

BOARD OF DIRECTORS

Agenda Item	P1/40/18	Date: 26th March 2018
Subject /title	Board Assurance Framework 2017/18 – Emerging Strategic Risks	
Author	Barney Schofield, Acting Chief Executive	
Responsible Director	All Executive Directors	
Executive summary and key issues for discussion		
<p>At the extraordinary meeting held on Friday, 9th March 2018, the Board of Directors gave consideration to the risks emerging as a result of the recent changes to the Executive Team.</p> <p>This report maps the outcomes of that discussion against the Trust’s strategic priorities in the Board Assurance Framework (BAF) attached at appendix 1. In addition, where relevant, existing risks have been reviewed and re-rated.</p> <p>All additions and amendments are set out in the March 2018 column within each strategic priority in the BAF; the risks not relevant to the recent changes have been left blank and strategic risk scores have not been updated for the purpose of this report.</p> <p>A full review and refresh of the BAF is planned in April and will be presented to the Board of Directors at the meeting scheduled for Wednesday, 25th April 2018. This will provide a complete picture for the Board in terms of the strategic risk profile and will consolidate and align existing risks with those added as part of this exercise to identify emerging risks.</p> <p>It is intended, in the longer-term, to undertake a complete overhaul of the BAF, including format, in order to provide a more robust system which enables strategic risk management and supports effective decision-making.</p> <p>Context</p> <p>The Board Assurance Framework (BAF) sets out the strategic risks against the achievements of the Trusts strategy. It enables the Board to monitor how internal governance arrangements support the achievement and delivery of the Trust’s strategic objectives. The BAF is agreed annually by the Trust Board in May. It provides assurance to the Trust Board that strategic risks are being effectively managed and what further actions are required to further mitigate these risks.</p> <p>The Board Assurance Framework contributes to the effectiveness of the system of internal control in the Annual Governance Statement.</p> <p>The BAF contains the nine strategic priorities. Each priority has an identified lead Executive Director. Each priority is aligned to all relevant strategic objectives. Each strategic priority is delegated to a Board Committee by the Board.</p> <p>Recommendation:</p>		

The Board is asked to:

- Note the emerging risks identified at the extraordinary meeting on Friday, 9th March 2018 mapped against strategic priorities; and
- Note that a full review and refresh of the BAF will be undertaken for the next substantive meeting scheduled for Wednesday, 25th March 2018.

Strategic context and background papers (if relevant)																																
<ul style="list-style-type: none"> • 5 year Strategy • Trust Business Plan 2017/18 – 18/19 																																
Recommended Resolution																																
The Board approves the Board Assurance Framework 2017/18 updates.																																
Risk and assurance																																
This document contains the risks associated with the non-delivery of the strategic plan actions.																																
Link to CQC Regulations																																
Regulation 17: good governance																																
Resource Implications																																
N/A																																
Key communication points (internal and external)																																
Freedom of Information Status																																
<p>FOI exemptions must be applied to specific information within documents, rather than documents as a whole. Only if the redaction renders the rest of the document non-sensical should the document itself be redacted.</p> <p>Application Exemptions:</p> <ul style="list-style-type: none"> • Prejudice to effective conduct of public affairs • Personal Information • Info provided in confidence • Commercial interests • Info intended for future publication 	<p>Please tick the appropriate box below:</p> <table border="1"> <tr> <td><input checked="" type="checkbox"/></td> <td>A. This document is for full publication</td> </tr> <tr> <td><input type="checkbox"/></td> <td>B. This document includes FOI exempt information</td> </tr> <tr> <td><input type="checkbox"/></td> <td>C. This whole document is exempt under FOI</td> </tr> </table> <p>IMPORTANT:</p> <p>If you have chosen B above, highlight the information that is to be redacted within the document, for subsequent removal.</p> <p>Confirm to the Trust Secretary, which applicable exemption(s) apply to the whole document or highlighted sections.</p>		<input checked="" type="checkbox"/>	A. This document is for full publication	<input type="checkbox"/>	B. This document includes FOI exempt information	<input type="checkbox"/>	C. This whole document is exempt under FOI																								
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Equality & Diversity impact assessment																																
<table border="1"> <thead> <tr> <th>Are there concerns that the policy/service could have an adverse impact because of:</th> <th>Yes</th> <th>No</th> </tr> </thead> <tbody> <tr> <td>Age</td> <td></td> <td>✓</td> </tr> <tr> <td>Disability</td> <td></td> <td>✓</td> </tr> <tr> <td>Sex (gender)</td> <td></td> <td>✓</td> </tr> <tr> <td>Race</td> <td></td> <td>✓</td> </tr> <tr> <td>Sexual Orientation</td> <td></td> <td>✓</td> </tr> <tr> <td>Gender reassignment</td> <td></td> <td>✓</td> </tr> <tr> <td>Religion / Belief</td> <td></td> <td>✓</td> </tr> <tr> <td>Pregnancy and maternity</td> <td></td> <td>✓</td> </tr> <tr> <td>Civil Partnership & Marriage</td> <td></td> <td>✓</td> </tr> </tbody> </table> <p>If YES to one or more of the above please add further detail and identify if full impact assessment is required.</p>			Are there concerns that the policy/service could have an adverse impact because of:	Yes	No	Age		✓	Disability		✓	Sex (gender)		✓	Race		✓	Sexual Orientation		✓	Gender reassignment		✓	Religion / Belief		✓	Pregnancy and maternity		✓	Civil Partnership & Marriage		✓
Are there concerns that the policy/service could have an adverse impact because of:	Yes	No																														
Age		✓																														
Disability		✓																														
Sex (gender)		✓																														
Race		✓																														
Sexual Orientation		✓																														
Gender reassignment		✓																														
Religion / Belief		✓																														
Pregnancy and maternity		✓																														
Civil Partnership & Marriage		✓																														
Next steps																																

