

**Trust Board Report**

<b>Meeting Date:</b>	24 <sup>th</sup> June 2013
<b>Title:</b>	Board Assurance Framework / Trust Risk Register
<b>Executive Summary:</b>	This paper reflects the spread across Board Assurance Framework and Trust Risk Register.
<b>Action Requested:</b>	To inform the Board of updates to the Board Assurance Framework (AF) and Trust Risk Register.
<b>Report of:</b>	Chief Nursing Officer
<b>Author: Contact Details:</b>	Governance IM&T Lead Tel: 01902 695114 Email:
<b>Resource Implications:</b>	None identified
<b>Public or Private: (with reasons if private)</b>	Public Session
<b>References: (eg from/to other committees)</b>	
<b>Appendices/ References/ Background Reading</b>	
<b>NHS Constitution: (How it impacts on any decision-making)</b>	In determining this matter, the Board should have regard to the Core principles contained in the Constitution of: <ul style="list-style-type: none"> <li>✚ Equality of treatment and access to services</li> <li>✚ High standards of excellence and professionalism</li> <li>✚ Service user preferences</li> <li>✚ Cross community working</li> <li>✚ Best Value</li> <li>✚ Accountability through local influence and scrutiny</li> </ul>

**Background Details**

The Board Assurance Framework “provides organisations with a simple but comprehensive method for the effective and focused management of the principal risks that arise in meeting their objectives. It also provides a structure for the evidence to support the Statement on Internal Control” (Integrated Governance Handbook 2006: A handbook for executives and non-executives in healthcare organisations. Department of Health p15.).

Board Assurance Framework – Updates (Appendix A)

Following updates the split of the Assurance Framework is:

Risks currently being managed (on-going)	11
Risks managed to target level	1

There are currently 12 risks contained within the Assurance Framework which are distributed across the Trust categorisation matrix as below:

Likelihood	Consequence				
	1 Low	2	3	4	5 High
A – Almost Certain			1		
B – Likely			2		
C – Possible		1	4	3	
D – Unlikely			1		
E – Rare					

Trust Risk Register – Updates (Appendix B)

Following updates the split of the Trust Risk Register is:

Risks currently being managed (ongoing)	32
Risks managed to target level	2

There are currently 34 risks contained within the Trust Register which are distributed across the Trust's categorisation matrix as below:

Likelihood	Consequence				
	1 Low	2	3	4	5 High
A – Almost Certain			2	1	
B – Likely		1	9		
C – Possible		2	6	10	
D – Unlikely		1	1	1	
E – Rare					

Utilising the Trust's categorisation matrix (risk plot above) as a way of pragmatically prioritising the Trust's risks, the following are considered to be of high risk to the Trust:

	ID	Risk Title	Lead
RED	514	Failure to deliver recurrent efficiency gains and CIPs.	FD

The following illustrates how risks on the BAF and TRR are mapped against the strategic objectives:

Strategic Objective	BAF				TRR			
	R	A	Y	G	R	A	Y	G
1) To provide our patients & staff with a safe environment.		2	1			13		
2) To be the employer of choice.						2		
3) To achieve a balance between demand & capacity of services		3				4		
4) To progressively improve the image and perception of the Trust								
5) To be in the national NHS top quartile of benchmarks							1	
6) Deliver services within financial allocations		3	1		1	5	2	
7) To be a high quality educator						1		
8) To agree appropriate population catchment areas for RWHT service		1						
9) To develop our position as a tertiary centre								
10) To achieve Foundation Trust status		1					1	1
Clinical Negligence Scheme for Trusts						3		

### Recommendation(s)

- Trust Board considers the report and any changes with the Board Assurance Framework and Trust Risk Register.

## Appendix A: Tracking changes within Board Assurance Framework (June 2013)

Lead Director	Risk	Risk Title	Update	Reasoning / Progress Against Actions
Chief Nursing Officer	2449 D3	Inadequate and ineffective systems to Safeguard Vulnerable Adults	Positive controls, Positive Assurances updated.	<p>Implementation of Adult safeguarding Multi Agency Policy and Procedures 2012. Education framework 2011. Updated Trust induction content 2013</p> <p>Key Performance Indicators updated annually and monitored via Trust Joint Safeguarding Adults committee [JSAC]. Recommendations from Internal Audit incorporated into JSAC development plan.</p> <p>Reduction of substantiated allegations made against the Trust. Reduction in inappropriate alerts made by the Trust.</p>
Director of Planning and Contracts	2508 A3	Commissioning responsibility changes - affects contracted income	Positive controls and Action Plan.	<p>Mapped on-going changes to commissioning portfolios, monitoring consistency to overarching financial envelope (have been deferred in line with national movement).</p> <p>Contracts signed with all commissioners in line with national timescales.</p> <p>Development of relationships with Non-Wolverhampton collaborative commissioners.</p>
	2927 B3	Failure to deliver against QIPP scheme resulting in lack of investment.	Action Plan updated	Dates amended.
Chief Operating Officer	2962 C3	Risk of Health Visiting business/system/service failure due to multiple systemic failings.	Positive Controls and Action Plan updated.	<p>4 Team Leader positions recruited <del>to</del> with revised Job Description.</p> <p>June 2013 Family Nurse Partnership – a business case has been completed. Further discussion required re the cost implications, as the funding for the programme needs to be identified and agreed. Agreed by Division, to go to Contract &amp; Commissioning.</p>

## Appendix B: Tracking changes within Trust Risk Register (June 2013).

Lead Director	Risk	Risk Title	Update	Reasoning / Progress Against Actions
Chief Nursing Officer	535 C4	Failure to achieve reductions in HAIs impacting on Trust's reputation and compliance to regulatory standards.	Gaps in Assurance	<p>National guidelines recommends of Fidaxomicin for C difficile (May 13)</p> <p>Develop a business case for centralised intravenous team to reduce DRHAB.</p> <p>Present fidaxomicin business case to TMT.</p>
	2448 C3	Failure to have effective systems in place for patients with learning disabilities or requiring application of Mental Capacity Act.	Positive controls updated.	Implementation of the Safeguarding Adults Multi Agency Policy & Procedures for the West Midlands 2012.
	2680 A3	Interpreting & Translation Service - risk of over performance against central	Gaps in Assurance and Action Plan updated.	<p>Concern that bookings for Face to Face continue and system set up is being abused (May 13).</p> <p>Stop all Face to Face interpreting unless</p>

		budget held by patient experience.		<p>authorised via Matron / DM.</p> <p>Agreement from Div MD to stop face to face.</p> <p>Assess risks to Trust of stopping all face to face interpreting.</p>
	2917 C4	Risk of non-compliance with NHSLA standards - achieving 12/13 CIP	Positive Controls, Gaps in Assurances and Action Plan updated.	<p>Tracking all actions via Health assure and Project Group to Closure (May 13).</p> <p>Uptake has increased compliance with process remains low.</p> <p>Prospective monitoring of policies (NHSLA) monthly basis to inform Project Board.</p> <p>Continue to exception report to NHSLA Project Board areas of concern for action.</p>
	2950 B3	Avoidable pressure ulcers continue	Positive Assurances and Action Plan updated.	<p>39% of Trust have achieved over 100 days since last avoidable P.U by April 13.</p> <p>Monthly circulation of "days without avoidable pressure ulcer" to all wards and depts.</p>
	3278 B3	Management of Policies - version control, publication and archive	Action Plan updated.	Those versions not harmonised report to Policy committee to Trust accept position.
	3385 C3	Device Related Hospital Acquired bacteremia cases increase	Positive Controls, Positive Assurances and Action Plan updated.	<p>Structured approach to investigation agreed with matrons (June 13).</p> <p>All RCA's to be attached to DATIX reports (June 13).</p> <p>All cases entered on DATIX (June 2013).</p> <p>All haematology lines electronically monitored (June 13).</p> <p>Clinical Haematology unit DRHAB's decreased (June 13).</p> <p>No Trust denominator data on medical devices used (June 13).</p> <p>Assist in the implementation of the Devices module of vital pac.</p>
Director of Planning and Contracts	2929 D3	Failure to deliver CQUINS schemes.	Positive Assurances updated.	Q4 agreement reached on CQUINS for both CCG and SSC.
Chief Operating Officer	494 C4	Midwifery Staffing	Action Plan updated.	<p>Obtain funding for midwife led unit / recruit staff</p> <p>Develop business case to meet birth rate plus requirements</p> <p>Recruit to vacancies in ward areas.</p>
	1713 B3	Failure to effectively maximise workforce productivity.	Positive Assurances, Gaps in Assurance and Action Plan updated	<p>Consultant Job Planning Framework agreed. Implementation in progress</p> <p>Medical agency costs not reducing – May 2013.</p> <p>Re-issue requirement for Job Plan completion and clarify links to pay progression and CEA Awards – a joint communication to be issued by Chief Operating Officer and Medical Director. July 2013</p> <p>Action plan to address the issues identified by the job plan audit. July 2013</p> <p>Review of Medical rotas with potential to</p>

				<p>introduce electronic rostering system September 2013.</p> <p>Clinical Directors to be targeted to complete all Job Plans in areas by the end of September 2013 – a joint letter is to be issued by the Chief Operating Officer and Medical Director. July 2013.</p> <p>Compliance against framework to be monitored and completion rates reported to Chief Operating Officer/ Medical Director - June 2013 and on-going.</p>
	2492 C4	Failure to ensure that inpatient, outpatient, day case and theatre capacity meets demand.	Positive Controls, Positive Assurances, Gaps in Assurances and Action plan updated.	<p>Bed Modelling completed – May 2013.</p> <p>Improved number of cancelled operations in May due to capacity issues.</p> <p>New Cross A&amp;E performance remains below target – re 4 hour standard.</p> <p>Winter Planning commence June 2013 for Winter 2013/14.</p>
	2604 B3	Trust wide VTE audits continue to demonstrate poor compliance with VTE policy and procedures	Action Plan updated.	<p>Divisional Medical Director to discuss with Medical Director to include risk on Trust Risk Register.</p> <p>Include compliance with VTE risk assessments in Directorate Performance Reviews.</p>
	2828 A4	Performance issues within T&O Directorate	Downgraded to C4.	<p>Matron's portfolio reviewed and assistant Matron supporting wards.</p> <p>Special measures have been put in place including action plan, Divisional nurse attending directorate meeting, Matron and nurse recruitment managing vacancies</p>
	3051 C4	There are insufficient medical beds for the volume of medical patients leading to outliers	Risk merged with 1716, 2492, 3072 and 3245. These risks have subsequently been closed.	<p>Deputy COO and DMD met with CDs. T&amp;O and Cardiothoracic directorates developed remedial action plans. Established extent of surgical bed occupancy by medical outliers. Established selection criteria for transferring patients from acute medicine. Risk assessments completed and reviewed protocols for opening surgical beds for extra capacity.</p>
	3256 B3	Premises at West Park are unsuitable for clinical service delivery	Action Plan updated.	Business case being developed however this is now being reviewed in light of the requirements to meet 'Any Qualified Provider'
	3299 C4	Obstetric Staffing for labour ward	Positive controls updated.	<p>No elective gynaecology work planned over weekends.</p> <p>Application made for extra funds. Emergency gynaecology lists are therefore 2-5pm Monday, Wednesday and Friday to avoid risk of out of hours emergency gynaecology surgery.</p>
Director of Human Resources	1742 B3	Failure to learn from staff survey.	Action Plan updated.	<p>Chatback 2013 planned from 24<sup>th</sup> June for 4 weeks</p> <p>Results due end August 2013 which will then result in local action plans.</p>
Medical Director	1862 C4	Failure to adhere to trust consent policy	Action Plan updated.	<p>Consent training for staff who have delegated responsibility for consent. Each Directorate must hold delegated consent lists for their areas and these must be updated when doctors change.</p> <p>Ensure clinicians use stamps in notes.</p> <p>Review trust wide audit results and implement local actions.</p> <p>DMD to discuss way forward with Medical Director.</p>

