q2 18/19
		Failure to embed standard operating procedure for Fractured neck of femur pathway	Review pathway for fractured neck of femur with a view to making improvements	Q2
		Gaps in communications with GPs due to Consultant Connect not being commissioned for SFT	Joint GP and consultant session to review	July 18 Complete

Strategic Priority:

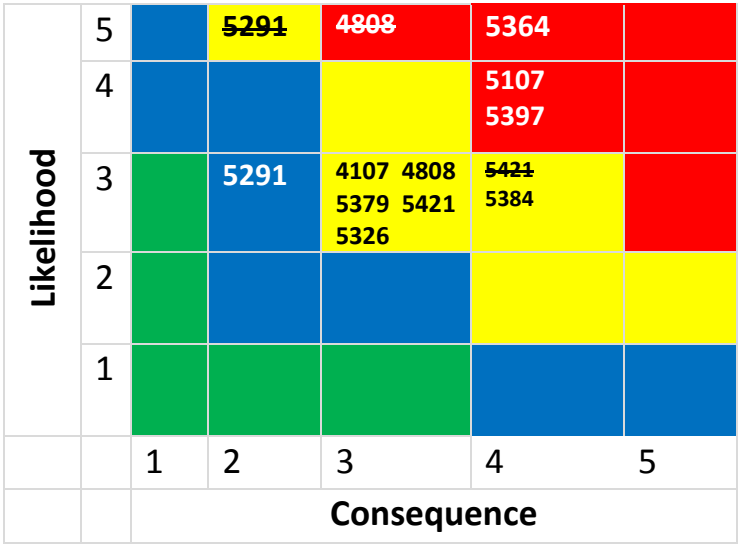
> **Care –** We will treat our patients, and their families, with care, kindness and compassion and keep them safe from avoidable harm

Executive Lead: Medical Director and Director of Nursing **Reporting Committee:** Clinical Governance Committee

Plan to do:

Objective	Exec Lead	Due Date	Progress
1. **CQC** - Achieve a CQC rating of Good	DoN	March 19	
2. **Safety -** Deliver on the local and national safety priorities	DoN	March 19	
3. **Infection -** Maintain our focus on reducing rates of infection	DoN	March 19	
4. **Learning from Deaths -** Review process to establish learning and improvement	MD	March 19	
5. **Patient Experience -** Work with our patients to plan and improve the services we provide to ensure the care delivered meets patients' needs	DoN	March 19	

Corporate Risk Register Principal Risks



5384 – inpatient fall resulting in harm; increasing frail population
4107 – Risk of delay to patient follow-ups in Plastics
5291 – Potential for bleep failure
5379 – Theratres patient safety

Linked risks:
4808 - Vascular surgery cover (specialist services section)
5107 - Failure to recruit to vacant posts will result in an inability to provide outstanding patient care (people section)
5364 - Failure to achieve required ward nursing establishment (people)
5326 – Access to electronically held patient records (resources)
5421 – Incident reports – clinician requested timescales (local services)
5397 - inability to recruit enough nurses a decision has been taken not to open the additional medical beds (local services)

Key Controls	Assurance on Controls
• Quality Governance Framework • Integrated Governance Framework • Accountability Framework • Policies and procedures • Patient and user feedback mechanisms / patient stories at Board • Contract Quality Review Meeting / contractual monitoring • Annual audit programme • Safety programme • Infection Prevention and Control Governance Framework and plan • Learning from Deaths Policy	• Internal reporting processes to Committees and Board • External reporting and benchmarking mechanisms • Internal audit programme • CQC inspection regime • Patient Surveys/Friends and Family Test/Real Time Feedback • Executive Board safety Walks • Well led review-completed March 18 • Internal Audit report on morbidity and mortality meetings

Key Headlines – Objectives

Objective	Positive Assurance	Gaps in Control / Assurance	Action	Due
1. Achieve a CQC rating of Good	• Positive CQC Insights report on key benchmarks • Improvement delivery on Must do/ Should do's	• CQC will not normally grade a Trust Good if it is subject to NHS I enforcement action	Continue to deliver the Enforcement Action Plan to close enforcement action and obtain NHS I certificate of compliance	September 2018
		• ~~Reliant on CQC scheduling next inspection~~	~~Maintain CQC preparation plan – LW~~ Complete CQC inspection preparation - LW	~~Ongoing~~ Nov 18
		• Findings of Well Led review have identified areas for improvement	Implement Well Led action plan – ~~LW~~/CCB/FMc	Dec 18
2. Deliver on the local and national safety priorities	• Quarterly reports show most workstreams on track	• Never events continue to be reported	Intensive support commissioned for theatres – led by DMT with Executive oversight	Sept 18
		• Falls continues to be biggest risk within the work streams	Implementation of Falls Reduction Strategy	March 19

Objective	Positive Assurance	Gaps in Control / Assurance	Action	Due
		• Cluster of incidents relating to cancer pathway	• Task and finish group set up and chaired by deputy COO to review patient pathways and processes – AH • Draw together learning from all incidents for review by Clinical Risk Group, Cancer Board and CCG – LW/CB/AH • Cancer Board review of patient pathways – CB	April 18 Complete ~~July 18~~ Sept 18 Sept 18
3. Maintain our focus on reducing rates of infection	• Trust in best performing quartile for reportable infection rates in the South West in 2017/18 • Positive feedback received from NHS England re reduction of E. coli bacteraemia	• Did not achieve the required reduction in defined daily doses across all anti-microbials for CQUIN 17/18 • Currently do not have resource required to have adequate oversight of anti-microbial stewardship in practice	CSFS business case addressing gaps and potential resource requirements	Sept 18
4. Review process to establish learning and improvement on learning from deaths	• Mortality review reports show low levels of avoidability • HSMR is in normal range • Internal audit report on morbidity and mortality meetings • Learning from Deaths Policy published on Trust website • Mortality dashboard was published in February	• Improvement needed in some local Mortality and Morbidity meetings	Ongoing work with relevant directorates – CB	Ongoing
		Improvement needed in mortality review tool	Improvement work prioritised by IT – CB	Sept 18
5. Work with our patients to plan and improve the services we provide to ensure the care delivered meets patients' needs	• Positive survey results o ED o Cancer o Maternity o Paeds • High satisfaction shown in Friends and Family Test and Real Time Feedback	Not yet achieving improvement on NHS Inpatient Survey results (all areas average)	Action plan in development, with key focus for corporate support being established - LW	Sept 18

Strategic Priority:

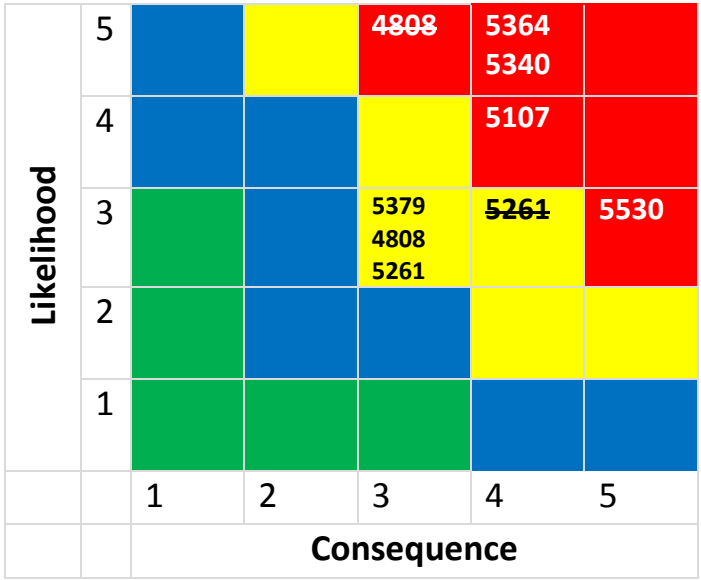
People - We will make SFT a place to work where staff feel valued and are able to develop as individuals and as teams

