INTEGRATED RISK AND ASSURANCE REPORT AS AT 30 JUNE 2017

Author: Risk and Assurance Manager Sponsor: Medical Director **Trust Board paper N**

Executive Summary

Context

This paper informs the UHL Trust Board of the current position with progress of the risk management agenda, including the 2017/18 Board Assurance Framework (BAF) and the operational risk register for items with a current rating of 15 and above. The BAF has been updated by its executive leads and considered at the relevant executive boards during June 2017. The risk register has been scrutinised by CMGs and at the Executive Performance Board in June 2017.

Questions

1. Is the Board fully assured about the current progress with managing strategic risks that may threaten delivering our annual priorities?
2. Does the Board have knowledge of new operational risks opened within the reporting period?

Conclusion

1. The BAF format provides focus on controls assurance (what needs to happen to achieve the annual priority), performance assurance (what performance measures are being used to track progress and what do they show is actually happening) and risk assurance (what might threaten the achievement of the annual priority – in the form of a strategic risks escalated from the risk register). The strategic risks that threaten delivering the annual priorities are described in risk assurance section in the BAF and will be further worked-up and entered on the risk register. Key risk themes from the quality commitment components of the BAF identify the important role the safe implementation of electronic systems would contribute to delivering the Trust's overall objective of safe, high quality, patient centred, and efficient healthcare.
2. During the reporting period of June 2017, six new high risks have been entered on the risk register and are described further in the full paper. Thematic analysis of risks scoring 15 and above on the risk register continues to display the causal factor for the majority of risks is related to workforce capacity and capability with the likelihood to potentially impact on harm.

Input Sought

We would welcome the Board's input to receive, note and approve this report.

For Reference

Edit as appropriate:

1. The following **objectives** were considered when preparing this report:

Safe, high quality, patient centred healthcare	[Yes]
Effective, integrated emergency care	[Yes]
Consistently meeting national access standards	[Yes]
Integrated care in partnership with others	[Yes]
Enhanced delivery in research, innovation & ed'	[Yes]
A caring, professional, engaged workforce	[Yes]
Clinically sustainable services with excellent facilities	[Yes]
Financially sustainable NHS organisation	[Yes]
Enabled by excellent IM&T	[Yes]

2. This matter relates to the following **governance** initiatives:

a. Organisational Risk Register [Yes]

Datix Risk ID	Operational Risk Title(s) – add new line for each operational risk	Current Rating	Target Rating	CMG
	See appendix two			

b. Board Assurance Framework [Yes]

BAF entry	BAF Title	Current Rating
	See appendix one	

3. Related **Patient and Public Involvement** actions taken, or to be taken: [N/A]

4. Results of any **Equality Impact Assessment**, relating to this matter: [N/A]

5. Scheduled date for the **next paper** on this topic: [9 September 2017]

6. Executive Summaries should not exceed **1 page**. [My paper does comply]

7. Papers should not exceed **7 pages.** [My paper does not comply]

UNIVERSITY HOSPITALS OF LEICESTER NHS TRUST

REPORT TO: **UHL TRUST BOARD**

DATE: **3RD AUGUST 2017**

REPORT BY: **ANDREW FURLONG – MEDICAL DIRECTOR**

SUBJECT: **INTEGRATED RISK AND ASSURANCE REPORT (INCORPORATING UHL BOARD ASSURANCE FRAMEWORK & RISK REGISTER)**

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1 INTRODUCTION

1.1 This integrated risk and assurance report will assist the Trust Board (TB) to discharge its responsibilities by providing:-

a. A copy of the 2017/18 Board Assurance Framework (BAF), based on the revised annual priorities.
b. A summary of risks on the risk register with a score of 15 and above.

2. BOARD ASSURANCE FRAMEWORK SUMMARY

2.1 The BAF sets out the potentially significant risks that threaten the achievement of the Trust's annual priorities and the controls that are in place to mitigate, reduce or transfer these risks. A major priority for the Board is to ensure that risk management is being increasingly used as a key element in the overall governance of the Trust. The BAF arrangements are an embedded tool of the Trust's existing risk management process, therefore ensuring that risk, control and performance assurance processes are considered as one and not disparate activities.

2.2 The BAF remains a dynamic and developing document. The BAF has been kept under review during June 2017 and Executive owners have updated their BAF entries to reflect the progress with delivering the annual priorities for 2017/18. Many of the current assurance ratings on the BAF are displayed as amber, recognising that there is a moderate level of risk associated, however at the time of this reporting all priorities are forecast to be delivered by year-end. A copy of the updated BAF is included at appendix one.

2.3 Item 1.2.2, concerning the safer use of high risk drugs, is currently graded with a major risk associated due to a delay with progress, in month three, concerning implementing the networked blood glucose monitoring system and links to Nerve Centre.

2.4 Thematic analysis of the risks on the BAF associated with delivering our quality commitment continue to show there is a reliance upon safe implementation of appropriate electronic observation systems and processes.

3. UHL RISK REGISTER SUMMARY

3.1 For the reporting period ending 30th June 2017, there are 47 operational (business as usual) risks open on the risk register scoring 15 and above. A report of these risks is attached in appendix two.

3.2 During June 2017, six new 'high' risks have been entered on the risk register:

Datix ID	Risk Description	Risk Rating	CMG
3040	If there are insufficient medical trainees in Cardiology, we may experience an imbalance between service and education demands resulting in the inability to cover rota	20	RRCV
3031	If the MDT activities for vascular surgery are not resolved there is a risk of significant loss of income & activity from referring centres	16	RRCV
3044	If under achievement against key CQUIN Triggers, Then income will be affected.	16	ESM
3041	If there are insufficient cardiac physiologists then it could result in increased waiting times for electrophysiology procedures and elective cardiology procedures	15	RRCV
3043	If there is insufficient cardiac physiologists then it could result in reduced echo capacity resulting in diagnostics not being performed in a timely manner	15	RRCV
3023	There is a risk that the split site Maternity configuration leads to impaired quality of Maternity services at the LGH site	15	W&C

3.3 Thematic analysis was undertaken in order to ascertain the causation and impact of the operational risks scoring 15 and above.

3.4 The results of the analysis are as follows in relation to the causation factors:

a. 47% of risks relate to workforce challenges (i.e. recruitment and retention);
b. 17% of risks relate to demand and capacity;
c. 13% of risks relate to IM&T;
d. 13% of risks relate to Estates and Facilities;
e. 8% of risks relate to equipment;
f. 2% of risks relate to processes and procedures.

3.5 The results of the analysis in relation to the potential impact, should the risks occur, displays that the majority of these risks may result in harm involving patients, staff or others. A column to describe the thematic analysis is included in the risk register dashboard report in appendix two.

4 RECOMMENDATIONS

4.1 The TB is invited to receive, note and approve this report.

UHL Board Assurance Dashboard: 2017/18			JUNE 2017									
	Objective	Annual Priority No.	Annual Priority	Exec Owner	SRO	Current Assurance Rating	Monthly Tracker	Year-end Forecast Assurance Rating	Executive Board Committee for Endorsement	Trust Board / Sub-Committee for Assurance
Primary Objective	QUALITY COMMITMENT: Safe, high quality, patient centered, efficient healthcare	1.1	**Clinical Effectiveness - To reduce avoidable deaths:**							
		1.1.1	We will focus interventions in conditions with a higher than expected mortality rate in order to reduce our SHMI	MD	J Jameson (R Broughton)	4	↔	4	EQB	QAC
		1.2	**Patient Safety - To reduce harm caused by unwarranted clinical variation:**							
		1.2.1	We will further roll-out track and trigger tools (e.g. sepsis care), in order to improve our vigilance and management of deteriorating patients	CN/MD	J Jameson (H Harrison)	3	↔	4	EQB	QAC
		1.2.2	We will introduce safer use of high risk drugs (e.g. insulin and warfarin) in order to protect our patients from harm	MD/CN	E Meldrum / C Free & C Marshall	2	↓	3	EQB	QAC
		1.2.3	We will implement processes to improve diagnostics results management in order to ensure that results are promptly acted upon	MD	C Marshall	3	↔	3	EQB	QAC
		1.3	**Patient Experience - To use patient feedback to drive improvements to services an care:**							
		1.3.1	We will provide individualised end of life care plans for patients in their last days of life (5 priorities of the Dying Person) in that our care reflects our patients' wishes	CN	S Hotson (C Ribbins) (H Harrison)	3	↔	4	EQB	QAC
		1.3.2	We will improve the patient experience in our current outpatients service and begin work to transform our outpatient models of care in order to make them more effective and sustainable in the longer term	DCIE / COO	J Edyvean / D Mitchell	3	↔	3	EPB	IFPIC
		1.4	**Organisation of Care - We will manage our demand and capacity:**							
		1.4.1	We will utilise our new Emergency Department efficiently and effectively We will use our bed capacity efficiently and effectively (including Red2Green, SAFER, expanding bed capacity) We will implement new step down capacity and a new front door frailty pathway We will use our theatres efficiently and effectively	COO	S Barton	3	↔	4	EPB	IFPIC
Supporting Objectives	OUR PEOPLE: Right people with the right skills in the right numbers	2.1	We will develop a sustainable workforce plan, reflective of our local community which is consistent with the STP in order to support new, integrated models of care	DWOD	J Tyler-Fantom	4	↔	3	EWB	IFPIC
		2.2	We will reduce our agency spend towards the required cap in order to achieve the best use of our pay budget	DWOD	J Tyler-Fantom	4	↔	3	EPB	IFPIC
		2.3	We will transform and deliver high quality and affordable HR, OH and OD services in order to make them 'Fit for the Future'	DWOD	B Kotecha	4	↑	4	EWB	IFPIC
	EDUCATION & RESEARCH: High quality, relevant, education and research	3.1	We will improve the experience of medical students at UHL through a targeted action plan in order to increase the numbers wanting stay with the Trust following their training and education	MD	S Carr	3	↔	4	EWB	TB
		3.2	We will address specialty-specific shortcomings in postgraduate medical education and trainee experience in order to make our services a more attractive proposition for postgraduates	MD	S Carr	3	↔	4	EWB	TB
		3.3	We will develop a new 5-Year Research Strategy with the University of Leicester in order to maximise the effectiveness of our research partnership	MD	N Brunskill	4	↔	4	ESB	TB
	PARTNERSHIPS & INTEGRATION: More integrated care in partnership with others	4.1	We will integrate the new model of care for frail older people with partners in other parts of health and social care in order to create an end to end pathway for frailty	DCIE	G Distefano	3	↔	3	ESB	TB
		4.2	We will increase the support, education and specialist advice we offer to partners to help manage more patients in the community (integrated teams) in order to prevent unwarranted demand on our hospitals	DCIE	G Distefano	3	↔	3	ESB	TB
		4.3	We will form new relationships with primary care in order to enhance our joint working and improve its sustainability	DCIE	J Currington (U Montgomery)	3	↔	3	ESB	TB
	KEY STRATEGIC ENABLERS: Progress our key strategic enablers	5.1	We will progress our hospital reconfiguration and investment plans in order to deliver our overall strategy to concentrate emergency and specialist care and protect elective work	CFO	N Topham (A Fawcett)	3	↔	3	ESB	TB
		5.2	We will make progress towards a fully digital hospital (EPR) with user-friendly systems in order to support safe, efficient and high quality patient care	CIO	J Clarke	4	↔	3	EIM&T	IFPIC
		5.3	We will deliver the year 2 implementation plan for the 'UHL Way' and engage in the development of the 'LLR Way' in order to support our staff on the journey to transform services	DWOD	B Kotecha	4	↑	4	EWB	IFPIC
		5.4	We will review our Corporate Services in order to ensure we have an effective and efficient support function focused on the key priorities	DWOD/CFO	L Tibbert (J Lewin)	3	↔	3	EWB	IFPIC
		5.5	We will implement our Commercial Strategy, one agreed by the Board, in order to exploit commercial opportunities available to the Trust	CFO	P Traynor	4	↔	4	EPB	IFPIC
		5.6	We will deliver our Cost Improvement and Financial plans in order to make the Trust clinically and financially sustainable in the long term	CFO/COO	P Traynor (B Shaw)	4	↔	3	EPB	IFPIC

BAF 17/18: As of…	Jun-17											
Objective:	Safe, high quality, patient centered, efficient healthcare											
Annual Priority 1.1.1	We will focus interventions in conditions with a higher than expected mortality rate in order to reduce our SHMI. **Trust QC Aim: SHMI < 99.**											
Objective Owner:	MD		**SRO:**	J Jameson		**Executive Board:**		EQB		**TB Sub Committee**		QAC
BAF Assurance Rating - Current position @	**April**	**May**	**June**	**July**	**August**	**Sept**	**Oct**	**Nov**	**Dec**	**Jan**	**Feb**	**March**
	4	4	4									
BAF Assurance Rating - Year end Forecast @	**April**	**May**	**June**	**July**	**August**	**Sept**	**Oct**	**Nov**	**Dec**	**Jan**	**Feb**	**March**
	4	4	4									

Controls assurance (planning)	Performance assurance (measuring)
Governance: Mortality Review Committee, chaired by Medical Director.	Published Summary Hospital-level Mortality Indictor (SHMI) - </= 99 - Latest published SHMI - 101 (period Jan to December 2016) within expected range.
Medical Examiner Mortality Screening of In-hospital Deaths.	
Case Note Reviews using National Structured Judgement Review Tool (SJR) and thematic analysis.	% of deaths screened - target is 95% of all adult inpatient deaths - April 17 = 95%. May 17 = 87% to date.
UHL's Risk Adjusted Mortality Rates (SHMI) monitored using Dr Foster Intelligence and HED Clinical Benchmarking Tools.	% deaths referred for structured judgement reviews (SJR) have death classification within 3 months - target is 85% of SJR cases have death classification within 3/12 of death. Process commenced 01/04/17. 57 cases referred for SJR in April (34) and May (23).
Five top mortality governance priorities identified through the AQuA comparator report are now standing agenda items at the Mortality Review Committee.	
	UHL's latest rolling 'unpublished' 12 month SHMI (Mar 16 - Feb 17) is 101.
	Actions related to CUSUM alerts on track / completed - target is All actions on track / completed - April 2017 = 1 alert received (Coronary arteriosclerosis disease) and actions on track.

Risk assurance (assessment)	Movement
If the national measure for calculating data of hospital mortality, for 'in-house deaths' and 'deaths occurring within 30 days of discharge from hospital', is reduced due to improvements made by other English Acute Trusts, then in-hospital improvement work may not reflect the national adjusted SHMI target.	New

Corporate Oversight (TB / Sub Committees)

Source:-	Title:	Date:	Assurance Feedback:
TB sub Committee	Audit Committee		
TB sub Committee	QAC	Jun-17	The recently received mortality alert regarding coronary atherosclerosis is on track to be completed and a report sent to be submitted to the Quality Assurance Committee in July.
TB sub Committee	QAC	Mar-17	UHL's SHMI has moved one point above the England average to 101. A recent in depth HED review of UHL mortality did not identify any additional areas of mortality by condition which needed action that we did not already have reviews or action plans in place for. The review identified that UHL's crude mortality has not increased but the expected number of deaths has decreased.

Independent (Internal / External Auditors)

Source:-	Title:	Date:	Feedback:
Internal Audit	Follow up from CQC inspection (June 2016)	Q2 17/18	Will validate and assess how the Trust is addressing the findings from the inspection in 2016.
External Audit	work plan TBA		

BAF 17/18: As of…	Jun-17											
Objective:	Safe, high quality, patient centered, efficient healthcare											
Annual Priority 1.2.1	We will further roll-out track and trigger tools (e.g. sepsis care), in order to improve our vigilance and management of deteriorating patients. **Trust QC Aim: Reduce incidents that result in severe / moderate harm by further 9%.**											
Objective Owner:	CN/MD		**SRO:**	J Jameson		**Executive Board:**		EQB		**TB Sub Committee**		QAC
BAF Assurance Rating - Current position @	**April**	**May**	**June**	**July**	**August**	**Sept**	**Oct**	**Nov**	**Dec**	**Jan**	**Feb**	**March**
	3	3	3									
BAF Assurance Rating - Year end Forecast @	**April**	**May**	**June**	**July**	**August**	**Sept**	**Oct**	**Nov**	**Dec**	**Jan**	**Feb**	**March**
	4	4	4									

Controls assurance (planning)	Performance assurance (measuring)
Governance: Deteriorating Adult Patient Board.	Audit EWS & Sepsis in all adult & paediatric wards in scope; day case, labour ward, CCU and ITU out of scope daily.
Electronic handover supported by NerveCentre.	
Sepsis and AKI awareness and training mandatory for clinical staff.	Review audit results of EWS & Sepsis fortnightly.
Team based training packages for recognition of a deteriorating patient.	Review of Datix reported incidents related to the recognition of the deteriorating patient quarterly.
7 days a week critical care outreach service.	
Harm review of patients with red flag sepsis who did not receive Antibiotics within 3 hours.	ED KPI 90% of patients with red flag sepsis receive IV antibiotics within 1 hour.
Roll out of e-obs to the modified National Early Warning Scoring System - with the exception of maternity and paeds ED.	TRUST KPIs 95% of patients with an EWS of 3+ appropriately escalated & of those patients with an EWS 3+, 95% screened for sepsis & of those screened for sepsis and identified to have red flag sepsis, 90% receive IV antibiotics within 1 hour.
Sepsis e-learning module on HELM.	
(GAP) Deteriorating patient e-learning module - due Aug 2017.	
EWS & Sepsis audit results reported to CQC monthly.	
Sepsis screening tool and care pathway.	
Review of admissions to ITU with red flag sepsis at all 3 sites monthly.	
Monitoring of SUIs related to the deteriorating patient.	

Risk assurance (assessment)	Movement
If appropriate observation (EWS) systems are not developed and implemented to identify and act upon the results for the deteriorating patient then this may result in preventable deaths or severe harm occurring.	New

Corporate Oversight (TB / Sub Committees)

Source:-	Title:	Date:	Assurance Feedback:
TB sub Committee	Audit Committee		
TB sub Committee	QAC	01-Jun	This priority is tied into the overall IT strategy that is planning to further develop NerveCentre and this detail has yet to be agreed.

Independent (Internal / External Auditors)

Source:-	Title:	Date:	Feedback:

Internal Audit	Follow up from CQC inspection (June 2016)	Q2 17/18	Will validate and assess how the Trust is addressing the findings from the inspection in 2016.
External Audit	work plan TBA		

BAF 17/18: As of…	Jun-17											
Objective:	Safe, high quality, patient centered, efficient healthcare											
Annual Priority 1.2.2	We will introduce safer use of high risk drugs (e.g. insulin and warfarin) in order to protect our patients from harm. **Trust QC Aim: Reduce incidents that result in severe / moderate harm by further 9%.**											
Objective Owner:	MD/CN	**SRO Insulin:**		E Meldrum / C Free		**Executive Board:**		EQB		**TB Sub Committee**		QAC
Objective Owner:	MD/CN	**SRO Warfarin:**		C Marshall		**Executive Board:**		EQB		**TB Sub Committee**		QAC
BAF Assurance Rating - Current position @	**April**	**May**	**June**	**July**	**August**	**Sept**	**Oct**	**Nov**	**Dec**	**Jan**	**Feb**	**March**
	3	3	2									
BAF Assurance Rating - Year end Forecast @	**April**	**May**	**June**	**July**	**August**	**Sept**	**Oct**	**Nov**	**Dec**	**Jan**	**Feb**	**March**
	4	4	3									

Controls assurance (planning)	Performance assurance (measuring)
Insulin	
Governance: Diabetes Inpatient Safety Committee.	Reduce number of severe inpatient hypoglycaemia episodes by 20%.
E-learning for Insulin Safety mandatory for staff who have responsibility for prescribing, preparing and administering insulin.	Metric - To have no DKA “events” in the quarterly period.
(GAP) Implement a networked blood glucose meter system to record and monitor episodes of severe hypoglycaemia.	
Formalise mechanism to consider all in hospital episodes of DKA.	
Insulin safety Pulse Check in Q2 & Q4.	
Warfarin	
Governance: UHL Anticoagulation taskforce group reporting to EQB quarterly / Medicines Optimisation Committee.	Monitoring of anticoagulant related harm with key performance indicators: - Number of missed doses of warfarin. - Number of INRs>6. - Safety thermometer triggers to zero.
UHL Anticoagulation action plan.	
(GAP) E-learning warfarin safety programme mandatory for clinical staff.	
Anticoagulation in-reach nursing service.	
Discharge summary for patients on warfarin to improve communication with GPs.	
(Gap) Improve time to octaplex delivery in bleeding patients.	
UHL Anticoagulation policy.	