The Royal Wolverhampton NHS Trust

Board Assurance Framework

June-2013

A1	A2	A3	A4	A5
B1	B2	B3	B4	B5
C1	C2	C3	C4	C5
D1	D2	D3	D4	D5
E1	E2	E3	E4	E5

Director	Cross Ref	What is the Risk?	Level of Risk	How are we managing the risk?	Evidence that it is working.	Any Evidence that it is not working.	What else can we do?	Risk after actions	Date Last Reviewed	TB Accept Risk?
Risk Lead	ID	Principal Risk		Controls	Positive Assurances	Gaps in Assurance/Control	Action Plan that addresses Gaps in Control	Residual Risk Level		
<b>Risks Currently Being Managed</b>										

Director	Cross Ref	What is the Risk?	Level of Risk	How are we managing the risk?	Evidence that it is working.	Any Evidence that it is not working.	What else can we do?	Risk after actions	Date Last Reviewed	TB Accept Risk?
<b>Trust Objective: To provide our patients &amp; staff with a safe environment.</b>										
Chief Nursing Officer	O4 2965	Failure to reduce Never Events.	<b>C4</b> <b>AMBER</b>	<p>Awaiting formal CQC report following unannounced inspection on 24/1/13.</p> <p>Divisions continue to monitor compliance with all surgical theatres monthly at CQRM / QSC - ongoing (Jan 13)</p> <p>Directorates monitor the use of modified checklists in non surgical areas and reported to QSC and CQRM monthly - ongoing (Jan 13)</p> <p>Scoped the revised DoH Never Event Guidance (Oct 12) with Trust wide systems and processes in place (Jan 13)</p> <p>Reporting monthly through Quality and Safety and Trust Board via Q&amp;S Report - Sep 12</p> <p>Quarterly Trust newsletter publication Learning event commenced June 12 - featuring never events.</p> <p>MD and CNO mandated sessions share Never Events and RCA findings and actions - Aug 12</p> <p>Afpp training delivered Nov 12</p> <p>Never Events on divisional and directorate risk registers.</p>	<p>Q&amp;S Committee receive monthly assurance of Never Events avoidance progress (Apr 13)</p> <p>Safety checklist policy ratified at policy committee (May 13)</p> <p>CQC final Report confirms no concerns (Mar 13)</p> <p>Monthly audit of the use and quality of completion of WHO safety checklist in non theatre areas show improved compliance (majority &gt;</p> <p>Assurance provided by Divisions re the review of risk potential for all never events at March 13 QSC.</p> <p>Specific action plans post each Never Event in all directorates now completed (Feb 13)</p> <p>External auditors have audited the draft policy and practice. Report in confirmed and to be presented at Q&amp;S April 13.</p>	<p>Never Event from July 2010 reported March 2013.</p> <p>Never Event reported in April 2013</p>		<b>E2</b> <b>GREEN</b>	Jun-13	Yes



Director	Cross Ref	What is the Risk?	Level of Risk	How are we managing the risk?	Evidence that it is working.	Any Evidence that it is not working.	What else can we do?	Risk after actions	Date Last Reviewed	TB Accept Risk?
Chief Executive Officer	O6 3330	The impact on the Trust of the changes occurring at Mid Staffordshire NHSFT and within the Staffordshire health economy	C4 AMBER	<p>Involvement in the work of the Contingency Planning Team - Feb 13</p> <p>Contributing to TDA lead work - Feb 13</p> <p>Internal evaluation of the impact on services both without and with formal service reconfiguration - Feb 13</p> <p>Review of activity movements to anticipate changes in demand for services - Feb 13</p> <p>Discussions with commissioners as part of the contracting process - Feb 13</p>				C3 AMBER	Jun-13	Yes

Director	Cross Ref	What is the Risk?	Level of Risk	How are we managing the risk?	Evidence that it is working.	Any Evidence that it is not working.	What else can we do?	Risk after actions	Date Last Reviewed	TB Accept Risk?
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**Trust Objective: To achieve a balance between demand & capacity of services**

Director	Cross Ref	What is the Risk?	Level of Risk	How are we managing the risk?	Evidence that it is working.	Any Evidence that it is not working.	What else can we do?	Risk after actions	Date Last Reviewed	TB Accept Risk?	
Chief Operating Officer	O16 2962	Risk of Health Visiting business/system/service failure due to multiple systemic failings.	<b>C3</b> <b>AMBER</b>	<p>Management support to the service has been reviewed.</p> <p>The Heath Town Health Visiting Team moved into Graisle Lane in September 2012. Bids have been submitted against NPET funding for the forthcoming 12 months for 4 additional CPT places plus 25 restorative supervision training places.</p> <p>Include changes to HV services in local authority newsletter and circulate to all HV staff - October 2012</p> <p>4 team leader positions recruited to</p> <p>The Chief Operating Officer and the Director of Nursing lead the service development programme - leads convene every two weeks to drive service improvements.</p> <p>Directorate and Division will be monitoring HR indicators, complaints and any concerns raised through Safeguarding Team.</p> <p>Regular communication sessions with Health Visitors are undertaken.</p> <p>The employment of an external consultant, to lead business and culture changes on a short term basis.</p> <p>Rapid appraisal process undertaken by SHA 3 days in September 2012.</p>	<p>April 2013 - Appraisal rates improved.</p> <p>01/02/2013 - Although improvements seen in performance against HCP and service specification indicators the service remains currently at an Amber rating.</p> <p>01/02/2013 - CPT Workforce now increased to 4.5 wte with further 0.8 wte in April.</p> <p>From June 2012 - ongoing regular Health Visiting meeting to review and update action plan. Meetings and actions on schedule.</p> <p>Stakeholder Workshop held 12 September 2012</p> <p>05/10/2012 - Health Visiting review meeting - leadership workstream completion deadline extended to 30/11/2012, slippage acknowledged on the accommodation workstream beyond 31/10/12 - actions on schedule</p> <p>The move towards paperlite working is ongoing - April 2013.</p> <p>The admin review has been completed which will support Health Visitors with their move to the Children Centres. Feedback from this review has been positive - January 2013.</p> <p>April 2013 - Sickness absence improved.</p>		<p>Recruit to Service lead post</p> <p>Discussion with CCG re funding for Band 3 support worker</p> <p>June 2013 - Family Nurse Partnership - a business case has been completed. Further discussion required re the cost implications, as the funding for the programme needs to be identified and agreed. agreed by Division , to go to Contract &amp; Commissioning</p>	<p>Jul-13</p> <p>Dec-13</p>	<p><b>D2</b> <b>GREEN</b></p>	<p>Jun-13</p>	<p>Yes</p>

Director	Cross Ref	What is the Risk?	Level of Risk	How are we managing the risk?	Evidence that it is working.	Any Evidence that it is not working.	What else can we do?	Risk after actions	Date Last Reviewed	TB Accept Risk?
				<p>Caseloads/clinic rationalisation - mapping work has been completed.</p> <p>Alternative accommodation reviewed with plans to relocate the service as per service redesign action plan.</p> <p>Approval granted for band 5 positions to be offered prior to the training to ensure best applicants are available to the Trust</p> <p>In view of our progress, Sustain suggested that our self assessment scoring form be updated to reflect this</p> <p>A suitable alternative uniform had been found for Health Visitors which meets the needs of the service.</p> <p>A final draft of the Band 6 Job Description has been drawn up.</p> <p>The CPT Job Description is in draft format and been sent out for comments.</p>						
Chief Executive Officer	O16 3352	Potential for rapid growth of the Trust due to changes in the wider health and social care economy.	<b>B3</b> <b>AMBER</b>	<p>Nurture existing and new relationships</p> <p>Build flexibility into operating systems</p> <p>Organisational intelligence - primary and secondary care providers</p> <p>Understand timescales to implement step change increases in capacity</p> <p>Review workforce plans</p>				<b>C2</b> <b>YELLOW</b>	Jun-13	Yes

Director	Cross Ref	What is the Risk?	Level of Risk	How are we managing the risk?	Evidence that it is working.	Any Evidence that it is not working.	What else can we do?	Risk after actions	Date Last Reviewed	TB Accept Risk?
Chief Financial Officer	3354	Estates quality and flexibility compromise the ability to respond to fluctuation in demand and the implementation of streamlined clinical pathways.	C3 AMBER	<p>Prioritise programme for capital investment and completion of backlog maintenance</p> <p>Planning application approved for site redevelopment</p> <p>Interim refurbishment programme</p> <p>Creation of a new emergency department</p>				D3 YELLOW	Jun-13	

Director	Cross Ref	What is the Risk?	Level of Risk	How are we managing the risk?	Evidence that it is working.	Any Evidence that it is not working.	What else can we do?	Risk after actions	Date Last Reviewed	TB Accept Risk?
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**Trust Objective: Deliver services within financial allocations**

Director	Cross Ref	What is the Risk?	Level of Risk	How are we managing the risk?	Evidence that it is working.	Any Evidence that it is not working.	What else can we do?	Risk after actions	Date Last Reviewed	TB Accept Risk?
Director of Planning / Contracting	O6 2508	Commissioning responsibility changes - affects contracted income	<b>A3</b> <b>AMBER</b>	<p>Director level engagement with the PCT and PCT Clusters (Dec 12)</p> <p>Targeted CCGs as they develop; and developed links with Clusters (Dec 12)</p> <p>Included potentially new configured Trust services in all assessment/reviews (Dec 12)</p> <p>Reviewed current and future contract Portfolios (Dec 12)</p> <p>Reviewed "Everyone Counts: Planning for Patients 2013/14" and PbR guidance for 2013/14 (Jan 13)</p> <p>Mapped on-going changes to commissioning portfolios, monitoring consistency to overarching financial envelope (have been deferred in line with national movement) - Jun 13</p> <p>Contracts signed with all commissioners in line with national timescales (Jun 13).</p> <p>Revised communication strategy to reflect commissioning changes (Mar 2013)</p> <p>Negotiation with Commissioners at LDP meetings; focus on CCGs (on-going)</p>	<p>Positive contract negotiations for 2013/14</p> <p>Heads of Agreement signed by 7th March 2013</p> <p>Internal RWHT Contract meeting at least once per month</p> <p>Agreement of risk share to support maintenance of overall financial quantum (Apr 13)</p> <p>Meetings every month with Commissioners with action notes</p>		<p>Implementation of communication strategy across organisation</p> <p>Development of relationships with Non-Wolverhampton collaborative commissioners.</p>	<p>Jun-13</p> <p>Dec-13</p>	<p>Jun-13</p>	Yes