Executive Lead: Director of Organisational Development and People **Reporting Committee:** Workforce Committee

Plan to do:

Objective	Exec Lead	Due Date	Progress
1. **Resourcing and Talent Management -** Deliver a cohesive plan to attract, deploy, retain and reward a flexible workforce	DoODP	March 2019 (phase 1)	
2. **Business Partnering** - Establish effective partnerships to align business and HR strategies	DoODP	March 2019 (phase 1)	
3. **Health and Wellbeing** - Improve the health and wellbeing of staff	DoODP	March 2019 (phase 1)	
4. **OD and Engagement** - Develop a diverse and inclusive culture where staff feel engaged	DoODP	March 2019 (phase 1)	
5. **Leadership -** Develop strong leadership capability across all levels of the organisation to support an innovation culture	DoODP	March 2019 (phase 1)	

Corporate Risk Register Principal Risks



5107 – High level of vacant clinical posts incurs costs due to increasing use of agency staff

5261 – Rechecking system inadequate to maintain current DBS recheck requirement

5340 – ESR Portal Access

5364 - Failure to achieve ward nursing establishment

5530 – Consultation on wholly owned subsidiary proposal - NEW

Linked risks:
5379 – Theatres patient safety (care section)
4808 – Vascular surgery cover (specialist services section)

Key Controls	Assurance on Controls
• Workforce Committee (EWC) • Health and Wellbeing Board • HR Policies • Directorate Performance meetings • Trust values and behaviours • Workforce Programme Management Board • Safer Staffing Group • Equality, Diversity and Inclusion Steering Group (under review) • Health and Safety Committee • Integrated Performance Report at Board • Monthly Workforce Dashboard • Executive Safety Walks • Freedom to Speak Up Guardians • JCC Staff Side Meeting	• Staff Survey • Staff Friends and Family Test • External Audits • Internal Audits • CQC Well Led Domain • NHSI temporary spend caps • Leavers and starters surveys • Staff Engagement Group • Equality, Diversity and inclusion annual report

Key Headlines – Objectives

Objective	Positive Assurance	Gaps in Control / Assurance	Action	Due
1. Deliver a cohesive plan to attract, deploy, retain and reward a flexible workforce	• Staff turnover remains steady (reported through EWC) • Growing medical locum bank (Locums Nest engaged) • Engaged with regional streamlining work stream • Engaged with STP Agency cap and control work stream • Chair of the STP Social Partnership Forum • Proactive engagement with the	• Impact of Brexit not yet clear	Continue to review as new information becomes available	Ongoing
		• Impact and delay of IELTS / OSCE for international recruits	Explore alternative IETLTs rules with NMC	July 2018
		• Recruitment data not easily reportable	TRAC system due to go live July 18 - PH	July 18 COMPLETE
		• No retention strategy and associated resource	Implement Engagement Plan	July 18
		• Potential for shortage areas to be removed from Shortage Occupation list (e.g. Nursing)	Continue external conversations and ensure awareness of proposed changes	Ongoing

Objective	Positive Assurance	Gaps in Control / Assurance	Action	Due
	Local Workforce Action Board • Staff side balloting on government proposals on Agenda for Change	Process not in place to gather recruitment experience	• Implement recruitment strategy – PH • Procurement of TRAC recruitment system — PH	Q3 18/19 Q3 18/19 COMPLETE
		Implementation of new approaches to retention	Pilot innovative approaches to retention e.g. transfer windows	July 18
		Feedback gaps (candidate/ starter/ leaver)	Exit interviews –- PH 100 day new starter survey - PH	Commenced March 18 Commenced June 18
		Inability to triangulate hard and soft metrics on wellbeing of staff /depts	Triangulating hard and soft workforce metrics - PH	Q2 18/19
		E-Roster not rolled out to wider workforce	Integration and roll out of eRoster –PH	Q4 18/19
		Resourcing strategy does not align temporary and substantive staffing needs	Transfer of Bank function into OD & People Directorate – PH	Q3 18/19
		Programme of staff benefits not fully developed	Programme of staff benefits – PH	Q2 18/19
2. Establish effective partnerships to align business and HR strategies	• New Workforce KPI Dashboard • New structure for HR implemented 3 April with vacancies going out and some interim cover	• Lack of management training and toolkits on key people management topics	Rolling programme commencing Q1 – PH - First tool kit – sickness absence	Q1 18/19 commenced
		• Inaccurate data captured within ESR	Data cleanse and review of ESR feeder systems –PH	March 19
		• Maximising ESR system capabilities	Optimise use of ESR to enable accurate reporting and feeder systems to function - PH	March 19
		• Current inability to triangulate hard and soft data across depts	Triangulating hard and soft workforce metrics - PH	Q2 18/19

Objective	Positive Assurance	Gaps in Control / Assurance	Action	Due
		• Immature Business partner model for service delivery	• Appoint to vacant senior posts –- PH	Q3 18/19 In progress
3. Improve the health and wellbeing of staff	• Staff sickness benchmarks well against local Trusts at approx 3.6% as an average. • Shape up at Salisbury offering for staff well supported. • Onsite Occupational Health and staff counselling services • Over 70% of front line staff vaccinated against influenza	• Staff sickness remains above 3% target • Sickness absence management inconsistent • Sickness absence reporting processes and data not robust • Current inability to triangulate hard and soft data across depts.	• Redesign electronic sickness reporting process – PH • New sickness absence policy –- PH • Managers' tool kit - PH • Health & Well Being Strategy –- PH • Trust wide E-Roster roll out to provide real time sickness data - PH	Q4 18/19 Q1 18/19 COMPLETED- Q3 18/19 Q2 18/19 Q4 18/19
4. Develop a diverse and inclusive culture where staff feel engaged	• Staff survey results in upper quartile nationally • Staff Friends and Family Test results are positive • WRES Trust action plan in place • Publication of Trust's Gender Pay Report	• Mandatory Training compliance above target of 85% • Appraisal rates for non-medical staff remain below target of 85% • Funding gap for education and training	L&D full service review –PH	Q2 18/19
5. Develop strong leadership capability across all levels of the organisation to support an innovation culture	• Leadership programmes in place • Strong relationships with local providers • Values embedded • Equality and Diversity System 2 (EDS2) in place	• Lack of robust talent management and leadership development programme across the Trust. • Leadership programme not aligned to culture (in development	OD and engagement plan implementation - PH	Q3 18/19
		• Lack of comprehensive engagement and communication strategy in place.	Service redesign and delivery following L&D full service review — PH	Q3 18/19

Strategic Priority:

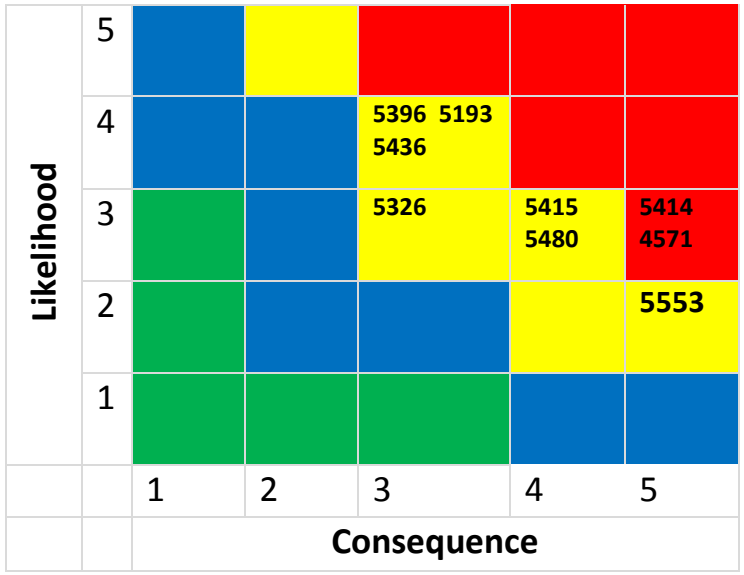
Resources – We will make best use of our resources to achieve a financially sustainable future, securing the best outcomes within the available resources

Executive Lead: Director of Finance **Reporting Committee:** Finance & Performance Committee

Plan to do:

Objective	Exec Lead	Due Date	Progress
1. **Financial Recovery Plan -** Deliver on financial recovery plan to secure financial sustainability	DoF	March 2019	
2. **Campus Scheme** - Develop a financially viable scheme to rejuvenate and improve the utilisation of the estate	DoCD	April 2021	
3. **Digital Strategy -** Develop and implement a digital strategy which will enable the delivery of more effective care through the use of technology	DoCD	April 2021	
4. **Service Reviews -** Undertake reviews of core services to ensure ongoing plans for sustainability and delivery of key objectives	MD	March 2018	

Corporate Risk Register Principal Risks



5326 - Review, PACS, POET, Lorenzo, WinDip & Paper Records
5396 – Delivery of CQUIN
5415 – Funding of all capital expenditure
5414 – Achievement for 2018/19 financial plan
5480 – Control of quality of information submitted externally
5193 - Aging pharmacy robotic equipment – NEW
4571 - Potentail failure of sterilisers, washers and associated plant – NEW
5553 – SUS/SLAM reconciliation - NEW

Linked risks:
5436 – Funding for quality improvement (QI) methodology (Innovation section)

Risks to be added:
- risk of further enforcement action if not making sufficient progress on financial recovery plan (red risk)
- financial performance of subsidiaries

Key Controls	Assurance on Controls
• Finance and Performance Committee • Accountability Framework – Directorate Performance Reviews • Contract monitoring systems • Contract performance meetings with commissioners • INNF Policy • OETB • Capital control group • Budget setting process • Internal Audit Programme • Trust Investment Committee (TIG) • Strategy Committee	• Internal Performance reports to Trust Board • Audit Committee Reports • Internal Audit Reports • External Audit Reports • NHSI Benchmarking Report • Campus Joint Venture Agreement

Key Headlines – Objectives

Objective	Positive Assurance	Gaps in Control / Assurance	Action	Due
1. Deliver on financial recovery plan to secure financial sustainability	• Outstanding Every time Board established with CEO chairing monthly • Plan developed with savings opportunities identified as part of the financial plan 2018/19 • Transformation Director appointed (commenced April 18)	• Engagement with STP and Commissioners on SFT recovery plan	Continue to actively participate in STP recovery plan actions – LT/CB/LA/CCB	Ongoing
		• Capability and capacity across the organisation to deliver change at pace	Transformation Director to identify gaps - SW	~~9 July 18~~ Ongoing
		• Recruitment challenges across the organisation limit delivery of the plan	Implement recruitment strategy – PH	Q3 18/19
		• Two-year financial recovery and sustainability plan yet to be finalised	Submit 2 year financial recovery and sustainability plan – LT Further work on 2 year financial recovery and sustainability plan following NHSI feedback - LT	9 July 18 Complete Oct 18

		• Action plan to be completed in response to NHSI Enforcement Letter	Delivery against action plan - LT	Ongoing
2. Develop a financially viable scheme to rejuvenate and improve the utilisation of the estate	• Additional management capacity with experience in delivering similar projects secured • National schemes are coming on line which offer potential frameworks for development • Support from Wiltshire Council and commissioners for proposed scheme • Advanced discussions with potential private sector partner for Joint Venture agreement • Positive early clinical engagement • Communication/PR expertise appointed • Strategy Committee commenced in March 2018 • Signed agreement for private sector partner • Master planning commenced and working effectively • Submitted capital bid for low risk maternity unit	• Link into wider Trust strategic estate plans needs strengthening	Produce strategic estates plan – LA	Sept 18
		• Absence of detail to progress financial modelling	Development of overarching business case - LA	Dec 18
3. Develop and implement a digital strategy which will enable the delivery of more effective care through the use of technology	• Early draft of document developed to begin consultation • Foundation of an integrated patient record system exists which can be linked to other systems • Strong engagement from some clinical quarters, eg nursing • External support commissioned to support development of digital strategy	• Delay in subsequent phases of EPR, delivery against business case • System supplier engagement	Escalation of issues at director level with supplier – LA	ongoing
		• Because of usability issues, risk around engagement • Lack of capital funds to invest (potential national funds will be allocated by the STP) • Gap in control due to pharmacy resources to progress the business case	Develop business case for Electronic Prescribing – CB/LA	~~August 18 – Delivery date under review~~ Oct 18

		• Need to redefine the role of ISSG in taking forward the digital strategy	Redefine role following agreement of digital strategy– LA	~~July 18~~ Oct 18
		• Difficulties from information held in both paper and digital form	• Develop Digital Strategy – LA • further development of EPR in line with digital strategy, on a module-by-module basis commencing with electronic prescribing – LA	Sept 18 Q3, 2018
4. Undertake reviews of core services to ensure ongoing plans for sustainability and delivery of key objectives	• Outstanding Every time Board established with CEO chairing monthly to oversee programme. • Additional capacity procured to support the development and delivery of the recovery programme (core services one element) • Use of Model hospital and GIRFT to support pathway change in place.	• Timeliness of publication of relevant benchmarking information to support decision making. • Capacity to undertake reviews then implement change at pace. • Structured framework to evaluate core clinical services for sustainability		