Risk assurance (assessment)	Movement
If fit for purpose electronic systems and processes are not developed linking with nerve centre to monitor safer use of high risk drugs then we are unable to effectively assess patients and monitor insulin safety improvements.	New

Corporate Oversight (TB / Sub Committees)			
Source:-	Title:	Date:	Assurance Feedback:

TB sub Committee	Audit Committee		
TB sub Committee	QAC	Jun-17	WARFARIN: Delay due due to contract negotiations with City Clinical Commissioning Group around start dates for the new anticoagulation service which has been delayed from an original start date of April 2017 to October 2017. This delay affects the ability to deliver the proposed in-reach service which is a key element in the implementation of quality improvements in anticoagulation. Project management support for the project needs to be identified to help support the clinicians who are delivering the actions. INSULIN: Red rag rating is due to a delay with progress in month three regarding implementing networked blood glucose monitoring system and links to Nerve Centre.

Independent (Internal / External Auditors)			
Source:-	Title:	Date:	Feedback:
Internal Audit	Follow up from CQC inspection (June 2016)	Q2 17/18	Will validate and assess how the Trust is addressing the findings from the inspection in 2016.
External Audit	work plan TBA		

BAF 17/18: As of…	Jun-17											
Objective:	Safe, high quality, patient centered, efficient healthcare											
Annual Priority 1.2.3	We will implement processes to improve diagnostics results management in order to ensure that results are promptly acted upon. **Trust QC Aim: Reduce incidents that result in severe / moderate harm by further 9%.**											
Objective Owner:	MD		**SRO:**	C Marshall		**Executive Board:**		EQB		**TB Sub Committee**		QAC
BAF Assurance Rating - Current position @	**April**	**May**	**June**	**July**	**August**	**Sept**	**Oct**	**Nov**	**Dec**	**Jan**	**Feb**	**March**
	3	3	3									
BAF Assurance Rating - Year end Forecast @	**April**	**May**	**June**	**July**	**August**	**Sept**	**Oct**	**Nov**	**Dec**	**Jan**	**Feb**	**March**
	4	4	3									

Controls assurance (planning)	Performance assurance (measuring)
Governance: Acting on Results programme board and task and finish groups to report to EQB quarterly.	(GAP) % of results acknowledged - target is 85% of results acknowledged by Q4 2017/18.
UHL diagnostic testing policy	
Acting on results detailed action plan monitored via EQB. This covers: developing a fit for purpose electronic system to acknowledge results; in depth work with each specialty to develop standard operating procedures; review of radiology and MDT processes; human factors review of our results reporting service; reviw of how urgent resutls are escalated with a view to putting them on NerveCentre; increasing patient involvement; and improved training in how to use ICE for results acknowledgment.	
(GAP) Conserus (alert email to clinician for unexpected imaging results) pilot prior to Trust roll-out - due end June 2017 in CDU which is the highest risk area.	
(GAP) Development of metrics for monitoring performance against target.	

Risk assurance (assessment)	Movement
If fit for purpose electronic systems are not developed and implemented to monitor and ensure results are promptly acted upon then this may cause unnecessary harm to patients.	New

Corporate Oversight (TB / Sub Committees)

Source:-	Title:	Date:	Assurance Feedback:
TB sub Committee	Audit Committee		
TB sub Committee	QAC	Jun-17	Roll out of Conserus radiology solution for reporting unexpected findings to clinicians has been delayed. An electronic solution using Mobile ICE is due to be piloted in August 2017. This will be rolled out trust-wide if successful. Development of reporting metrics is happening in tandem.

Independent (Internal / External Auditors)

Source:-	Title:	Date:	Feedback:
Internal Audit	Follow up from CQC inspection (June 2016)	Q2 17/18	Will validate and assess how the Trust is addressing the findings from the inspection in 2016.

External Audit	work plan TBA		

BAF 17/18: As of…	Jun-17											
Objective:	Safe, high quality, patient centered, efficient healthcare											
Annual Priority 1.3.1	We will provide individualised end of life care plans for patients in their last days of life (5 priorities of the Dying Person) in that our care reflects our patients' wishes. **Trust QC Aim: >75% of patients in the last days of life have individualised End of Life Care plans.**											
Objective Owner:	CN		**SRO:**	C Ribbins / S Hotson		**Executive Board:**		EQB		**TB Sub Committee**		QAC
BAF Assurance Rating - Current position @	**April**	**May**	**June**	**July**	**August**	**Sept**	**Oct**	**Nov**	**Dec**	**Jan**	**Feb**	**March**
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BAF Assurance Rating - Year end Forecast @	**April**	**May**	**June**	**July**	**August**	**Sept**	**Oct**	**Nov**	**Dec**	**Jan**	**Feb**	**March**
	4	4	4									

Controls assurance (planning)	Performance assurance (measuring)
Governance: End of Life Care Board.	The number of patients with a care plan as a percentage of expected deaths - target is 75% of patients who are expected to die will have a care plan in place.
End of life care plans which include specialist palliative care end of life care service.	EoLC audits quarterly.
(GAP) Detailed education package for staff including ward education and study days.	
EoLC guidelines and policies / procedures.	
(GAP) Implementation of an electronic system.	

Risk assurance (assessment)	Movement
If discharge arrangements and better co-ordination of care with community services via effective electronic systems is not implemented, whilst crucially for those who will remain in hospital ensuring they have a "good death", then this may not enable more people to die at the place of their choice.	New

Corporate Oversight (TB / Sub Committees)			
Source:-	Title:	Date:	Assurance Feedback:
TB sub Committee	Audit Committee		
TB sub Committee	QAC		

Independent (Internal / External Auditors)			
Source:-	Title:	Date:	Feedback:
Internal Audit	Follow up from CQC inspection (June 2016)	Q2 17/18	Will validate and assess how the Trust is addressing the findings from the inspection in 2016.
External Audit	work plan TBA		

BAF 17/18: Version	Jun-17											
Objective:	Safe, high quality, patient centered, efficient healthcare											
Annual Priority 1.3.2	We will improve the patient experience in our current outpatients service and begin work to transform our outpatient models of care in order to make them more effective and sustainable in the longer term. Trust QC Aim: outpatients tba											
Objective owner:	DCIE		**SRO:**	J Edyvean / D Mitchell		**Executive Board:**		EPB		**TB Sub Committee**		IFPIC
BAF Assurance Rating - Current position @	**April**	**May**	**June**	**July**	**August**	**Sept**	**Oct**	**Nov**	**Dec**	**Jan**	**Feb**	**March**
	3	3	3									
BAF Assurance Rating - Year end Forecast @	**April**	**May**	**June**	**July**	**August**	**Sept**	**Oct**	**Nov**	**Dec**	**Jan**	**Feb**	**March**
	3	3	3									

Controls assurance (planning)	Performance assurance (measuring)
Governance: Outpatient Performance Board & Executive Quality Board.	Patients waiting in excess of 12 months for a follow up (KPI trajectory: Q1-379 currently amber rating of 3;Q2-321; Q3-189; Q4 - 0 Year end position on track).
(GAP) Generate additional capacity and book patients in time order.	
Long term follow up report which allows us to track performance.	Outpatients Friends and Family Test - Red if <93%.
Agreed action plan in place and monitored through the Outpatient Quality report and this is monitored at CPM and in contracting meetings.	(GAP) Clinical audit of additional schemes related to changes in the new to follow up ratio - This is now planned to be understood by the end of July.
(GAP) 50% of remaining outpatients opportunity to be added to the PMTT.	(GAP) Q1 Scoping, Q2 Agree KPI's, Q3 Initiate delivery, Q4 speciality delivery (TBC).
Out patient transformation project initiated (Objectives and KPI's TBC).	

Risk assurance (assessment)	Movement
If a standardised process, and fit for purpose electronic systems are not developed and implemented to monitor and ensure outpatient diagnostic results are promptly acted upon, then it may cause unnecessary harm to patients.	New

Corporate Oversight (TB / Sub Committees)			
Source:-	Title:	Date:	Assurance Feedback:
TB sub Committee	Audit Committee		
TB sub Committee	QAC	May-17	Year end position deliverable with moderate risk associated.

Independent (Internal / External Auditors)			
Source:-	Title:	Date:	Feedback:
Internal Audit	Follow up from CQC inspection (June 2016)	Q2 17/18	Will validate and assess how the Trust is addressing the findings from the inspection in 2016.
External Audit	work plan TBA		

BAF 17/18: Version	Jun-17											
Objective:	Safe, high quality, patient centered, efficient healthcare											
Annual Priorities 1.4.1	Organisation of Care - We will manage our demand and capacity: We will utilise our new Emergency Department efficiently and effectively. We will use our bed capacity efficiently and effectively (including Red2Green, SAFER, expanding bed capacity). We will implement new step down capacity and a new front door frailty pathway. We will use our theatres efficiently and effectively.											
Objective owner:	COO		**SRO:**	S Barton		**Executive Board:**		EPB		**TB Sub Committee**		IFPIC/QAC
BAF Assurance Rating - Current position @	**April**	**May**	**June**	**July**	**August**	**Sept**	**Oct**	**Nov**	**Dec**	**Jan**	**Feb**	**March**
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BAF Assurance Rating - Year end Forecast @	**April**	**May**	**June**	**July**	**August**	**Sept**	**Oct**	**Nov**	**Dec**	**Jan**	**Feb**	**March**
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Controls assurance (planning)	Performance assurance (measuring)
Submission of demand and capacity plan to NHSI – We are forecasting an overall peak bed shortfall of 105 beds. The major shortfalls are in medicine at the LRI and Glenfield.	ED 4 hour wait performance trajectory submitted to NHSI - Reduced waiting time to be seen and treated within the ED.
	Ambulance handover (delays over 60 mins) submitted to NHSI.
New ED building open to public from 26th April 2017.	RTT Incomplete waiting times trajectory submitted to NHSI.
(GAP) Demand and Capacity Governance structure being progressed.	2WW for urgent GP referral as per the NHSI submitted trajectories.
Programme Director appointed.	31 day wait for 1st treatment as per submitted NHSI trajectories.
Theatre trading model in place along with ACPL targets.	62 day wait for 1st treatment as per submitted NHSI trajectories.
Ward 7 moves to Ward 21 and becomes a medical ward in the recurrent baseline (+28 beds)	105 bed gap mitigated.
	Reduced cancelled operations due to no available bed.
Staffing of additional 8 beds on the medicine emergency pathway at LRI on Ward 7.	Occupancy of 92% (as of June 2017).
Plan for elective service changes at LGH involving MSS & CHUGGs.	ACPL target achieved.
Re-launch of Red 2 Green & SAFER within Medicine at LRI.	
Launch of Red 2 Green & SAFER at Glenfield.	
A staffing plan from Paediatrics for Winter 17/18.	
Care model and a detailed plan for stepdown facility.	
Feasibility work commenced into physical capacity solutions for both LRI & GH.	
Decision on option for physical expansion at GH.	

Risk identified to address Gaps in controls / performance	Movement
If the additional physical bed capacity cannot be opened, caused by an inability to provide safe staffing, then it will lead to a continued demand and capacity imbalance at the LRI resulting in delays in patients gaining access to beds and cancelled operations.	
If the out of hospital step-down solution is not operational for Winter 17/18 then it will lead to a continued demand and capacity imbalance at the LRI.	

If the physical capacity options at Glenfield are not affordable from a capital and revenue perspective, then it will lead to a demand and capacity imbalance at GH in the winter of 2017/18.	

Corporate Oversight (TB / Sub Committees)			
Source:-	Title:	Date:	Assurance Feedback:
TB sub Committee	QAC	May-17	Key risk is currently associated with the Elective bed increases required for CHUGGS at LGH, which given the staffing position for CHUGGS are unlikely to be able to be opened (4 beds). This gap will have to be mitigated by improved efficiency in this area.
TB sub Committee	QAC	Mar-17	The task for 2017/18 is to create additional effective capacity (through actual beds, demand mitigation or improved productivity) of 105 beds. The approach in 17/18 will be different to previous years in that it favours creating capacity sufficient to deal with peak demand and then reducing beds at time when demand is lower than the peak.
TB sub Committee	IFPIC		

Independent (Internal / External Auditors)			
Source:-	Title:	Date:	Feedback:
Internal Audit	ED - Dynamic Priority Score	Q2 17/18	Will review the process for assessing patients on arrival at ED through the DPS process.
External Audit	work plan TBA		

BAF 17/18: As of…	Jun-17											
Objective:	Right people with the right skills in the right numbers											
Annual Priority 2.1	We will develop a sustainable workforce plan, reflective of our local community which is consistent with the STP in order to support new, integrated models of care											
Objective Owner:	DWOD		**SRO:**	J Tyler-Fantom		**Executive Board:**		EWB / EPB		**TB Sub Committee**		IFPIC
BAF Assurance Rating - Current position @	**April**	**May**	**June**	**July**	**August**	**Sept**	**Oct**	**Nov**	**Dec**	**Jan**	**Feb**	**March**
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BAF Assurance Rating - Year end Forecast @	**April**	**May**	**June**	**July**	**August**	**Sept**	**Oct**	**Nov**	**Dec**	**Jan**	**Feb**	**March**
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Controls assurance (planning)	Performance assurance (measuring)
Workforce plan relating to reduction in dependency on non contracted workforce, safe staffing, review of urgent and emergency care, impact of seven day services, shift of activity into community settings and increased specialised services where appropriate.	Apprenticeship levy - 430 predicted in 17/18 against 334 target.
	BME Leadership - target 28%
	Workforce sickness - target 3%
	Safe Staffing targets: in accordance with Nursing requirements
People strategy and programme of work to address the leadership and team working priorities, wellbeing of our workforce and ensure we focus on addressing actions to improve the diversity of our workforce - UHL Leadership programme.	Seven day services stats:
	Shift of activity in to community:
Governance structure in place comprising internal and external groups, including Workforce OD Board and the Local Workforce Action Board and subgroups thereof who oversee delivery of the workforce and organisational development components of the Sustainable Transformation Plan.	(GAP) Reduction in dependency of our non-contracted workforce - on track to achieve NHSI target of £20.6 m and £770K medical agency expenditure reduction.
Apprenticeship workforce strategy.	
NHS WRES Technical Guidance refreshed - includes changes made to NHS Standard Contract (2017/18 to 2018/19) and definitions of terminology used in WRES indicators, and how affects organisations subject to WRES.	
(GAP) STP refresh in progress – to provide a more accurate workforce prediction based on current capacity requirements - ~~due June 2017~~ (revised deadline to be confirmed) - UHL revised their component following demand and capacity review - planning underway across Health Community.	
System wide workforce planning and modelling approach in place (Cardio Respiratory model of care) - complete - all other workstreams to develop a workforce plan.	
(GAP) Engagement of UHL planning leads in workforce approach to ensure triangulation with activity modelling - due June 2017	
(GAP) Predictive workforce modelling - Emergency and Urgent Care Vanguard commenced - due June 2017.	

Risk assurance (assessment)	Movement
If the Trust fails to engage effectively with staff through robust communication networks and reduce the non-contracted workforce then this may affect the delivery of a sustainable workforce plan resulting in sub-optimal patient centered healthcare (See ID 2266 / 3009).	New
If we don't reduce the number of non-NHS standard contract employees then we will not deliver a sustainable workforce plan.	New

Corporate Oversight (TB / Sub Committees)			
Source:-	Title:	Date:	Assurance Feedback:
TB sub Committee	Audit Committee		
TB sub Committee	IFPIC	Jun-17	The gaps in supply of future workforce cannot be readily met therefore a revised Workforce Plan is being developed which will have a greater emphasis on new teams around the patient.

Independent (Internal / External Auditors)			
Source:-	Title:	Date:	Feedback:
Internal Audit	No involvement identified in 17/18 plan.		
External Audit	work plan TBA		

BAF 17/18: As of…	Jun-17											
Objective:	Right people with the right skills in the right numbers											
Annual Priority 2.2	We will reduce our agency spend towards the required cap in order to achieve the best use of our pay budget											
Objective Owner:	DWOD		**SRO:**	J Tyler-Fantom		**Executive Board:**		EPB		**TB Sub Committee**		IFPIC
BAF Assurance Rating - Current position @	**April**	**May**	**June**	**July**	**August**	**Sept**	**Oct**	**Nov**	**Dec**	**Jan**	**Feb**	**March**
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BAF Assurance Rating - Year end Forecast @	**April**	**May**	**June**	**July**	**August**	**Sept**	**Oct**	**Nov**	**Dec**	**Jan**	**Feb**	**March**
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Controls assurance (planning)	Performance assurance (measuring)
NHSI overall agency cap is £20.6m for 2017/18, specific target for medical agency reduction £717,930 in 17/18 - incorporated into CMG financial planning.	£20.6 ceiling target and agency spend - monthly monitoring through financial trajectories in place to measure variance to plan.
Monitoring of agency cap breaches to NHSI weekly.	(GAP) Medical Agency Dashboard to Medical Oversight board - in development.
Medical Oversight Broad established.	(GAP) Regional deliverables, including regional rate card, to be defined through regional working group in line with TOR - in development.
(GAP) Regional MOU and establishment of a regional working group for medical agency.	(GAP) No. of retrospective bank and agency bookings reported through to Premium Spend Group - target to be determined.
Monitoring of agency spend and tracker (including data analysis which shows reasons for request and rates of use by ward level) through Premium Spend Group with EWB, EPB, IFPIC oversight - There is a detailed agency action tracker in place, with monitored actions against agreed activities to reduce agency expenditure.	
Agreed escalation processes / break glass escalation control.	
Review of top 10 agency highest earners and long term through ERCB linking to vacancy positions and CMG recruitment plans.	
Process for signing off bank and agency staff at CMG level through Temporary staffing office following appropriate senior approval.	
Nursing rostering prepared 8 weeks in advance.	
No agency invoice is paid without booking number.	

Risk assurance (assessment)	Movement
If the Trust is unable to control expenditure on agency staff, caused by an inability to recruit and retain sufficiently skilled and capable staff, then we may exceed the pay budget and this may result in sub optimal patient care.	New

Corporate Oversight (TB / Sub Committees)			
Source:-	Title:	Date:	Assurance Feedback:
TB sub Committee	Audit Committee		

TB sub Committee	IFPIC	May-17	The agency ceiling target is £20.6m and at month 3 underspend on agency pay of 0.04m, compared to £0.6 overspend in May. At the current run rate agency spend will exceed the annual ceiling by £2.9m at year end. A significant number of controls and mechanisms are in place to monitor and reduce agency spend linked to recruitment activity, which are managed through the Premium Spend Group (PSG) with oversight from the WF and OD board, EPB and EWB. Monthly planned agency spend was adjusted upwards for the new plan in 17/18 to bring in line with current spend. The plan shows a trajectory downwards across the year in order to meet the Trust's agency ceiling /cap.