Director	Cross Ref	What is the Risk?	Level of Risk	How are we managing the risk?	Evidence that it is working.	Any Evidence that it is not working.	What else can we do?	Risk after actions	Date Last Reviewed	TB Accept Risk?	
				Internal RWHT Contract Review/LDP meetings. (Senior managers /Directors agreed negotiations strategy (on-going))							
Director of Planning / Contracting	O16 2927	Failure to deliver against QIPP scheme resulting in lack of investment.	<b>B3</b> <b>AMBER</b>	Commissioners to provide detailed work plan to support QIPP programme prior to removal of cost from contracts (Mar 13)  Management of QIPP programme through established Modernisation Board (Mar 13)  Agreed QIPP savings plan with relevant detail to inform impact on divisional planning and budget setting (Apr 13)	Quarterly Contracting Reports to Trust Board  Non-agreement of reduction of activity relating to QIPP without an agreed and detailed implementation plan (Mar 13)  Modernisation programme Board commenced		*To agree a QIPP work programme with commissioners, documented within contract through the Service Development Improvement Plan.  To identify capacity and resources to deliver the programme.	Jun-13  Jul-13	<b>B3</b> <b>AMBER</b>	Jun-13	Yes
Chief Financial Officer	O6 2928	Impact of economic environment. Potential reduction of income and activity due to efficiency requirements placed on commissioners and / or private sector withdraw from the market.	<b>C3</b> <b>AMBER</b>	In 2012/13 re-investment of funds into Trust have been secured following negotiations (Mar 13)  For 12/13 have secured favourable contracts  Contingency plans in place	Financial position of the Trust monitored on Monthly board reports  Monitoring referral trends for changes  Procurement tenders reviewed to ensure sufficient competition		To identify market opportunities - ongoing  To respond to bids put forward by SHA / Commissioners - ongoing  Additional collaboration with other providers to reduce costs - ongoing  Maintain good working relationships and communications with commissioners - ongoing	<b>C2</b> <b>YELLOW</b>	Jun-13	Yes	



Director	Cross Ref	What is the Risk?	Level of Risk	How are we managing the risk?	Evidence that it is working.	Any Evidence that it is not working.	What else can we do?	Risk after actions	Date Last Reviewed	TB Accept Risk?
Chief Executive Officer	O16 3353	'Safeguarding' the Trust for the future - Several significant issues impact at the same time resulting in lack of focus on the "core business" and decisions not consistent with long term strategy.	<b>C2</b> <b>YELLOW</b>	Opportunity assessment process based around strategic goals  Review of organisational impact - short, medium and long term  Effective and timely consultation  Robust board governance				<b>D3</b> <b>YELLOW</b>	Jun-13	Yes

**Trust Objective: To agree appropriate population catchment areas for RWHT service**

Director of Planning / Contracting	O6 1734	Introduction of other health providers in the market as a result of Any Qualified Provider leads to a greater shift of activity.	<b>C3</b> <b>AMBER</b>	Weekly review of interactive commissioning map (H)  Worked with shadow Consortia to understand future requirements  Explored opportunities with other commissioners to support the TCS agenda (Mar 13)  Established GP liaison office and webpage  Submitted AQP proposals for Foot Health and Audiology  Flexible services and low Waiting Times for all first appointments (on-going)  Promoting choice through Web Site & NHS Choices - Nov 2010 (on-going)  Market Research & Marketing Strategy  Marketing Report  Monitor recent indication of relaxing of outlined stringent tendering requirements (May 13)	Limited extent of choice in Wolverhampton Nuffield for acute care - Quarterly data  No new players in the area for acute or community care - Quarterly data  Non-Wolverhampton Commissioners requested proposals for specialist community services - Aug 12  Lack of interest by private sector in development with the region - Quarterly data  Commissioners approved AQP submissions - Sep 2012		Review further AQP proposals - on-going  Produce Quarterly Market Share analysis report - on-going  Bi-monthly communication with GP community via a newsletter  Work with Public Health to manage the impact of the transfer of Lifestyle Services to the Local Authority  Monitor development of extended competition rules outlined as a result of the Health Act, with implications of proposed widening of requirements to tender services  Ensure internal processes are in place to manage increased requirements to follow procurement processes in case of increased requirement to tender  Use refinements to NHS Choices & Choose & Book to 'sell' services - on-going  Maximise opportunities to sell services via new Web Site - on-going	<b>D2</b> <b>GREEN</b>	Jun-13	Yes
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Director	Cross Ref	What is the Risk?	Level of Risk	How are we managing the risk?	Evidence that it is working.	Any Evidence that it is not working.	What else can we do?	Risk after actions	Date Last Reviewed	TB Accept Risk?
<b>Trust Objective: To achieve Foundation Trust status</b>										
Chief Executive Officer	O16 1501	The Trust does not meet the DH / Monitor requirements to become a foundation trust.	<b>C4 AMBER</b>	<p>External review of Quality Governance has been commissioned</p> <p>TDA leading the process for recruitment of NEDs (Mar 13)</p> <p>Process for review and comments on documentation via Trust Board - ongoing</p> <p>Programme for Communication with staff, patients and public - ongoing</p> <p>TDA performance monitoring and self-certification process - monthly</p> <p>Board Action Plan to address issues related to deferral</p> <p>Trust is engaging in the work of the CPT in relation to Mid Staffordshire Hospitals NHS Foundation Trust.</p> <p>Review of Monitor's Compliance Framework against Trust performance report monthly</p> <p>Revised Tripartite Formal Agreement for FT Timetable (Mar 13)</p>	<p>Achieved milestones to date on TFA</p> <p>Chair commenced 6 March 2013</p>	Monitor letter deferring Trust - Oct 12	<p>Action Learning From TDA FT Network</p> <p>Regular review of Monitor Board minutes and reports - ongoing</p>	<b>C3 AMBER</b>	Jun-13	Yes
<b>Risk Managed to Target Level</b>										

Director	Cross Ref	What is the Risk?	Level of Risk	How are we managing the risk?	Evidence that it is working.	Any Evidence that it is not working.	What else can we do?	Risk after actions	Date Last Reviewed	TB Accept Risk?
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**Trust Objective: To provide our patients & staff with a safe environment.**

Director	Cross Ref	What is the Risk?	Level of Risk	How are we managing the risk?	Evidence that it is working.	Any Evidence that it is not working.	What else can we do?	Risk after actions	Date Last Reviewed	TB Accept Risk?	
Chief Nursing Officer	O7 2449	Inadequate and ineffective systems to Safeguard Vulnerable Adults.	<b>D3</b> <b>YELLOW</b>	<p>New Safeguarding Adults at risk intranet site with easy access to all relevant resources and information</p> <p>Database of referrals maintained through Safeguarding Lead / Assistant Healthcare Governance Manager reported to JSAC bimonthly (Jun 13)</p> <p>Named Dr identified for Adult Safeguarding. Safeguarding portfolio aligned to Head of Nursing- Education &amp; Safeguarding</p> <p>Implementation of Adult safeguarding Multi Agency Policy and Procedures 2012 Education framework 2011. Updated Trust induction content 2013 (Jun 13).</p> <p>Analysis of safeguarding allegations supporting improvements in: *Discharge planning / *Pressure ulcer prevention - Jun 11</p> <p>Key Performance Indicators updated annually and monitored via Trust Joint Safeguarding Adults committee [JSAC]. Recommendations from Internal Audit incorporated into JSAC development plan (Jun 13).</p> <p>West Midlands strategy and procedures incorporated into Trust procedures and level 1 training (Feb 13)</p>	<p>Reduction of substantiated allegations made against the Trust.</p> <p>Reduction in inappropriate alerts made by the Trust (Jun 13).</p>	<p>Specific aspects of Internal audit review - Jan 2012</p> <p>Safeguarding allegations substantiated - since June 2011</p>	<p>Internal audit through RSM Tenon to support improvement in processes scheduled for June 2013</p> <p>Continue to share lessons learnt via the JSAC throughout the organisation - ongoing</p>	<b>D3</b> <b>YELLOW</b>	Jun-13	Jun-13	Yes

Director	Cross Ref	What is the Risk?	Level of Risk	How are we managing the risk?	Evidence that it is working.	Any Evidence that it is not working.	What else can we do?	Risk after actions	Date Last Reviewed	TB Accept Risk?
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The Royal Wolverhampton NHS Trust

Trust Risk Register

June-2013

A1	A2	A3	A4	A5
B1	B2	B3	B4	B5
C1	C2	C3	C4	C5
D1	D2	D3	D4	D5
E1	E2	E3	E4	E5

Director	Cross Ref	What is the Risk?	Level of Risk	How are we managing the risk?	Evidence that it is working.	Any Evidence that it is not working.	What else can we do?	Risk after actions	Date Last Reviewed	TB Accept Risk?
Risk Lead	ID	Principal Risk		Controls	Positive Assurances	Gaps in Assurance/Control	Action Plan that addresses Gaps in Control	Residual Risk Level		
<b>Risks Currently Being Managed</b>										

Director	Cross Ref	What is the Risk?	Level of Risk	How are we managing the risk?	Evidence that it is working.	Any Evidence that it is not working.	What else can we do?	Risk after actions	Date Last Reviewed	TB Accept Risk?
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**Trust Objective: Clinical Negligence Scheme for Trusts**