The Assurance Framework will be delegated to the relevant committees

Appendices

Strategic Objectives supported by this report

Improving Quality	✓	Maintaining financial sustainability	✓
Transforming how cancer care is provided across the Network	✓	Continuous improvement and innovation	✓
Research	✓	Generating Intelligence	✓

Link to the NHS Constitution

Patients		Staff	
Access to health care	✓	<i>Working environment</i> Flexible opportunities, healthy and safe working conditions, staff support	✓
Quality of care and environment	✓	<i>Being heard:</i> <ul style="list-style-type: none"> • Involved and represented • Able to raise grievances • Able to make suggestions • Able to raise concerns and complaints 	✓
Nationally approved treatments, drugs and programmes	✓		
Respect, consent and confidentiality	✓		
Informed choice	✓	Fair pay and contracts, clear roles and responsibilities	✓
Involvement in your healthcare and in the NHS	✓	Personal and professional development	✓
Complaint and redress	✓	Treated fairly and equally	✓

Strategic Priority 1: Quality	Initial Risk Score	5 x 2 = 10	Target Risk Score (appetite)	5 x 1 = 5	Current Risk score	4 x 2 = 8
Ref 699	Strategic Priority			Executive Director	Board Committee	
Strategic Priority 1	Ensuring the delivery of high quality patient services (safety, experience and outcomes).			Director of Nursing and Quality	Quality Committee	

Ref	Potential or actual risks (from <i>risk register</i>)	Jan '17	Apr '17	July 17	Oct '17	Jan '18	Mar '18
728	Staffing levels not adequate to provide a safe service	5x2 = 10					
614	Safeguarding compliance	2x3 = 6	3x3 = 9				
724	Emergency planning processes not in place and embedded	4x2 = 8	3x2 = 6				
725	Systems not robust to ensure learning and feedback from incident and complaints	4x3 = 12	4x3 = 12	4x3 = 12	4x3 = 12	4x2 = 8	
497	Insufficient Radiologist capacity – impacting on reporting capacity, clinical support for radiographers administering contract agents, unable to progress plans for Radiologist input into planning	4x4 = 16	3x4 = 12	3x4 = 12	3x4 = 12	3x4 = 12	
New risk	Need for assurance re escalation processes for incidents involving external contractual stakeholders which could result in enhanced regulatory scrutiny and reputational damage						2x3 = 6

Impact on strategic initiatives		Potential consequences of the risk	
Ref	Objective	Owner	Key potential consequences of the risk
	Safety: Focus on falls. Development of a comprehensive falls prevention and management plan	DoN&Q	Patient harm
	Experience: Implementation of the Patient Experience Strategy	DoN&Q	Poor patient experience
	Effective: Improving the Quality of Mortality Review and Serious Incident Investigation and Subsequent Learning and Action	DoN&Q	Patient harm, reputational damage
	Deliver our contracted CQUINS	DoN&Q	Poor patient experience, reputational damage
	Develop a CCC: Living with and beyond cancer programme participating in the Merseyside and Cheshire / Cancer Alliance programme	DoN&Q	Poor patient experience

Positive assurances received (last 12 months)			
Report ref	Positive assurance	Level of assurance	Evidence
	Report received		Date reported to committee
	MIAA Clinical Coding Audit 2016/17 – Significant Assurance	L3	1.3.17 (Board)
	MIAA Performance Management Review – Briefing note	L3	1.3.17 (Board)
	MIAA Medicines Optimisation Review – Significant Assurance	L3	1.3.17 (Board)
	Quality Strategy Action Plan	L2	18.1.17 (Quality)
	Quality Committee Performance Report	L2	18.1.17 (Quality)
	Safeguarding Adults & Children Annual Report 2016	L1	18.1.17 (Quality)
	Mortality Report	L1	27.2.17 (Management Group)
	MIAA Follow Up Report – Medical Devices Management 2016/17: Limited Assurance	L3	5.4.17 (Board)
	MIAA Follow Up Report – Quality spot check - 2015/16: Significant Assurance	L3	5.4.17 (Board)
	CQC In patient survey	L3	9.5.17 (Board)
	Quality Strategy Action Plan	L2	20.6.17 (Quality)
	Quality Performance Report	L2	20.6.17 (Quality)
	Quality Accounts (External Assurance - KPMG)	L3	23.5.17 (Board)
	Integrated Performance Report	L2	Monthly (Board) 1.11.17
	EPRR assurance	L2	6.9.17 (Board)
	Infection control annual report	L2	5.7.17 (Board)
	Quality report	L2	9.6.17 (Board)
	Quality committee performance report	L1	20.6.17 (Quality)
	In patient survey report	L3	20.6.17 (Quality)
	Quality strategy update	L1	20.6.17 (Quality)
	Communications at end of life	L1	20.6.17 (Quality)
	Mortality review	L1	1.11.17
	Quality Committee performance report	L1	24.1.18 (QC)
	Assurance from the Quality and Safety Sub-Committee	L1	24.1.18 (QC)
	Quality Spot Checks (Part 2) (MIAA) – Limited Assurance	L3	31.1.18 (Audit)

Gaps in control / negative assurances				
Ref	Gap	Action Plan	Deadline	Owner
	Did not achieve Trust target for attributable pressure ulcers in 2016/17 however no lapse in care identified.	Monthly incident review panel chaired by DoN&Q	Ongoing	DoN&Q
	% of patients waiting longer than 30 minutes greater than target	Each directorate to have an action plan to reduce waiting times which is monitored in each performance review meeting.	Quarterly	GMs
	Sub-committee structure not in place	Develop sub-committee structure for approval at October Quality Committee as part of the wider Board committee review	October 2017	DoN&Q