Independent (Internal / External Auditors)			
Source:-	Title:	Date:	Feedback:
Internal Audit	No involvement identified in 17/18 plan.		
External Audit	work plan TBA		

BAF 17/18: As of…	Jun-17											
Objective:	Right people with the right skills in the right numbers											
Annual Priority 2.3	We will transform and deliver high quality and affordable HR, OH and OD services in order to make them 'Fit for the Future'											
Objective Owner:	DWOD		**SRO:**	B Kotecha		**Executive Board:**		EWB / EPB		**TB Sub Committee**		IFPIC
BAF Assurance Rating - Current position @	**April**	**May**	**June**	**July**	**August**	**Sept**	**Oct**	**Nov**	**Dec**	**Jan**	**Feb**	**March**
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BAF Assurance Rating - Year end Forecast @	**April**	**May**	**June**	**July**	**August**	**Sept**	**Oct**	**Nov**	**Dec**	**Jan**	**Feb**	**March**
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Controls assurance (planning)	Performance assurance (measuring)
Vision and programme plan in place (transforming HR Function) - HR Fit for the future programme roadmap.	Staff engagement staff survey score.
Maximising use of Technology (enabling processes).	(GAP) HR KPIs aligned to HR Roadmap (to be developed): Processes - Structure - People & Culture - Technology -
(GAP) Working with stakeholders and customers to deliver service differently and to gain ownership - Listening Events arranged for July 2017 (stakeholders invited).	
(GAP) Redefine and Up skill staff within the Service in order to be fit for the future: UHL Way Annual Priorities Map agreed: HR / OD Team have undergone development in UHL Way during June and will be supporting transformation aspects of UHL priority delivery.	
(GAP) Delivery structures not fit for purpose until target operating model has been developed - target operating model will be informed by feedback from listening events in July.	

Risk assurance (assessment)	Movement
If the Trust fails to engage effectively with staff and act on staff experience survey feedback and results, then this may affect the delivery of safe, high quality patient centered healthcare (See ID 2266 / 3009).	New

Corporate Oversight (TB / Sub Committees)

Source:-	Title:	Date:	Assurance Feedback:
TB sub Committee	Audit Committee		
TB sub Committee	IFPIC		Next Workforce Report to be presented on 27 July 2017.

Independent (Internal / External Auditors)

Source:-	Title:	Date:	Feedback:
Internal Audit	Induction of temporary staff	Q2 17/18	Will review the adequacy of the policy for induction of temporary staff and consider whether this is being effectively implemented.
Internal Audit	Review of Payroll Contract	Q3 17/18	Will review the robustness of the contract management arrangements for new payroll provide who will be in place from 01/08/17.
External Audit	work plan TBA		

BAF 17/18: As of…	Jun-17											
Objective:	High quality, relevant, education and research											
Annual Priority 3.1	We will improve the experience of medical students at UHL through a targeted action plan in order to increase the numbers wanting stay with the Trust following their training and education											
Objective Owner:	MD		**SRO:**	S Carr		**Executive Board:**		EWB		**TB Sub Committee**		
BAF Assurance Rating - Current position @	**April**	**May**	**June**	**July**	**August**	**Sept**	**Oct**	**Nov**	**Dec**	**Jan**	**Feb**	**March**
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BAF Assurance Rating - Year end Forecast @	**April**	**May**	**June**	**July**	**August**	**Sept**	**Oct**	**Nov**	**Dec**	**Jan**	**Feb**	**March**
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Controls assurance (planning)	Performance assurance (measuring)
Medical Education Strategy to improve learning culture.	(GAP) GMC visit 2016 findings (satisfaction / experience) - to be published June 2017 - next visit due 2021.
Medical Education Quality Improvement Plan.	
(GAP) Transparent and accountable SIFT funding / expenditure in CMGs.	Leicester Medical School feedback (satisfaction / experience) - areas for improvement in 17/18 plan.
UHL Multi-professional education facilities strategy to progress EXCEL@UHL.	
(GAP) CMG ownership of undergraduate education outcomes.	UHL UG education quality dashboard (satisfaction / experience)- to be launched in Sept 17 - Draft dashboard to be submitted to EWB in July 17.
(GAP) Overarching strategy with University of Leicester to integrate undergraduate and postgraduate training to improve outcomes and retention.	GMC National student survey (satisfaction / experience) - annually - areas for improvement in 17/18 plan.
UG representatives on the UHL Doctors in Training Committee.	
(GAP) Audit time in Job plans for education and training roles - variable across CMGs.	Currently <20% medical students complete the end of block feedback. The Medical School have agreed to address and improve this. We anticipate improvement by Dec 17.
	(GAP) HEE Quality Management Process (satisfaction / experience)- new process still to be confirmed for 2017/18.
	Student Exit Survey - areas for improvement included in 17/18 QI plan.
	UKFPO shows that whilst 2017 figures for the % of LMS students who 'preferenced' LNR Foundation School has increased slightly to 25% (19 % in 2016), Leicester is still ranked 23rd out of 31 for 'Local Applications by Medical School'.

Risk assurance (assessment)	Movement
If CMGs don't ensure that those with Undergraduate and Postgraduate medical education roles (including Educational Supervisors) have identified time in their job plans then this may impact the quality of medical education.	New
If SIFT and MADEL funding allocated to CMGs is not used for education and training and linked to education quality outcomes then this may be withdrawn by HEE impacting the Trust position as a teaching hospital.	New
If the requirements imposed by the GMC in their 2016 report, including improvements to learning culture, IT infrastructure and facilities, are not met then this may impact the Trust position as a teaching hospital and our ability to effectively recruit and retain medical students and trainees.	New

Corporate Oversight (TB / Sub Committees)				
Source:-	Title:	Date:	Assurance Feedback:	
TB sub Committee	Audit Committee		No scrutiny - The TB should consider where they are receiving assurance in relation to this priority.	
TB sub Committee	QAC		No scrutiny - The TB should consider where they are receiving assurance in relation to this priority.	
Independent (Internal / External Auditors)				
Source:-	Title:		Date:	Feedback:
Internal Audit	Consultant Job Planning		Q1 17/18	Will review the arrangements in place for consultant job planning and carry out testing of a sample of job plans to assess whether these meet good practice set out in 'A guide to Consultant Job Planning'.
External Audit	work plan TBA			

BAF 17/18: As of…	Jun-17											
Objective:	High quality, relevant, education and research											
Annual Priority 3.2	We will address specialty-specific shortcomings in postgraduate medical education and trainee experience in order to make our services a more attractive proposition for postgraduates											
Objective Owner:	MD		**SRO:**	S Carr		**Executive Board:**		EWB		**TB Sub Committee**		
BAF Assurance Rating - Current position @	**April**	**May**	**June**	**July**	**August**	**Sept**	**Oct**	**Nov**	**Dec**	**Jan**	**Feb**	**March**
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BAF Assurance Rating - Year end Forecast @	**April**	**May**	**June**	**July**	**August**	**Sept**	**Oct**	**Nov**	**Dec**	**Jan**	**Feb**	**March**
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Controls assurance (planning)	Performance assurance (measuring)
Medical Education Strategy to address specialty-specific shortcomings.	GMC visit 2016 findings - to be published July 2017 - next visit due 2021.
Medical Education Quality Improvement Plan for 2017/18.	(GAP) HEE Quality Management Process (satisfaction / experience) - new process still to be confirmed for 2017/18.
HEEM quality management visits for following specialties - Cardiology, Maxillo-Facial School of Surgery / Dentistry, Trauma & Orthopaedics School of Surgery and Respiratory Medicine	UHL Medical Education Survey (should see improvements if more attractive) - bi annual- next due in Sept 2017.
(GAP) CMGs Quality Improvement Action Plans in response to GMC visit and survey results to address concerns in postgraduate education.	UHL PG education quality dashboard (should see improvements if more attractive) - results variable across CMGs- next due in September 2017.
(GAP) Department of Clinical Education programme with CMGs to develop action plans to address poor performance and training challenges.	2017 GMC national training survey - outcomes released on July 5th 2017, to be compared to 2016 outcomes.
(GAP) Overarching strategy with University of Leicester to integrate undergraduate and postgraduate training to improve outcomes and retention.	(GAP) Data to show the number of postgraduate medical and trainees retained in the specialties with shortcomings.
GMC 'Approval and Recognition' of Clinical and Educational Supervisors - central database monitored and maintained.	
(GAP) GMC visit report - UHL action plan developed.	
A pilot audit of job plans for Cardiology shows a deficit in education time of 7 eSPAs. (GAP) Audit for other services to be commenced.	
On-going support work for Trust Grade doctors to minimise rota gaps and improved trainee experience at UHL.	

Risk assurance (assessment)	Movement
If SIFT and MADEL funding allocated to CMGs is not used for education and training and linked to education quality outcomes then this may be withdrawn by HEE impacting the Trust position as a teaching hospital.	New
If the requirements imposed by the GMC in their 2016 report, including improvements to learning culture, IT infrastructure and facilities, are not met then this may impact the Trust position as a teaching hospital and our ability to effectively recruit and retain medical students and trainees.	New
If the mandatory training curricula are not adhered, caused by rota gaps and service pressures, then we may lose posts (e.g. T&O and CMT) impacting the Trust position as a teaching hospital.	New

If CMGs don't ensure that those with Undergraduate and Postgraduate medical education roles (including Educational Supervisors) have identified time in their job plans then this may impact the quality of medical education	New

Corporate Oversight (TB / Sub Committees)			
Source:-	Title:	Date:	Assurance Feedback:
TB sub Committee	Audit Committee		No scrutiny - The TB should consider where they are receiving assurance in relation to this priority.
TB sub Committee	IFPIC		No scrutiny - The TB should consider where they are receiving assurance in relation to this priority.

Independent (Internal / External Auditors)			
Source:-	Title:	Date:	Feedback:
Internal Audit	Consultant Job Planning	Q1 17/18	Will review the arrangements in place for consultant job planning and carry out testing of a sample of job plans to assess whether these meet good practice set out in 'A guide to Consultant Job Planning'.
External Audit	work plan TBA		

BAF 17/18: As of…	Jun-17											
Objective:	High quality, relevant, education and research											
Annual Priority 3.3	We will develop a new 5-Year Research Strategy with the University of Leicester in order to maximise the effectiveness of our research partnership											
Objective Owner:	MD		**SRO:**	N Brunskill		**Executive Board:**		ESB		**TB Sub Committee**		
BAF Assurance Rating - Current position @	**April**	**May**	**June**	**July**	**August**	**Sept**	**Oct**	**Nov**	**Dec**	**Jan**	**Feb**	**March**
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BAF Assurance Rating - Year end Forecast @	**April**	**May**	**June**	**July**	**August**	**Sept**	**Oct**	**Nov**	**Dec**	**Jan**	**Feb**	**March**
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Controls assurance (planning)	Performance assurance (measuring)
(GAP) UHL Research and Innovation Strategy in UHL - due Q2 2017/18.	Internal monitoring via metrics reported at joint strategic meetings including finance, communications, patient and public involvement.
(GAP) Dialogue with UoL to articulate (year 1 of the 5 year) research strategy which will consolidate our position in areas of existing strength such as BRU, Cancer, Respiratory and Cardiovascular and identify new areas for possible development such as Obstetrics and Childrens - due Q2 2017/18.	(GAP) External monitoring via annual reports from NIHR re performance for funded research projects - next report due Q2 2017/18.
	(GAP) Sign-off (year 1 stage) of the 5 year research strategy.
Functioning organisational relationship in place with UoL which includes joint strategic meetings to discuss research performance and opportunities.	

Risk assurance (assessment)	Movement
If we don't have the right resources in place (including personnel and external funding) and an appropriate infrastructure to run clinical research, then we may not maximise our research potential which may adversely affect our ability to drive clinical quality and delivery of our research strategy.	New

Corporate Oversight (TB / Sub Committees)			
Source:-	Title:	Date:	Assurance Feedback:
TB sub Committee	Audit Committee		No scrutiny - The TB should consider where they are receiving assurance in relation to this priority.
TB sub Committee	IFPIC		No scrutiny - The TB should consider where they are receiving assurance in relation to this priority.

Independent (Internal / External Auditors)			
Source:-	Title:	Date:	Feedback:
Internal Audit	No involvement with research in 17/18 plan.		
External Audit	work plan TBA		

BAF 17/18: As of…	Jun-17											
Objective:	More integrated care in partnership with others											
Annual Priority 4.1	We will integrate the new model of care for frail older people with partners in other parts of health and social care in order to create an end to end pathway for frailty											
Objective Owner:	DCIE	**SRO:**	U Montgomery / J Currington			**Executive Board:**		ESB		**TB Sub Committee**		
BAF Assurance Rating - Current position @	**April**	**May**	**June**	**July**	**August**	**Sept**	**Oct**	**Nov**	**Dec**	**Jan**	**Feb**	**March**
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BAF Assurance Rating - Year end Forecast @	**April**	**May**	**June**	**July**	**August**	**Sept**	**Oct**	**Nov**	**Dec**	**Jan**	**Feb**	**March**
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Controls assurance (planning)	Performance assurance (measuring)
UHL working group established and reporting to UHL Exec boards.	(GAP) Milestones and success criteria to monitor progress of bringing partners across LLR together to be defined in the Project Charter Documentation.
STP Governance arrangements (Work streams reporting to System Leadership Team and will report summary updates to individual organisational boards / governing bodies from Q2 2017/18 - subject to confirmation from the STP PMO).	(GAP) Performance data will be monitored at service level, once defined.
UHL clinical lead identified - Dr Ursula Montgomery.	
CMG clinical lead identified - Dr Richard Wong.	
(GAP) Designated managerial lead - Senior Project Manager being recruited (interviews on the 7th July) as part of the Strategy Management of Change process.	
(GAP) UHL project plan - Better Change Project Charter, Benefits Realisation, Milestone Tracker and Stakeholder Analysis under development, linked to discussions of the Clinical Leadership Group (June 2017) re next steps as a system. Project Plan drafted and to be signed off by Project Board in July 2017.	
(GAP) Resources / capacity available to the project (CMGs and corporate) - corporate resource tba - interviews 7th July. CMG resource is Rachel Williams.	
(GAP) System wide project plan / PID specific to frailty - Mike Sanders to to July SLT.	
System wide Tiger Team bringing clinicians together across LLR. Clinical Leadership Group and senior clinical leaders meet scheduled for 8th June 2017 to discuss draft report of the Tiger Team and agreeing next steps across the system.	
External senior representation on relevant STP Work stream Boards.	
STP Work stream Project Initiations Documents (which relate to frailty).	
(GAP) Identification and management of interdependencies between STP work streams given most touch on frailty.	
(GAP) Commissioning and contracting model that supports deliver of frailty pathway.	

Risk assurance (assessment)	Movement
If appropriate project resources are not allocated (caused by lack of project leads appointed, capital investment and ineffective STP governance work streams) then we may not deliver an effective end to end pathway for frailty (Risk ID 3028).	↔

Corporate Oversight (TB / Sub Committees)			
Source:-	Title:	Date:	Assurance Feedback:
TB sub Committee	Audit Committee		No scrutiny - The TB should consider where they are receiving assurance in relation to this priority.
TB sub Committee	IFPIC		No scrutiny - The TB should consider where they are receiving assurance in relation to this priority.
TB sub Committee	QAC		No scrutiny - The TB should consider where they are receiving assurance in relation to this priority.

Independent (Internal / External Auditors)			
Source:-	Title:	Date:	Feedback:
Internal Audit	No involvement identified in 17/18 plan.		
External Audit	work plan TBA		

BAF 17/18: As of…	Jun-17											
Objective:	More integrated care in partnership with others											
Annual Priority 4.2	We will increase the support, education and specialist advice we offer to partners to help manage more patients in the community (integrated teams) in order to prevent unwarranted demand on our hospitals											
Objective Owner:	DCIE	**SRO:**	U Montgomery / J Currington			**Executive Board:**		ESB		**TB Sub Committee**		
BAF Assurance Rating - Current position @	**April**	**May**	**June**	**July**	**August**	**Sept**	**Oct**	**Nov**	**Dec**	**Jan**	**Feb**	**March**
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BAF Assurance Rating - Year end Forecast @	**April**	**May**	**June**	**July**	**August**	**Sept**	**Oct**	**Nov**	**Dec**	**Jan**	**Feb**	**March**
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Controls assurance (planning)	Performance assurance (measuring)
UHL designated clinical lead and management lead report to UHL Exec boards.	(GAP) Milestones and success criteria to be defined in the Project Initiations Document - Draft milestones and success criteria to go to Project Board.
ESB approved high level scope in March 2017.	
STP Governance arrangements (Work streams reporting to System Leadership Team and will report summary updates to individual organisational boards / governing bodies from Q2 - subject to confirmation from the STP PMO).	(GAP) Performance data will be monitored at service level, once defined - Awaiting Project Board.
(GAP) Working group / project team (virtual or otherwise) established. Mark Wightman to Chair Project Board.	
(GAP) Project plan - Better Change Project Charter, Benefits Realisation, Milestone Tracker and Stakeholder Analysis will be presented to ESB in July 2017. Revised project charter to be signed off by Project Board.	
(GAP) Uncertainty around resources / capacity available to the project and/or in supporting / delivering the offer (CMGs namely). Currently identifying which individuals need to attend Project Board.	
System wide Tiger Team bringing clinicians together across LLR.	
External Senior representation on relevant STP Work stream Boards, namely Integrated Teams Programme Board.	
Integrated Teams Programme Board approved a high level proposal / scoping document in April 2017.	
STP Work stream Project Initiations Documents although these are not specific to this project / objective but align in a number of ways.	
(GAP) Identification and management of interdependencies between STP work streams given most touch on frailty - this project will work most closely with the Integrated Teams work stream but will need to establish links with others. Project Board will bring together leads from existing workstreams to ensure interdependencies are managed.	
(GAP) Lack of clarity (at this stage) about the availability of funding to support these	

'non-activity related' activities. Project Board will escalate this as appropriate.	
Draft - high level - educational programme established within UHL, which will need to now extend to wider stakeholders.	

Risk assurance (assessment)	Movement
If appropriate project resources are not allocated (caused by lack of project leads appointed, capital investment and ineffective STP governance work streams) then we may not deliver an effective end to end pathway for frailty (Risk ID 3028).	↔

Corporate Oversight (TB / Sub Committees)			
Source:-	Title:	Date:	Assurance Feedback:
TB sub Committee	Audit Committee		No scrutiny - The TB should consider where they are receiving assurance in relation to this priority.
TB sub Committee	IFPIC		No scrutiny - The TB should consider where they are receiving assurance in relation to this priority.
TB sub Committee	QAC		No scrutiny - The TB should consider where they are receiving assurance in relation to this priority.

Independent (Internal / External Auditors)			
Source:-	Title:	Date:	Feedback:
Internal Audit	No involvement identified in 17/18 plan.		
External Audit	work plan TBA		

BAF 17/18: As of…	Jun-17											
Objective:	More integrated care in partnership with others											
Annual Priority 4.3	We will form new relationships with primary care in order to enhance our joint working and improve its sustainability											
Objective Owner:	DCIE		**SRO:**	J Currington		**Executive Board:**		ESB		**TB Sub Committee**		
BAF Assurance Rating - Current position @	**April**	**May**	**June**	**July**	**August**	**Sept**	**Oct**	**Nov**	**Dec**	**Jan**	**Feb**	**March**
	3	3	3									
BAF Assurance Rating - Year end Forecast @	**April**	**May**	**June**	**July**	**August**	**Sept**	**Oct**	**Nov**	**Dec**	**Jan**	**Feb**	**March**
	3	3	3									

Controls assurance (planning)	Performance assurance (measuring)
Clinical Lead identified (Associate Medical Director – Primary Care Interface)	(GAP) Performance assurance and reporting to be identified through UHL Project Charter to include number of new relationships with primary care.
Managerial Lead identified (Head of Partnerships and Business Development).	
Clinical Lead member of STP Primary Care Resilience Group.	(GAP) Description of UHL offer or "Brochure" will be produced.
(GAP) Project Plan / Project Charter - to be submitted to ESB in June 17. Better Change Project Charter, Benefits Realisation. Milestone Tracker and Stakeholder Analysis completed - Expert group identified.	(GAP) A Baseline Mapping of existing integration initiatives which can be used as a measure the outputs of the project.
(GAP) Uncertainty regarding resources/capacity available to support the project (CMGs and corporate).	
Tender opportunity search process are reported through ESB monthly.	
(GAP) A Stakeholder Communication/Engagement Plan.	
(GAP) A suite of Tender Response Documents ready for responding to any competitive tenders and to include a description of UHL's response team. Recruitment to Strategy and Bid Office Manager post completed.	