Director	Cross Ref	What is the Risk?	Level of Risk	How are we managing the risk?	Evidence that it is working.	Any Evidence that it is not working.	What else can we do?	Risk after actions	Date Last Reviewed	TB Accept Risk?
Director of Human Resources	O16 2858	(amalgamated with risk 883 - Local Induction). NHSLA Level 3. Achievement required for standard 3. relates to standard requirement of 95% compliance in mandatory training and induction. Currently poor compliance with NHSLA level 3 standard 3 in regard to mandatory training and local induction.	<b>C3</b> <b>AMBER</b>	<p>e-learning packages available as alternative to face to face training</p> <p>monthly compliance reports issued for all TNA topics</p> <p>training compliance discussed at divisional/directorate meetings as part of governance agenda</p> <p>patient moving and handling included on TI</p> <p>Junior doctors induction programme incorporates all mandatory training elements and sanctions agreed for non-compliance</p> <p>increased publicity around individual responsibility to undertake mandatory training via desktops and posters</p> <p>request for local induction information has been requested as part of appraisal audit</p> <p>monthly IMTG with SMEs monitoring action plans</p> <p>reporting frequency for all minimum data set topics now monthly for all subjects</p> <p>repeated non compliance reports escalated to divisional team</p> <p>Local induction audit assessed</p> <p>NHSLA project group and Project Board monitoring progress for standard 3</p>	<p>increased compliance for most topics as evidenced by monthly reports</p> <p>JDI includes all mandatory training requirements</p> <p>monthly audit of local induction returns (ongoing)</p> <p>all NHSLA minimum data set topics now included in performance repository for TMT report (Oct 2012)</p> <p>Increased compliance for most topics as evidenced by monthly reports</p> <p>Improvements in mandatory topics compliance</p> <p>NHSLA level 2 achieved (Nov 2012)</p>	<p>audit shows that study leave forms are being approved by managers despite mandatory training being outstanding</p> <p>95% compliance standard not achieved in certain mandatory training subjects (ongoing)</p> <p>audit continues to highlight issues with local induction returns and poor compliance with OP41. (ongoing)</p> <p>reporting frequency for all minimum data set topics now monthly for all subjects (ongoing)</p> <p>lack of evidence that escalation reports get acted upon at divisional level</p>	<p>Progress monitoring</p> <p>Divisional escalation report breakdown</p> <p>Inanimate manual handling e-learning</p> <p>Share study leave audit findings</p> <p>proforma to go out</p> <p>review link trainer framework and TNA</p>	<p><b>D3</b> <b>YELLOW</b></p>	Jun-13	



Director	Cross Ref	What is the Risk?	Level of Risk	How are we managing the risk?	Evidence that it is working.	Any Evidence that it is not working.	What else can we do?	Risk after actions	Date Last Reviewed	TB Accept Risk?
				<p>e-learning pack now available for investigation of incidents, complaints and claims level 1 content. Times to be advertised</p> <p>extra manual handling sessions to target low compliance areas</p> <p>local induction amnesty in February to improve compliance</p> <p>LCC level 2 training: Target group identified by Governance. Gov team to chase up staff who are non compliant</p> <p>Individuals that are non compliant with Local Induction have been e-mailed to</p> <p>extra training sessions being delivered</p> <p>Further e-learning packs compiled for alternative to face to face training for CRT and general consent training</p>						



Director	Cross Ref	What is the Risk?	Level of Risk	How are we managing the risk?	Evidence that it is working.	Any Evidence that it is not working.	What else can we do?	Risk after actions	Date Last Reviewed	TB Accept Risk?
Chief Operating Officer	O4 494	High Level Amber. Following Birth Rate Plus Audit, Audit of midwifery staffing Feb 2012, this has identified a defect of 4.25WTE midwives and 3.1 band 3 maternity support workers to achieve a 90/10 split within the midwifery workforce. This audit is based on 2011/2012 birth data of 4117 deliveries. The risk is that there is a recognised staffing shortage to comply with meeting the birth rate plus midwife to delivery ratios. This defect is in addition to the current vacancies within the service. The shortage could have a potential impact upon the quality and safety of care given particularly in periods of high activity. Update from Division Governance Meeting (10 October 2012): Business case not approved by TMT Update from Division Governance Meeting (12 June 2013): Actively recruiting staff therefore risk rating to be reviewed.	C4 AMBER	<p>Escalation policy developed and ratified at Directorate in order to support and guide staff during times of increased activity, reduced staffing and potential closure of the unit.</p> <p>Contingency plans invoked at times of increased activity</p> <p>Senior midwifery manager on-call 24hr 7 days a week</p> <p>Weekly midwifery establishments are reviewed by the Head of Midwifery</p> <p>All staffing incidents notified to Head of Midwifery. Ongoing monitoring via incident reporting system for staffing related incidents</p> <p>all staffing breaches and adverse outcomes are reported via senior nurse performance meeting monthly by Head of Midwifery.</p> <p>Business Case to be developed for additional staffing requirements as identified in birth rate plus, in line with audit Feb 2012</p> <p>Staffing is a monthly agenda item on the operational meetings chaired by the head of midwifery</p>	<p>Bank hours and requirements are monitored weekly satisfying the senior Directorate team in relation to the management of risk. Will be signed off weekly by Head of Midwifery or Directorate Manager.</p> <p>The Wolverhampton Strategic Oversight Group for Obstetrics and Gynaecology continues to meet and receive reports on progress following the Health Care Commission enquiry.</p> <p>Interviews for band 5 &amp; 6 midwives have taken place and we continue to advertise and recruit into vacant posts</p>	<p>Recruit and appoint to vacancies with ward areas</p> <p>Further review of Birth Rate Plus to be undertaken</p>	<p>Apr-13</p> <p>Apr-13</p>	<p>C1 GREEN</p>	Jun-13	

Director	Cross Ref	What is the Risk?	Level of Risk	How are we managing the risk?	Evidence that it is working.	Any Evidence that it is not working.	What else can we do?	Risk after actions	Date Last Reviewed	TB Accept Risk?
<b>Trust Objective: To provide our patients &amp; staff with a safe environment.</b>										
Medical Director	1862	Trust wide consent audits reveal failures within the division to follow a 2 stage consent process and correctly complete DOH consent forms.	C4 AMBER	<p>Staff training on consent available.</p> <p>Standardised DOH consent forms in use across the Trust.</p> <p>Consent Audit 2010/11 has been combined with the documentation audit. This would allow directorates that document consent within the notes to be able to evidence 2-stage consent.</p> <p>Trust junior doctor induction changed so that doctors undertake induction and mandatory training prior to starting.</p> <p>Delegated consent lists kept by all relevant directorates</p> <p>Divisional Patient Information Ratification Committee.</p> <p>CDs compile directorates delegated consent lists with each new medical intake</p>		<p>2012/13 audits continue to show poor compliance with the consent process</p> <p>Consent forms not being correctly completed.</p> <p>Recurring themes highlighted through annual audit.</p> <p>Complete up-to-date delegated consent lists not held within directorates.</p>	<p>Implement updated consent policy when approved</p> <p>Review results of live health record checks</p> <p>Re-design the consent form</p>	<p>May-14</p> <p>Aug-13</p> <p>May-14</p>	E3 YELLOW	Jun-13

Director	Cross Ref	What is the Risk?	Level of Risk	How are we managing the risk?	Evidence that it is working.	Any Evidence that it is not working.	What else can we do?	Risk after actions	Date Last Reviewed	TB Accept Risk?
Chief Nursing Officer	O7 2448	Failure to have effective systems in place for patients with learning disabilities or requiring application of Mental Capacity Act.	<b>C3</b> <b>AMBER</b>	<p>Revised training programme for safeguarding and MCA - Jun 13</p> <p>Implementation of the Safeguarding Adults Multi Agency Policy &amp; Procedures for the West Midlands 2012 (Jun 13).</p> <p>Improved access to best interest assessors - Jun 12</p> <p>Implementation of an agreed learning disabilities IT alert system to identify patients with LD - Aug 12</p> <p>New Safeguarding Adults at Risk intranet site with easy access to all relevant resources and information - Nov 12</p> <p>Appointment made to Learning Disability Specialist Nurse (May 13)</p>	MCA and DOLs application numbers - ongoing	<p>Specific aspects of WMQRS Peer review care of vulnerable adults in hospital - Jan 2012</p> <p>Safeguarding referrals where allegations are upheld against the organisation in relation to Learning Disabilities - ongoing.</p>	<p>Undertake an audit of learning disabilities IT alert system and outcomes</p> <p>Develop a work programme for the LD nurse which indicates audit of outcomes for patients with LD - ongoing</p> <p>Further communication with organisation and Mental Capacity Act Requirements</p>	Mar-13 <b>D3</b> <b>YELLOW</b>	Jun-13	Yes

Director	Cross Ref	What is the Risk?	Level of Risk	How are we managing the risk?	Evidence that it is working.	Any Evidence that it is not working.	What else can we do?	Risk after actions	Date Last Reviewed	TB Accept Risk?	
Chief Nursing Officer	O16 2482	Failure to learn from national / local organisations experience e.g. Francis report.	<b>D4</b> <b>AMBER</b>	Francis Report on agenda on May 13 Trust Board  Trust process for escalation of risks identified  Review of incident and complaint trends at Quality and Safety Committee  The Trust has a process for review of external reports to apply local actions, learning or improvement.  Risks from Compliance/performance reporting is monitored/escalated via Compliance Committee monthly.  Sustainability plan is established for NHSLA compliance	CQC responsive review follow up report - March 2012  CQC registration without conditions (General and Mental Health) - Feb 2012  CQC visit in Jan 13 resulting report identified significant improvements. Full compliance with standards. No concerns identified.	CQC responsive review follow up report - March 2012	OP10 policy to be revised to include scrutiny group for final RCA reports.	<b>E2</b> <b>GREEN</b>	Jun-13	Jun-13	Yes
Chief Financial Officer	O6 2570	Inadequate estates as part of the Transfer of Community Services - WCPCT provider Services with effect from 1 April 2011.  Legal consequences of a potential estates transfer ie property arrangements in line with White Paper with PCT being abolished by April 2013.	<b>C4</b> <b>AMBER</b>	Engagement of Solicitor support  External Support is being employed to review the condition of the Estates where Services from WCPCT are undertaken.  RWT and PCT have agreed transfer properties (Jan 13)  Negotiations continuing re potential properties to transfer. Date for transfer now delayed due to DH.  Monthly Project Board meetings with extensive RWHT representation.	Outcome of Due Diligence exercise		Conditions survey of other properties where RWT is tenant  Conditions surveys of transfer properties to be undertaken - ongoing  Department of Health guidance now delayed transfer to 1 April 2014. Trust has baseline information and have commence negotiations from 1st September 2012 with PCT.	<b>C3</b> <b>AMBER</b>	Feb-13  Apr-13	Jun-13	Yes

Director	Cross Ref	What is the Risk?	Level of Risk	How are we managing the risk?	Evidence that it is working.	Any Evidence that it is not working.	What else can we do?	Risk after actions	Date Last Reviewed	TB Accept Risk?
Medical Director	2604	Trustwide VTE audits continue to demonstrate poor compliance with VTE policy and procedures, leading to an increased risk of VTE and compromised patient care. Update (12 Nov 2012): Divisional Medical Director to discuss with Medical Director to include risk on Trust Risk Register.	<b>B3</b> <b>AMBER</b>	New anti co-agulation sheet in place  All RCA's will now go via the VTE committee - this should improve the standard of RCA's and action plans  mandatory training for junior doctors accessible from the KITE site.  VitalPac tool includes VTE risk assessment  VTE risk assessment in use  VTE nurses in place	Multidisciplinary project team have developed an action plan in response to NPSA patient safety alert.  June 12 - NHSLA self assessment for the division - scored 'green'.	Trustwide VTE audit showed poor compliance with policy  Actions are still needed to achieve compliance with NPSA alert  Poor compliance of risk assessment completed 24 hours after initial risk assessment; evidenced by health record checks	Include compliance with VTE risk assessments in Directorate Performance Reviews	Jun-13 <b>D3</b> <b>YELLOW</b>	Jun-13	