Corporate Risk Register
September 2018

ID	Directorate	Location (exact)	Opened	Source of Risk	Rating (initial)	Description	Likelihood (current)	Consequence (current)	Rating (current)	Actions	Action Due date	Action Done date	Action Lead	Source of Review	Review date	Rating (Target)	Assurance Framework link (AF Risk Ref)	Assurance Committee	Executive Lead
5291	Facilities	Trustwide	24/10/2017	Incident reports	20	Oct 17: There have been incidents whereby emergency bleeps have failed and bleeps have not been received. Currently a bleep can be recorded as being sent, but there is not way of tracing whether it was received, therefore the bleep could fail due to a number of issues - signal black spot, low battery or failure of unit, for example. In an emergency situation such as an emergency caesarean this could have severe consequences. Bleep system expected to be replaced Dec 17/Jan 18. 20th November - anaesthetic registrar now carrying a baton internet mobile phone. This allows for greater coverage of signal in areas affected by poor bleep signal coverage. 19-07-18 New Page One bleep system installed on May 23rd 2018, since this time no reports of poor bleep reception have been identified. Staff have been issued new devices and only one device has been reported as faulty, this has been replaced. Due to the configuration of the system the (2 way) bleeps had a single bleep tone for both routine and crash calls. A re-programme of these devices was completed in August 2018, these devices now have two distinct different tones, one for routine calls and one for crash/urgent messages. Plans agreed with Medical Director - to review the system and the need for an 'individual' fast bleep capability, in January 2019 (cost c£8k to implement with a £5k recurring cost). On going need for staff training and instruction on the use of the new bleeps.	May recur occasionally	Minor	6	Undertake further user training to ensure users are confident in the use of the new devices. Work with the clinical Director appointed to the project to ensure users are supported in using the new devices Repeat 'You said,, We did' messages to identify actions completed to address any areas on concern.	01/01/2019	30/08/2018	Robinson, Ian	Operational Management Board	01/01/2019	4	Care	Trust Board (Corporate Risk Register)	Chief Operating Officer
4107	Musculo-Skeletal	Plastic Outpatients	17/09/2015	Service Delivery Plan, Specialty Risk assessment	12	SEE ALSO RISK ID 5421 (LINKED). Failure to adhere to clinician requested timeframes for follow-up appointments for cancer patients. Risk of clinical deterioration in between follow-ups which could lead to untreatable disease progression. Appointments requested for patients are not always being given in a timely manner, particularly a risk for oncology patients (follow up clinic) Failure to follow national guidelines for the management of patients with skin cancer - particularly melanoma patients not being seen at regular 3 month intervals. Significant risk of patient mis-management with long term effects - disease progression making treatment options limited. Risk of duty of candour	May recur occasionally	Moderate	9	Further recruitment of 2 plastics consultants	18/12/2015	11/10/2016	Wright, Jonathan	Directorate Management Team Meeting	01/12/2018	6	Care	Clinical Governance Committee, Joint Board of Directors, Trust Board (Corporate Risk Register)	Chief Operating Officer
										Prospective reporting of booked activity to facilitate communication and ultimately improvements in the booking of clinics.	17/01/2017	25/01/2018	Insull, Victoria						
										review Lorenzo and Somerset data and create PTL and book all patients into an appointment by end of March 2018	17/01/2018	17/01/2018	Insull, Victoria						
										monitor and review capacity and time to follow up	30/09/2018		Vandyken, Ali						
										Reviewing the cause of all patients lost to follow up. Cross refereeing Lorenzo, with Somerset Cancer registry. And reviewing admin process for follow-ups.	30/04/2018	08/05/2018	Hyett, Andy						
										Reviewing the cause of all patients who have been lost to follow up and reviewing admin processes.	31/08/2018	16/08/2018	Hyett, Andy						
										Full follow up PTL being validated at patient level.	01/12/2018		Hyett, Andy						
4808	Surgery	Vascular Assessment Unit and Diabetes Unit	26/09/2016	Departmental risk assessment	16	Vascular surgeon cover is provided from RBH at SDH onsite 3 days per week. Currently due to staffing issues RBH are unable to provide 3 days cover and clinics are being cancelled. Cover has been reduced to 1 day on most weeks, with some weeks there being none. As a result patients are being delayed in attending outpatients. Urgent patients may need to travel to RBH for treatment rather than SDH. Angio procedures are unable to be undertaken at SDH without onsite vascular cover which has resulted in cancellations. There is a lack of MDT meetings which has slowed progressing patients on their pathways and delays results and treatments to patients. The vascular department do not have access to advice and support when managing nurse led clinics or patient queries. Update 16/08/18: Service reinstated from RCBH into SFT. External review ongoing which we are participating in.	May recur occasionally	Moderate	9	Meeting with RBH and SDH representatives to resolve issues regarding cross site IT access and on site IR provision	18/02/2018	11/06/2018	Drayton, Louise	Directorate Management Team Meeting	30/09/2018	3	Care, People, Specialist Services	Trust Board (Corporate Risk Register)	Chief Operating Officer
										Escalate IR provision issues through Exec performance review process.	31/01/2018	30/04/2018	Drayton, Louise						
										Escalated to the Chief Exec, Medical Director & Chief operating officer equivalents at RBH	31/08/2018	16/08/2018	Hyett, Andy						
										Meeting scheduled for 12/09/18 between SFT and RBH on 12/09/18. Risk, actions, and target to be updated following meeting.	12/09/2018		Hyett, Andy						
5379	Surgery	Main Theatres	26/03/2018	Incident reports	12	Risk to perioperative safety due to increased number of never events reported in 17/18, process and control issues identified by Internal Audit, staff vacancies and sickness impacting on morale	May recur occasionally	Moderate	9	Human factors training running through 2017/18.	05/04/2018	05/04/2018	Wilkinson, Lorna	Directorate Management Team Meeting	31/10/2018	6	Care, People	Trust Board (Corporate Risk Register)	Medical Director
										Intensive support led by Directorate Management Team with Executive Directors oversight initiated April 2018.	31/10/2018		Drayton, Louise						
										Theatre listening exercise complete and action plan being developed to be discussed with theatre management team who will carry this out.	01/12/2018		Evans, Jennifer						

