



## Appendix 1: BAF Summary at March 2021

Potential Risk	Actions Overview	Risk Score (consequence x likelihood)		Exec Lead	Lead Committee
		Current	Target		
<b>Strategic Priority 1: Improved population health</b>					
<p><b>Risk 1:</b> If the Trust does not anticipate, and proactively respond to, external changes, including factors outside the Trust's control, then the Trust may fail to deliver in its strategy, including our population health, quality and value strategic objectives, and key associated transformation plans</p>	<ul style="list-style-type: none"> <li>Trust Executives are the leads for ICS mental health programmes in BLMK &amp; NEL, Inequalities in BLMK, and Integrated Care Partnership NEL</li> <li>January 2021 DHSC published the <i>"Integration &amp; Innovation" White Paper</i>, laying out proposals for legislation intended to make its passage through Parliament this year, and which brings with it significant changes to the organisation of the NHS. The Trust is working with partners to understand, as far as possible, the implications of the White Paper, and to ensure that the Trust is involved centrally in determining next steps within our two ICSs. Discussions on implications and risks planned for discussion by Trust Board in March</li> </ul>	<p><b>High</b> <b>12</b> Major 4 x Possible 3</p>	<p><b>High</b> <b>8</b> Major 4 x Unlikely 2</p>	Executive Director of Integrated Care	Trust Board
<p><b>Risk 2:</b> If the Trust does not engage, influence and enthuse citizens, communities, partners in local health and care systems, and staff then the Trust may fail to deliver on its strategy, including our population health, quality and value strategic objectives, and key associated transformation plans</p>	<ul style="list-style-type: none"> <li>Established new Board committee (Integrated Care and Commissioning Committee) to receive assurance on population health strategy delivery, how to maximise new mechanisms (new models of care, primary care) to improve population health, keep under review impact of integrated care and ICSs</li> <li>A review all Board standing committees' terms of reference taking place to particularly take account of but also to ensure there is an appropriate information flow and assurance opportunities within and across Committees into Board</li> <li>ICS internal audit to be conducted in January 2021 with a focus on s75 agreements with local authorities</li> </ul>	<p><b>High</b> <b>12</b> Major 4 x Possible 3</p>	<p><b>High</b> <b>8</b> Major 4 x Unlikely 2</p>	Chief Medical Officer	Trust Board
<b>Strategic Priority 2: Improved patient experience</b>					
<p><b>Risk 3:</b> If the Trust does not effectively work with patients and local communities in the planning and delivery of care, services may not meet the needs of local communities</p>	<ul style="list-style-type: none"> <li>Good progress in growing peer support across the Trust – expanding into primary care and perinatal – training accreditation achieved</li> <li>Service user led accreditation process continues to roll out across the Trust and is now online</li> <li>A revised process for use of Dialog as an inpatient care plan tool is being piloted in Tower Hamlets</li> <li>Enhancing staff with recent appointments to a PP Digital Lead, PP Lead for Community Services Transformation and a Peer Support Worker Lead</li> </ul>	<p><b>High</b> <b>12</b> Major 4 x Possible 3</p>	<p><b>High</b> <b>8</b> Major 4 x Unlikely 2</p>	CEO	People Participation Committee