Director	Cross Ref	What is the Risk?	Level of Risk	How are we managing the risk?	Evidence that it is working.	Any Evidence that it is not working.	What else can we do?	Risk after actions	Date Last Reviewed	TB Accept Risk?
Chief Nursing Officer	O4 2680	Interpreting & Translation Service - risk of overperformance against central budget held by patient experience.	A3 AMBER	<p>Face to face pilot with 3 departments (Dec 12) complete.</p> <p>Implemented centralised plan across all departments to reduce face to face interpreting (Apr 13)</p> <p>Implemented risk assessments and centralising of face to face interpreting in top 3 areas of usage (Jan 13)</p> <p>Developed KPIs to monitor weekly usage (Jan 13)</p> <p>Current process in place to direct face to face/telephone translation services</p> <p>Commenced action plan to implement same model as pilot across Trust</p> <p>Updated policy and criteria to clarify process for interpreting services</p> <p>Changed face to face provider to improve service</p> <p>Improved audit trail for use of interpreting services for monitoring purposes checked weekly</p> <p>Identified high users and engage to review working practices and demonstrates reduction in overspend.</p>	<p>No evidence of patient or staff concerns from 3 pilot areas (Mar 13)</p> <p>Reduction in overspend by 60% from last year end</p> <p>Ensured Matrons in OPD and user inpatients understand control resources (May 13)</p> <p>Continue to monitor telephone face to face bookings (May 13)</p> <p>Ensured all 2 way telephones placed in areas are available and are used (May 13)</p>	<p>Concern that bookings for Face to Face continue and system set up is being abused (May 13)</p>	<p>Stop all Face to Face interpreting unless authorised via Matron / DM</p> <p>Agreement from Div MD to stop face to face</p> <p>Assess risks to Trust of stopping all face to face interpreting</p>	<p>C1 GREEN</p>	<p>Jun-13</p> <p>Jun-13</p> <p>Jun-13</p>	<p>Jun-13</p>



Director	Cross Ref	What is the Risk?	Level of Risk	How are we managing the risk?	Evidence that it is working.	Any Evidence that it is not working.	What else can we do?	Risk after actions	Date Last Reviewed	TB Accept Risk?
Chief Operating Officer	2828	There are concerns in relation to the quality of care within the T&O Directorate. Investigation into complaints and incidents has raised concerns as to whether the care on the Orthopaedic wards are consistently at the highest standard, leading to risks of compromised patient care and increased levels of incidents and complaints, as well as poor staffing. 13.02.2013 Report to Divisional Governance: -Continuing concerns however extended matron and Directorate manager portfolios believed to be sustainable within current resource in the medium term (6 months), - Temporary nurse management for both ward A5 and A6 sustainable for 4 months, - Ward nursing staffing shortfall, - Increased patient dependency particularly on A5 April 2013 - Dependency review confirms increased dependency on A5 in relation to trauma and dementia caseload.	<b>C4</b> <b>AMBER</b>	Implementation of remedial action plan  Matron KPI's  Monitor incidents  Monitor complaints  Review of all aspects of care/setting/leadership  Band 7 staff member acting up  Band 5 nurses released from winter pressure ward  Ongoing recruitment of Registered Nurses however not yet at full establishment  Dementia outreach service actively supporting the ward  Reviewed dependency in April 2013. Business case developed however further work required.  More frequent visits by PALS to seek realtime patient feedback and address any issues as they arise  Matron portfolio reviewed and assistant Matron identified to provide additional support and work clinically - February 2013  Practice Development Team support ward as required  Implementing supervisory Band 7 by end of June 2013	High incidence of Grade 3 pressure ulcers in April 2013 however all found to be unavoidable  All sickness absence being appropriately managed and is reducing  May 2013 - appraisal rate improved for nursing staff on A5  Leadership walk round in May 2013 reported positive patient feedback by PALS	Appraisal rate for nurses on A6 is less than 40%  Pressure ulcer incidents continue on A5  Increase in amber breaches of safe staffing levels  December 2012 - Shortfall in nursing staffing levels Dec 2012 and impending maternity leave early 2013  February 2013 - Increased patient dependency, especially on A5  Mixed feedback from patients regarding negative and positive experiences	Review and update business case	Jun-13	<b>E2</b> <b>GREEN</b>	Jun-13

Director	Cross Ref	What is the Risk?	Level of Risk	How are we managing the risk?	Evidence that it is working.	Any Evidence that it is not working.	What else can we do?	Risk after actions	Date Last Reviewed	TB Accept Risk?
Chief Operating Officer	2898	<p>Patients having to wait in ambulance off load area to be seen in A&amp;E due to a lack of space. The risk is to patient safety, experience, privacy, dignity and comfort</p> <p>(Initially Graded as Amber C3)</p>	<p><b>C3</b> <b>AMBER</b></p>	<p>May 13 Plans exist for new ED building</p> <p>May 13 BC for CDU has been written and agreed (cross ref risk 3394)</p> <p>29.02.2012: The area will have telephone access and is " for purpose" regarding equipment ie oxygen points, suction, resus equipment</p> <p>(Original) - Increased staffing</p> <p>Feb 13 - Additional equipment has been ordered to support the additional activity. i.e blood pressure machines, ECG and 6 additional trolleys etc</p> <p>(Original) - IT ' on loan' for corridor</p> <p>(Original) - Nurse staff allocated and built into workforce</p> <p>(Original) - Flow chart developed to "release" ambulance crews and have handover</p> <p>(Original) - Patients are only placed in the corridor if absolutely necessary</p> <p>11.03.2013 - Deputy COO agreed to overestablish nursing establishment by 1.7 WTE in order to facilitate an extra 7.5 trained nurse from midnight each night to support AOA/main ED</p>	<p>Feb 13 - no near misses or complaints raised regarding the corridor.</p> <p>Dec 12 - When AOA has more than 9 patients (as per flow chart/protocol) HALO will cohort. Number are dependant on clinical need. Once HALO can no longer cohort - crews will be held. WMAS and division are aware of this.</p> <p>Dec 12 - Theatres are contacted to assist with provision of trolleys</p>	<p>(Original) - Increasing frequency of incidents</p> <p>December 2012 - Due to increased utilisation of the AOA patients are remaining on the corridor and are ultimately being assessed, treated and discharged from the corridor.</p> <p>December 2012 - Establishment of nursing staff not able to provide cover past midnight.</p> <p>December 2012 - Increased trolley waits impacting on poor journey quality and safety.</p> <p>December 2012 - Lack of trolleys to offload patients due to additional capacity and AOA being utilised.</p>	<p>Implement use of pre fab building to increase capacity</p>	<p>Dec-13 <b>D3</b> <b>YELLOW</b></p>	<p>Jun-13</p>	

Director	Cross Ref	What is the Risk?	Level of Risk	How are we managing the risk?	Evidence that it is working.	Any Evidence that it is not working.	What else can we do?	Risk after actions	Date Last Reviewed	TB Accept Risk?
				Capacity team allocated a nurse for AOA in AMU - If greater than nine patients in AOA in ED utilising AOA nurse from AMU is explored						
				April 13 - Staffing levels to enable the utilisation of clinic to house patients who require beds within the organisation instead of waiting on the corridor is explored.						
				Aug 12: Internal escalation process now in place for early warning signs						
				Sept 12 - There is capacity for 9 patients however, if there are any more than 9 the WMAS will manage the patient						
				Nov 12 - When the corridor is used, Datix incidents are completed and this feeds into the monthly KPI which is sent to the division.						
				Nov 12 - A protocol and escalation plan is place and this has been forwarded to the divisional team, chief nursing officer and circulated to all of the nursing and medical staff in A&E. The protocol identifies the number of patient's per nurse and the levels of escalation required.						
				Jan 13 - Additional nurse is working a twilight shift until 12pm and also on nights for 7.5 hours.						

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				Jan 13 - Increased staffing levels over Christmas from 8pm - 4am, now this has been agreed to continue for Saturday, Sunday and Monday.						
Chief Nursing Officer	O4 2950	Avoidable pressure ulcers continue.	<b>B3</b> <b>AMBER</b>	<p>Employed a data analysis to assist with data trends - June 12</p> <p>New contract specification includes missing home education from May 13 by our TV staff</p> <p>Weekly pressure ulcer review meeting with CNO to determine accountability to implement learning organisation wide - Feb 12</p> <p>Revised pressure ulcer policy in place - Jun 12</p>	<p>39% of Trust have achieved over 100 days since last avoidable P.U by 01/04/13</p> <p>Reviewed equipment resource provision and improve community equipment provision (out of hours) and maintenance to community (Apr 13)</p>	<p>25% of Trust have not achieved Ambition - Feb 13</p>	<p>Scope changing all mattresses to Mercury Advance to ensure consistency across Trust and reduce need to hire in expensive alternative beds.</p> <p>Build audit and evaluation tool and pilot in 2 wards in May 13 to evaluate patient and cost benefits of implementation</p> <p>Monthly circulation of "days without avoidable pressure ulcer" to all wards and depts</p>	<p>Jul-13 <b>D3</b> <b>YELLOW</b></p> <p>Jul-13</p> <p>May-13</p>	Jun-13	
Chief Operating Officer	3256	Premises at West Park are unsuitable for clinical service delivery - lack of adequate soundproofing and inability to maintain ambient temperatures in clinical rooms.	<b>B3</b> <b>AMBER</b>	<p>Signs are in place in clinical area and corridor requesting silence at all times.</p> <p>Incident trends being monitored along with complaints</p>	<p>Analysis shows that there are a low level of reported incidents re. noise disturbance and there have been very few formal complaints over the past 12 months.</p>	<p>Service unable to guarantee that patients will get an accurate hearing test as noise levels cannot be controlled fully. Informal complaints/comments have been made and recorded.</p>	<p>Business case being developed however this is now being reviewed in light of the requirements to meet 'Any Qualified Provider'</p> <p>Complete options appraisal</p>	<p>Jun-13 <b>E2</b> <b>GREEN</b></p> <p>Jun-13</p>	Jun-13	