Risk assurance (assessment)	Movement
If appropriate project resources are not allocated (caused by uncertainty regarding resources) then we may not develop effective relationships with primary care providers (Risk ID 1888).	3x2=6 ↔

Corporate Oversight (TB / Sub Committees)			
Source:-	Title:	Date:	Assurance Feedback:
TB sub Committee	Audit Committee		No scrutiny - The TB should consider where they are receiving assurance in relation to this priority.
TB sub Committee	IFPIC		No scrutiny - The TB should consider where they are receiving assurance in relation to this priority.
TB sub Committee	QAC		No scrutiny - The TB should consider where they are receiving assurance in relation to this priority.

Independent (Internal / External Auditors)			
Source:-	Title:	Date:	Feedback:
Internal Audit	No involvement identified in 17/18 plan.		
External Audit	work plan TBA		

BAF 17/18: Version	Jun-17											
Objective:	Progress our key strategic enablers											
Annual Priority 5.1	We will progress our hospital reconfiguration and investment plans in order to deliver our overall strategy to concentrate emergency and specialist care and protect elective work											
Objective owner:	CFO		**SRO:**	N Topham		**Executive Board:**		ESB		**TB Sub Committee**		IFPIC
BAF Assurance Rating - Current position @	**April**	**May**	**June**	**July**	**August**	**Sept**	**Oct**	**Nov**	**Dec**	**Jan**	**Feb**	**March**
	3	3	3									
BAF Assurance Rating - Year end Forecast @	**April**	**May**	**June**	**July**	**August**	**Sept**	**Oct**	**Nov**	**Dec**	**Jan**	**Feb**	**March**
	3	3	3									

Planning (controls)	Performance Management (assurance sources)
(GAP) Develop EMCHC full business case - subject to outcome of consultation which is delayed due to period of 'purdah'; final decision expected December 2017	Performance against EMCHC project plan - is dependent on the outcome of the national consultation – scope for project is being finalised - on track.
(GAP) Deliver year 1 (of 3 year) Interim ICU project - subject to receipt of external capital funding following capital bid submitted to NHSI in April 2017	Performance against Interim ICU project plan - is dependent on external funding – design solutions for project are being revalidated - on track.
Deliver Emergency Floor Phase 2 (to complete in 2017/18)	Performance against Emergency Floor Phase 2 project plan - on track.
(GAP) Deliver Vascular Outpatients move to GH subject to outcome of scoping exercise and decision at ESB (to complete in 2017/18)	Performance against Vascular Outpatients project plan - is dependent on project scoping – actions on track.
(GAP) Deliver Infill beds at LRI and GGH subject to approval of Business case (to complete in 2017/18)	Performance against Infill beds at LRI and GGH project plan - is dependent on business case approval – actions on track.
Full review of affordability of Reconfiguration Programme, including use of PF2 to reduce reliance on external funding from the Department of Health, and re-assess capital priorities in line with the Trust's Strategic Objectives and Annual Priorities. Submission of capital bid for external funding (to complete in 2017/18).	Performance against Reconfiguration Programme project plan - on track.

Risk identified to address Gaps in controls / assurance	Movement
If the national review into congenital heart services concludes that the EMCHC service is de-commissioned then this will impact our reconfiguration plans	↔
If external capital funding is not available when it is required to maintain the reconfiguration programme to initially progress the interim ICU project then this may impact our reconfiguration plans.	↔

Corporate Oversight (TB / Sub Committees)

Source:-	Title:	Date:	Assurance Feedback:
TB sub Committee	Audit Committee	06/07/17	Outcome of Emergency Floor Phase 1 post project review to be shared. Outcome of 2016 Reconfiguration Gateway Review (by external auditor) to be shared.
TB sub Committee	IFPIC		

Independent (Internal / External Auditors)			
Source:-	Title:	Date:	Feedback:
Internal Audit	Emergency Floor Phase 1 - post project review	Q1 17/18	Post project evaluation of Emergency Floor phase 1 undertaken and reported to the Audit Committee 06/07/17. Feedback to be included in subsequent update.
External Audit	work plan TBA		

BAF 17/18: Version	Jun-17											
Objective:	Progress our key strategic enablers											
Annual Priority 5.2	We will make progress towards a fully digital hospital (EPR) with user-friendly systems in order to support safe, efficient and high quality patient care											
Objective owner:	CIO		**SRO:**	Paula Dunnan		**Executive Board:**		EIM&T / EPB		**TB Sub Committee**		IFPIC/QAC
BAF Assurance Rating - Current position @	**April**	**May**	**June**	**July**	**August**	**Sept**	**Oct**	**Nov**	**Dec**	**Jan**	**Feb**	**March**
	4	4	4									
BAF Assurance Rating - Year end Forecast @	**April**	**May**	**June**	**July**	**August**	**Sept**	**Oct**	**Nov**	**Dec**	**Jan**	**Feb**	**March**
	3	3	3									

Controls assurance (planning)	Performance assurance (measuring)
EPR Plan - Best of breed (new systems & building on our Nervecentre solution).	(GAP) EPR Plan - key milestones to be developed.
(GAP) Implement NC forms and rules to support clinical practice.	IM&T Project Dashboard - Milestones reported are on track
(GAP) Implement NC bed management.	
(GAP) Create outpatient NC/ICE functionality	
IM&T Project Dashboard reported to EIM&T Board.	
IM&T Governance structure and specialty sub-groups in place.	
(GAP) IM&T Project Management Support.	

Risk assurance (assessment)	Movement
If we don't have appropriate project management support and implementation specialist to develop the Trust's specified IT programmes then this may impact our ability to achieve the priority within the cost envelope.	New
If a continuous hardware and software replacement programme is not effectively implemented then our systems will become dated resulting in suboptimal end user interface.	New

Corporate Oversight (TB / Sub Committees)

Source:-	Title:	Date:	Assurance Feedback:
TB sub Committee	Audit Committee		IM&T report provided on request.
TB sub Committee	IFPIC		Quarterly paper provided
TB sub Committee	QAC		IM&T report provided on request.

Independent (Internal / External Auditors)

Source:-	Title:	Date:	Feedback:
Internal Audit	Electronic Patient Record Plan 'B'	Planned Q2 17/18	Will review the alternative solution and consider the processes and controls that the Trust will put in place to deliver the solution.
External Audit	work plan TBA		

BAF 17/18: Version	Jun-17											
Objective:	Progress our key strategic enablers											
Annual Priority 5.3	We will deliver the year 2 implementation plan for the 'UHL Way' and engage in the development of the 'LLR Way' in order to support our staff on the journey to transform services											
Objective owner:	DWOD		**SRO:**	B Kotecha		**Executive Board:**		EWB / EPB		**TB Sub Committee**		IFPIC
BAF Assurance Rating - Current position @	**April**	**May**	**June**	**July**	**August**	**Sept**	**Oct**	**Nov**	**Dec**	**Jan**	**Feb**	**March**
	4	3	4									
BAF Assurance Rating - Year end Forecast @	**April**	**May**	**June**	**July**	**August**	**Sept**	**Oct**	**Nov**	**Dec**	**Jan**	**Feb**	**March**
	4	4	4									

Controls assurance (planning)	Performance assurance (measuring)
UHL Way	
UHL Way governance structure (with programme leads for the 4 components of Better - engagement, teams, change and Academy).	(GAP) Fully populated UHL Way Annual Priorities Map - metrics to be developed.
UHL Way Year 2 implementation plan and tracker. Year 2 - Close liaison with all SROs for annual priorities in 17/18 to process map their journey to identify gaps against the 4 components of the UHL Way.	UHL Pulse check dashboard (Quarterly) - Q1 2017/18 results show an improvement against overall engement score (from 3.8 to 3.91 out of 5) and increased response rate (by 2.32%).
	National staff survey (annually) - April 2017 = UHL joint 47th position.
LIA processes embedded.	(GAP) Metrics to measure number of UHL Way interventions utilised in supporting annual priorities - as a minimum Project Charter to be produced for all priorities.
	Metrics to measure number of staff through Way Master Class - 37 staff completed as at the 4 July.
LLR Way	
LLR OD and Change Group (workforce enabling group).	(GAP) Metrics to measure no. of people through introduction.
LLR Governance structure with clinical and senior leadership from LLR services (including UHL, LPT, City & County Councils, EMAS) - Better care together improvement framework.	(GAP) Metrics to measure no. of interventions utilised.
(GAP) LLR standardised improvement framework to approach change.	
(GAP) Framework to raise awareness of STP and LLR Way.	
LLR Making Things Happen Event on 13 July to launch Introduction Package and further work up Implementation of LLR Improvement Framework.	

Risk assurance (assessment)	Movement
If we don't adopt the UHL Way appropach then we may not maximise our potential to empower staff and sustain change which may adversely affect our ability to achieve our Annual Priorities.	NEW
If we are not able to achieve a minimum 30% response rate in the UHL Quaterly Pulse Check then the data may not be reliable and valid.	NEW
Corporate Oversight (TB / Sub Committees)	

Source:-	Title:	Date:	Assurance Feedback:
TB sub Committee	Audit Committee		
TB sub Committee	IFPIC	Jul-17	Improvements in key measures including the Quarterly Pulse Check and full engagement by Annual Priority Senior Responsible Officers in implementing priorities the UHL Way. Progress with LLR Way to be shared at LLR Clinical Leadership Group Event (140 clinicians to attend this event from across the system) and agreement reached on 'LLR Way' implementation actions in the first year (2017/18). Key implementation activity to be agreed at LLR Board to Board Meeting in July 2017.

Independent (Internal / External Auditors)			
Source:-	Title:	Date:	Feedback:
Internal Audit	No involvement identified in 17/18 plan.		
External Audit	work plan TBA		

BAF 17/18: As of…	Jun-17											
Objective:	Progress our key strategic enablers											
Annual Priority 5.4	We will review our Corporate Services in order to ensure we have an effective and efficient support function focused on the key priorities											
Objective Owner:	DWOD		**SRO:**	DWOD (& J Lewin)		**Executive Board:**		EWB / EPB		**TB Sub Committee**		IFPIC
BAF Assurance Rating - Current position @	**April**	**May**	**June**	**July**	**August**	**Sept**	**Oct**	**Nov**	**Dec**	**Jan**	**Feb**	**March**
	3	3	3									
BAF Assurance Rating - Year end Forecast @	**April**	**May**	**June**	**July**	**August**	**Sept**	**Oct**	**Nov**	**Dec**	**Jan**	**Feb**	**March**
	3	3	3									

Controls assurance (planning)	Performance assurance (measuring)
UHL's requirement for significant CIP savings and national imperatives such as the delivery of Lord Carter's 2016 recommendations present UHL with the necessity and opportunity to redesign Corporate Services that are fit for the future. UHL will also need to deliver its contribution to the LLR STP review of back office savings.	(GAP) Milestones to be developed and agreed.
	(GAP) Performance KPIs in development.
	(GAP) Additional UHL 2017/18 CIP target (service line targets tbc).
	(GAP) £577k STP savings target (service line targets tbc).
All nine UHL Corporate Directorate plus Estates and Facilities are in scope.	Carter target for back office cost to be no more than 7% of turnover by March 2018.
(GAP) PID drafted - to be agreed in July 2017.	
(GAP) Project governance defined in PID and to be signed off by EPB/EWB - July 17.	Carter Target for back office cost to be no more than 6% of turnover by March 2020.
Project Board meeting scheduled for 04/07/17; meeting monthly thereafter.	
(GAP) Diagnostic phase across all Corporate Services commencing in June 2017, progress to options appraisal and review in August 2017.	
Project manager resource in place.	

Risk assurance (assessment)	Movement
If operational delivery (across 2017/18) is negatively impacted by CIP (i.e. targets may reduce the ability of Corporate Services to "invest to save" limiting potential service transformation and agile working - particularly with regard to IT enablement) and other cost pressures, then this will affect delivery of the requirements within the Carter report to manage back-office costs (diagnostic phase and subsequent options appraisal will provide mitigation).	New

Corporate Oversight (TB / Sub Committees)

Source:-	Title:	Date:	Assurance Feedback:
TB sub Committee	Audit Committee		
TB sub Committee	IFPIC	#########	The PID for the Corporate Services review will be reviewed by IFPIC in July 2017. An options appraisal assigning in year delivery targets across service lines will be completed in August 2017 following an extensive diagnostic exercise.

Independent (Internal / External Auditors)

Source:-	Title:	Date:	Feedback:
Internal Audit	No involvement identified in 17/18 plan.		
External Audit	work plan TBA		

BAF 17/18: As of…	Jun-17											
Objective:	Progress our key strategic enablers											
Annual Priority 5.5	We will implement our Commercial Strategy, one agreed by the Board, in order to exploit commercial opportunities available to the Trust											
Objective Owner:	CFO		**SRO:**	CFO		**Executive Board:**		EPB		**TB Sub Committee**		IFPIC
BAF Assurance Rating - Current position @	**April**	**May**	**June**	**July**	**August**	**Sept**	**Oct**	**Nov**	**Dec**	**Jan**	**Feb**	**March**
	4	4	4									
BAF Assurance Rating - Year end Forecast @	**April**	**May**	**June**	**July**	**August**	**Sept**	**Oct**	**Nov**	**Dec**	**Jan**	**Feb**	**March**
	4	4	4									

Controls assurance (planning)	Performance assurance (measuring)
Implement overall Commercial Strategy.	(GAP) Monitoring of specific programme/work streams (once agreed).
Identify work streams which can be implemented in 2017/18.	(GAP) Income streams measured monthly against target (once agreed).
Identify resources to support the strategy this year.	
Link programme to subsidiary company TGH and agree priorities.	
Deliver new income or cost saving schemes in line with agreed target.	
Publicise the Commercial Strategy across UHL and engage key stakeholders.	

Risk assurance (assessment)	Movement
If suitable resources cannot be allocated to support delivery of our Commercial Strategy properly then we will not be able to exploit commercial opportunities available to the Trust and there may be a negative impact of reduced focus on core business.	

Corporate Oversight (TB / Sub Committees)			
Source:-	Title:	Date:	Assurance Feedback:
TB sub Committee	Audit Committee		Twice yearly review of progress to Trust Board.
TB sub Committee	IFPIC		Bi monthly update

Independent (Internal / External Auditors)			
Source:-	Title:	Date:	Feedback:
Internal Audit	No involvement identified in 17/18 plan.		
External Audit	work plan TBA		

BAF 17/18: As of…	Jun-17											
Objective:	Progress our key strategic enablers											
Annual Priority 5.6	We will deliver our Cost Improvement and Financial plans in order to make the Trust clinically and financially sustainable in the long term											
Objective Owner:	CFO		**SRO:**	CFO		**Executive Board:**		EPB		**TB Sub Committee**		IFPIC
BAF Assurance Rating - Current position @	**April**	**May**	**June**	**July**	**August**	**Sept**	**Oct**	**Nov**	**Dec**	**Jan**	**Feb**	**March**
	4	4	4									
BAF Assurance Rating - Year end Forecast @	**April**	**May**	**June**	**July**	**August**	**Sept**	**Oct**	**Nov**	**Dec**	**Jan**	**Feb**	**March**
	3	3	3									

Controls assurance (planning)	Performance assurance (measuring)
Cost Improvement Plans	
CMGs and Corporate departments to fully identify (complete) plans for 2017/18.	Monthly CIP report to EPB and IFPIC.
100% of PIDS and QIAs signed off.	Monitoring of CIP tracker to measure completeness of programme for the remaining months.
Production and delivery of the Closing the Gap plan.	
Procurement to deliver full £8m target against budgeted spend.	
Quarterly quality assurance reporting.	
Monthly CMG/Corporate meetings to include detailed review of CIP delivery and forecast - escalating to weekly where CMGs/Corporate departments are materially varying from plan.	
(GAP) Deliver more activity through a more productive capacity through beds, theatres & outpatients – improve efficiency indicators; Reduce the price we pay for goods/services; Remove waste and eliminate unnecessary variation.	
Financial Plans	
CIP to achieve 100% delivery in 2017/18.	CIP measurement and reporting monthly.
CMGs to achieve their control totals or better.	Monthly I&E submissions to NHSI, Trust Board, IFPIC and EPB.
Cost pressures and service developments to be minimised and managed through RIC and CEO chaired 'Star Chamber'.	Expenditure run rates for pay, non-pay, capital charges and agency spend.
A minimum of £18m of additional technical and other solutions to be transacted.	Contract income levels consistently being achieved and commissioner challenges resolved quarter by quarter.
Agree an appropriate level of investment supporting the resolution of the demand/capacity issue.	Year on year reduction in agency spend in line with our 2 year trajectory.
	I&E monitoring of progress against £18m technical challenge.
Manage CCG and NHSE contracts to ensure accurate and full receipt of income noting changes to tariff (HRG4+) and new Emergency Floor currencies/flows.	Overall level of overdue debtors to reduce, BPPC performance to improve - monitored within cash paper to IFPIC.
Implementation of first stages of UHL's Commercial Strategy and use of TGH Ltd.	Improvement in cash position as per the agreed plan.
Reduction in agency spend moving towards the NHSI agency ceiling level.	
New income streams realised and effective, financially beneficial use of TGH Ltd.	
Monitoring of CQUIN Targets.	

(GAP) Better retrieval of overdue debtors.	

Risk assurance (assessment)	Movement
If the CIP plan is not successfully delivered, caused by cost pressures and ineffective strategies in CMGs and inability to meet supplementary CIP, then the Trust's CIP may not successfully be delivered against the target.	
If the financial plan is not successfully delivered, caused by ineffective solution to the demand and capacity issue, then the Trust's financial control total may not successfully be delivered against the target.	

Corporate Oversight (TB / Sub Committees)

Source:-	Title:	Date:	Assurance Feedback:
TB sub Committee	Audit Committee	Monthly	Finance / CIP reports
TB sub Committee	IFPIC	Monthly	I&E information to IFPIC to include monitoring of progress against £18m technical challenge

Independent (Internal / External Auditors)

Source:-	Title:	Date:	Feedback:
Internal Audit	Cash Management	Q3 17/18	Will review the adequacy of Trust's arrangements for cash flow forecasting and processes for managing working capital.
Internal Audit	Financial Systems	Q3 17/18	Will meet the requirements of external audit and will also include data analysis.
Internal Audit	CIP function and process	Q1 17/18	Will review the adequacy of arrangements for delivery of CIP and the robustness of planning for future years. This will include a review of arrangements against the NHS Efficiency Map.
External Audit	work plan TBA		

BAF Ratings

Current Assurance Rating: Month-end

0	Not started
1	Extreme risk associated
2	Major risk associated
3	Moderate risk associated
4	Minor risk associated
5	Delivered

Key questions to BAF owners each month:

Is what needs to be happening actually happening in practice to aid delivery of the annual priority in 2017/18?
Consider are controls effective, are performance outcomes positive and have risks been identified and are appropriately managed.