Corporate Risk Register
September 2018

ID	Directorate	Location (exact)	Opened	Source of Risk	Rating (initial)	Description	Likelihood (current)	Consequence (current)	Rating (current)	Actions	Action Due date	Action Done date	Action Lead	Source of Review	Review date	Rating (Target)	Assurance Framework link (AF Risk Ref)	Assurance Committee	Executive Lead
5326	Corporate Development	Electronic Patient Record Team	20/12/2017	Electronic Patient Record	6	Review, PACS, POET, Lorenzo, WinDip & Paper Records - information in these systems are required to fully assess patients - access is required to all the above systems and there is a risk that information may be missed due to overhead of access and or clarity on what information is where - leading to inefficiency delays and potential patient harm	May recur occasionally	Moderate	9	Training review being commissioned to provide holistic training for clinical staff	01/11/2018		Lees, Susan	Electronic Patient Record	31/10/2018	4	Resources	Trust Board (Corporate Risk Register)	Director of Corporate Development
										Describe within digital strategy how information from a range of sources will be used	28/09/2018		Cowling, Andrew						
										Set up governance structure for development of digital strategy	28/09/2018		Arnold, Laurence						
										Secure support from clinicians to be CCIO and Clinical safety officer	30/10/2018		Blanshard, Dr Christine						
										Upgrade to WinDip	31/01/2019		Ford, Nicola						
5261	Human Resources	Trustwide	15/09/2017	Human Resources	15	Identified that a number of DBS checks have not been recorded in ESR consistently. In addition existing staff are not in a 3 year check programme, as required. The existing policy is not compliant and requires updating with additional clear guidance on posts that require a standard or enhanced DBS check	May recur occasionally	Moderate	9	Policy review	30/04/2018	09/05/2018	Holt, Sharon	Executive Workforce Committee	28/09/2018	6	People	Trust Board (Corporate Risk Register)	Director of Organisational Development and People
										Consistent recording of electronic ESR.	31/07/2018	09/05/2018	Holt, Sharon						
										Identify posts that require checking.	30/04/2018	30/04/2018	Holt, Sharon						
										DBS checks to be completed based on the agreed action plan	31/08/2018	11/09/2018	Holt, Sharon						
5421	Musculo-Skeletal	Musculo-Skeletal Directorate Management Offices	08/05/2018	Incident reports	12	SEE ALSO RISK ID 4107 (LINKED). Failure to adhere to clinician requested time frames for surgical appointments for skin cancer patients. Risk of clinical deterioration while on waiting list which could lead to untreatable disease progression. Due to capacity, appointments requested are not given in a timely manner.	May recur occasionally	Moderate	9	Monitor & review surgical capacity and time from booking to surgical procedure.	02/08/2018	11/09/2018	Wright, Jonathan	Directorate Performance meeting	01/12/2018	6	Care	Trust Board (Corporate Risk Register)	Chief Operating Officer
										Review of the pathway for surgical plastic patients requiring excision of ?cancer lesions.	02/08/2018	11/09/2018	Wright, Jonathan						
										Undertake a Review of known patients who have experienced delay.	02/08/2018	11/09/2018	Wright, Jonathan						
5553		Trustwide	21/08/2018	Data quality	15	SFT send a regular data feed to the secondary usage service (SUS) which should be broadly consistent with the contractual data provided - the contract requires within 2%. An incident occurred whereby the year end SUS refresh greatly exceeded that level putting into question the lack of a robust reconciliation process.	Do not expect it to happen again but it is possible	Catastrophic	10	Documented process for Monthly SUS Slam Reconciliation.	19/10/2018		Mortimore, Martin	Audit Committee	26/10/2018	5	Resources	Trust Board (Corporate Risk Register)	Director of Corporate Development
5415	Finance and Procurement	Trustwide	01/05/2018	Trustwide risk assessment	12	There is a risk that the Trust cannot fund all capital expenditure requirements to support the delivery of high quality care due to the deficit position and the limitations of cash availability. This could lead to a negative impact on the delivery/quality of care, the ability to achieve performance and access targets and the ability to transform and innovate to become more efficient.	May recur occasionally	Major	12	Trust identifying opportunities for additional capital funding as per STP (8th June). 22/6/18 - Trust submitted bids for Cath Lab and Maternity to STP, awaiting outcome.	29/06/2018	22/06/2018	Thomas, Lisa	Finance Committee	28/09/2018	6	Resources	Trust Board (Corporate Risk Register)	Director of Finance
										Business being developed for Cath lab funding as a material risk in year- end of June	28/09/2018		Thomas, Lisa						
5436	Quality Directorate	Trustwide	25/05/2018	Other assurance not listed	12	Agreed a paper to embed Quality Improvement methodology across the Trust but not identified funding for this. There is a risk will not have embedded methodology & QI work won't undertaken.	Will probably recur, but is not a persistent issue	Moderate	12	Quality Directorate and PMO is supporting some limited Quality Improvement work.	31/08/2018	15/08/2018	Gorzanski, Claire	Clinical Governance Committee	30/11/2018	9	Innovation	Trust Board (Corporate Risk Register)	Medical Director
										Scope Quality Improvement Activity across Trust. Quality Improvement framework to be developed.	30/09/2018		Wilkinson, Lorna						
5480	Corporate Development	Trustwide	23/07/2018	Incident reports	16	Risk is that information leaves the organisation from a number of sources and there is not adequate control over the quality of the information submitted and ensuring that the information meets the need for which it is being produced and does not cause reputational harm or misinform.	May recur occasionally	Major	12	Agree content and approach to undertaking analysis work and reporting approach to IGSG	31/08/2018		Doubtfire-Lynn, Heidi	Audit Committee	19/10/2018	6	Resources	Finance Committee, Trust Board	Director of Corporate Development
										Complete Serious Incident Inquiry in order to review what additional controls require adding.	31/10/2018		Arnold, Laurence						

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5384	Quality Directorate	Trustwide	29/03/2018	Incident reports	12	Risk of patients within hospital experiencing a fall resulting in injury. This is an issue recognised nationally due to the increasing frail population.	May recur occasionally	Major	12	Create version 2 of nursing post falls assessment sticker for cascade out across the Trust.	28/09/2018		Collier, Karen	Falls Group	31/10/2018	8	Care	Clinical Governance Committee, Trust Board (Corporate Risk Register)	Director of Nursing
										Implementation of nursing assessment documentation which incorporates a multifunctional assessment and intervention form.	30/04/2018	02/05/2018	Collier, Karen						
										Compliance audits of falls care plans and interventions.	28/09/2018		Collier, Karen						
										DSN's and Associates to be in attendance at the SWARMs	30/04/2018	15/08/2018	Benson, Rebekah						
										DSN's and Associates to be in attendance at the SWARMs	29/03/2018	29/03/2018	Wilding, Henry						
										DSN's and Associates to be in attendance at the SWARMs	29/03/2018	15/08/2018	Dunn, Bernie						
										DSN's and Associates to be in attendance at the SWARMs	30/04/2018	15/08/2018	Montgomery, Alison						
										Refreshed Share and Learn sessions	30/04/2018	02/05/2018	Major, Denise						
										Participate in NHSI Falls Collaborative.	03/12/2018		Major, Denise						
5396	Quality Directorate	Trustwide	04/04/2018	Commissioning for Quality & Innovation (CQUIN)	16	Potential non delivery of CQUIN schemes that are high risk: 1a - improvement of health and wellbeing of NHS staff - 5% improvement in 2 out of 3 questions in the staff survey required. Responses to all 3 questions decreased between 2016 & 2017 survey. £138K at risk. 1C - Improving uptake of flu vaccine for front line staff - no opt out for West Hampshire. Target increased from 70% - 75% and includes all temporary staff. £34k at risk. 2A & 2B - Sepsis - achievement of 90% of inpatients with severe sepsis screened and given IV antibiotics within 1 hour of diagnosis may not only achieve a partial payment due to small numbers. £62K at risk 2D - Antibiotic consumption reduction - 2% reduction on 17/18 baseline in total antibiotic consumption and an increase to > 55% in the proportion of antibiotics usage within the Access group of the AWaRe category. £69K at risk. 9A - Reducing risky behaviours - achieving 90% screening of all inpatients for smoking due to sheer volume of patients. £2.5K at risk. 19/7/18 Monies at risk £305.5K at year end.	Will probably recur, but is not a persistent issue	Moderate	12	Reduce the level of work related stress and MSK work related problems in groups of staff who have the highest rates. Target high risk groups for action through work led by DD of HR and staff & health wellbeing group. Actively promote the staff health and wellbeing programme.	31/10/2018		Hargreaves, Paul	Finance Committee	31/10/2018	6	Innovation, Resources	Trust Board (Corporate Risk Register)	Director of Finance
										Increase the uptake of the flu vaccine of front line staff by running a comprehensive flu campaign based on learning in 17/18.	31/12/2018		Major, Denise						
										Improve the screening and treatment of inpatients for severe sepsis by continuation of the current ward based CCOT education programme, regular feedback on timeliness of screening and IV antibiotics audit. Monitor progress through the Sepsis working group.	31/07/2018	31/07/2018	Finneran, Dr Nicola						
										Reduce the consumption of all antibiotics and carbapenem by 2% on the 17/18 baseline. Increase to >55% in the proportion of antibiotic usage within the Access group of the AWaRe category. Consider the introduction of antibiotic stewardship rounds, education and feedback to individual clinicians and teams on practice. Take part in antibiotic awareness week. Agree protocol changes at the Infection Prevention and Control Group.	31/10/2018		Williams, Lou						
										This action is no longer relevant as NHSE withdrew the requirement of a 10% reduction in all people who attend ED with mental health needs who had a personalised care plan. Instead a 2nd cohort was identified with specific work tailored to their needs to help them reduce ED attendances.	19/07/2018	19/07/2018	Davies, Dr Stephen						
										Screen 90% of inpatients for alcohol and smoking by the ward pharmacy teams. Review screening data weekly until 90% is sustained.	31/07/2018	31/07/2018	Smale, Maria						
5305	Operations Directorate	Trustwide	08/11/2017	Trustwide risk assessment	12	As a result of Increased demand or decreased capacity there is a risk that constitutional performance standards may not be met, which may result in a decrease in quality of patient care, longer waiting times, fines, damage to Trusts reputation and action from regulators.	May recur occasionally	Major	12	Assurance to Finance and Performance Committee and Trust Board	31/07/2018	11/06/2018	Hyett, Andy	Weekly Delivery Group	01/09/2018	6	Local Services	Trust Board (Corporate Risk Register)	Chief Operating Officer
										Capacity and demand modelling for all areas.	03/09/2018		Hyett, Andy						
										Weekly Delivery Group monitoring performance and agreeing actions	31/10/2018		Hyett, Andy						
										Whole system actions to reduce delays transfers of care. Being review.	01/09/2018		Hyett, Andy						