Director	Cross Ref	What is the Risk?	Level of Risk	How are we managing the risk?	Evidence that it is working.	Any Evidence that it is not working.	What else can we do?	Risk after actions	Date Last Reviewed	TB Accept Risk?
Chief Operating Officer	3299	<p>Safer Childbirth and NHSLA requirement for 60hr dedicated labour ward consultant presence for less than 4000 deliveries per year. 98hr presence is required for 4000-5000 deliveries.</p> <p>Current staffing provision is 40hrs consultant presence dedicated to labour ward only. Additional 20hrs consultant presence includes emergency gynaecology cover which is outside the safer childbirth/NHSLA requirement. Therefore the maternity unit is currently non compliant with this.</p>	<p><b>C4</b> <b>AMBER</b></p>	<p>Emergency gynaecology lists are 2-5pm Monday, Wednesday and Friday to avoid risk of out of hours emergency gynae surgery.</p> <p>No elective gynacology work planned over weekends</p>	<p>This will be monitored through datix incident reporting</p> <p>This will be reviewed by the risk management/governance committee on a quarterly basis</p>		<p>June 2013 -just under 4000 births therefore to revisit application for extra funding</p>	<p>Jul-13</p>	<p>Jun-13</p>	
Chief Nursing Officer	3385	<p>There was a rise in the numbers of DRHAB's surveyed in 2012/13 compared to the previous year.</p>	<p><b>C3</b> <b>AMBER</b></p>	<p>Structured approach to investigation agreed with matrons (June 13)</p> <p>All RCA's to be attached to DATIX reports (June 13)</p> <p>All cases entered on DATIX (June 2013)</p> <p>Quarterly reporting to IPCC (June 13)</p> <p>Twice monthly surveillance data reviewed (June 13)</p>	<p>All haematology lines electronically monitored (June 13)</p> <p>Clinical Haematology unit DRHAB's decreased (June 13)</p>	<p>No Trust demonimator data on medical devices used (June 13)</p>	<p>Develop a process to identify DRHAB's in a timely way</p> <p>Further develop the assurance framework for DRHAB's</p> <p>Assit in the implementaion of the Devices module of vital pac</p>	<p>Jul-13</p> <p>Jul-13</p>	<p>Jun-13</p>	<p><b>D3</b> <b>YELLOW</b></p>

Director	Cross Ref	What is the Risk?	Level of Risk	How are we managing the risk?	Evidence that it is working.	Any Evidence that it is not working.	What else can we do?	Risk after actions	Date Last Reviewed	TB Accept Risk?
Chief Nursing Officer	O8 535	Failure to achieve reductions in HAIs impacting on Trust's reputation and compliance to regulatory standards.	<b>C4</b> <b>AMBER</b>	<p>PCR for C-Diff testing from March 2011</p> <p>Introduced 2% chlorhexidine in alcohol for surgical skin preparation and monitor associated reduction in infection rate - Jan 13</p> <p>Screening Policy in Trust implemented, updated comms Nov 12</p> <p>Screening Programme in Community in place Nov 12</p> <p>IV team in place Mar 13</p> <p>Surgical Site Infection Surveillance Team in place Mar 13</p> <p>Robust surveillance system in place Mar 13</p> <p>Monitored the increase in C-Diff post PCR testing and discussed with commissioners Oct 12</p> <p>PREVENT Bronze standard achieved by Care Homes - Mar 2013</p> <p>Appointed Data Analyst for IPT - March 2012</p> <p>MRSA admission screening pilot in care homes commenced and completed October 2011</p> <p>Revised Outbreak Mangement Plan to include dehydration clinical pathway in place advised from Wolverhampton Care homes for dehydration as a result of norovirus symptoms over Winter 2011/12 - Oct 12</p>	<p>Achieved C difficile objective for 2012/13 April 13</p> <p>CQC Visit - January 2013</p> <p>HPA quarterly report of MESS data ongoing.</p> <p>2011/12 best year to date for the reduction of MSSA bacteraemia, DRHAB's and MRSA acquisition Aug 12</p> <p>Current C-diff and MRSA bacteraemia YTD performance -Aug12</p> <p>Successful Nursing Times award for infection prevention in community Nov 2011.</p> <p>MRSA rates currently on trajectory Oct 12</p> <p>MRSA admission screening pilot in care homes commenced October 2011 &lt;1% colonised Oct 12</p> <p>MRSA Screening for Podiatry Nail screening pilot - 0% MRSA detected April 2012</p> <p>MRSA early discharge screening Pilot October 2011 - 1/260 positive</p> <p>ICNet NG in place to provide ectroinic alerts.</p> <p>MRSA screening retraining rolled out</p> <p>Reduction in HCAsI other than MRSA bacteremia - Jan 13</p>	<p>National guidelines recommends of Fidaxomicin for C difficile (May 13)</p> <p>There is a lack of evidence against which PCR positive specimens will be EIA positive and therefore reportable under the new testing algrorythm</p>	<p>Resubmit business case to TMT for SSI team sustainability</p> <p>Present fidaxomicin business case to TMT</p>	<p>Jul-12 <b>E4</b> <b>AMBER</b></p> <p>Jun-13</p>	Jun-13	Yes

Director	Cross Ref	What is the Risk?	Level of Risk	How are we managing the risk?	Evidence that it is working.	Any Evidence that it is not working.	What else can we do?	Risk after actions	Date Last Reviewed	TB Accept Risk?	
				<p>CDI Assurance process updated. Monthly reporting to IPCC on trends - Mar 13</p> <p>Action plan in place for Hygiene Code to be monitored by IPCC quarterly - reported to IPCC Sept 12</p> <p>Action plan for reduction in HABs and DRHABs reviewed Mar 13</p> <p>C difficile ward round in place and sustained Mar 13</p> <p>MRSA bacteraemia action plan agreed and presented to IPCC Sept 12 - Nov 12</p> <p>Urinary Catheter policy agreed at IPCC Oct 12</p>							

Director	Cross Ref	What is the Risk?	Level of Risk	How are we managing the risk?	Evidence that it is working.	Any Evidence that it is not working.	What else can we do?	Risk after actions	Date Last Reviewed	TB Accept Risk?	
<b>Trust Objective: To be the employer of choice.</b>											
Chief Operating Officer	O12 1713	Failure to effectively maximise workforce productivity.	<b>B3</b> <b>AMBER</b>	<p>Areas to be contained with SPA allocation - agreed</p> <p>Job plan audit developed</p> <p>Job Planning Steering Group set up to ensure robust job planning process led by Medical Director.</p> <p>Implementation of monitoring procedure to ensure consistency of approach across Divisions.</p> <p>Performance targets including pay costs v clinical income.</p> <p>Medical staffing review</p> <p>Locum Bank Project Team set up - terms of reference/scope developed. Action plan for implementation.</p> <p>Medical Bank introduced</p>	<p>Consultant Job Planning Framework agreed. Implementation in progress .</p> <p>Performance management system, quarterly reviews of Divisions and monthly reports to Trust Board - October 2012.</p> <p>Interim Job Planning Audit indicated a number of actions now addressed.</p>	<p>April 2013 - Audit Report RSM Tenon identifies areas for improvement.</p> <p>Medical agency costs not reducing - May 2013.</p> <p>Slow progress in terms of Job Plan completion - May 2013</p>	<p>Re-issue requirement for Job Plan completion and clarify links to pay progression and CEA Awards - a joint communication to be issued by Chief Operating Officer and Medical Director.</p> <p>Action Plan to address the issues identified by the job plan audit.</p> <p>Monitor Bank fill rates performance - ongoing</p> <p>Review of medical rotas with potential to introduce electronic rostering system.</p> <p>Compliance against framework to be monitored and completion rates reported to Chief Operating Officer and Medical Director - June 2013 and ongoing.</p> <p>Clinical Directors to be targeted to complete all Job Plans in areas by the end of September 2013 - a joint letter is to be issued by the COO and MD.</p>	<p>Jul-13</p> <p>Jul-13</p> <p>Sep-13</p> <p>Jul-13</p>	<p><b>C2</b> <b>YELLOW</b></p>	<p>Jun-13</p>	<p>Yes</p>



Director	Cross Ref	What is the Risk?	Level of Risk	How are we managing the risk?	Evidence that it is working.	Any Evidence that it is not working.	What else can we do?	Risk after actions	Date Last Reviewed	TB Accept Risk?
Director of Human Resources	O14 1742	Failure to learn from staff survey.	<b>B3</b> <b>AMBER</b>	<p>Key Indicators in staff survey covered by Trust policies (eg appraisal, harassment and bullying, etc).</p> <p>Staff Governors in constitution have voice to influence direction of Trust</p> <p>Chatback conducted in Summer 2012 to ensure momentum is maintained. Results received Sept 2012. Cascaded to Managers/Directors/Senior Managers in Oct 2012.</p> <p>Staff feedback has been incorporated into the Trust Board quality &amp; safety dashboard thereby aligning staff engagement with patient safety agenda.</p> <p>Key Staff Survey indicators included in HR KPIs</p> <p>Divisional/Directorate Staff Survey reports discussed at HR subgroup and distributed to Divisional and Directorate managers and matrons and Divisional / Directorate action plans developed.</p> <p>Results from national 2012 survey were presented to TMT, Trust Board, HR Sub Committee and Senior Managers Briefing in March 2013.</p>	<p>KPI in annual plan.</p> <p>Results for 2012 positive; 20 out of 28 indicators show us above average when compared to other Acute Trusts (April 2013)</p> <p>Overall staff engagement measured for the second time (based on response to 3 questions). RWHT scored 3.72/5 being highly engaged staff. This was in the highest (best) 20% when compared with similar Trusts.(March 2012)</p> <p>Turnover below National average and within Trust target. (as at Sept 2012)</p>	<p>Results received from 2012 staff survey - 45% response rate still leaves us in lowest 205 of Acute Trusts.</p> <p>Chatback staff survey results showed a decline in performance for 2012.</p>	<p>Chatback 2013 planned from 24th June for 4 weeks.</p> <p>Results due end August 2013, which will then results in local action plans.</p>	<p>Jul-13 <b>D3</b> <b>YELLOW</b></p> <p>Sep-13</p>	Jun-13	Yes

Director	Cross Ref	What is the Risk?	Level of Risk	How are we managing the risk?	Evidence that it is working.	Any Evidence that it is not working.	What else can we do?	Risk after actions	Date Last Reviewed	TB Accept Risk?
<b>Trust Objective: To achieve a balance between demand &amp; capacity of services</b>										
Chief Operating Officer	O6 1714	Failure of other agencies to support discharge process.	<b>B3</b> <b>AMBER</b>	<p>Action Plan from RSM Tenon audit.</p> <p>Daily discharge meeting to review and agree actions aimed at improving discharges and relationships with social care.</p> <p>Daily bed state shows current position</p> <p>Annual 'Reimbursement funds' agreement</p> <p>Action Plan to implement workshop outcomes</p> <p>Integrated patient flow team through Reablement funding - Project Manager posts appointed, and has commenced work with Social Services to expand dedicated Social Work input - commences January 2013.</p> <p>Evaluate impact of Best Practice Wards roll-out agreed.</p> <p>Daily review of all medical outliers.</p> <p>CHC assessment training completed - April 2013</p> <p>Health Economy Winter Plan Surge Meetings throughout Winter.</p>	<p>Reduction in patients waiting for continuing Healthcare Assessments.</p> <p>Weekly delayed discharge report - October 2012</p>	<p>Fluctuations in numbers of patient delays, especially Staffordshire</p>	<p>Joint working with South Staffs Partnership Trust now underway to improve Discharge Planning for South Staffs patients - August 2012</p> <p>Chief Operating Officer to meet with Birmingham &amp; Black Country Chief Operating Officer to discuss joint working with Mental Health Services June 2013</p> <p>May 2013 meeting with Senior Managers of South Staffordshire to discuss joint working.</p> <p>April 2013 Escalation Meetings with Directors of Social Care - Wolverhampton and Staffordshire.</p>	<b>D2</b> <b>GREEN</b>	Jun-13	Yes