Risk are controlled by		Reported to					
Ref	Control	Committee	Frequency	Q1	Q2	Q3	Q4
	Quality and Risk Policies	Audit summary to Quality Committee	Annual				
	Delivery of Quality Strategy	Quality Committee	Bi-monthly				
	Directorate performance reviews	Trust Board	Annually				
	HR policies	Audit summary to Quality Committee	Annual				

Strategic Priority 2: Workforce	Initial Risk Score	4 x 3 = 12	Target Risk Score (appetite)	3 x 2 = 6	Current Risk score	4 x 3 = 12
Ref 700	Strategic Priority			Executive Director	Board Committee	
Strategic Priority 2	Ensuring the Trust has the appropriate, motivated and engaged workforce in place to deliver its strategy.			CEO / Director of Workforce and OD	Finance & Business Development/ *Quality Committee/ ^Trust Board	

Ref	Potential or actual risks (from risk register)	Jan '17	Apr '17	Jul '17	Oct '17	Jan '18	Mar '18
612	Workforce resistance to change	4x3 = 12	4x3=12	4x3= 12	4x3 = 12	4x3 = 12	
542	Implementation of the Workforce Strategy falls behind the required timescale	4x2 = 8	4x2=8	4x2= 8	4x2 = 8	4x2 = 8	
766	Recruitment & Retention: Potential loss of staff in relation of the move to Liverpool					4x3 = 12	
728	Staffing levels not adequate to provide a safe service					5x2 = 10	
201	Failure to provide adequate support for employee stress leading to increased absence from work					3x3 = 9	
New	Insufficient capacity in the Finance team – contributing to loss of financial control						4x2 = 8
New	Negative perception of timing/scale/appropriateness of CCC 60 th birthday celebrations affects relationship with staff, patients or stakeholders						2x2 = 4

Impact on strategic initiatives		Potential consequences of the risk	
Ref	Objective	Owner	Key potential consequences of the risk
	*Development of career frameworks	DoN&Q	Inability to optimise the workforce
	Delivery of key elements of the Workforce for the Future components of TCC including: <ul style="list-style-type: none"> Recruitment and retention strategy Training, education and development Strategy Succession planning Talent Management 	DoW&OD	Inability to optimise the workforce
	Implement new roles within CCC based on 'forerunner' pilots	DoW&OD	Inability to optimise the workforce
	Full implementation of new workforce roles to support the Future Clinical Model including development of physician associates, hybrid administrative roles	DoW&OD	Inability to optimise the workforce and deliver Transforming Cancer Care
	▲Development of the organisation culture recipe and programme of OD work to ensure that staff and services are prepared for the move to Liverpool and the CCC workforce brand is recognised.	DoW&OD	Inability to optimise the workforce and deliver Transforming Cancer Care

Positive assurances received (last 12 months)			
Report ref	Positive assurance	Level of assurance	Evidence
	Report received		Date reported to committee
	Integrated Performance Report	L2	Board 9.6.17, 5.7.17 and 6.9.17
	Partnership Working Update	L2	9.6.17 - monthly (Board)
	6 monthly safe staffing acuity report	L2	6.9.17 (Board)
	Staff Survey Results	L3	27.2.17 (Management Group)
	MIAA Follow Up Report – Volunteer Services 2016/17: Significant Assurance	L3	5.4.17 (Board)
	Workforce & OD Report – Quarterly report	L2	5.4.17 (Board)
	Workforce & OD Report	L2	24.04.17 (Management Group) 25.04.17(Quality)
	Staff Survey Deep dive	L2	25.04.17(Quality)
	Revalidation statement of compliance	L2	6.9.17 (Board)
	Workforce and OD strategy update	L2	5.7.17 (Board)
	Medical director update	L2	9.6.17 (Board)
	Staff survey	L3	20.6.17 (Quality)
	Workforce Race Equality Standard	L2	5.7.17 (Board)
	Bi-annual safe staffing report	L1	1.11.17 (Board)
	Raising concerns bi-annual report	L1	24.1.18 (QC)
	Assurance from the Workforce Sub-Committee	L1	24.1.18 (QC)

Gaps in control / negative assurances				
Ref	Gap	Action Plan	Deadline	Owner
	Absent rate remains consistently between 0.5% and 1% above the trust target of 3.5%	HR surgeries between HR Advisors and Managers and policy reviewed during 2017	On-going	DoWOD
	Increase in staff turnover above target throughout 2017/18	Analysis of exit interviews and PADR process to include career planning questions re Liverpool	April 2018	DoWOD
	Agency spend breached cap for 2016/17 and projections for 2017/18 are high due to medical locum cover – Agency spend now under control and within cap.	Workforce Redesign Group implemented	Completed	DoWOD
	Staff results relating to PADR, staffing levels and conflicting priorities, stress related absence and pressure to come to work, and reporting of incidents relating to bullying and harassment,	Staff survey action plan in development and team working closely with directorates and corporate depts to address areas for improvement. Initial results of the 2017 staff survey indicate consistent levels of stress with 2016.	April 2018	DoWOD

Risk are controlled by		Reported to					
Ref	Control	Committee	Frequency	Q1	Q2	Q3	Q4
	HR Policies	Audit summary to Quality Committee	Annual				
	Delivery of Workforce and OD Strategy	Quality Committee and Board	Quarterly				
	Workforce plans	Finance and Business Development committee	Annually				
	Directorate performance reviews	Trust Board	Annually				

Strategic Priority 3: Finance	Initial Risk Score	5 x 3 = 15	Target Risk Score (appetite)	3 x 3 = 9	Current Risk score	5 x 2 = 10
Ref 701	Strategic Priority			Executive Director	Board Committee	
Strategic Priority 3	Ensuring financial sustainability and delivery of the financial plan			Deputy CEO / Director of Finance	Finance & Business Development	