ID	Directorate	Location (exact)	Opened	Source of Risk	Rating (initial)	Description	Likelihood (current)	Consequence (current)	Rating (current)	Actions	Action Due date	Action Done date	Action Lead	Source of Review	Review date	Rating (Target)	Assurance Framework link (AF Risk Ref)	Assurance Committee	Executive Lead
3322	Clinical Support and Family Services	Genetics	29/08/2013	Organisational risk assessment	12	National reconfiguration of genetic services planned. Potentially a major threat to the future of genetic lab services in Salisbury. 05/07/2018 CAW: Funding flows for Genetic testing will change following re-procurement. NHSE planned start date is 1st Oct 2018. SNHSFT will no longer be commissioned for Genetic tests via the SW specialist services commissioning group so the Block contract will end. Instead funding for rare and inherited genetic tests will be received via the Genomics Hub (Birmingham). All acquired cancer genetic tests will be moved to provider to provider funding. This includes many haemato-oncology tests currently funded by the Block contract (estimated £900k p.a.)Referring departments will be expected to fund genetic tests from within tariff. There is therefore a risk that income will be reduced if Clinicians/Trusts have to mitigate against the increased costs by applying greater clinical thresholds to testing.	Will probably recur, but is not a persistent issue	Moderate	12	A genomics strategy group, co-chaired by Christine Blanshard (MD), has been established that involves University Hospitals Southampton and the University of Southampton. A pilot project is planned for 2015 and will formulate a regional strategy once details of the proposed reorganisation are known. This was not released until Nov 2016 These meetings have restarted with additional parties due to the updated project named "re-procurement" Genomic tender meetings occurring regularly between UHS and SFT including	01/04/2018	25/01/2018	Blanshard, Dr Christine	Trust Board	31/10/2018	6	Specialist Services	Clinical Governance Committee, Finance Committee, Trust Board (Corporate Risk Register)	Medical Director
										Tender document issued. Alliance formed with UHB, BWCH, OUH and UHS to respond to the tender. BWCH proposed to become the central laboratory hub and WRGL will become a local genomics laboratory.	31/10/2018		Blanshard, Dr Christine						
										Option approval for consolidating testing across Wessex Region to be prepared for Board review.	31/10/2018		Arnold, Laurence						
5193	Clinical Support and Family Services	Pharmacy	22/06/2017	Service Delivery Plan	12	[22/06/2017 16:54:55 Steve Bleakley] The current pharmacy robot is now 10 years old and suffereing from regular breakdowns and malfunctions. While the technology was cutting edge in 2007 it is now obsolete and the mantainance company are reporting delays and concerns with sourcing replacement parts. Mechanical parts are no longer produced and parts are salvaged from machines which are decommissioned. Using worn parts from salvaged machines does not provide a long term solution to repairs and decommissioned machines are proving increasing harder to find. A recent breakdown where the picking head needed replacement took 3 weeks to replace and involved sourcing the part from Germany.	Will probably recur, but is not a persistent issue	Moderate	12	[26/06/2017 11:40:18 Henry Wilding] undertake capital bid for replacement robot	31/08/2017	23/10/2017	Bleakley, Steve	Directorate Management Team Meeting	31/12/2018	4	Resources	Trust Board (Corporate Risk Register)	Medical Director
										Decision made to tolerate risk 2018/2019. Resubmit bid 2019/2020.	01/04/2019		Blanshard, Dr Christine						
										Funding secured through STP. Await quotes, look at options with team, submit purchase order (to be done before Dec). SB to continue liaising with CB.	31/10/2018		Bleakley, Steve						