Director	Cross Ref	What is the Risk?	Level of Risk	How are we managing the risk?	Evidence that it is working.	Any Evidence that it is not working.	What else can we do?	Risk after actions	Date Last Reviewed	TB Accept Risk?
Chief Operating Officer	2639	- Risk that PCT do not reinstate Community Dermatology Services - Risk the current Service not being able to sustain increased capacity long term - Risk of increased costs of having to have extra clinics - Risk that Community Service will fail to deliver full service again - Reduced Consultants levels because workload was expected to drop. This hasn't happened so now short staffed - Haven't been able to develop the service	<b>B3</b> <b>AMBER</b>	Providing additional clinics to address the number of referrals  Monitor referrals to see the long term impact of the suspended service  Other services to be reviewed to balance out the services offered to patients  Directorate Manager attending waiting list meetings to monitor waiting lists for the Service  Monitoring of spending on a monthly basis  Addressed shortfalls in staffing resources by using bank, overtime and waiting list initiatives to deliver service	Secretarial staff have agreed to undertake additional hours  May 12: Waiting list and time to treatment is compliant with 18 weeks RTT and a reduction seen in appointments dropping into Intel since November 2011  Trust Doctor due to start in August 2012  No delays for Community patients. Extra clinics have been put in place to manage Community Services including for fasttrack patients	The "as and when" secretary is no longer working in the department due to high volumes of work and the pressure this is causing  Secretarial staff have expressed concerns and worries regarding the volumes of work coming through the department  Nov 12: No response from Commissioners  Risk that current service not being able to sustain increased capacity long term  Risk that PCT will not reinstate Community Dermatology Service	Creating standard letters  Monitoring the ability to deliver a service at Outreach Clinic  Agree full service specification and contract  CCG undertaking review of Dermatology service  Agree interim contract  Scoping exercise of work for Community Clinics  Meeting with Finance to discuss financial implications for 2012/13  Agreement of Activity Year Plan	Jul-13 <b>D3</b> <b>YELLOW</b> Jul-13 Jul-13 Aug-13 Jul-13 Jul-13 Jul-13 Jul-13	Jun-13	
Chief Operating Officer	O19 2719	There is no real time bed management. Retrospective admissions on PAS can have a significant impact on electronic testing and potentially e-discharge systems which could lead to a potential impact on patient care/safety.	<b>A3</b> <b>AMBER</b>	Review of ward clerk cover underway - Completion - Jan-Feb13. Implementation - May 13.  Review of administrative admission processes at weekends - linked into the above action. Jan-Mar13.  Communication plan to remind staff to ensure timely and appropriate admission onto PAS and other Trust Clinical systems - Jan13.  Awareness has been raised. Detailed plan to resolve being formulated - complete March 2013.	E-discharge rates are improving - January 2013	Further investigations carried out and this confirmed that some process redesign is necessary to achieve timely discharges on the system  Patients still entered retrospectively on PAS, especially after weekends.	May 2013 review of weekend entries onto PAS in conjunction with CQUIN scheme for 2013/14.  Long term review of real time bed management and link to I.T. Strategy.	<b>B3</b> <b>AMBER</b>	Jun-13	Yes

Director	Cross Ref	What is the Risk?	Level of Risk	How are we managing the risk?	Evidence that it is working.	Any Evidence that it is not working.	What else can we do?	Risk after actions	Date Last Reviewed	TB Accept Risk?
Chief Operating Officer	3051	<p>There are insufficient capacity (medical beds) for the volume of medical patients leading to outliers and the unplanned utilisation of additional unfunded beds. There are a number of risks in association to these:</p> <p>Risk of patient harm due to the lack of timely review by the appropriate medical team.</p> <p>Staffing pressures within ward areas with capacity beds that remain in use, as well as increased staff stress and levels of sickness. Also inappropriate nursing skill mix, resulting in inconsistent standards of care.</p> <p>Increased cost pressures due to continued/extended use of capacity beds outside of agreed timescale's.</p> <p>Potential adverse media attention due to the continued/extended use of capacity beds within the Division.</p> <p>Not achieving targets, standards, KPI's.</p> <p>Not achieving activity income</p>	<b>B3</b> <b>AMBER</b>	<p>New reporting framework incorporating Operating Framework and Monitor requirements now in place with data presented to Trust Board on a monthly basis</p> <p>Recovery Action Plan completed and revised trajectory submitted to the LAT - April 2013.</p> <p>Operational protocol agreed at Divisional level from March 13</p> <p>Additional capacity open and staffed appropriately</p> <p>Monthly scheduled CIP review meetings with Directorates</p> <p>Utilisation of staff from base wds, flexible capacity team and bank staff</p> <p>Arrangement in place to ensure medical team review outliers by contacting the Consultant base ward and or medical secretary</p> <p>Full review of planned waiting list undertaken.</p> <p>Recovery Action Plan completed and revised trajectory submitted to the LAT - April 2013</p> <p>A&amp;E targets monitored daily and reported to TMT &amp; Trust Board monthly</p>	<p>A&amp;E Target achieved for February 2013.</p> <p>Early warning of potential to fail - January 2013</p> <p>Improvement in Cancer Standards April 2013</p>	<p>Increase in cancelled operations.</p> <p>Failure to achieve A&amp;E Standard.</p> <p>Increased number of cancelled operations due to capacity - Quarter 4 2013.</p>	<p>Recruit staffing to C16 and C17</p> <p>Commence winter planning</p> <p>Improve discharge arrangement with Social Care, especially South Staffordshire.</p> <p>Proposal to permanently open 2 additional wards presented to Trust Board, await outcome</p> <p>Increase efficiency and release resource through ambulatory care, enhanced recovery and surgical site surveillance</p> <p>Expansion of Appleby Unit underway.</p>	<p>Jul-13 <b>D4</b> <b>AMBER</b></p> <p>Jul-13</p> <p>Jul-13</p> <p>Jul-13</p> <p>Sep-13</p>	Jun-13	

Director	Cross Ref	What is the Risk?	Level of Risk	How are we managing the risk?	Evidence that it is working.	Any Evidence that it is not working.	What else can we do?	Risk after actions	Date Last Reviewed	TB Accept Risk?
<b>Trust Objective: Deliver services within financial allocations</b>										
Chief Financial Officer	O16 1739	Failure to develop Service Line Reporting across the Trust.	<b>C4</b> <b>AMBER</b>	<p>Reports are being issued monthly and clinical engagement has been improved which has enabled the content of the reports to be improved and be more useful.</p> <p>SLR reports to be distributed on a monthly basis.</p> <p>SLR pilots to be set up.</p> <p>Rollout plan to be proposed.</p> <p>Contribution levels set end of Q2.</p> <p>Board received latest briefing in January 2013. Updated contributions using 2012/13 tariff now available.</p>		Need to develop better apportionment basis for some direct and indirect costs, as part of PLICS roll out Dec 12	<p>Ongoing Monthly Information Shared - ongoing.</p> <p>2012/13 plans have been agreed in April and are monitored - Patient level Costing is being implemented in the Trust which will enable more in depth SLR to be provided - ongoing</p>	<b>D3</b> <b>YELLOW</b>	Jun-13	Yes
Chief Financial Officer	O16 2468	That pay, price rises and cost pressures will be higher than assumptions.	<b>B2</b> <b>YELLOW</b>	<p>2012/13 plan includes cost pressures, pay awards and 2012/13 incremental drift impact.</p> <p>2012/13 financial plan has modelled impact of pay and non pay cost pressures.</p> <p>Long term financial model has assessed financial impact for 5 year period to 2016/17</p>			Monitor budgetary position closely through operational finance group/TMT and Trust Board - ongoing	<b>C2</b> <b>YELLOW</b>	Jun-13	Yes
Chief Financial Officer	O6 2781	Contractual risks due to tariff changes for emergency threshold. Negotiations have taken place with Commissioners to ensure that funds are re-invested with RWT to mitigate risk.	<b>B3</b> <b>AMBER</b>	<p>System in place to alert when issues occur.</p> <p>Reserve set against risk.</p>			Monitor new contract terms on a monthly basis through contract meetings with PCT / CCG - ongoing.	<b>C2</b> <b>YELLOW</b>	Jun-13	

Director	Cross Ref	What is the Risk?	Level of Risk	How are we managing the risk?	Evidence that it is working.	Any Evidence that it is not working.	What else can we do?	Risk after actions	Date Last Reviewed	TB Accept Risk?
Chief Operating Officer	O6 2893	Complex series of Pathology developments/tenders may not be achieved or won which could lead to loss of income.  Failure to Implement successful Cytology Service could lead to reputational damage.  Integration with Walsall.  Loss of GP workload as a result of SHA tender will have financial impact on the Trust.  Failure to achieve benefits of new build.	<b>C4</b> <b>AMBER</b>	Appointment Project Manager - January 2013.  Appointed as Sub Contractor to HEFT - December 2012.  New Build Project Board chaired by Deputy Chief Operating Officer.  Pathology Team focussed on delivery of PQQ - February 2013.  Establishment of Cytology Integration Board - March 2013.  Establishment of Exec led Pathology Steering Group - December 2012	Trust successfully through first phase of PQQ for GP Tendering Scheme in April 2013.  Cytology Integration commenced June 2013.  New build open March - April 2013  Pathology Steering Group meets bi weekly to discuss risks.	No formal agreement with Walsall - June 2013.	Joint meeting between Walsall and RWT Executives in May 2013  Meeting with Walsall to discuss integration chaired by Walsall CEO - June 2014.	<b>D3</b> <b>YELLOW</b>	Jun-13	