Ref	Potential or actual risks (from risk register)	Jan 17	Apr '17	June '17	Oct '17	Jan '18	Mar '18
779	Non-compliance with Continuity of Service rating	5 x 1 = 5	5x1 =5	5x1 = 5	5x1 = 5	5x2 = 10	
169	Income plan from PPJV not reached	3 x 3 = 9	3x3=9	2x2 = 4	2x2 = 4	2x2 = 4	4x3 = 12
27	Non-delivery of CIP	4 x 3 = 12	4x3=12	4x3 = 12	4x3 = 12	4x3 = 12	
34	Loss of activity associated with clinical income	4 x 3 = 12	4x3=12	4x3 = 12	4x3 = 12	4x3 = 12	2x5 = 10
780	Capital programme overspends	4 x 2 = 8	4x2=8	4x2 = 8	4x2 = 8	4x2 = 8	5x3 = 15
738	Difficulties with accurate data collection post Meditech implementation impacting on cancer waiting time and performance data	3 x 4 = 12	3x4=12	2x3 = 6	2x3 = 6	2x3 = 6	
745	Organisation culture not fit for purpose to develop and deliver the Trust's business plan	4 x 3 = 12	4x3=12	4x3 = 12	4x3 = 12	4x3 = 12	
New	Costs of interim management requirements exceed affordability within the financial plan						4x3 = 12
New	Loss of additional financial contribution of subsidiaries, Joint Venture and R&I to Trust financial plans 2018/19.						2x3 = 6

Impact on strategic initiatives		Potential consequences of the risk	
Ref	Objective	Owner	Key potential consequences of the risk
	Embed new commissioning arrangements e.g. CCG commissioning	Deputy CEO / DoF	Inability to meet financial obligations
	Deliver the CIP programme	DoT&I	Business case not deliverable.
	Ensure achievement of the agency cap through a system of agency control	DoW&OD	Inability to meet financial obligations Risk to compliance with the Trust Licence
	Achieve an underlying annual surplus of a minimum of 1% of turnover	Deputy CEO / DoF	Inability to meet financial obligations
	Deliver the Trust's Capital Programme	Deputy CEO / DoF	Poor estate
	Deliver the Trust's financial control totals	Deputy CEO / DoF	Inability to meet financial obligations
	Ensure the new H-O service delivers planned surplus	DoT&I	Inability to meet financial obligations
	Ensure a 'Use of Resources' rating of at least 2	Deputy CEO /	Inability to meet financial obligations

		DoF	Risk to compliance with the Trust Licence
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Impact on strategic initiatives		Potential consequences of the risk	
Ref	Objective	Owner	Key potential consequences of the risk
	Review and identify other business /entrepreneurial opportunities , for the Trust	Deputy CEO / DoF	Inability to meet financial obligations
	Ensure each of the Trust's subsidiary companies are on trajectory to deliver agreed dividends.	Deputy CEO / DoF	Inability to meet financial obligations

Positive assurances received (last 12 months)			
Report ref	Positive assurance	Level of assurance	Evidence
	Report received		Date reported to committee
	Integrated Performance Report	L2	Monthly (Management Group) 5.6.17 Monthly (Board) 1.11.17
	Clatterbridge Pharmacy Report (CPL)	L2	9.6.17 & 1.11.17quarterly (F&BD)
	Clatterbridge Private Clinic	L2	9.6.17 & 1.11.17quarterly (Board)
	17/18 CIP programme approval	L2	1.3.17 (Board)
	Two Year Financial Plan 2017/18 – 2018/19	L2	1.3.17 (Board)
	Finance report	L2	6.9.17 (Board) 27.9.17 (F&BD)
	MIAA Follow Up Report – CIP 2016/17: Significant Assurance	L3	5.4.17 (Board)
	MIAA Follow Up Report – SLA Contract Management 2015/16: Significant Assurance	L3	5.4.17 (Board)
	Annual Report & Accounts 2016/17	L3	19.5.17 (Audit) 23.5.17 (Board)
	Monthly Finance submission – NHSI (Segment 1)	L3	1.11.17 (Board) Monthly information pack to Board members
	Finance Systems Review (MIAA) - Significant Assurance	L3	31.1.18 (Audit)
	Cancer Waiting Times process review (MIAA) – Significant Assurance	L3	31.1.18 (Audit)

Gaps in control / negative assurances				
Ref	Gap	Action Plan	Deadline	Owner
	No gaps to report			

Risk are controlled by		Reported to					
Ref	Control	Committee	Frequency	Q1	Q2	Q3	Q4
	Finance Policies						
	Delivery of Workforce and OD Strategy	Quality Committee	Quarterly				
	Workforce plans	Finance and Business Development committee	Annually				
	Directorate performance reviews	Trust Board	Annually	x	x		
	Block contract with Commissioners						
	Cost Improvement Programme	Finance and Business Development	Bi-monthly	x	x		

2016/17						
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Strategic Priority 4: Compliance	Initial Risk Score	4 x 3 = 12	Target Risk Score (appetite)	3 x 2 = 6	Current Risk score	4 x 2 = 8
Ref 702	Strategic Priority			Executive Director		Board Committee
Strategic Priority 4	Ensuring regulatory compliance with CQC, NHS Improvement, and other relevant legislation.			Director of Nursing and Quality		Quality Committee/ ^Trust Board