ID	Directorate	Location (exact)	Opened	Source of Risk	Rating (initial)	Description	Likelihood (current)	Consequence (current)	Rating (current)	Actions	Action Due date	Action Done date	Action Lead	Source of Review	Review date	Rating (Target)	Assurance Framework link (AF Risk Ref)	Assurance Committee	Executive Lead
4571	Facilities	Estates	17/06/2016	Other assurance not listed	12	[17/06/2016 18:27:00 Terry Cropp] Potential risk of failure of sterlisers, washers and associated plant and equipment used to sterlise equipment for the Trust and external customers. 03-04-2018 SDU are still operating on site within the existing facility (Level 2 Sector 3) and utilising the existing equipment (Autoclaves, Washers & AER's), this equipment is end of life, and a new facility was due to be operational July 2018. The risk of the failure of this equipment and or it being deemed not safe to use (failure of insurance inspections) is significant. One of the 5 x Autocalves is currently 'out of service' and requires major welding to enable a subsequent insurance inspection, there is a risk that this machine will not pass inspection due age (16+ yrs old) Note Autoclaves 1,2,4 + 5 are 18 years old, two of which are due insurance inspections in September 2018. At SSL July 2018 Board meeting decision taken to repair (cahmbers only) x 3 Autoclaves (Numbers 1, 2 & 3). This will enabel pressure tests and re-certification of vessells for insurance inspection. Options being explored for new AER's, a report to be produced by Steris for the August SSL Board meeting. Update 30th August 2018. Ancillary equipment that should also be covered by thsi risk should include the Dry Storage Cabinets. These units are used to store / hold the flexible endescopes after they have been processed by the AER's. These are loacted in Endescopy, Main Theaters and DSU. This equipment is circa 10 years old and is critical to the delivery of the Endoscopy service at SFT.	Will undoubtedly recur, possibly frequently	Moderate	15	Refurbishement of 3 x Autoclaves	15/10/2018		Cropp, Terry	Not known	26/10/2018	6		Trust Board (Corporate Risk Register)	Chief Operating Officer
										SSL looking at options for the replacement of the AER's as instructed by the SSL Board, a report with the options and costs will be presented at the October 18 SSL board meeting.	26/10/2018		Cropp, Terry						
5414	Finance and Procurement	Trustwide	01/05/2018	Trustwide risk assessment	15	There is a risk that the Trust does not achieve its financial plan in 2018/19. Due to the inability to deliver the CIP programme and planned activity levels alongside cost pressures. Could result in further regulatory action, the Trust entering special measures. The Trust needing to borrow additional cash and the impact on the reputation of the Trust.	May recur occasionally	Catastrophic	15	Trust currently developing plan to achieve revised control total, with additional savings/cost reduction schemes scheduled for Board approval 7th June. Trust Board approved plan - submitted to NHSI 20/6/2018. Update on additional savings going to 6th July Board of Directors.	31/07/2018	26/07/2018	Thomas, Lisa	Finance Committee	28/09/2018	10	Resources	Trust Board (Corporate Risk Register)	Director of Finance
										Trust following arbitration with Dorset, agreeing terms of data quality audit by 6th June. Trust Board agreed indicative contract - going to Finance & Performance Meeting 26/6/18	29/06/2018	26/07/2018	Thomas, Lisa						
										Year end forecast to be completed by the end of Q1 identifying key risks to financial position	24/07/2018	24/07/2018	Thomas, Lisa						
										Close scrutiny of savings programme and directorate financial performance monitored monthly, with recovery plans for areas projecting overspends.	31/03/2019		Thomas, Lisa						
5530	Trustwide	Trustwide	11/09/2018	Trustwide risk assessment	15	Formal consultation with Estates, Facilities and Procurement staff commenced on 3rd September, the proposal being to move services into a 'wholly owned subsidiary'. UNISON have indicated that they plan to ballot members for industrial action. A range of action up to and including strike action may result, additionally, the risk that other staff groups support this action should not be underestimated. The removal of labour would have a significant effect on the delivery of services including (but not limited too), switchboard services, patient movement, provision of food for patients, cleaning services the maintenance of utilities and the processing of orders (Trust wide).	May recur occasionally	Catastrophic	15	To identify the scope and scale of any industrial action and plan to mitigate (where possible) the actions to limit the effect of this upon the delivery of patient care.	01/12/2018		Robinson, Ian	Trust Board	19/10/2018	4		Trust Board (Corporate Risk Register)	Director of Finance

Corporate Risk Register
September 2018

ID	Directorate	Location (exact)	Opened	Source of Risk	Rating (initial)	Description	Likelihood (current)	Consequence (current)	Rating (current)	Actions	Action Due date	Action Done date	Action Lead	Source of Review	Review date	Rating (Target)	Assurance Framework link (AF Risk Ref)	Assurance Committee	Executive Lead
5397	Operations Directorate	Trustwide	05/04/2018	Other assurance not listed	20	Due to an inability to recruit enough nurse a decision has been taken not to open the additional medical beds in line with bed modelling signed off by board. This presents a risk to performance, quality and finances.	Will probably recur, but is not a persistent issue	Major	16	Daily KPI metrics being developed.	08/04/2018	10/05/2018	Hyett, Andy	Trust Board	31/08/2018	9	Care	Trust Board (Corporate Risk Register)	Chief Operating Officer
										Patient flow and medicine length of stay actions being brought together into one action plan	15/04/2018	10/05/2018	Hyett, Andy						
										Board to be briefed next week on possible mitigations and impact on income and contract delivery being built into financial modelling.	30/04/2018	01/05/2018	Thomas, Lisa						
										Ward level dashboards being developed	31/08/2018	31/08/2018	Arnold, Laurence						
5107	Human Resources	Trustwide	27/03/2017	Trustwide risk assessment	12	Failure to recruit to vacant posts will result in an inability to provide outstanding patient care. The impact of this effects staff morale and is unsustainable for the existing workforce if not addressed. Patient safety is at risk with gaps in substantive clinical workforce and cost of workforce increases over budgets. NHSI control total will be at risk. of the organisation to deliver excellence to all patients and places additional responsibility on existing staff to manage services. Identified specialities are not recruited to establishment and therefore there is a reliance on a temporary workforce such as bank and agency. This has an impact on reputation, quality and financial aspects of the organisation. Posts identified include specialist Medical Posts (i.e. Dermatology, Community Geriatricians, Gastroenterology, Opthalmology) where this is a national recruitment problem and nursing post (particualrly medicine) where this is a supply problem	Will probably recur, but is not a persistent issue	Major	16	Procurement agency staff at tier 1 rates only.	30/03/2018	23/01/2018	Wilkinson, Lorna	Finance Committee	30/09/2018	12	People	Finance Committee, Trust Board (Corporate Risk Register)	Director of Organisational Development and People
										Review and consider threshold of care whilst maintaining safe patient services.	30/03/2018	23/01/2018	Wilkinson, Lorna						
										Tight control of agency and specialing.	30/03/2018	23/01/2018	Wilkinson, Lorna						
										Recruitment and retention initiatives eg introduction of automated exit questionnaires, career clinics for nurses and transfer process.	30/03/2018	29/05/2018	Hargreaves, Paul						
										Seek to pay capped rates only. Review rosters to reduce reliance on agency staff	31/10/2018		Blanshard, Dr Christine						
										Look to partnerships with other Trusts to cover hard to fill posts. Have joined 'Clinicians Connected' and Locums Nest collaborative bank. STP Workforce strategy in development - recruitment stream.	30/09/2018		Hargreaves, Paul						
										Review of loss making clinical activities predominately supported by locums as part of business planning.	30/03/2018	23/04/2018	Blanshard, Dr Christine						
										Launch overseas recruitment and more focussed recruitment in the UK.	30/03/2018	02/05/2018	Wilkinson, Lorna						
										Review & update (if appropriate) financial section of business case template for the appointment of medical staff.	30/03/2018	23/04/2018	Blanshard, Dr Christine						
										Transitioning work with Army - making links with the groups moving back onto the plain - promoting careers at Salisbury with Army spouses	31/12/2017	25/01/2018	Holt, Sharon						
										Focus on retention of current staff - Developing of 'fresh eyes' approach for new staff - Reviewing Exit Interview to increase update and learning	29/09/2017	25/01/2018	Salisbury, Hilary						
										Use of head hunting agencies to secure medical locums	31/03/2017	05/04/2017	Hargreaves, Paul						
										Monitoring agency usage via 'Reducing Agency Spend' group.	31/03/2017	05/04/2017	Wilkinson, Lorna						
										Monitoring of vacancies	31/03/2017	05/04/2017	Hargreaves, Paul						
										'Branding' of Salisbury to promote reputation.	31/03/2017	05/04/2017	Hargreaves, Paul						
										Use of other medias including social media (Facebook and Twitter) to promote Trust	31/03/2017	05/04/2017	Hargreaves, Paul						
										Liaison with University to assess and promote student experience to ensure students consider SFT a positive place to work.	31/03/2017	05/04/2017	Hargreaves, Paul						
										Working with training institutions to raise the profile of Salisbury and attendance at careers fairs such as university or national.	31/03/2017	05/04/2017	Hargreaves, Paul						
										Recruitment initiatives such as 'refer a friend', European Recruitment, job fairs	31/03/2017	05/04/2017	Hargreaves, Paul						
										Implementation of a collaborative medical bank through Locums Nest.	01/05/2018	29/05/2018	Holt, Sharon						
										To develop additional international recruitment pipeline by attending events in Australia and the UAE during 2018. Recruitment would be direct hire therefore saving the Trust an agency recruitment fee.	31/03/2019		Holt, Sharon						
										Develop "grow our own" approach for hard to fill vacancies.	31/03/2019		Holt, Sharon						
										Develop the use of apprenticeship roles within the Trust.	31/03/2019		Holt, Sharon						
										Maximising the use of 'Locums Nest' as a shared Medical Staff bank.	31/10/2018		Blanshard, Dr Christine						