Director	Cross Ref	What is the Risk?	Level of Risk	How are we managing the risk?	Evidence that it is working.	Any Evidence that it is not working.	What else can we do?	Risk after actions	Date Last Reviewed	TB Accept Risk?
Director of Planning / Contracting	O16 2929	Failure to deliver CQUINS schemes	<b>D3</b> <b>YELLOW</b>	<p>Q2 Evaluation complete, Q3 requirements circulated Dec 12</p> <p>Dementia CQUIN requirements now agreed with commissioner - Jan 13</p> <p>Reviewed all CQUIN targets and reappraised initial risk assessment - Jan 13</p> <p>Full financial assessment undertaken and values shared</p> <p>Contracting / Commissioning group standing agenda item</p> <p>Lead coordinators identified</p> <p>Assessment made of costs to deliver</p> <p>Leads allocated for draft CQUINS to review deliverability and levels of risk (Apr 13)</p> <p>CQUINS agreed in contract following review of risk and deliverability May 13</p>	<p>Q3 sign off received from local CCG and from SSC. Responses are in-line with Trust Self-Assessment (March 13).</p> <p>Q4 agreement reached on CQUINS for both CCG and SSC (Jun 13)</p> <p>Q4 data returned on time for Commissioner sign off May 13.</p> <p>All Q3 data returned on time. Positive Assurances given by Commissioners at Q3 sign off (Feb 13)</p>		<p>Ongoing discussion with Dementia directorate, divisions WCPCT / CCG to agree solution - to be fully declared on quarter 4 - ongoing</p> <p>Proposals for 2013/14 CQUINS shared with RWT leads for comment and assessment of deliverability</p> <p>A designated Senior Operation Manager and Senior Nurse and senior Lead Manager to agree to support Quality leads-ongoing</p> <p>Setting up and implementing audits - ongoing</p>	<b>B3</b> <b>AMBER</b>	Jun-13	Yes

Director	Cross Ref	What is the Risk?	Level of Risk	How are we managing the risk?	Evidence that it is working.	Any Evidence that it is not working.	What else can we do?	Risk after actions	Date Last Reviewed	TB Accept Risk?
Director of Human Resources	3081	Insufficient manual handling budget to provide manual handling training to meet NHSLA level 3 standards. Extra budget required to meet demand and satisfy 95% compliance	<b>C3</b> <b>AMBER</b>	<p>DNA charges implemented</p> <p>junior doctors induction to include manual handling for patient handling manual handling (spec:- A&amp;E, Theatres)</p> <p>overbook each course by a few places with the expectation that a certain amount of places will be DNA to utilise expected DNA places and ensure best value</p> <p>DNA letters issued to individuals and their managers including information on cost of training</p> <p>areas of high DNA rates have letters sent to DMD/CD/Matron/Div Manager/Div Nurse</p> <p>Extra training sessions released for acute and community staff</p>	<p>Additional budget of £10,000 approved</p> <p>increased attendance at manual handling training courses (Oct 2012)</p>	<p>budget overspend due to NHSLA level 3 compliance</p> <p>additional £10k cost pressure raised</p> <p>DNAs on paid for training places currently run at % (often due to urgent clinical pressures) thus adding to shortfall issues (July 2012)</p> <p>Current activity for booking training has increased (due to NHSLA 95% compliance) across the organisation to meet target and budget predictions estimate that the budget will have a £10,000 shortfall (ongoing)</p> <p>TCS budget does not meet clinical staff needs (ongoing)</p>	<p>Review SLA with Local Authority - ongoing</p> <p>Review of link trainers</p>	<p>Sep-13 <b>D3</b> <b>YELLOW</b></p> <p>Sep-13</p>	Jun-13	
Chief Financial Officer	3176	Commissioners raising issue of patient activity over performance and their ability to pay.	<b>C3</b> <b>AMBER</b>	<p>Monitor through monthly contract performance reports and meetings</p> <p>Contractual meeting to analyse and discuss the forecast level of over performance</p> <p>To ensure details of contract performance are understood by RWT managers and PCT commissioners</p>	Contract meetings - monthly ongoing	Performance query letters from commissioners - monthly ongoing	Escalate to Directors to resolve when appropriate - ongoing	<b>B3</b> <b>AMBER</b>	Jun-13	



Director	Cross Ref	What is the Risk?	Level of Risk	How are we managing the risk?	Evidence that it is working.	Any Evidence that it is not working.	What else can we do?	Risk after actions	Date Last Reviewed	TB Accept Risk?
Chief Financial Officer	O16 514	Failure to deliver recurrent efficiency gains and CIPs.	<b>A4 RED</b>	<p>Monthly reporting against projects including to Trust Board</p> <p>Change Program Board (Executive Director led)</p> <p>The Trust has invested in a new system solution from "TriSolve" which will enable scheme implementers to have more direct involvement in the reporting of their schemes and be held to account.</p> <p>Each project has an executive director lead</p>	Trust Board Reports & Minutes include CIPs - monthly ongoing	<p>Finance report to Trust Board.</p> <p>Report of the Change Programme Board to Trust Board.</p> <p>Deloitte HDD report - Sep 2012</p>	<p>Monitor closely through CIP programme board - ongoing</p> <p>Identify 'new' projects and programmes in advance - ongoing</p>	<b>B3 AMBER</b>	Jun-13	Yes

**Trust Objective: To be a high quality educator**

Director of Human Resources	O16 2626	Implications of Government White Paper "Liberating the NHS" on the provision of educational funding levies and that NHS organisations will become responsible for the funding of education and training for their own staff.	<b>C4 AMBER</b>	<p>Close monitoring of funding levies</p> <p>LETBs/LETCS now authorised</p> <p>Representation on any appropriate workstreams</p> <p>Liaison with LETBs and LETCs as they are developed</p> <p>CEO has nominated a senior RWT individual to sit on LETC (Sept 2012)</p>	<p>Review at E&amp;T Committee</p> <p>NMET allocation for RWT received</p> <p>HR Sub Reports</p> <p>LETBs formed</p> <p>Chief Executive of Black Country LETC appointed; Paula Clarke</p> <p>HEE CEO now appointed</p> <p>HR Director now appointed to LETC</p>	<p>Await review of MADEL funding model</p> <p>SIFT underfunded for 2013 as transition to full funding not expected until years 3 &amp; 4</p> <p>workforce planning input to LETC needs strengthening</p> <p>Lack of direction from DOH (ongoing)</p>	<p>Await LETB/LETC authorisation process</p> <p>Develop Liaison with LETB/LETC (ongoing)</p>	<p>May-13</p> <p>May-13</p>	<b>C3 AMBER</b>	Jun-13	Yes
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Director	Cross Ref	What is the Risk?	Level of Risk	How are we managing the risk?	Evidence that it is working.	Any Evidence that it is not working.	What else can we do?	Risk after actions	Date Last Reviewed	TB Accept Risk?
<b>Trust Objective: To achieve Foundation Trust status</b>										
Chief Nursing Officer	3278	The Policy management process from approval to publication is operated through 4 different departments (Governance, TMT administrators, intranet administrators and Medical Illustration) and poses a risk to version control and publication management.	<b>C2</b> <b>YELLOW</b>	Retrospective version recording now shows variants for less than 10 policies (May 13)  Monthly archive audit results has improved further since Feb 13 (May 13)  Trust policies database (in place prior to risk initiation in Dec 12)  Publication protocol V2 identifies Trust secretary as gatekeeper for version management prior to publication. (Jan 13)  Training/instruction via NHSLA steering group completed for staff within the process (May 13)  Policy archive audit (Aug 12)  Staff training on policy development, version management and publication provided at SMB (Mar 13)	Policy archive audit showing improvement since February 13 but requires retrospective work to correct earlier versions recorded. (Apr 13)	Disjointed system from final approval to recording and publication of policies (as at risk initiation Dec 12)  Gaps in version control, inaccurate policy dating and publication identified (Aug 12)	Review policy archive audit results each month  Those versions not harmonised report to Policy committee to Trust accept position.	<b>D2</b> <b>GREEN</b>	Jun-13  Aug-13	Jun-13
<b>Risk Managed to Target Level</b>										

Director	Cross Ref	What is the Risk?	Level of Risk	How are we managing the risk?	Evidence that it is working.	Any Evidence that it is not working.	What else can we do?	Risk after actions	Date Last Reviewed	TB Accept Risk?
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**Trust Objective: To be in the national NHS top quartile of benchmarks**



Director	Cross Ref	What is the Risk?	Level of Risk	How are we managing the risk?	Evidence that it is working.	Any Evidence that it is not working.	What else can we do?	Risk after actions	Date Last Reviewed	TB Accept Risk?
					Service Improvement initiatives - Productive Theatre  CQC standards are mapped against Information Governance standards, NHSLA standards, Performance and quality indicators and trust wide audits; in order to triangulate self-assessment and strengthen assurance of on-going monitoring.					

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Director	Cross Ref	What is the Risk?	Level of Risk	How are we managing the risk?	Evidence that it is working.	Any Evidence that it is not working.	What else can we do?	Risk after actions	Date Last Reviewed	TB Accept Risk?
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**Trust Objective: To achieve Foundation Trust status**

Director	Cross Ref	What is the Risk?	Level of Risk	How are we managing the risk?	Evidence that it is working.	Any Evidence that it is not working.	What else can we do?	Risk after actions	Date Last Reviewed	TB Accept Risk?
Medical Director	O16 2922	Maintenance of a minimum accreditation of level 2 or higher for the IGToolkit v11 - 2013/14 in line with national guidance.	<b>D2</b> <b>GREEN</b>	<p>2. Internal audit recommendation made Sept 12 &amp; Jan 13- Streamline evidence by uploading to one section where key documents are asked for to avoid duplication of evidence in the IGToolkit. completed 20/02/2013</p> <p>Evidence updated - drafts removed. as per internal audit (Feb 2013)</p> <p>TMT approval of IGToolkit final submission scores for 2012/13 (22/03/2013)</p> <p>Progress monitoring- monthly basis (completed up to 22/03/2013)</p> <p>Monthly IGSG Monitoring of actions against toolkit for v11</p> <p>ICO external audit of Data Protection and Security compliance- Yellow(resonable assurance) rating given</p> <p>IG lead has monthly meetings with requirement leads to maintain progress against action plans.</p> <p>Leads have completed action plans to maintain level 2 and achieve level 3 compliance for v10 IGToolkit.</p> <p>Requirement leads exception reporting monthly to IGSG on any issues relating to maintaining level 2 or achieveing level 3</p>	<p>3. Internal audit recommendation Made Sept 12 &amp; Jan 13- "□The documentation contained in shared folders and accessed via a link referred to prior years e.g. V8 2010/11, therefore, their relevance in respect of IGToolkit V10 needs to be assured. - completed</p> <p>Gap anlysis done in July 2012 results fed back to requirement leads and action plans have been put in place to address any gaps in assurance identified</p> <p>IGToolkit return made at 31st October 2012 - all requirements were at level 2 or at level 3</p> <p>Draft internal audit report released 31/08/2012 advises there is a robust structure in place to support and drive the information governance agenda and provide the Trust with assurance that effective information governance processes are in place within the Trust.</p>		<p>Recruitment of IG Lead Jun-13</p> <p>Monitoring of actions against action plan on monthly basis to assure on target. Feb-14</p> <p>Audit Aug-13</p>	<b>D2</b> <b>GREEN</b>	Jun-13	

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				Internal re-audit of 10 standards took place Dec 2012- report provided Jan 2013  31st October performance update submission has been reviewed by Caldicott Guardian before submission 31/10/2012- all req level 2 or above						

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