Ref	Potential or actual risks (from risk register)	Jan '17	Apr '17	Jul '17	Oct '17	Jan '18	Mar '18
143	Failure to comply with IRR and IR(me)R	3x3 = 9					
726	Ineffective health and safety processes	5x2 = 10					
763	Failure to comply with NHS Improvement licence conditions	4x2 = 8					
702	Failure to comply with CQC fundamental standards	4x2 = 8					
392 & 62	Failure to comply with other legislation	3x2 = 6					
505	Breach of C diff target of no more than 5	4x3 = 12	4x3 = 12	3x3 = 9	3x4 = 12	3x4 = 12	
New risk	Potential for unannounced CQC inspection due to unplanned changes in the Trust leadership structure resulting in enhanced regulatory scrutiny and potential risk to outstanding rating or the timetable for the Well-Led Review being brought forward.						4x3 = 12
New risk	Reputational damage and staff/stakeholder concern regarding the reasons behind any unannounced/planned CQC inspection and the resulting feedback						4x3 = 12
New risk	The loss of corporate memory due to changes to the executive team could present challenges to the production of the Quality Report (Accounts) and the Annual Governance Statement						3x2 = 6

Impact on strategic initiatives		Potential consequences of the risk	
Ref	Objective	Owner	Key potential consequences of the risk
	^ Deliver the CQC inspection mandated action plan and report progress to the CQC	DoN&Q	Regulatory intervention Impact on quality and safety of patient care Reputational damage
	Deliver the overall CQC inspection action plan	DoN&Q	Impact on quality and safety of patient care
	Prepare for the new CQC and NHSI assessment and inspection regimes to maintain and enhance Outstanding rating	DoN&Q	Regulatory intervention
	Ensure processes are in place to ensure compliance with the new IR(me)R / IRR regulations	DoN&Q	Regulatory intervention

Positive assurances received (within last year)			
Report ref	Positive assurance	Level of assurance	Evidence
	Report received		Date reported to committee
	Integrated Performance Report	L2	Board 6.9.17, 5.7.17, 9.6.17
	NHS Improvement – Q1 Feedback	L3	2.11.16 (Trust Board)
	MIAA Assurance Framework Review	L3	17.3.17 (Audit – 26.4.17)
	MIAA Information Governance Toolkit Assurance Report	L3	25.4.17 (Quality)
	Health and Safety Annual report	L2	25.4.17
	IR(ME)R / Radiation Protection Annual Report	L1	27.4.17 (Radiation Protection Committee)
	Annual Report & Accounts (inc Quality Report) – KPMG	L2, L3	23.5.17 - (Board)
	HSE notification of IRR breach	L2	6.9.17 (Board)
	EPRR assurance	L2	6.9.17 (Board)

Gaps in control / negative assurances				
Ref	Gap	Action Plan	Deadline	Owner
	CQC inspection mandated action plan.	Mandated action plan completed	Oct 2017	DoN&Q
	New IR(me)R / IRR regulations not yet published	Response sent to IRR consultation	Sept 2017	DoN&Q

Risk are controlled by		Reported to					
Ref	Control	Committee	Frequency	Q1	Q2	Q3	Q4
	CQC Fundamental Standards Policy	Quality Committee	Annually				
	Directorate performance reviews	Trust Board	Annually				
	Health and Safety Policies	Quality Committee	Annual report				
	IR(me)R and IRR policies and procedures	Quality Committee	Annual report				
	Emergency preparedness policies	Quality Committee	Annual report				

Strategic Priority 5: Leadership	Initial risk score	4 x 3 = 12	Target Risk Score (appetite)	4 x 2 = 10	Current Risk score	3 x 3 = 9
Ref 703	Strategic Priority			Executive Director	Board Committee	
Strategic Priority 5	Ensuring effective leadership within the Trust			CEO / Director of Workforce and OD	Trust Board / Finance & Business Development	

Ref	Potential or actual risks (from risk register)	Jan '17	Apr '17	June 17	Oct '17	Jan '18	Mar '18
	Lack of clarity on accountability and delegated authority	4x2 = 8		3x2 = 6	3x2 = 6	3x2 = 6	
	Lack of leadership skills, knowledge and capacity	4x2 = 8		4x2 = 8	4x2 = 8	4x2 = 8	
	Inadequate execution of development plans and delivery against operational targets	5x2 = 10		5x2 = 10	5x2 = 10	5x2 = 10	4x2 = 8
	Lack of effective succession planning for Executive Directors, Senior Managers (including clinical leaders) and subject matter experts (including clinical staff)	4x3 = 12		3x3 = 9	3x3 = 9	3x3 = 9	
New	Change in Executive leadership Team could adversely affect the effective leadership within the Trust.						4x2 = 8
New	Loss of SIRO corporate memory presents risk in failure to execute ratification & publication process re DH Information Governance Toolkit submission. Also required to meet GDPR requirements						3x2 = 6
New	Change in leadership and current CEO capacity could adversely affect the effective management of complaints						3x2 = 6
New	Lack of leadership capacity and capability through a period of significant change could have an impact on effective decision-making, communications, stakeholder management and staff morale						4x2 = 8
New	Reduction in strategic influencing capability due to loss of experienced CEO (and vacant SRO Cancer Alliance)						3x5 = 15
New	Loss of personal influence on potential external opportunities (e.g. Cancer Alliance, UoL, R&I)						3x3 = 9
New	Insufficient management capacity in the Directorates / Departments – contributing to loss of financial control.						2x2 = 4

Impact on strategic initiatives		Potential consequences of the risk	
Ref	Objective	Owner	Key potential consequences of the risk
	Develop: <ul style="list-style-type: none"> A Corporate Strategy process A new trust multi- year Corporate Strategy to inform and be informed by relevant supporting strategies and wider context e.g. C&M 5YFV, C&M Cancer Strategy, Cancer Alliance and Commissioner strategies as appropriate 	CEO	Sub optimal governance
	Prepare for the new Well-Led annual inspections including a self-assessment against the new CQC KLOEs as part of the Trusts annual governance self-assessment and revision of the Well led review action plan	DoN&Q	Negative impact on ability to take a leadership role in the health economy.
	^o Delivery of key elements of the Workforce for the Future components of TCC including: <ul style="list-style-type: none"> Leadership development strategy 	DoW&OD	Inability to optimise the workforce