3	Moderate risk associated
4	Minor risk associated
Follow up question - By when will the priority be delivered?	

or

2	Major risk associated
Follow up questions - What further actions have been identified to get the annual priority back on track and when is it expected to deliver?	

or

1	Failed
Follow up question - why have we failed to deliver the annual priority?	

or

0	Not yet started

Year-end Forecast Assurance Rating: Year-end

0	Not started
1	Extreme risk associated - Predicted to fail
2	Major risk associated
3	Moderate risk associated – expected to deliver in 2017/18
4	Minor risk associated - Expected to deliver in 2017/18
5	Delivered

Key questions to BAF owners each month:

What is the year-end forecast for delivering the annual priority in 2017/18?
Consider are controls effective, are performance outcomes positive and have risks been identified and are appropriately managed.

3	Moderate risk associated – expected to deliver in 2017/18
4	Minor risk associated - Expected to deliver in 2017/18

or

2	Major risk associated – unlikely to deliver in 2017/18
Follow up questions - What further actions have been identified to get the annual priority back on track and when is it expected to deliver?	

or

1	Failed
Follow up question - why have we failed to deliver the annual priority?	

or

0	Not yet started

Appendix 2 - UHL Operational Risk Register Report as at 30 June 17

Risk ID	CMG	Risk Description	Current Risk Score	Target Risk Score	Risk Owner	Risk Movement	Thematic Analysis of Risk Impact	Thematic Analysis of Risk Causation
2236	ESM	There is a risk of overcrowding due to the design and size of the ED footprint & increased attendance to ED	25	16	Dr Ian Lawrence	↔	Harm	Demand and Capacity
2264	CHUGGS	If an effective solution for the staffing shortages in GI Medicine Surgery and Urology at LGH and LRI is not found, then the safety and quality of care provided will be adversely impacted.	20 ↑	6	Georgina Kenney	↑	Harm	Workforce
2621	CHUGGS	There is a risk to patient safety & quality due to poor skill mix on Ward 22, LRI	20 ↑	6	Kerry Johnston	↑	Harm	Workforce
2566	CHUGGS	If the range of Toshiba Aquilion CT scanners are not upgraded, Then patients will experience delays with their treatment planning process.	20	1	Lorraine Williams	↔	Harm	Equipment
2354	RRCV	If the capacity of the Clinical Decisions Unit is not expanded to meet the increase in demand, then will continue to experience overcrowding resulting in potential harm to patients.	20	9	Sue Mason	↔	Harm	Demand and Capacity
2670	RRCV	If recruitment to the Clinical Immunology & Allergy Service Consultant vacancy does not occur, then patient backlog will continue to increase, resulting in delayed patient sequential procedures and patient management.	20	6	Karen Jones	↔	Harm	Workforce
2886	RRCV	If we do not invest in the replacement of the Water Treatment Plant at LGH, Then we may experience downtime from equipment failure impacting on clinical treatment offered.	20	8	Geraldine Ward	↔	Service Disruption	Estates
2931	RRCV	If the failing Cardiac Monitoring Systems in CCU are not replaced, Then we will not be able safely admit critically unwell, unstable persons through EMAS with, STEMI,NSTEMI, OoHCA and Errhythmais.	20	4	Judy Gilmore	↔	Harm	Equipment
3040	RRCV	If there are insufficient medical trainees in Cardiology, we may experience an imbalance between service and education demands resulting in the inability to cover rota	20	9	Darren Turner	**NEW**	Service Disruption	Workforce
2804	ESM	If the ongoing pressures in medical admissions continue, then ESM CMG medicine bed base will be insufficient thus resulting in jeopardised delivery of RTT targets.	20	12	Susan Burton	↔	Harm	Demand and Capacity
2149	ESM	If we do not recruit and retain into the current Nursing vacancies within ESM, then patient safety and quality of care will be compromised thus resulting in potential financial penalties.	20	6	Susan Burton	↔	Harm	Workforce
2763	ITAPS	Risk of patient deterioration due to the cancellation of elective surgery as a result of lack of ICU capacity at LRI	20	10	Chris Allsager	↔	Harm	Demand and Capacity
2990	MSK & SS	There is a risk of delayed outpatient corrospondance to referer/patient following clinic attendance.	20	3	Clare Rose	↔	Harm	Workforce

Risk ID	CMG	Risk Description	Current Risk Score	Target Risk Score	Risk Owner	Risk Movement	Thematic Analysis of Risk Impact	Thematic Analysis of Risk Causation
2191	MSK & SS	Lack of capacity within the ophthalmology service is causing delays that could result in serious patient harm.	20	8	Clare Rose	↔	Harm	Demand and Capacity
2867	CSI	If the Mortuary flooring is not repaired, then we will continue to breach Department of Health Building note 20 and the HSAC (Health Services Advisory Committee) advice by exposing staff to harm.	20	3	Anne Freestone	↔	Harm	Estates
2940	W&C	Risk that paed cardiac surgery will cease to be commissioned in Leicester with consequences for intensive care & other services	20	8	Nicola Savage	↔	Finance	Demand and Capacity
2403	Corporate Nursing	There is a risk changes in the organisational structure will adversely affect water management arrangements in UHL	20	4	Elizabeth Collins	↔	Harm	Estates
2404	Corporate Nursing	There is a risk that inadequate management of Vascular Access Devices could result in increased morbidity and mortality	20	16	Elizabeth Collins	↔	Harm	Equipment
2471	CHUGGS	If the Trust does not invest in upgrading our aged imaging equipment, then we will continue to breach national guidance and Radiotherapy Services specification of 10 years replacement recommendations	16	4	**CLOSED**		Harm	Equipment
2820	RRCV	If a timely VTE risk assessments is not undertaken on admission to CDU, then we will be breach of NICE CCG92 guidelines resulting patients being placed at risk of harm.	16	3	Karen Jones	↔	Harm	Processes and Procedures
3031	RRCV	If the MDT activities for vasc surg are not resolved there is a risk of signif loss of income & activity from referring centres	16	1	Martin Watts	**NEW**	Harm	Equipment
3044	ESM	If under achievement against key CQUIN Triggers, Then income will be affected.	16	1	Elaine Graves	**NEW**	Finance	Demand and Capacity
2333	ITAPS	If we do not recruit into the Paediatric Cardiac Anaesthetic vacancies, then we will not be able to maintain a WTD compliant rota resulting in service disruption.	16	8	Chris Allsager	↔	Service Disruption	Workforce
2193	ITAPS	If an effective maintenance schedule for Theatres and Recovery plants is not put in place, then we are prone to unplanned loss of capacity at the LRI.	16	4	Gaby Harris	↔	Service Disruption	Estates
2955	CSI	If system faults attributed to EMRAD are not expediently resolved, Then we will continue to expose patient to the risk of harm	16	4	Cathy Lea	↔	Harm	IM&T
1206	CSI	If the backlog of unreported Chest and Abdomen images on PAC'S are not cleared, then we will breach IRMER and Royal College of Radiologist guidelines.	12 ↓	6	ARI	↓	Harm	Workforce

Risk ID	CMG	Risk Description	Current Risk Score	Target Risk Score	Risk Owner	Risk Movement	Thematic Analysis of Risk Impact	Thematic Analysis of Risk Causation
2378	CSI	If we do not recruit, up skill and retain staff into the Pharmacy workforce, then the service will not meet increasing demands resulting in reduced staff presence on wards or clinics.	16	8	Claire Ellwood	↔	Service Disruption	Workforce
2916	CSI	There is a risk that patient blood samples can be mislabelled impacting on patient safety	16	6	Debbie Waters	↑	Harm	IM&T
2391	W&C	Inadequate numbers of Junior Doctors to support the clinical services within Gynaecology & Obstetrics	16	8	Ms Cornelia Wiesender	↔	Harm	Workforce
2153	W&C	Shortfall in the number of all qualified nurses working in the Children's Hospital.	16	8	Ms Hilliary Killer	↔	Harm	Workforce
3008	W&C	If the paediatric retrieval and repatriation teams are delayed mobilising to critically ill children due to inadequately commissioned & funded provision of a dedicated ambulance service, then this will result in failure to meet NHS England standards, delayed care, potential harm and inability to free-up PICU capacity	16	5	Andrew Leslie	↔	Harm	Demand and Capacity
2237	Corporate Medical	If a standardised process for requesting and reporting inpatient and outpatient diagnostic tests is not implemented, then the timely review of diagnostic tests will not occur.	16	8	Colette Marshall	↔	Harm	IM&T
2247	Corporate Nursing	If we do not recruit and retain Registered Nurses, then we may not be able to deliver safe, high quality, patient centred and effective care.	16	12	Maria McAuley	↔	Harm	Workforce
1693	Operations	If clinical coding is not accurate then income will be affected.	16	8	Shirley Priestnall	↔	Finance	Workforce
3041	RRCV	If there are insufficient cardiac physiologists then it could result in increased waiting times for electrophysiology procedures and elective cardiology procedures	15	8	Darren Turner	**NEW**	Harm	Workforce
3043	RRCV	If there is insufficient cardiac physiologists then it could result in reduced echo capacity resulting in diagnostics not being performed in a timely manner	15	6	Darren Turner	**NEW**	Harm	Workforce
2872	RRCV	If a suitable fire evacuation route for bariatric patients on Ward 15 at GGH is not found, then we will be in breach of Section 14.2b of The Regulatory Reform (Fire Order) 2005.	15	6	Vicky Osborne	↔	Harm	Estates
3005	RRCV	If recruitment and retention to the current Thoracic Surgery Ward RN vacancies does not occur, then Ward functionality will be compromise, resulting in an increased likelihood of incidences leading to patient harm.	15	6	Sue Mason	↔	Harm	Workforce
2837	ESM	If the migration to a automated results monitoring system does not take place, Then follow-up actions for patients with multiple sclerosis maybe delayed.	15	2	Dr Ian Lawrence	↔	Harm	IM&T

Risk ID	CMG	Risk Description	Current Risk Score	Target Risk Score	Risk Owner	Risk Movement	Thematic Analysis of Risk Impact	Thematic Analysis of Risk Causation
2989	MSK & SS	If we do not recruit into the Trauma Wards nursing vacancies, then patient safety and quality of care will be placed at risk	15	4	Nicola Grant	↔	Harm	Workforce
1196	CSI	If we do not increase the number of Consultant Radiologists, then we will not be able provide a comprehensive out of hours on call rota and PM cover for consultant Paediatric radiologists resulting in delays for patients requiring paediatric radiology investigations and suboptimal treatment pathway.	15	2	Miss Rona Gidlow	↔	Harm	Workforce
2946	CSI	If the service delivery model for Head and Neck Cancer patients is not appropriately resourced, then the Trust will be non-compliant with Cancer peer review standards resulting in poor pre and post-surgery malnutrition.	15	2	Cathy Steele	↔	Harm	Workforce
2973	CSI	If the service delivery model for Adult Gastroenterology Medicine patients is not appropriately resourced, then the quality of care provided by nutrition and dietetic service will be suboptimal resulting in potential harm to patients.	15	6	Cathy Steele	↔	Harm	Workforce
2787	CSI	If we do not implement the EDRM project across UHL which has caused wide scale recruitment and retention issues then medical records services will continue to provide a suboptimal service which will impact on the patients treatment pathway.	15	4	Debbie Waters	↔	Harm	IM&T
2965	CSI	If we do not address Windsor pharmacy storage demands, then we may compromise clinical care and breach statutory duties	15	6	Claire Ellwood	↔	Harm	Estates
3023	W&C	There is a risk that the split site Maternity configuration leads to impaired quality of Maternity services at the LGH site	15	6	Ms Cornelia Wiesender	**NEW**	Harm	Workforce
2601	W&C	There is a risk of delay in gynaecology patient correspondence due to a backlog in typing	15	6	DMAR	↔	Harm	Workforce
2394	Communications	If a service agreement to support the image storage software used for Clinical Photography is not in place, then we will not be able access clinical images in the event of a system failure.	15	1	Simon Andrews	↔	Harm	IM&T
2402	Corporate Nursing	There is a risk that inappropriate decontamination practice my result in harm to patients and staff	15	3	**CLOSED**		Harm	Equipment
2985	Corporate Nursing	If the delays with supplying, delivering and administrating parental nutrition at ward level are not resolved, then we will deliver a suboptimal and unsafe provision of adult inpatient parental nutrition resulting in the Trust HISNET Status.	15	4	Cathy Steele	↔	Harm	Workforce

Risk ID	CMG	Specialty	Risk Description	Opened	Review Date	Risk Subtype	Controls in place	Impact	Likelihood	Current Risk	Action summary	Target Risk	Risk Owner	Risk Type
2236	CMG 3 - Emergency & Specialist Medicine (ESM)	Emergency Department	There is a risk of overcrowding due to the design and size of the ED footprint & increased attendance to ED	04/Oct/13	31/05/2017	Harm (Patient/Non-patient)	The Emergency Care Action Team, was established in spring 2013 with aims to improve emergency flow and therefore reduce the ED crowding. This has now been changed to Emergency Quality Steering Group(EQSG) meetings. The Emergency department is actively engaging in plans to increase the ED footprint via the emergency floor initiative, but in the shorter term to increase the capacity of assessment bay and resus. The Resus Bed area has been created. Increase in Clinical Education staff, to assist with upskilling of Nursing Staff. Majors Floor has been marked out and numbered to prevent to many trolleys from blocking Majors and assessment Bay. Improving quality of care in the ED sessions open to staff, led by ED Consultant. Direct referrals from assessment bay and UCC to ambulatory clinic/GPAU. CAD system went live highlighting number of ambulance patients on route to ED. SOP's completed, including SOP's for managing assessment bay at full capacity & for supporting an escalation area when the main ED is full. Actions in place from EQSG Emergency Floor New ED floor working stream. Quality metric audits - completed twice a week. CMG weekly meetings following CQC notice. Reporting to CQC weekly on time to triage, ambulance waits,Sepsis 6, and staffing skill mix. Cohorting of ED patients in Escalation Area (TIA Clinic) and ED corridor as per agreed protocols. New ED plus associated hot floor rebuild approved by the trust and NTDA.	Extreme	Almost certain	25	Launch and implementation of additional patient on ward process (SAFER placement) Red to Green in process through trust, ongoing review 30/09/17	16	Dr Ian Lawrence	Operational Risk

Risk ID	CMG	Specialty	Risk Description	Opened	Review Date	Risk Subtype	Controls in place	Impact	Likelihood	Current Risk	Action summary	Target Risk	Risk Owner	Risk Type
2264	CMG 1 - Cancer, Haematology, Urology, Gastroenterology & Surgery (CHUGGS)		If an effective solution for the staffing shortages in GI Medicine Surgery and Urology at LGH and LRI is not found, then the safety and quality of care provided will be adversely impacted.	03/Dec/13	31/07/2017	Harm (Patient/Non-patient)	-Staffing levels checked on daily basis and staff movement from other areas decided by Matron on site/bleep holder. Head of Nursing and Deputy Head of Nursing available at weekends to advise about staffing moves. -All shifts required out to bank and agency contract due to lack of fill from Staff bank for some areas, other wards adhoc. -Over time offered to all staff in advance. -Reassurance and support from Matron where possible to pick up non clinical duties and sickness management, bank requests etc	Major	Almost certain	20	Corporate HCA recruitment to be a priority for CHUGGS - 31/07/17 Shifts for ward 22 at LRI/LGH, 27 LGH and SAU's on both sites going to break glass two weeks in advance- 31/07/17 First and second tier agencies to be offered long lines of work for two months in advance, including educational opportunities - 31/07/2017 Explore opportunities for recruiting to non-nursing roles that will support the nursing workforce, such as Ward Clerks and Pharmacy Technicians. 31/07/2017. Explore other opportunities for support from other CMG's. 31/08/17 Matrons to work one clinical shift per week. Head of Nursing and Deputy Head of Nursing to work clinical shift every two weeks. - 30/09/17 Head of Nursing meeting with ITAPS and MSS CMG to explore joint working opportunities. - 31/07/17 Review bed base with Head of Op's with a view to closing beds - 31/07/17	6	Georgina Kenney	Operational Risk

Risk ID	Specialty CMG	Risk Description	Risk Subtype Review Date Opened	Controls in place	Impact Likelihood Current Risk	Action summary	Target Risk Risk Owner	Risk Type
2621	General Surgery CMG 1 - Cancer, Haematology, Urology, Gastroenterology & Surgery (CHUGGS)	There is a risk to patient safety & quality due to poor skill mix on Ward 22, LRI	31/07/2017 20/10/2015 Harm (Patient/Non-patient)	Shifts escalated to bank and agency at an early stage; Increased the numbers of band 6's to provide leadership support. Agency contract in place for one nurse on day shift and night shift to increase nursing numbers. Staffing is reviewed on a day by day basis and staff are moved across the CMG to support the ward as required. Matron to work clinically on the ward for 2 days a week to provide support and increase nursing numbers. Matron to ensure daily matron ward rounds for leadership/ increased monitoring of care standards/accessibility to patients/relatives to discuss any concerns.	Major Almost certain 20	Ongoing recruitment of trained and untrained nurses as per CHUGGS nursing action plan - 30/09/17; Training needs analysis of all registered nurses and action plan developed - 31/07/17. Restructuring of team to provide more senior support on a day by day basis - 31/07/17 Matron to work clinically 3 days a week on the ward - 31/07/17 Action plan being developed to be discussed with the Chief Nurse - 31/07/17	6 Kerry Johnston	Operational Risk

Risk ID	Specialty	Risk Description	Opened	Risk Subtype	Review Date	Controls in place	Likelihood	Impact	Current Risk	Action summary	Target Risk	Risk Owner	Risk Type
2566	Oncology CMG 1 - Cancer, Haematology, Urology, Gastroenterology & Surgery (CHUGGS)	If the range of Toshiba Aquilion CT scanners are not upgraded, Then patients will experience delays with their treatment planning process.	26/06/2015	Harm (Patient/Non-patient)	30/08/2017	Limited arrangements for planning palliative patients only (unable to treat radical patients) Comprehensive Service Contract with Toshiba for scanner up until May 2016.	Likely	Extreme	20	Contingency plan for instances of breakdown of the Toshiba scanner using another radiotherapy departments scanner - 31 Aug 17 Agreement for monthly 1/2 day physics QA sessions on radiology scanner during periods of Toshiba breakdown to ensure continued compability between scanner and planning system - 31 Aug 17 Purchase of compatible couch top for use with CT scanners - 31 Aug 17 Service level agreement with radiology for scanner capacity for radiotherapy patients in the case of long term breakdown of scanner - 31 Aug 17 Contingency plan for instances of breakdown of the Toshiba scanner using radiology scanner - 31 Aug 17	1	Lorraine Williams	Operational Risk