Potential Risk	Actions Overview	Risk Score (consequence x likelihood)		Exec Lead	Lead Committee
		Current	Target		
	<ul style="list-style-type: none"> <li>A patient experience dashboard is being developed that will triangulate various data sources within the Trust</li> </ul>				
<p><b>Risk 4:</b> If essential standards of quality and safety are not maintained, this may result in the provision of sub-optimal care and increases the risk of harm</p>	<ul style="list-style-type: none"> <li>Staff Covid vaccination programme commenced in Jan 21 and inpatient and mass vaccination commenced in Feb 21</li> <li>Infection numbers are slowing beginning to reduce locally and nationally along with the vaccination programme</li> <li>Outbreak in the in-patient units have significantly reduced</li> <li>Demand in operational services continues to increase with higher numbers of staff absences – potentially increase with schools returning</li> <li>Signs of improvement in Newham MHS inpatient (self-imposed special measures) – cluster of worrying incidents</li> <li>CQC discussions on areas we are worried about and action plan – CQC will write if any concerns; focusing on ‘safe and caring’ domain</li> </ul> <p><b>Recommendation: Current risk score is reduced from Significant 20 (impact catastrophic 5 x likelihood likely 4) to High 12 (impact reduced to moderate 3 x likelihood likely 4)</b></p>	<p><b>High 12</b> Moderate 3 x Likely 4</p> 	<p><b>High 12</b> Major 4 x Possible 3</p>	Chief Nurse	Quality Assurance Committee
<b>Strategic Priority 3: Improved staff experience</b>					
<p><b>Risk 5:</b> If the Trust does not effectively attract, retain and look after staff wellbeing, there will be an impact on the Trust’s ability to deliver the Trust’s strategy</p>	<ul style="list-style-type: none"> <li>Continued stresses and pressures on staff as a result of Covid</li> <li>Emphasis on supporting people and teams in the Trust – in looking after each other, e.g. programme for senior leadership group and DMTs</li> <li>Results from staff survey: decrease in respondents but overall indicators are the same or improved with exception of MSK issues which is understandable due to Covid and changes in staff’s working arrangements, e.g. working from home</li> <li>Trust is taking on lead employer for people working at vaccination centres across NEL which may provide a source of staff after centres close/work/demand reduces</li> </ul>	<p><b>Significant 16</b> Major 4 x Likely 4</p>	<p><b>High 9</b> Moderate 3 x Possible 3</p>	Executive Director of People & Culture	Appointments & Remuneration Committee
<p><b>Risk 6:</b> If issues affecting staff experience and equalities are not addressed there may be issues around staff morale and engagement</p>	<ul style="list-style-type: none"> <li>Emphasis on Race and Privilege work and risk assessment/shielders inc wellbeing checks</li> <li>Vitamin D as requested by BAME network has been made available to all staff and take up is positive</li> <li>In negotiations with G4S and lawyers to resolve issues regarding sub-contractors pay</li> </ul>	<p><b>Significant 16</b> Major 4 x Likely 4</p>	<p><b>High 9</b> Moderate 3 x Possible 3</p>	Executive Director of People & Culture	Appointments & Remuneration Committee

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	<ul style="list-style-type: none"> <li>There has been an increase in the number of employee relations cases, whistleblowing cases and employment tribunals – working with staffside to take a pragmatic approach in respect of ER cases; where possible informal resolutions sought</li> </ul>				
<b>Strategic Priority 4: Improved value</b>					
<p><b>Risk 7:</b> If behavioural and culture changes are not embedded, the new approach to value and financial sustainability may result in resorting to previous methods of delivering efficiency savings</p>	<ul style="list-style-type: none"> <li>Financial Viability programme has continued throughout the pandemic period to ensure there is recognition that financial viability remains a focus of the work that teams deliver, and a number of plans for 2021/22 have already been developed</li> <li>Work is underway to develop infrastructure to support the behavioural and culture changes required</li> <li>2021/22 planning guidance yet to be published but there is an expectation that some form of efficiency will be inherent</li> </ul> <p><b>Recommendation: Current risk score is reduced from Significant 20 (impact major 4 x likelihood almost certain 5) to Significant 16 (impact major 4 x likelihood reducing to likely 4)</b></p>	<p><b>Significant 16</b> Major 4 x Likely 4</p> 	<p><b>High 9</b> Moderate 3 x Possible 3</p>	Chief Finance Officer and Chief Nurse	Finance, Business & Investment Committee
<p><b>Risk 8:</b> If infrastructure plans are not well implemented and adopted, services will be impacted, waste and the Trust's carbon footprint will not be reduced and in year financial benefits and service SLAs may not be delivered. This includes physical infrastructure, buildings and suitability of all the elements of digital infrastructure.</p>	<ul style="list-style-type: none"> <li>Wording of risk reviewed and agreed in January 2021</li> <li>COVID-19 has impacted on the delivery of strategic digital plans, both positively and negatively</li> <li>The Future of Work post Covid and the integrated care agenda will require a high level of digital maturity to ensure ELFT maintains its position as a leader in this landscape</li> <li>Realisation that the current investment, skills, and maturity of the digital function needs to rapidly improve its capability to support this</li> <li>Digital Strategy to be presented to Board in March</li> <li>Essential to drive through the benefits following investment to ensure full operational advantage and the benefits realisation for each scheme</li> <li>Opportunity to embed this approach to value and financial sustainability in our work to address the impact of Covid and the ROI on proposed solutions going forward</li> <li>Requirement for more robust monitoring and assurance on digital investments</li> </ul>	<p><b>Significant 25</b> Catastrophic 5 x Almost Certain 5</p>	<p><b>High 8</b> Major 4 x Unlikely 2</p>	Chief Digital Officer	Finance, Business & Investment Committee