Positive assurances received			
Report ref	Positive assurance	Level of assurance	Evidence
	Report received		Date reported to committee
	CEO Report: STP (5YFV) update	L2	1.2.17 (Part 1)
	CEO Report: Cancer Alliance update	L2	1.2.17 (Part 1)
	Building the Trust Strategy (Board Development)	L1, L3	1.2.17 & 10.3.17
	Developing our Strategy	L1	13.2.17 (Management Group)
	Developing our Strategy (Board Development)	L1	9.6.17
	MIAA - Research Funding & Governance Review (Limited)	L3	25.10.17 (Audit Committee)
	Leadership Development Programme	L1	21.9.17 (Exec Team)
	Workforce and OD strategy update	L2	5.7.17 (Board)
	NED skills review	L2	6.9.17 (Board)
	Scheme of Reservation & Delegation – proposed revisions	L1, L2	12.1.18 (Exec Team) 16.1.18 (Fin Sub-Com) 17.1.18 (Gov & Com Sub-Com)

Gaps in control / negative assurances				
Ref	Gap	Action Plan	Deadline	Owner
	MC Lung cancer report	Fund the appointment of a Consultant Medical Oncologist and lung cancer research nurse.	July 2016 Completed	MD
	Lack of reporting on internal leadership capacity or capability	For review	July 2017	CEO
	Comprehensive succession planning	Undertake a baseline review	September 2017	CEO

Risk are controlled by		Reported to					
Ref	Control	Committee	Frequency	Q1	Q2	Q3	Q4
	Research Strategy	Quality Committee					
	Transformation Programme	Finance and Business Development Committee					
	Workforce and Organisation Development Strategy	Quality Committee					
	Transformation Programme (Workforce for the Future pillar)	Finance and Business Development Committee					
	New leadership development programme commences October 2017	Workforce					x
	Review of Scheme of Delegation / SFI's					x	

Strategic Priority 6: Transformation	Initial Risk Score	4 x 4 = 16	Target Risk Score (appetite)	4 x 3 = 12	Current Risk score	4 x 3 = 12
Ref 704	Strategic Priority			Executive Director	Board Committee	
Strategic Priority 6	Ensuring the delivery of transformation			Director of Transformation and Innovation	Finance & Business Development / ^Trust Board	

Ref	Potential or actual risks (from risk register)	Jan 17	Apr '17	June 17	Oct '17	Jan '18	Mar '18
23,482	TCC: Scheme affordability – escalating costs	5 x 3 = 15	5 x 5 = 25	4x3 = 12	4x3 = 12	4x3 =12	
27	TCC: Scheme affordability – The required annual CIP savings are not fully delivered	4 x 3 = 12	4 x 3 = 12	4x3 = 12	4x3 = 12	4x3 =12	
543	Failure to deliver effective integration of haemato-oncology services causes clinical, performance and financial risks to CCC	4 x 2 = 8	4 x 2 = 8	4x1 = 4	4x1 = 4	4x1 =4	4 x 2 = 8
721	Integrating HO Services into CCC Meditech / E-prescribing	3 x 3 = 9	3 x 3 = 9	3x5 = 15	3x4 = 12	4x3 = 12	
741	Transformation programme fails to deliver required service delivery models, creating clinical, performance, financial and reputational risks	3 x 4 = 12	3 x 4 = 12	4x3 = 12	4x3 = 12	4x2 =8	
693	Risk of loss of key staff due to changes to working practices	5 x 3 = 15	4 x 3 = 12	4x3 = 12	4x3 = 12	4x3 = 12	
691	Stakeholder concern causes opposition / delay to consultation / implementation of new clinical model (particularly in the Eastern sector)						4x3 = 12
New	Loss of stakeholder confidence in future of/progression of capital build programme						3x3 = 9
New	Loss of corporate memory and inability to drive entrepreneurship may lead to failure to develop and implement a comprehensive research strategy and will reduce opportunities to increase patient access to clinical trials; reduce ability to attract and/or retain outstanding cancer workforce; impact on organisation reputation						3x3 = 9
New	Loss of stakeholder confidence leading to negative impact on charity appeal in relation to new build – from the public or withdrawal of support from high profile patrons						2x3 = 6

Impact on strategic initiatives		Potential consequences of the risk	
Ref	Objective	Owner	Key potential consequences of the risk
	▲ Ensure the construction of the new Clatterbridge Cancer Centre – Liverpool remains on track	Deputy CEO / DoF	Inability to deliver the whole transformation programme.
	▲ Agree detailed move plans to safely transfer staff and services into new CCC-Liverpool	Deputy CEO/FD	Inability to deliver the whole transformation programme.
	Complete the safe and effective management transfer of haemato-oncology services from Royal Liverpool into CCC	DoT&I	Inability to deliver the whole transformation programme.
	Develop a Case for Change for the integration of Aintree and Southport Haemato-oncology services	DoTI	Inability to deliver the whole transformation programme.
	Finalise and begin the implementation of the new CCC Clinical Model	MD	Inability to deliver the whole transformation programme.