Risk ID	CMG	Specialty	Risk Description	Opened	Review Date	Risk Subtype	Controls in place	Likelihood	Impact	Current Risk	Action summary	Target Risk	Risk Owner	Risk Type
2354	CMG 2 - Renal, Respiratory, Cardiac & Vascular (RRCV)		If the capacity of the Clinical Decisions Unit is not expanded to meet the increase in demand, then will continue to experience overcrowding resulting in potential harm to patients.	28/05/2014	31/07/2017	Harm (Patient/Non-patient)	Respiratory Consultant on CDU 5 days/week 0800-20 00 hrs Respiratory Consultant on CDU at weekends and bank holidays 0800-1200 hrs and on call thereafter Cardiology Consultant assigned on CDU 5 days a week (shared rota) Cardio Respiratory Streaming flow, including referral criteria and acceptance Short stay ward adjacent to CDU Discharge Lounge utilised GH duty Manager present 24/7 Bed co-ordinator and Flow co-ordinator, providing 7 day cover CDU dash board – performance indicators UHL bed state and triage times includes CDU data Daily nurse staffing review with plan to ensure safe staffing levels on CDU EDIS operational on CDU Daily patient discharge conference calls for all wards Matron of the day - rota covers 7 day working Daily board rounds across all wards Primary Care Co-ordinators and increased community support Escalation plans Implementation of triage audit CDU Operations Meeting Monitoring of patient triage times and other quality performance indicators at monthly CDU ops meeting with appropriate representation from all staff groups	Almost certain	Major	20	Review additional resources as part of strategic transfer of vascular services in 2016/17 - run ambulatory GP model over winter months - additional resources identified and low risk ambulatory clinic will run until March 2017 Director of reconfiguration and Nigel Bond, Head of Capital Projects to undertake visit to CDU to identify reconfiguration opportunities to improve flow of patients end March 17 - complete Nigel Bond to meet with CDU clinical leads to identify minimal reconstruction of space to improve patient flow and accommodation - complete Winter plan presentation to be discussed at EQSG, Sarah Taylor, COMPLETE Task group to be set up to review space and decide next steps - 31.5.17 Identify physical space changes to increase capacity - 31.8.17 Develop & monitor action plans from ESIP review - 1.9.17 Review inpatient x-rays being undertaken on CDU - 31.7.17	9	Sue Mason	Operational Risk

Risk ID	CMG	Specialty	Risk Description	Opened	Review Date	Risk Subtype	Controls in place	Impact	Likelihood	Current Risk	Action summary	Target Risk	Risk Owner	Risk Type
2670	CMG 2 - Renal, Respiratory, Cardiac & Vascular (RRCV)		If recruitment to the Clinical Immunology & Allergy Service Consultant vacancy does not occur, then patient backlog will continue to increase, resulting in delayed patient sequential procedures and patient management.	05/Oct/15	30/09/2017	Service disruption	Weekly Access Meeting (WAM) attendance for support and completion of actions. Review of patient referrals to identify the high risk patients and complete a trajectory plan. Advice and actions being agreed with the Head of Performance and Operations to ensure all patients waiting for sequential procedures have been identified and are allocated to the appropriate patient waiting list. Continued monitoring of these patient waiting list at Respiratory RTT meetings and escalation of concerns. To standardise referral and waiting list procedure to ensure all patients are recorded on the correct patient waiting list. Completion of Business Case and Risk Assessment to recruit an Allergy Consultant for the service. Respiratory Physicians to help maintain current and future Allergy Service. Route to Recruit and advert to be authorised ASAP to cover allergy gap(s). Further discussions of future model of Allergy and Immunology and identifying possible support from Consultant Dietitian. Clinical Immunology/Allergy Consultant commenced 9.10.16 - Consultant will support an additional allergy clinic due to allergy consultant has been appointed started on the 3.10.16 - complete Regular meetings with Senior Management, Head of Performance and Allergy Team to continue to monitor patient backlog and work through solutions.	Major	Almost certain	20	Monitoring of patient backlog at Respiratory RTT meetings - sustainability meetings planned for September 17. WLI will continue to support backlog and respiratory consultants will continue to back fill until to be reviewed in September at the sustainability meeting - Sep 17	6	Karen Jones	Operational Risk

Risk ID	CMG	Specialty	Risk Description	Opened	Review Date	Risk Subtype	Controls in place	Impact	Likelihood	Current Risk	Action summary	Target Risk	Risk Owner	Risk Type
2886	CMG 2 - Renal, Respiratory, Cardiac & Vascular (RRCV)		If we do not invest in the replacement of the Water Treatment Plant at LGH, Then we may experience downtime from equipment failure impacting on clinical treatment offered.	29/06/2016	31/Aug/17	Service disruption	Discussion to be reached on the future model for LGH Haemodialysis Unit 1. Capital Purchase). Initial £200K Capital purchase and annual maintenance costs of approximately £10K per annum. To replace the ring main and complete water treatment system. LGH technical team will potentially organise internally to undertake weekly chemical disinfections – UHL Infection informed. Discontinue HDF therapy Samples for Endotoxin testing will continue on a weekly bases. Non-payment of invoices in January 17 has resulted in no chemical disinfect being undertaken by Veola in February 17. This will have an affect on the type of treatment provided to some patients.	Extreme	Likely	20	Replacement options paper to be compiled for submission to the Renal and CMG board before submitting to capital and investment committee - Capital Purchase - Initial £165K Capital purchase and annual maintenance costs of approximately £10K per annum. To replace the ring main and complete water treatment system. Business Case to be presented at the Capital & Investment Committee Meeting on 14.10.16 for decision. Decision made by the Capital Investment Committee to replace Water Treatment Plant. Funding to come from 17/18 capital expenditure. Weekly water sampling will continue. Scoping exercised commenced in January 17 and contract to be awarded in April 17. Work should then commence on the installation of a new water treatment plant. Tender process underway. Preferred supplier not know yet. Review date 31 August 17. Existing plant should be decommissioned by beginning September 17	8	Geraldine Ward	Operational Risk

Risk ID	Specialty CMG	Risk Description	Opened	Risk Review Date	Risk Subtype	Controls in place	Impact	Likelihood	Current Risk	Action summary	Target Risk	Risk Owner	Risk Type
2931	CMG 2 - Renal, Respiratory, Cardiac & Vascular (RRCV)	If the failing Cardiac Monitoring Systems in CCU are not replaced, Then we will not be able safely admit critically unwell, unstable persons through EMAS with, STEMI,NSTEMI, OoHCA and Errhythmais.	05/Sep/16	31/07/2017	Harm (Patient/Non-patient)	Medical physics called for assistance and make contact with GE Matron, bleep holder and manager on call informed Nursing Rounds Escalated Nurses to be based at bedside/bay Escalation policy via duty manager to senior team Doctors based on CCU to review all patients Ensure capacity is available on the other clinical areas which have functioning central monitoring If bedside monitors available then parameter alarms set to max audible Patient review by cardiologist Datix completed by NiC Patients prioritised and moved to available ward beds or more visible beds Bleep holder/Matron/Senior team to assess numbers of staff across RRCV and acuity, monitored patients and potentially reallocate staff Identify through senior team/shift co's/Medical team/med physics and reallocate stand-alone bedside systems to most appropriate patients Escalated to Director/Gold command Business case submitted to Medical Equipment replacement board and to capital investment committee in September 2016.	Extreme	Likely	20	Replace obsolete monitoring system in its entirety including service contract - implementation plan being developed to install byJuly 17 Funding approved - Implementation plan being developed and start date to be confirmed - 30.5.17 - complete Develop specific business continuity plan - in progress to be completed as planned - complete	4	Judy Gilmore	Operational Risk

Risk ID	Specialty	CMG	Risk Description	Opened	Risk Review Date	Risk Subtype	Controls in place	Impact	Likelihood	Current Risk	Action summary	Target Risk	Risk Owner	Risk Type
3040	Cardiology	CMG 2 - Renal, Respiratory, Cardiac & Vascular (RRCV)	If there are insufficient medical trainees in Cardiology, we may experience an inbalance between service and education demands resulting in the inability to cover rota	27/06/2017	31/08/2017	Service disruption	Preventive: •Medical workforce Manager and JDA team monitor the current rotas to identify significant gaps and complete the necessary actions and planning to ensure cover or reduce the number of medical gaps •Planning of rotations during the 2017/18 with the support of Medical HR to identify gaps and complete the necessary actions to ensure cover or reduce the number of medical gaps •Efficient recruitment processes – rolling adverts •Maximising current resources to cover the gaps where possible •Effective communication with medical group and escalation procedures •Increased educational sessions in Trust Grade job plan to develop skills and career progression •Provide a more supportive network to Trust Grades within cardiology Detective: •RRCV CMG performance meetings where medical cover is discussed •Respiratory and Cardiology Board meetings with attendance from Education representatives to escalate concerns •Junior Dr and other Dr forums and 'gripe' system to identify themes of issues •LRI support •Review of different working models and RRCV investment to explore alternative options including the use of Advanced Care Practitioners (ACPs) and Physician Associate (PA) •Benchmarking from other Trusts and Organisations for different ways of working	Extreme	Likely	20	Medical Workforce Manager and JDA team to continue to monitor rotation gaps and take the necessary steps to make base wards and CDU safe ensuring escalation is completed when required - 30.12.17 Effective and timely recruitment completed with the support of the medical HR team to fill medical staffing gaps and reduce risk as much as possible - 30.12.17 Recruitment of ANP and PA posts to RRCV to support the medical gaps which are unable to be filled to improve staffing numbers on base wards and CDU - 30.8.17 Frequent scheduled meetings to ensure the monitoring of the HEE-EM action plan and reassurance of actions being completed. - 30.12.17 RRCV CMG winter and operational plans and escalation of issues to appropriate Executive Trust Board(s) - 30.12.17	9	Darren Turner	Operational Risk

Risk ID	Specialty CMG	Risk Description	Opened	Risk Review Date	Risk Subtype	Controls in place	Likelihood Impact	Current Risk	Action summary	Target Risk	Risk Owner	Risk Type
2804	CMG 3 - Emergency & Specialist Medicine (ESM)	If the ongoing pressures in medical admissions continue, then ESM CMG medicine bed base will be insufficient thus resulting in jeopardised delivery of RTT targets.	06/May/16	31/10/2017	Harm (Patient/Non-patient)	Review of capacity requirements throughout the day 4 X daily. Issues escalated at Gold command meetings and outlying plans executed as necessary taking into account impact on elective activity. Opportunities to use community capacity (beds and community services) promoted at site meetings. Daily board rounds and conference calls to confirm and challenge requirements for patients who have met criteria for discharge and where there are delays ICS/ICRS in reach in place. PCC roles fully embedded. Discharges before 11am and 1pm monitored weekly supported by review of weekly ward based metrics. Ward based discharge group working to implement new ways of delivering safe and early discharge. Explicit criteria for outlying in place supported. Review of complaints and incidents data. Safety rota developed to ensure there is an identified consultant to review outliers on non-medical wards. Access to community resources to enable patients to be discharged in a timely manner. CMG to access and act on additional corporate support to focus on discharge processes. Matron for discharge appointed to provide consistent care for patients needing to be outlied. Continue to review outlying daily at conference call and flow team dedicated matron. Ongoing implementation of Base ward discharge plans at weekly meeting.	Almost certain Major	20	Daily Red to green process in place with meetings	12	Susan Burton	Operational Risk

Risk ID	Specialty CMG	Risk Description	Opened	Risk Subtype Review Date	Controls in place	Likelihood Impact	Current Risk	Action summary	Target Risk	Risk Owner	Risk Type
2149	CMG 3 - Emergency & Specialist Medicine (ESM)	If we do not recruit and retain into the current Nursing vacancies within ESM, then patient safety and quality of care will be compromised thus resulting in potential financial penalties.	21/02/2013	31/08/2017 Harm (Patient/Non-patient)	"Staffing Escalation policy, "Staffing Bleep Holder / Matron support ,Site Manager and Duty Manager, "Incident reporting, "Complaints monitoring, " Daily Staffing Meetings, " TIA rota, "Monitor staffing levels, "Monitoring recruitment and retention, "Monitoring sickness levels, "Provision of nursing support from other base wards, "Support from the Outreach Team, "Support from Education & Development Team, "Support from Matrons and Deputy/ Head of Nursing, Moving staff between clinical areas as a means to balance risk. Agency and bank as a means to increase nursing numbers- agreed contracts to block book allowing temporary staff to get use to environment and standards within the workplace to each of the clinical areas for agency/bank staff -(green book compliance). Clinical matron/senior nurse available daily to ensure clinical risk is mitigated and managed. Bed management meeting at 8.00, 12.00 16.00 and 18.00 to review bed demands and staffing issues across the Trust. Forum agrees the strategic plan for the 24/7 with on-call director and Senior on a daily basis. Active recruitment strategies to reduce vacancies. Matron visibility on wards Monday to Friday 8 - 8pm and 8 - 4pm at weekends. Trust Safe Staffing Monitor sheet. Matron appointed for recruitment. Senior Manager walk arounds. Agreed staffing levels. Risk assessment for any new area open to plan to mitigate any risks. International recruitment & ongoing bespoke recruitment. Workforce meeting for CMG.	Major	Almost certain 20	Enhanced rate of pay now in place for 3 months period and due for ongoing regular reviews. New staff to be appointed from Philippines and India. Advanced booking of staff bank levy in place.	6	Susan Burton	Operational Risk

Risk ID	Specialty / CMG	Risk Description	Opened	Risk Review Date	Risk Subtype	Controls in place	Likelihood / Impact	Current Risk	Action summary	Target Risk	Risk Owner	Risk Type
2763	Critical Care / CMG 4 - Intensive Care, Theatres, Anaesthesia, Pain Management & Sleep (ITAPS)	Risk of patient deterioration due to the cancellation of elective surgery as a result of lack of ICU capacity at LRI	22/01/2016	31/08/2017	Harm (Patient/Non-patient)	Identify patients ready for discharge from ICU in previous 24 hours Highlight potential cancellations to consultant on call Electronic bed booking system to identify potential issues with electives Highlight to General Managers potential cancellations Regular discussions cross-site with Consultants to balance the elective lists. Moving staff from between sites to maximise ITU capacity on all. Reviewing booking into ICU daily and for the week ahead to identify any risks or special requirements. Monitoring of cancellation rates on a monthly/ weekly basis including cancer cases. Identification of discharges for next day the night before to allow ring-fencing of beds on wards where possible.	Likely / Extreme	20	Risk paper discussed the key elements of opening Annex at LRI for a trial and was rejected by ITAPS Anaesthetics leads due to increased risk to UHL. SD development to support ITU1 Registrar rota and further recruitment to ITU2 rota with a view to support annex capacity. Four of the 7 required for SD rota have been offered however two at risk due to more attractive relocation packages at other Trust - recruitment to middle grade rota is the focus in order to open Annex safely - review 30/5/17 1. Recruitment still ongoing - middle grade rota remains with gaps. Recruitment plan in place & interview schedules June & July. Revised review date to reflect interveiw outcomes of 30/08/17 2. 6 additional ITU beds at LRI to be flexibly opened as staffing and demand indicate but requires Trust Board sign off. review 30/08/17. 3. PACU staff to support 6 bed HÅkanson but to review as per above. 30/08/17 3. Focus of additional ITU bed expansion has been reviewed and currently organisation has asked that we review potential to support additional HDU step down level 1 capacity to support surgical flow from ITU. Currently supporting ward 22 LRI with HCA and Band 5 and we are looking to transfer a Band 7 ITU Nurse for 6 months to set up the 4 beds and support staff training and development. Updated 28/06/17 Increase additional capacity (6 beds at LRI). Not agreed by board.	10	Chris Allsager	Operational Risk

Risk ID	Specialty CMG	Risk Description	Opened	Risk Review Date	Risk Subtype	Controls in place	Likelihood Impact	Current Risk	Action summary	Target Risk	Risk Owner	Risk Type
2990	CMG 5 - Musculoskeletal & Specialist Surgery (MSK & SS)	There is a risk of delayed outpatient corrospondance to referer/patient following clinic attendance.	02/Mar/17	31/07/2017	Harm (Patient/Non-patient)	Admin Team have 3 hours a day minimum protected typing time. Bank staff and overtime provided by team weekly Dictate IT - commenced on 20.02.17 plan is for all letters generated from 20.02.17 to be outsourced while admin team catch up with backlog approx. recovery will take 6 weeks to clear back log. After backlog clear percentage of typing will remain outsourced to ensure backlog is not created again.	Almost certain Major	20	Overtime and Bank staff to assist typing letter backlog ongoing - 31.07.17 Admin team to type 8,000 letter backlog until clear - approx. 6 weeks to deliver - 31.07.17	3	Clare Rose	Operational Risk
2191	Ophthalmology CMG 5 - Musculoskeletal & Specialist Surgery (MSK & SS)	Lack of capacity within the ophthalmology service is causing delays that could result in serious patient harm.	12/Jun/13	30/06/2017	Harm (Patient/Non-patient)	Outpatient efficiency work ongoing. Further education and information to admin team regarding booking outpatient booking process No further overbooking of clinics all patients to be added to the outpatient waiting listened reviwed weekly by the GM and HOOP. Full recovery plan for improvements to Ophthalmology service are in place . EED Breaches monitored daily via text.	Almost certain Major	20	Post Code Analysis for LTFU adn RTT Incompletes for transfer to Alliance - 30/06/17	8	Clare Rose	Operational Risk

Risk ID	Specialty CMG	Risk Description	Opened	Risk Review Date	Risk Subtype	Controls in place	Likelihood Impact	Current Risk	Action summary	Target Risk	Risk Owner	Risk Type
2867	Pathology - Cellular Pathology CMG 6 - Clinical Support & Imaging (CSI)	If the Mortuary flooring is not repaired, then we will continue to breach Department of Health Building note 20 and the HSAC (Health Services Advisory Committee) advice by exposing staff to harm.	16/06/2016	15/07/2017	Harm (Patient/Non-patient)	"Staff aware of potential hazards, shared at huddles. "The Post-mortem room floor has the larger cracks, areas of lifting and contamination is clearly marked as a high risk area, Mortuary staff are trained in the prevention and control of infection and supervisor visitors within that area. Cracks in the PM room are predominantly above former gullies on the periphery of the room and around drainage areas which have benching preventing access by hoists and foot fall of individuals, thus preventing slips, trips and falls. Those entering the post-mortem room where the greatest risk of infection occurs, wear full PPE and are supervised / trained in the control of biological and chemical hazards. MR has sought advice on temporary solutions from Dave Finch, Facilities LRI and he has confirmed there are no suitable short to medium term solutions. Update Nov 2016: Plans of Mortuary interior arranged by Facilities with options for flooring.	Almost certain Major	20	Review contingency plan for service whilst work is performed; Completion of replacement(temporary) floor 15/09/2017. Risk 2867 reviewed by C.Whiteley 14.06.2017:Scope of the project has been revised due to lack of capital funds this year : - This August a temporary floor will be laid. This will not need deep excavation so should not have any detrimental effect on the existing stands but it will address the IPC risk associated with the cracks in the floor (Closure of action: funding options;business case). 2 of the stands will be removed and the space made ready for a single bariatric stand which will be installed as soon as possible, design and manufacture is in progress. Next summer this temporary floor will be replaced with deep excavation, levelling etc and replacement of the 5 existing PM stands.HTA have been consulted and have approved this plan. (Note:Current action timeline for replacement floor will refer to temporary floor).	3	Anne Freestone	Operational Risk

Risk ID	Specialty CMG	Risk Description	Opened	Risk Review Date	Risk Subtype	Controls in place	Impact	Likelihood	Current Risk	Action summary	Target Risk	Risk Owner	Risk Type
2940	Paediatrics CMG 7 - Women's and Children's (W&C)	Risk that paed cardiac surgery will cease to be commissioned in Leicester with consequences for intensive care & other services	30/09/2016	26/07/2017	Financial loss (Annual)	Weekly staff communications briefings. Regular staff 'open' meetings to provide opportunity for concerns to be raised. Dedicated EMCHC project manager recruited. Dedicated project campaign resourced. Data manager employed to monitor EMCHC KPIs and performance. Legal advice instructed (Sharing the same legal team with Brompton Hospital). Opening additional ward capacity to meet the commissioning cardiac standards. UHL performance recognised by the Care Quality Commission who, in their initial feedback letter following their inspection in June 2016, reported: "We noted the excellent clinical outcomes for children following cardiac surgery at Glenfield Hospital. EMCHC website developed High priority activity strategy to meet the standard of 375 cases per year Trust Board led challenge to reject the NHSE decision by way of a signed letter by the CEO (05/07/16). NHS England visit to Leicester QC to brief the legal options to the TB in Oct 2016 Expansion of Ward 30 to open an extra 7 beds Liaising with East Midlands MP's	Extreme	Likely	20	Full and robust response from UHL Trust to consultation questions - to be approved through Trust Governance process from May onwards , with final approval at Trust Board on 2nd June due 10/07/2017 Support for Locum surgical consultant to submit and meet GMC specialist registration due 31/12/2017 Ensure project to relocate EMCHC to Children's Hospital stays within capital budget allocation due 30/04/2019	8	Nicola Savage	Operational Risk