Corporate Risk Register
September 2018

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5340	Human Resources	Trustwide	25/01/2018	Trustwide risk assessment	20	ESR access is moving to a web portal which requires updating of browsers. Patient and finance systems will not work with the updated version of the browsers. 09/07/18. Glennis Toms (Deputy Director of HR)- This is still a major risk to our systems. We have requested a date for resolution from IT and are awaiting a response.	Will undoubtedly recur, possibly frequently	Major	20	Browser to be compatible with ESR upgrade. 8/5/18 - The ESR Portal is currently live across the Trust, using an older version of Java that works for both ESR and Finance. In June/July this year ESR is due to be migrated to a new version of Java that is not currently supported by the finance application. The vendor for the finance application has an upgrade ready which should address this issue but it has not yet been scheduled and we are waiting for finance to provide the proposed date.	31/10/2018		Dunham, Linda	Executive Workforce Committee	31/10/2018	1	People	Trust Board (Corporate Risk Register)	Director of Organisational Development and People
5364	Quality Directorate	Trustwide	01/03/2018	Trustwide risk assessment	16	Failure to achieve required ward nursing establishment with the following implications: Quality and safety concerns at ward level Poor patient experience High agency expenditure (financial risk to the Trust)	Will undoubtedly recur, possibly frequently	Major	20	Domestic recruitment campaigns	30/04/2019		Wilkinson, Lorna	Trust Board	28/09/2018	12	People	Clinical Governance Committee, Trust Board (Corporate Risk Register)	Director of Nursing
										Overseas recruitment campaigns.	30/04/2019		Wilkinson, Lorna						
										Skill mix review x 2 per year	30/04/2019		Wilkinson, Lorna						
										Retention workstream to be completed	30/04/2019		Wilkinson, Lorna						
										Participate in NHSI collaborative for enhanced care.	31/12/2018		Wilkinson, Lorna						
										Development of microsite	31/10/2018	29/06/2018	Wilkinson, Lorna						
										Develop apprenticeships and Nursing associate opportunities to broaden access into nursing	30/04/2019		Wilkinson, Lorna						
										Continue full recruitment of Nursing Assistant staff	30/04/2019		Wilkinson, Lorna						
										Closed as not applicable to this risk (Continue to ensure governance processes as listed within controls are embedded and influencing clinical practice, cleaning and antibiotic stewardship.)	01/04/2019	02/05/2018	Wilkinson, Lorna						
										Twice daily staffing review using safe care and roster data.	30/04/2018	30/04/2018	Hyett, Fiona						

Corporate Risk Register Summary – September 2018

Risk Score Key

Low Risk 1-3	Moderate Risk 4-6	High Risk 8-12	Extreme Risk 15-25

Risk (Datix) Ref	Risk Title	Exec Lead	Date Risk added	Initial score	Nov 17	Jan 18	April 18	Jun 18	Jul 18	Sep 18 Current	Target
Risk Detail				**Score Trend**							
Local Services – We will meet the needs of the local population by developing new ways of working which always put patients at the centre of all that we do											
5305	Consitutional performance standards may not be met as result of increased demand or decreased capacity	Chief Operating Officer	Nov 2017	12		9	9	12	12	12	6
5421	Incident reports – clinician requested timescales	Chief Operating Officer	May 2018	12				12	12	9	6
5397	Due to inability to recruit enough nurses a decision has been taken not to open the additional medical beds	Chief Operating Officer	Apr 2018	20				20	16	16	9
Specialist Services – We will provide innovative, high quality specialist care delivering outstanding outcomes for a wider population											
3322	Genetics National Reconfiguration	Medical Director	Aug 2013	12	12	8	8	6	12	12	6
4808	Vascular surgery provision	Chief Operating Officer	Sept 16	16				16	15	9	3
Innovation – We will promote new and better ways of working, always looking to achieve excellence and sustainability in how our services are delivered											
5436	Funding for quality improvement (QI) methodology	Medical Director	May 2018	12				12	12	12	9

Risk (Datix) Ref	Risk Title	Exec Lead	Date Risk added	Initial score	Nov 17	Jan 18	April 18	Jun 18	Jul 18	Sep 18 Current	Target
Care – We will treat our patients, and their families, with care, kindness and compassion and keep them safe from avoidable harm											
5384	Inpatient fall resulting in harm; increasing frail population	Director of Nursing	Apr 2018	12			12	12	12	12	8
4107	Failure to adhere to clinician requested timeframes for follow-up appointments for skin cancer patients	Chief Operating Officer	Sept 2015	12		9	9	9	9	9	6
5291	Potential for bleep failure	Chief Operating Officer	Nov 2017	20		12	12	12	10	6	4
5379	Risk to perioperative safety due to increased number of never events reported in 17/18	Medical Director	Mar 2018	12			12	12	9	9	6
People - We will make SFT a place to work where staff feel valued and are able to develop as individuals and as teams											
5107	Failure to recruit to vacant posts will result in an inability to provide outstanding patient care	Director of OD & People	Apr 2017	12		16	16	16	16	16	12
5261	Rechecking system inadequate to maintain current DBS recheck requirement	Director of OD & People	Sept 2017	15		12	12	12	12	9	6
5340	ESR portal access	Director of OD & People	Jan 2018	20		20	20	20	20	20	1
5364	Failure to achieve ward nursing establishment	Director of Nursing	Mar 2018	16			20	20	20	20	12
5530	Consultation on wholly owned subsidiary proposal - NEW	Director of Finance	Sept 18	15						15	4

Risk (Datix) Ref	Risk Title	Exec Lead	Date Risk added	Initial score	Nov 17	Jan 18	April 18	Jun 18	Jul 18	Sep 18 Current	Target
Resources – We will make best use of our resources to achieve a financially sustainable future, securing the best outcomes within the available resources											
5326	Review, PACS, POET, Lorenzo, WinDip & Paper Records	Director Corporate Dev	Dec 17	6				9	9	9	4
5396	Potential non delivery of CQUIN schemes	Director of Finance	Apr 18	16				12	12	12	6
5415	Unable to fund all capital expenditure requirements	Director of Finance	May 18	12				12	12	12	6
5414	Trust does not achieve its financial plan in 2018/19	Director of Finance	May 18	15				15	15	15	10
5480	Control of the quality of information submitted externally	Director Corporate Dev	July18	~~12~~ 16					12	12	6
5193	Aging pharmacy robotic equipment - NEW	Medical Director	Sept 18	12						12	4
4571	Potential failure of sterilisers, washers and associated plant - NEW	Chief Operating Officer	Sept 18	12						15	6
5553	SUS/SLAM reconciliation - NEW	Director Corporate Dev	Aug 18	15						10	5