Positive assurances received (within last 12 months)			
Report ref	Positive assurance	Level of assurance	Evidence
	Report received		Date reported to committee
	Haemato – Oncology Integration - Project Assurance (MIAA) – Significant Assurance	L3	25.1.17 (Audit)
	Cancer Pathways (Deep Dive Presentation)	L1	18.1.17 (Quality)
	CEO Report: STP (5YFV) update	L2	1.2.17 (Board - Part 1)
	TCC: Build for the Future	L2	Board – Part 2 1.3.17
	TCC: Integrated Performance Review	L2	22.2.17 (F&BD)
	Haemato-oncology draft Heads of Agreement	L3	1.3.17 Board
	Haemato-oncology Head of Agreement	L1,L3	29.3.17
	PropCare – Partnership Agreement	L1,L3	31.5.17 (Board)
	Haemato-oncology – Service Transfer Agreement	L1, L3	28.6.17 (Board)
	Haemato-oncology – progress report	L1	5.7.17 (Board)
	PropCare Quarterly Report – Build	L1	17.1.18 (Infrastructure Sub-Com)

Gaps in control / negative assurances				
Ref	Gap	Action Plan	Deadline	Owner

Risk are controlled by		Reported to					
Ref	Control	Committee	Frequency	Q1	Q2	Q3	Q4
	Transformation Programme	Finance and Business Development committee	Quarterly				
	Workforce plans	Finance and Business Development committee	Annually				
	Executive nominated lead for PropCare in place	Board (6.9.17)					

Strategic Priority 7: Infrastructure	Initial Risk Score	3 x 3 = 9	Target Risk Score (appetite)	3 x 2 = 6	Current Risk score	3 x 3 = 9
Ref 705	Strategic Priority			Executive Director	Board Committee	
Strategic Priority 7	Ensuring adequate infrastructure e.g. Estates and IT			Dep CEO / Director of Finance	Finance & Business Development / ^Trust Board	

Ref	Potential or actual risks (from risk register)	Jan 17	Apr '17	June '17	Oct '17	Jan '18	Mar '18
729	Poor maintenance of medical equipment	4 x 2 = 8	4 x 2 = 8	4 x 2 = 8	4 x 2 = 8	4 x 2 = 8	
361	Risks to clinical operations in the event of unavailability of the EPR. Most likely at 'go-live' (May 2016) but also at other times due to connectivity issues at other Trusts	4 x 3 = 12					
162	Capital programme not delivered	3 x 3 = 9	3 x 3 = 9	3 x 3 = 9	3 x 3 = 9	3 x 2 = 6	
556	Risks associated with the implementation of EPR	5 x 2 = 10					
372	Safe systems not in place for water safety	3 x 3 = 9	3 x 3 = 9	3 x 3 = 9	3 x 3 = 9	3 x 3 = 9	
705	Lack of adequate IT infrastructure	3 x 3 = 9	3 x 3 = 9	3 x 3 = 9	3 x 3 = 9	3 x 3 = 9	

Impact on strategic initiatives		Potential consequences of the risk	
Ref	Objective	Owner	Key potential consequences of the risk
	Review and refresh the IM+T strategy including full EPR implementation.	Deputy CEO / DoF	Ineffective patient management.
	Implement Meditech and E-prescribe into HO service	Deputy CEO / DoF	Non-compliance with contractual obligations
	Development of high speed 4G connectivity for clinicians and staff on the move,	Deputy CEO / DoF	Ineffective patient management.
	▲ Extend the scope of PropCare	Deputy CEO / DoF	Sub optimal utilisation of PropCare
	▲ Commence detailed planning work for investment into CCC-Wirral site	Deputy CEO/DoF	Inability to deliver the whole transformation programme.

Positive assurances received			
Report ref	Positive assurance	Level of assurance	Evidence
	Report received		Date reported to committee
	Integrated Performance Report	L2	9.6.17, 5.7.17 and 6.9.17, (Board)
	Emergency Preparedness, Resilience and Response (EPRR) assurance process (LHRP)	L3	6.9.17 (Board)
	IT Asset Management Review – Limited Assurance (MIAA)	L3	26.10.16 (Audit)
	IT Service Desk Review – Limited Assurance (MIAA)	L3	26.10.16 (Audit)
	MIAA Cyber Security maturity baseline - Assurance not applicable	L3	25.1.17 (Audit)
	EPR Residual Issues Update	L2	22.2.17 (F&BD)
	Capital Programme 2017/18 – 2018/19	L1	22.2.17 (F&BD) 1.3.17 (Board)
	Estates Annual Compliance Statement	L1	18.1.17 (Quality)
	MIAA Information Governance Toolkit Assurance Report	L3	25.4.17 (Quality)
	MIAA Follow Up Report – Energy Management 2014/15: Significant Assurance	L3	5.4.17 (Board)
	Cyber Security briefing	L1	31.3.17 (Board)
	PropCare – Partnership Agreement	L1,L3	31.5.17 (Board)
	IM&T Strategy 2015-18	L1	3.5.17 (Board)
	IT Service Continuity (MIAA) – Limited Assurance	L3	31.1.18 (Audit)

Gaps in control / negative assurances				
Ref	Gap	Action Plan	Deadline	Owner
	Low levels pseudomonas in the ward water supply	Implement of copper and silver in water system – Now installed	June 2016	Head of Estates.

Risk are controlled by		Reported to					
Ref	Control	Committee	Frequency	Q1	Q2	Q3	Q4
	Health and Safety Policies		Annual				
	Security policies						
	Delivery of Estates Strategy		Quarterly				
	Workforce plans	Finance and Business Development committee	Annually				
	Directorate performance reviews	Trust Board	Annually				
	Business continuity policies						
	Capital programme						
	IM&T strategy						
	Executive nominated lead for PropCare in place	Board					

Strategic Priority 8: External	Initial Risk Score	5 x 2 = 10	Target Risk Score (appetite)	5 x 2 = 10	Current Risk score	3 x 3 = 9
Ref 706	Strategic Priority			Executive Director	Board Committee	
Strategic Priority 8	Ensuring the alignment of the Trust's strategy with the strategies of key external stakeholders and responding effectively to the policy and commissioning environment			CEO	Trust Board	