Risk ID	CMG	Specialty	Risk Description	Opened	Review Date	Risk Subtype	Controls in place	Impact	Likelihood	Current Risk	Action summary	Target Risk	Risk Owner	Risk Type
2403	Corporate Nursing	Infection prevention	There is a risk changes in the organisational structure will adversely affect water management arrangements in UHL	19/08/2014	30/Sep/17	Harm (Patient/Non-patient)	Instruction re: the flushing of infrequently used outlets is incorporated into the Mandatory Infection Prevention training package for all clinical staff. Infection Prevention inbox receives all positive water microbiological test results and an IPN daily reviews this inbox and informs affected areas. This is to communicate/enable affected wards/depts to ensure Interserve is taking necessary corrective actions. Flushing of infrequently used outlets is part of the Interserve contract with UHL and this should be immediately reviewed to ensure this is being delivered by Interserve All Heads of Nursing have been advised through the Nursing Executive Team and via the widely communicated National Trust Development Action Plan (following their IP inspection visit in Dec 2013) that they must ensure that their wards and depts are keeping records of all flushing undertaken and this must be widely communicated Monitoring of flushing records has been incorporated into the CMG Infection Prevention Toolkit (reviewed monthly) and the Ward Review Tool (reviewed quarterly). Senior Infection Prevention Nurse working with Facilities.	Major	Almost certain	20	To review and agree Water Safety Plan-Revised Water Management Policy and Water Safety Plan approved by the Trust Infection Prevention Committee. Implementation programme to be confirmed by Facilities colleagues - 30/09/17 It is anticipated that the further mitigation (implementation of a plan) will enable the risk to be reduced by the end of Q1 2017/18 - Liz Collins. Recrutiment to the infection prevention nursing post - 30 Sept 17	4	Elizabeth Collins	Operational Risk

Risk ID	Specialty	Risk Description	Risk Opened	Risk Review Date	Risk Subtype	Controls in place	Likelihood Impact	Current Risk	Action summary	Target Risk	Risk Owner	Risk Type
2404	Infection prevention Corporate Nursing	There is a risk that inadequate management of Vascular Access Devices could result in increased morbidity and mortality	19/08/2014	30/Sep/17	Harm (Patient/Non-patient)	UHL Policies are in place to minimise the risk to patients that staff are required to adhere too. A revised data report is being produced for the January 2017 Trust Infection Prevention Assurance Committee that will provide greater transparency with regard to audit results and allow Clinical Management Group boards and Senior staff the insight into areas that require actions to address poor performance	Almost certain Major	20	Targeted surveillance in areas where low compliance identified via trust CVC audit - Yet to be established due to lack of staff required. For further review by the Vascular Access Committee - 30 Sept 17. Develop the recommendations of the Vascular Access Committee action plans to increase the Vascular Access Team within the Trust in line with other organisations. Business Case to be submitted within the organisation by the CSI CMG with support from the Assistant Medical Director appointed by the Medical Director to oversee this objective - 30 Sept 17. Support the recommendations of the Vascular Access Group action plans to reduce the risk of harm to patients and improve compliance with legislation and UHL policies - 30 Sept 17.	16	Elizabeth Collins	Operational Risk
2820	Clinical Decisions Unit CMG 2 - Renal, Respiratory, Cardiac & Vascular (RRCV)	If a timely VTE risk assessments is not undertaken on admission to CDU, then we will be breach of NICE CCG92 guidelines resulting patients being placed at risk of harm.	01/Jun/16	31/08/2017	Harm (Patient/Non-patient)	Interim solution to highlight the VTE risk assessment form on the CDU Medical Clerking proforma with a bold red/white sticker. Raise awareness at Junior Doctor Local Induction training. Close monitoring of the monthly VTE target with support from VTE nurse specialist. Complete 'spot check' audit at least once a month - complete	Likely Major	16	Review current CDU Medical Clerking proforma and agree changes through correct Trust procedures to ensure the VTE risk assessment form is prominent (12 months of old stock) - 1.10.16. - emailed Caroline Baxter for a response - 18.11.16 - An SpR has been identified to review the CDU medical clerking proforma - alternative solution identified and VTE assessments to be potentially recorded on NERVE centre - 31.8.17	3	Karen Jones	Operational Risk

Risk ID	Specialty	CMG	Risk Description	Opened	Review Date	Risk Subtype	Controls in place	Likelihood	Impact	Current Risk	Action summary	Target Risk	Risk Owner	Risk Type
3031	Vascular Services	CMG 2 - Renal, Respiratory, Cardiac & Vascular (RRCV)	If the MDT activities for vasc surg are not resolved there is a risk of signif loss of income & activity from referring centres	16/06/2017	31/08/2017	Service disruption	Controls: (List current controls in place under each of the relevant sub headings) General Manager actively trying to facilitate appropriate MDT space in existing facilities on Glenfield site Team travelling to LRI on Friday to use facilities	Likely	Major	16	A case to fund installing new MDT facilities for vascular surgery - 8.8.17 Identify funding sources and execute - 8.8.17	1	Martin Watts	Operational Risk
3044	Infectious Diseases	CMG 3 - Emergency & Specialist Medicine	Hep C CQUIN - potential loss of income	28/06/2017	30/09/2017	Financial loss (Annual)	Monthly business meetings to monitor progress. Monitoring run rate on a monthly basis. Regular updates with Northampton and Kettering around low cost acquisition drugs. ODN meeting to take place in June 21st at Northampton.	Likely	Major	16	Letter to ODN network leads from UHL senior finance manager Jon Currington, Secure honorary contract for Prof Wiselka to work at Northampton, Set up formal ODN network business meetings, Set up monthly clinics in Northampton Elaine Graves and Monthly updates to ESM Board by Richard Philips. 30 September 2017	1	Elaine Graves	Operational Risk

Risk ID	Specialty	CMG	Risk Description	Opened	Risk Review Date	Risk Subtype	Controls in place	Impact	Likelihood	Current Risk	Action summary	Target Risk	Risk Owner	Risk Type
2333	Anaesthesia	CMG 4 - Intensive Care, Theatres, Anaesthesia, Pain Management & Sleep	If we do not recruit into the Paediatric Cardiac Anaesthetic vacancies, then we will not be able to maintain a WTD compliant rota resulting in service disruption.	17/04/2014	30/Sep/17	Service disruption	1:4 rota covered by 3 colleagues Fellow appointed in July 2016 who has now undergone appointments process and started as consultant on 1st of May 2017.	Major	Likely	16	**Although all actions are completed ITAPS wish this risk to remain open. One consultant has joined the new Vascular anaesthetic group having requested to leave service over a year ago. The new appointment has replaced him. The service still has a consultant vacancy which is proving difficult to recruit to due to the uncertainty of future commissioning/?serviceclosure	8	Chris Allsager	Operational Risk

Risk ID	Specialty	CMG	Risk Description	Opened	Risk Subtype	Review Date	Controls in place	Impact	Likelihood	Current Risk	Action summary	Target Risk	Risk Owner	Risk Type
2193	Theatres	CMG 4 - Intensive Care, Theatres, Anaesthesia, Pain Management & Sleep (ITAPS)	If an effective maintenance schedule for Theatres and Recovery plants is not put in place, then we are prone to unplanned loss of capacity at the LRI.	28/06/2013	Service disruption	30/Aug/17	Regular contact with plant manufacturers to ensure any possible maintenance is carried out. Use of limited charitable funds available to purchase improvements such as new staff room chairs and anaesthetic stools - improve staff morale. TAA building work completed. Recovery area rebuild completed. Compliance with all IP&C recommendations where estate allows. Purchase of new disposable curtains for recovery area, reducing infection risk and improving look of environment. A minor refurbishment programme has taken place which included replacement of doors and seals and repair or replacement of balancing flaps - this has had a minor beneficial effect on the performance of the systems. Low air change rates in some Theatres and Anaesthetic rooms - assurance to address safety concerns to patients and staff from issues such as potential dangerous anaesthetic gases, an independent survey was conducted on a worst case basis (Theatre 16) during 2016. The report stated the following: The exposures measured in this study are not so high as to cause significant concern in relation to the Workplace Exposure Limit for nitrous oxide. On the basis of these results, it is reasonable to assert that staff exposure to nitrous oxide and the anaesthetic agents in the areas in which monitoring took place was compliant with the COSHH Regulations 2002.	Major	Likely	16	Ventilation audit actions to be undertaken as per Trust wide working party - Staged approach - short, medium and long term actions to be monitored monthly. Some remedial works completed in LRI Theatres and some floors and doors repaired and replaced. Higher risk areas have had remedial actions to improve ventilation flow and await results. Higher risk anaesthetic room (TH 16) has been tested for nitrous oxide and volatile gases and results demonstrated no risk to patients or staff. On going works and funding to be finalised. Review progress of refurbishment of LRI theatres - 31/03/17 Further update 08/02/17 - Provisional plan once capital agreed to use Theatre 7 and place back into service Theatre 18 to enable rolling programme of maintenance for theatre ventilation works and required upgrades.	4	Gaby Harris	Operational Risk

Risk ID	CMG	Specialty	Risk Description	Opened	Review Date	Risk Subtype	Controls in place	Impact	Likelihood	Current Risk	Action summary	Target Risk	Risk Owner	Risk Type
2955	CMG 6 - Clinical Support & Imaging (CSI)		If system faults attributed to EMRAD are not expediently resolved, Then we will continue to expose patient to the risk of harm	17/01/2017	31/Jul/17	Harm (Patient/Non-patient)	Use of out sourcing in order to make up for reduced service efficiency Conference calls with GE to ensure system faults are expediently brought to their attention for a swift resolution in order to minimise service impact. Continued meetings with GE and IMT to obtain solutions and deadline dates to restore service efficiency. Log of system faults recorded and monitored to ensure developers are finding resolutions in a timely manner.	Major	Likely	16	2. GE to provide breakdown of reported issues with the EMRAD system and feedback on their resolution (with timescales - although GE have stated some items they will not be able to provide timescale) - 31 Jul 17. 3. GE to upgrade eRC to version 6.05 to rectify performance issues and crashes (to resolve issues with reporting examinations) - Currently due March (GE currently updating timescales as this was originally scheduled for December) - 31 Jul 17 4. GE to resolve pulling of prior images and integration of IDI with UVWEB for loading mammography images - Ongoing and GE have not provided resolution timeframe. - Awaiting confirmation of dates 5. Review and resolution of system reference data processes and management of central reference data that impacts on patient care - Due to discuss with IT 18th Mar 17, no resolution date agreed. - 31 Jul 17	4	Cathy Lea	Operational Risk

Risk ID	Specialty	CMG	Risk Description	Opened	Review Date	Risk Subtype	Controls in place	Impact	Likelihood	Current Risk	Action summary	Target Risk	Risk Owner	Risk Type
2378	Pharmacy	CMG 6 - Clinical Support & Imaging (CSI)	If we do not recruit, up skill and retain staff into the Pharmacy workforce, then the service will not meet increasing demands resulting in reduced staff presence on wards or clinics.	19/06/2014	31/07/2017	Service disruption	extra hours being worked by part time staff, payment for weekend commitment / toil and reduction in extra commitments where possible team leaders involved in increased 'hands' on delivery staff time focused on patient care delivery (project time, meeting attendance reduced) Prioritisation of specific delivery issues e.g. high risk areas and discharge prescriptions, chemo suite . Reduced presence at non direct patient focused activities e.g. CMG board/ Q&S and delay projects / training where possible. Revised rotas in place to provide staff/ service based on risk Recruit 8A pharmacists to replace those promoted to 8B Release band 3 staff to support onc/haem satellite	Major	Likely	16	Review methotrexate from LRI and move onto chemocare - 31/07/2017 Recruitment of band 5 and band 7 to vacancies - 31/07/2017	8	Claire Ellwood	Operational Risk
2916	Phlebotomy	CMG 6 - Clinical Support & Imaging (CSI)	There is a risk that patient blood samples can be mislabelled impacting on patient safety	11/Aug/16	31/08/2017	Harm (Patient/Non-patient)	1 - Training guide in place - Staff must check the label before putting it on sample bottle and make sure the correct information is put on, if any problems with the ICE printer they must Log it X8000 and report it to Management . 2 - Daily audit by each member of staff for each ward on all 3 sites listing numbers of issues with reprinting and printing of incorrect patient details. 3 - Reported to IM&T daily and CSI management as an additional monitoring process 4 - Policy reviewed and all phlebotomy staff have received refresher training and advice on monitoring and reporting 5 - Weekly spot check audits by Phlebotomy management to ensure staff are following processes	Major	Likely	16	IT working on locating the issue and providing a solution - 31/8/16, no update from IT chased again 14-9-16, numerous chases during November and December, now escalating via senior CSi exec team - 31/12/16 Paper to be prepared for the Exec Quality Board EQB to highlight the issues as being Trust wide and not just local to central phlebotomy - 31/8/16 completed IT now updating weekly however still no resolution to the issue - DW to chase every week - ongoing chasing and feedback received but no resolution to the issue as yet - DW to continue escalating and chasing IM&T IM&T confirmed that they now have this risk on their risk register as well	6	Debbie Waters	Operational Risk

Risk ID	CMG	Specialty	Risk Description	Opened	Review Date	Risk Subtype	Controls in place	Impact	Likelihood	Current Risk	Action summary	Target Risk	Risk Owner	Risk Type
2391	CMG 7 - Women's and Children's (W&C)		Inadequate numbers of Junior Doctors to support the clinical services within Gynaecology & Obstetrics	24/06/2014	03/Aug/17	Harm (Patient/Non-patient)	Locums used where available. Specialist Nurses being used to cover the services where possible and appropriate. Update 17/2/16 All antenatal clinics have a Consultant Lead present Rota accomodated to address specific training needs of juniors Rota reviewed and monitored on a daily basis by Dr representative Consultants act down if required X2 wte MTI to be recruited from overseas via RCOG	Major	Likely	16	Appoint to Senior Reg post Due 03/08/2017	8	Ms Cornelia Wiesender	Operational Risk
2153	CMG 7 - Women's and Children's (W&C)	Paediatrics	Shortfall in the number of all qualified nurses working in the Children's Hospital.	05/Mar/13	31/08/2017	Harm (Patient/Non-patient)	Where possible the bed base is flexed on a daily bases to ensure we are maintaining our nurse to bed ratios There is an active campaign to recruit nurses locally, national and internationally Additional health care assistance have been employed to support the shortfall of qualified nurses. Specialise Nurses are helping to cover ward clinical shifts. Cardiac Liaison Team cover Outpatient clinics Overtime, bank & agency staff requested Head of Nursing, Lead Nurse, Matron and ECMO Co-ordinator cover clinical shifts Adult ICU staff cover shifts where possible Recruitment and retention premium in place to reduce turn-off of staff Part time staff being paid overtime Program in place for international nurses in the HDU and Intensive Care Environment Second Registration for Adult nurses in place	Major	Likely	16	Continue to recruit to remaining vacancies - due 31/08/17 Second Registration cohort to complete course - due Sep 2017	8	Ms Hilliary Killer	Operational Risk

Risk ID	Specialty CMG	Risk Description	Opened	Risk Review Date	Risk Subtype	Controls in place	Likelihood Impact	Current Risk	Action summary	Target Risk	Risk Owner	Risk Type
3008	Paediatrics East Midlands Transport Team CMG 7 - Women's and Children's (W&C)	If the paediatric retrieval and repatriation teams are delayed mobilising to critically ill children due to inadequately commissioned & funded provision of a dedicated ambulance service, then this will result in failure to meet NHS England standards, delayed care, potential harm and inability to free-up PICU capacity.	18/05/2017	30/09/2017	Harm (Patient/Non-patient)	From March 2017 the transport team will continue to dial for an ambulance when required. An escalation procedure through Trust & EMAS management has been developed for when vehicles are not available as needed. Datix forms will be submitted for delayed response. The EMPTS core team will continue to discuss with EMAS and NHSE to develop a solution. Enquiries will be made to other ambulance providers, regarding specification of vehicles, accessibility and cost. All material will be shared with the Trusts' Implementation group who meet on a monthly basis to update and discuss.	Likely Major	16	EMPTS working with EMAS and NHSE to develop a solution due 30/09/2017	5	Andrew Leslie	Operational Risk
2237	Corporate Medical	If a standardised process for requesting and reporting inpatient and outpatient diagnostic tests is not implemented, then the timely review of diagnostic tests will not occur.	07/Oct/13	30/09/2017	Harm (Patient/Non-patient)	Abnormal pathology results escalation process Suspicious imaging findings escalated to MDTs Trust plan to replace iCM (to include mandatory fields requiring clinicians to acknowledge results). Diagnostic testing policy approved.	Likely Major	16	Awaiting ICE upgrade and implementation in outpatients - Update, Delivery date for ICE pilot roll out in TBC in near future Dr Steve Jackson and Ann Hall Project Manager will keep corporate risk management team aware - 30/04/17 -Update: 16th June 2017 Standardised requesting electronically using ICE will be rolled out in outpatient settings by October 2017 - this project is underway. The 2017 Quality Commitment contains a work-stream which addresses Acting on Results. The majority of risk in this area is related to imaging reports in the Clinical Decisions Unit area. This risk will be mitigated by piloting of "Conserus" at the end of June 2017 - this software allows radiologists to directly inform the requesting clinician via e-mail about unexpected findings. Mobile ICE software is also available for piloting in this area with this occurring from July onwards - this will provide a better software package for clinicians to acknowledge their results. Full trust roll out will follow if the pilot is successful but will require business case approval. 30 Sep 17	8	Colette Marshall	Operational Risk

Risk ID	CMG	Specialty	Risk Description	Opened	Review Date	Risk Subtype	Controls in place	Impact	Likelihood	Current Risk	Action summary	Target Risk	Risk Owner	Risk Type
2247	Corporate Nursing	Corporate Nursing	If we do not recruit and retain Registered Nurses, then we may not be able to deliver safe, high quality, patient centred and effective care.	30/10/2013	05/Aug/17	Harm (Patient/Non-patient)	HRSS structure review. A temporary Band 5 HRSS Team Leader appointed. A Nursing lead identified. Recruitment plan developed with fortnightly meetings to review progress. Vacancy monitoring. Bank/agency utilisation. Shift moves of staff. Ward Manager/Matron return to wards full time.	Major	Likely	16	International recruitment continues, although the arrival of the nurses is taking longer than originally predicted, due to achievement of IELTS. We do however have a small number of nurses in the Trust, (10) undergoing intense training. Review Sept 2017 Over recruitment of HCA s has been very successful, and vacancies for HCAs across the Trust is currently less than 60wte. The bulk recruitment programme will continue to support over recruitment into these roles. Review Sept 2017 Good progress continues to be to be made with LLR trainee Nursing Associates and the trainees Nursing Associate programme across key clinical areas. There is a new process in place for bulk housekeeper recruitment to support ward teams Review October 2017	12	Maria McAuley	Operational Risk