Ref	Potential or actual risks (from risk register)	Jan 17	Apr '17	June '17	Oct '17	Jan '18	Mar '18
732	Lack of influence in the local health economy and the development of the STPs	4 x 3 = 12	3 x 3 = 9				
733	Poor engagement with external stakeholders	5 x 2 = 10					
735	The Trust's current/future clinical model is not supported by all key stakeholders	5 x 3 = 15	3 x 3 = 9				
572	Damage to Trust reputation, staff/stakeholder relationships and/or public confidence						3x5 = 15
New	Negative perception of timing/scale/appropriateness of CCC 60 th birthday celebrations affects relationship with staff, patients or stakeholders						2x2 = 4

Impact on strategic initiatives		Potential consequences of the risk	
Ref	Objective	Owner	Key potential consequences of the risk
	Fully participate in the C&M 5YFV and LDS structures to promote cancer as a priority and monitor alignment with CCC's developing Corporate Strategy	CEO	Negative impact on ability to take a leadership role in the health economy.
	Fully participate in the Cancer Alliance (including CEO role as SRO) monitoring alignment with CCC's developing Corporate Strategy	CEO	Negative impact on ability to take a leadership role in the health economy.
	Develop the partnerships required to deliver the revised corporate strategy, e.g. <ul style="list-style-type: none"> Other providers Research collaborations 	CEO	Negative impact on ability to take a leadership role in the health economy. Risk to current business model
	Respond to recommendations of University of Liverpool Clinical Research Review	MD	Negative impact on ability to take a leadership role in the health economy.

Positive assurances received			
Report ref	Positive assurance	Level of assurance	Evidence
	Report received		Date reported to committee
	CEO report: sustainability and transformation plan footprint	L2	24.2.16
	Summary clinical model	L2	24.2.16 (part 2)
	Review of external environment for strategic planning	L2	10.6.16 (Board)
	Deloitte Well-Led Review	L3	04.05.16 (Board)
	Full Business Case (includes Commissioner support)	L3	30.03.16 (Board)
	FBC Approval received, confirmation of Green risk rating (NHSI)	L3	6.7.16 (Trust Board)
	CEO Report: STP (5YFV) update	L2	1.2.17 (Part 1)
	CEO Report: Cancer Alliance update	L2	1.2.17 (Part 1)
	Building the Trust Strategy (Board Development)	L1, L3	1.2.17 & 10.3.17
	Cancer Pathways (Deep Dive Presentation)	L1	18.1.17 (Quality)
	Developing our Strategy	L1	13.2.17 (Management Group)
	Developing our Strategy (Board Development)	L1	9.6.17
	Developing our Strategy (Board, CoG, CD's and Senior Managers)	L1	24.10.17
	Clinical Model - Sefton CCG Governing Body	L3	7.9.17
	Clinical Model – Mid Mersey Cancer Group	L3	28.9.17
	Clinical Model – Eastern Sector	L3	27.11.17
	Clinical Model – sector hubs – West Lancs CCG	L3	16.1.18
	Strategy engagement with University of Liverpool and LHP	L3	22.1.18 and 26.1.18

Gaps in control / negative assurances				
Ref	Gap	Action Plan	Deadline	Owner
	National/Regional model of governance to oversee the delivery of the Achieving World Class Cancer Outcomes Strategy (e.g. Cancer Alliances?)b and CCC role	CCC in dialogue with the Specialised Commissioning and the Strategic Clinical Network Still Work in progress CCC CEO taking the SRO role for Cancer cross cutting theme for Cheshire & Merseyside STP – complete	Autumn 2016	CEO

Risk are controlled by		Reported to					
Ref	Control	Committee	Frequency	Q1	Q2	Q3	Q4
	5 year strategy	Trust Board	Annual				
	Clinical Services Contract	Finance and Business Development Committee	Annual				
	Cheshire & Merseyside STP and 4 Local Delivery System Plans	Trust Board	Ad hoc as required				

Strategic Priority 9: External	Initial Risk Score	4 x 3 = 12	Target Risk Score (appetite)	4 x 2 = 8	Current Risk score	4 x 3 = 12
Ref 707	Strategic Priority			Executive Director	Board Committee	
Strategic Priority 9	Ensuring the Trust responds to the technical challenges of changes to cancer treatment			MD	Finance and Business Development	

Ref	Potential or actual risks (from <i>risk register</i>)	Jan 17	Apr '17	June 17	Oct '17	Jan '18	Mar '18
	Inability to resource new technical development	4 x 3 = 12	4 x 3 = 12	4 x3 =12	4 x3 =12	4 x3 =12	
	Unaware of new technical developments	4 x 3 = 12	4 x 3 = 12	4 x2 = 9	4 x2 = 9	4 x2 = 9	

Impact on strategic initiatives		Potential consequences of the risk	
Ref	Objective	Owner	Key potential consequences of the risk
	Develop and implement the new clinical model	MD	Clinical services not cost effective or clinically sustainable
	Transfer and integrate the haemato-oncology services from the Royal Liverpool and Aintree hospitals	DoT&I	Unable to develop an integrated cancer centre
	Sustainability and Transformation Plan	CEO	Negative impact on ability to take a leadership role in the health economy. Risk to current business model

Positive assurances received			
Report ref	Positive assurance	Level of assurance	Evidence
	Report received		Date reported to committee
	Summary clinical model	L2	24.2.16 (part 2)
	CCC Future Clinical Model	L1	3.5.17 (Board Development)
	Setting the Trust Strategy	L1	4.10.17 & 24.10.17 (Board Development)
	Developing the Trust Strategy	L1	6.12.17 (Board Development)

Gaps in control / negative assurances				
Ref	Gap	Action Plan	Deadline	Owner
	Receipt of information on developments from national CRGs	Annual reports to F&B from CRG reps	End 2017	MD

Risk are controlled by		Reported to					
Ref	Control	Committee	Frequency	Q1	Q2	Q3	Q4
	5 year strategy	Trust Board	Annual				