Risk ID	CMG	Specialty	Risk Description	Opened	Review Date	Risk Subtype	Controls in place	Impact	Likelihood	Current Risk	Action summary	Target Risk	Risk Owner	Risk Type
1693	Operations		If clinical coding is not accurate then income will be affected.	02/Aug/11	30/07/2017	Financial loss (Annual)	As at June 2017 - 5 Trainee Coders who commenced in Jun16 have completed their 21 Day Standards course. There work is being reviewed to establish whether they can be formally assessed to move into Trained Coder roles. We have an Apprentice Coding Trainer and a Qualified Coding Trainer in post. These posts are responsible for increasing clinical engagement with Coding as well as dedicated support to the new Trainees. Additional accommodation at LGH has been found and refurbished for use as a Trainig Room ready for the next 4 trainees who will start in Jun/Jul 2017. Additional accommodation at GH is urgently needed. 2 new Coders will commence in July and we will cease use of agency staff. An audit cycle is established. Coding backlog is being currently at approximately <7 days (7000 cases uncoded). Reduced backlog minimises inefficiencies of multiple casenote transfers. Medicode (the Encoder interfaced to PAS) has been upgraded to the current version. An apprentice Coding runner has been employed to help with transfer of casenotes to the Coders for specific wards. An enhanced sessional weekend rate for our own trained Coders encourages additional weekend working. 3 year refresher training for all Coders is in place and funded recurrently Coding manager/trainers present overview for Junior doctor induction. Consultants have also been involved in useful specialty /procedure presentations to the Coders. A funded Coding Strategy has been developed for the next 4 years. From April 2017 coded activity is available on request to all consultants to validate their own activity.	Major	Likely	16	Work with CMGs / ward clerks to maximise transfer of casenotes to Clinical Coding - 30/06/17 Additional accommodation required at GH site - 31/03/18 Discontinue use of Agency Coders - 31/07/17	8	Shirley Priestnall	Operational Risk

Risk ID	Specialty CMG	Risk Description	Opened	Risk Review Date	Risk Subtype	Controls in place	Impact	Likelihood	Current Risk	Action summary	Target Risk	Risk Owner	Risk Type
3041	Cardiology CMG 2 - Renal, Respiratory, Cardiac & Vascular (RRCV)	If there are insufficient cardiac physiologists then it could result in increased waiting times for electrophysiology procedures and elective cardiology procedures	27/06/2017	31/08/2017	Harm (Patient/Non-patient)	Preventive: Additional sessions being undertaken by UHL staff Patients referred back to GP for Non Attendance. Communication to referrers to ensure all referrals are essential/appropriate to manage demand WLI initiative for Saturday EP procedures Overtime offered to current band 7 to complete EP training on Saturdays/Days off Detective: On-going to source locum support On-going to actively advertise Corrective: On going recruitment of staff into vacant posts	Extreme	Possible	15	Recruit 3.0 WTE staff - 1.9.17 Explore market for locum staff - 31.7.17 Explore Support from equipment manufacturers- 31.7.17 Explore outsourcing of EP activity - 31.7.17 Demand management - 31.7.17	8	Darren Turner	Operational Risk

Risk ID	Specialty CMG	Risk Description	Opened	Risk Review Date	Risk Subtype	Controls in place	Likelihood Impact	Current Risk	Action summary	Target Risk	Risk Owner	Risk Type
3043	Cardiology CMG 2 - Renal, Respiratory, Cardiac & Vascular (RRCV)	If there is insufficient cardiac physiologists then it could result in reduced echo capacity resulting in diagnostics not being performed in a timely manner	27/06/2017	31/08/2017	Harm (Patient/Non-patient)	Controls: List what is currently in place and having a positive effect to control the risk Preventive: •Additional sessions being undertaken by UHL staff •Communication to referrers to ensure all referrals are essential/appropriate to manage demand •Strict adherence to auditing of referrals with clinical input/support when required Detective: •Continue to source locum support •Establish if external providers are able to provide support/capacity Corrective: •Recruitment of staff into vacant posts	Moderate	Almost certain 15	Recruit 2.0 WTE staff - 1.9.17 Complete Datix - complete Explore potential recruit locum staff - 31.7.17 Explore if any non-Echo team staff can support - 31.7.17 Explore outsourcing of echo activity - 31.7.17 Demand management - 31.7.17	6	Darren Turner	Operational Risk

Risk ID	Specialty CMG	Risk Description	Opened	Risk Subtype Review Date	Controls in place	Impact Likelihood	Current Risk	Action summary	Target Risk	Risk Owner	Risk Type
2872	Respiratory Medicine CMG 2 - Renal, Respiratory, Cardiac & Vascular (RRCV)	If a suitable fire evacuation route for bariatric patients on Ward 15 at GGH is not found, then we will be in breach of Section 14.2b of The Regulatory Reform (Fire Order) 2005.	27/06/2016	31/07/2017 Harm (Patient/Non-patient)	Early warning fire detection system fitted (L1). The Ward is designed as a one hour fire compartment divided into four 30 minute sub-compartments; allowing a progressive horizontal phase evacuation within the Ward area. Staff awareness of the risk and staff attend annual fire safety training Fire evacuation plans in place for the Ward to include transfer of bedded bariatric patients to chairs where possible. Personal Emergency Evacuation Plans for patients considered to be at risk (in conjunction with the UHL Fire safety officer). LFRS Western Fire Brigade aware and have this included in their action cards when attending Glenfield site.	Extreme Possible	15	Estates to provide quote to upgrade lift to a suitable dedicated evacuation lift to move bedded bariatric patients from the area - report initially needs to be discussed with the Fire Safety meeting scheduled for 31.7.17 Estates to provide quote to install a new fire escape in bay 2 - 31.12.16 - Update 18 Jan 2017 - Risk Owner has sent an email to estates and facilities requesting a progress update on the two remaining actions. Update 13.2.17. - We have received the Compliance Analyses Report from our consultants and there many areas highlighted that indicate unsuitability for hosting Bariatric Patients on this ward. The report highlights not just fire risk/evacuation concerns but also health and safety issues for staff/patients and patients. There also clinical operational issues that indicate the area unsuitable for these patients at this time according to the relevant compliance documentation. Taking guidance from this report, to bring the Ward into a condition fit for this category of patient will require a considerable capital outlay and an exdended period of works both in and around the ward area.	6	Vicky Osborne	Operational Risk

Risk ID	Specialty	Risk Description	Opened	Risk Review Date	Risk Subtype	Controls in place	Impact	Likelihood	Current Risk	Action summary	Target Risk	Risk Owner	Risk Type
3005	Thoracic Surgery CMG 2 - Renal, Respiratory, Cardiac & Vascular (RRCV)	If recruitment and retention to the current Thoracic Surgery Ward RN vacancies does not occur, then Ward functionality will be compromise, resulting in an increased likelihood of incidences leading to patient harm.	27/03/2017	30/Sep/17	Harm (Patient/Non-patient)	Controls in place: List what processes are already in place to control the risk (Copy & paste to add rows where necessary) On-going external advertising and recruitment for band 5 vacancies, including clearing house, international recruitment and job swap. Internal rostering of existing staff to do additional hours/overtime All unfilled shifts are routinely sent to staff bank office when health roster is approved Experienced bank staff encouraged to book shifts on ward Matron undertaking skill mix revisions ie converting RN to HCA bank requests All non-essential study leave cancelled Matrons all aware of vacancy level and taking appropriate action in daily staff management Matron/Ward Sister/Nurse in charge to review off duty daily Continue to up skill current staff who have 6 months experience on the ward Consultant surgeons to pre-book an ITU bed daily in order to operate on 3 level 2 cases per list	Moderate	Almost certain	15	IInterview date/appt - 30.9.17 Matron working -30.9.17 DHON working clinically to support ward team - 1.8.17 Robust control and management of sickness absence and authorisation of annual leave - 1.12.17	6	Sue Mason	Operational Risk
2837	Neurology CMG 3 - Emergency & Specialist Medicine	If the migration to a automated results monitoring system does not take place, Then follow-up actions for patients with multiple sclerosis maybe delayed.	09/May/16	30/Jun/17	Harm (Patient/Non-patient)	"Paper results for blood, urine tests and MRI scans are sent to consultant. "Face-to-face outpatient clinic reviews by doctors or MS nurses.	Extreme	Possible	15	Dawn on hold until additional; MSSN Business Case has been approved by RIC. Plan to review DAWN progress due 30/06/2017. Business Case in development to review 31 Aug 2017	2	Dr Ian Lawrence	Operational Risk

Risk ID	CMG	Specialty	Risk Description	Opened	Review Date	Risk Subtype	Controls in place	Likelihood	Impact	Current Risk	Action summary	Target Risk	Risk Owner	Risk Type
2989	CMG 5 - Musculoskeletal & Specialist Surgery (MSK & SS)		If we do not recruit into the Trauma Wards nursing vacancies, then patient safety and quality of care will be placed at risk	02/Mar/17	30/06/2017	Harm (Patient/Non-patient)	The wards are on electronic staff rostering and off duties is produced 6 weeks in advance; requests for temporary staffing are made 4 weeks in advance when possible. All shifts required are escalated to bank and agency and over time is offered to all staff in advance. We have put out agency long line requests. Staffing levels are checked on a daily basis by the bed co-ordinator and matron. staff are moved between the areas to try & maintainsafety & service. Staff are moved from other areas if / when possible when escalated to Matron / head (or assistant head) of nursing / duty manager. New staff to the area attend the relevant study days in order to gain the relevant skills to look after the patients. Matron spends time on wards & with the acting band 7 & 6 to develop their skills and knowledge. Exploring the possibility of staff moving from other areas within the CMG (on a daily basis) where possible & potentially needing to close more beds.	Possible	Extreme	15	All band 5 and Band 2 vacancies to be placed on job swap monthly - 30.06.17 Band 5 and Band 2 vacancies to be declared for the monthly Trust recruitment (international/ national / clearing house) - 30.06.17 Further Trauma bespoke rolling advert - 30.06.17 Matron / senior nurse on site to review staffing and beds on a daily basis, if unable to achieve minimum staffing levels to escalation to head of nursing for consideration of further bed closures to reflect the staffing available - 30.06.17 Review Ward 18's decrease in bed base to 24 beds if unable to safely staff. - 30.06.17	4	Nicola Grant	Operational Risk
1196	CMG 6 - Clinical Support & Imaging		If we do not increase the number of Consultant Radiologists, then we will not be able provide a comprehensive out of hours on call rota and PM cover for consultant Paediatric radiologists resulting in delays for patients requiring paediatric radiology investigations and suboptimal treatment pathway.	29/06/2009	30/Sep/17	Harm (Patient/Non-patient)	To provide as much cover as possible within the working time directive. Registrars cover within the capability of their training period. Other Radiologists assist where practical however have limited experience and are unable to give interventional support. Locums are used when available.	Almost certain	Moderate	15	Issues around Locum Payments 30/Sep/2017	2	Miss Rona Gidlow	Operational Risk

Risk ID	CMG	Specialty	Risk Description	Opened	Review Date	Risk Subtype	Controls in place	Impact	Likelihood	Current Risk	Action summary	Target Risk	Risk Owner	Risk Type
2946	CMG 6 - Clinical Support & Imaging	Dietetics	If the service delivery model for Head and Neck Cancer patients is not appropriately resourced, then the Trust will be non-compliant with Cancer peer review standards resulting in poor pre and post-surgery malnutrition.	31/10/2016	30/Sep/17	Harm (Patient/Non-patient)	Currently overbooking pre-assessment clinics and follow up clinics Relying on CNS colleagues to cover all dietetic aspects when dietitians absent Defined job plans for the 2 sessional dietetic post holders in place	Moderate	Almost certain	15	Uplift dietetic resource to head and neck cancer patients (discuss resourcing with MSS CMG senior team) - 30 Sep 17 Discuss resourcing with MSS CMG Exec team - 30 Sep 17	2	Cathy Steele	Operational Risk
2973	CMG 6 - Clinical Support & Imaging (CSI)	Dietetics	If the service delivery model for Adult Gastroenterology Medicine patients is not appropriately resourced, then the quality of care provided by nutrition and dietetic service will be suboptimal resulting in potential harm to patients.	20/01/2017	30/Sep/17	Harm (Patient/Non-patient)	There is an Enteral Feeding Guideline in place which means that any patient on enteral feeding can start on a protocol, with risk of refeeding identified. This then has a 3 day build up, after which a Dietitian will need to give a full assessment. Agreement from the Divisional Head of Nursing that all qualified nurses in CHUGGS CMG are to complete Malnutrition Universal Screening Tool (MUST) e-learning module. Dietetic education of medical and nursing staff on a case by case basis by dieticians for catering queries and first line nutritional care plan. Helen Ord (Dietetic Practice Learning Lead) to train all four new housekeepers on nutritional care. Dietetics and CHUGGS CMG to plan for increased dietetic investment.	Moderate	Almost certain	15	Withdraw FODMAP dietary management for IBS until resourced with adequate dietetic time - 30 Sep 17 Develop virtual telephone outpatient clinics to safely manage outpatient caseload - 30 Sep 17 Implement the Nutrition Liver Care Pathway at ward level for inpatients - 30 Sep 17 Develop a first line ward procedure for consideration of prescribable oral nutritional supplements for acutely admitted IBD inpatients - 30 Sep 17	6	Cathy Steele	Operational Risk

Risk ID	CMG	Specialty	Risk Description	Opened	Review Date	Risk Subtype	Controls in place	Impact	Likelihood	Current Risk	Action summary	Target Risk	Risk Owner	Risk Type
2787	CMG 6 - Clinical Support & Imaging (CSI)	Medical Records	If we do not implement the EDRM project across UHL which has caused wide scale recruitment and retention issues then medical records services will continue to provide a suboptimal service which will impact on the patients treatment pathway.	17/02/2016	31/08/2017	Harm (Patient/Non-patient)	Use of A&C bank staff where possible, though very limited in supply. Use of overtime from remaining substantive staff (though dwindling due to duration of the EDRM project and subsequent delays); staff are tired and under pressure. Cancellation of non-clinical requests for case notes daily (e.g. audit) to minimise disruption to front line clinical need (though with clear consequent impact on other areas of service delivery). On going urgent recruitment to existing vacancies. A waiting list of suitable applicants is created to minimise the risk of the current staffing levels reoccurring in the future. Medical records management supporting HRSS by chasing references and other checks. Daily review of staffing levels and management of requests with concentration of staffing in areas of greatest demand and clinical priority.	Moderate	Almost certain	15	- Exec team approved additional staffing to support pause in paediatric EDRM - 3 wte recruited in Feb 2017, 2 more to recruit to, interview taking place in May 2017. Due to length of pause these staff are expected to stay in place until the relaunch has happened - awaiting timeline from IBM - Weekly monitoring of patients TCI cancelled due to notes availability undertaken by med recs management, reported and discussed with each CMG to aid learning with monthly report to CSI exec as part of assurance process - ongoing action no end date EDRM for paeditrics given go ahead Feb 2017 - awaiting update and timeline from IM&T - DW to chase - relaunch group meeting end April 2017, awaiting timeline for relaunch from IM&T expected by June 2017	4	Debbie Waters	Operational Risk
2965	CMG 6 - Clinical Support & Imaging	Pharmacy	If we do not address Windsor pharmacy storage demands, then we may compromise clinical care and breach statutory duties	23/12/2016	31/07/2017	Harm (Patient/Non-patient)	Reduction/removal of non-pharmaceutical products to other areas. Transfer of non-pharmaceutical consumables to external storage containers. Additional fridges purchased to maximum capacity. Direct delivery of IV fluids to ward areas where possible. Regular pest control visits with reports monitored.	Moderate	Almost certain	15	Complete Phase 2 of aseptic unit/pharmacy stores redevelopment as per existing business case and 17/18 capital plan - March 2018 Review fridge capacity and where necessary purchase additional fridges once space available through redevelopment (identified within 17/18 plans) - March 2018	6	Claire Ellwood	Operational Risk

Risk ID	Specialty CMG	Risk Description	Risk Review Date Opened	Risk Subtype	Controls in place	Likelihood Impact	Current Risk	Action summary	Target Risk	Risk Owner	Risk Type
3023	CMG 7 - Women's and Children's (W&C)	There is a risk that the split site Maternity configuration leads to impaired quality of Maternity services at the LGH site	01/Sep/17 18/05/2017	Harm (Patient/Non-patient)	Consultant Obstetrician presence until 20.00 Delay of elective LSCS if emergency LSCS are required Use of second theatre if emergency LSCS required while El LSCS in progress Post natal pathway of care for elective LSCS cases for staff to follow Delivery Suite Consultant & SpR can be contacted for any emergencies Consultants undertaking additional sessions to cover rota gaps (unpaid) and visit wards prior to clinics etc Locum Consultants are employed to provide cover if no other alternative Senior Specialist Trainee's only allocated to cover out of hours	Almost certain Moderate	15	Formulation of Business case for extra Obstetric Consultant Due 01/09/2017 Formulation of Business case for extra Gynaecology Consultant Due 01/09/2017 Implementation of Trust reconfiguration strategy: LGH to LRI site Due 31/12/2017 Review into expanding elective capacity at LRI Due 01/09/2017 Review of provision of maternity services (efficiency and different ways of working) Due 01/12/2017 Formation of working party to implement recommended changes in working practices Due 01/07/2017	6	Ms Cornelia Wiesender	Operational Risk
2601	Gynaecology CMG 7 - Women's and Children's	There is a risk of delay in gynaecology patient correspondence due to a backlog in typing	13/07/2017 24/08/2015	Harm (Patient/Non-patient)	2 week wait clinics or any letters highlighted on Windscribe in red are typed as urgent. Weekly admin management meeting standing agenda item: typing backlog by site also by Colposcopy and general gynaecology. Using Bank & Agency Staff. Protected typing for a limited number of staff.	Almost certain Moderate	15	Clearance of backlog of letters - due 13/07/2017	6	DMAR	Operational Risk
2394	Communications	If a service agreement to support the image storage software used for Clinical Photography is not in place, then we will not be able access clinical images in the event of a system failure.	31/Jul/17 04/Jul/14	Harm (Patient/Non-	IM&T hardware support; IM&T Integration & Development team best endeavours to support the application software; separate backup of images on Apple server in Medical Illustration. Project brief published Nov 2014 for new database. Funding from IM&T agreed April 2015. Functional Specification for new system published Sep 2015. IM&T project support Oct 2015. IM&T project manager appointed Nov 2015. IM&T Functional Spec complete Dec 2015. Tender prepared Feb 2016. Supplier demos held Nov 2016. Supplier chosen Dec 2016.	Almost certain Moderate	15	Tender document issued July 2016. IM&T support agreed Oct 2016. Preferred supplier chosen Dec 2016. Funding sought from RIC Apr-May 2017. Funding decision awaited June-Jul 2017.	1	Simon Andrews	Operational Risk

Risk ID	CMG	Specialty	Risk Description	Opened	Review Date	Risk Subtype	Controls in place	Impact	Likelihood	Current Risk	Action summary	Target Risk	Risk Owner	Risk Type
2985	Corporate Nursing		If the delays with supplying, delivering and administrating parental nutrition at ward level are not resolved, then we will deliver a suboptimal and unsafe provision of adult inpatient parental nutrition resulting in the Trust HISNET Status.	09/Mar/17	31/07/2017	Harm (Patient/Non-patient)	1. Review of inpatient PN supplier via East Midlands Procurement process (Jane Page, Kate Dawson with LIFFT representation) July 2016 to see if an alternative suppler can meet UHL needs. 2. Fixed Term Secondment for Clinical Project Manager recruited to and commenced in post end of October 2016. The Clincal Project manager will review MDT processes and plan future PN service, with business case.	Moderate	Almost certain	15	Report lack of nurses PN trained in the Trust to the Trust Nutrition and Hydration Assuarance Committee - 30 Aug 17 Pharmacy to log when the PN bags are delivered to the wards - 30 Jul 17 Pharmacy to audit receipt of PN bag delivery to each site - 30 Jul 17 Implementation of stocked batch ordered PN by Pharmacy - 31 Jul 17 Review contract for inpatient PN supply - 31 Jul 17	4	Cathy Steele	Operational Risk