

## Governing Body meeting (held in public)

**DATE: 29 September 2016**

<b>Title</b>	<b>Board Assurance Framework</b>	
This paper is for <b>Discussion and Information</b> as a standing item on the agenda		
Recommended action for the Governing Body	That the Governing Body:  <b>Note</b> risks on the corporate risk register with a residual risk rating of 15 and above.	
Potential areas for Conflicts of interest	None identified in this report	
Executive summary	<p>The report is the Board Assurance Framework made up of risks on the corporate risk register with a residual risk rating of 15 and above. These are extracted from the corporate risk register for the report.</p> <p>Five risks on the register meet the criteria and are reported. Risks 271, 278 and 280 have the highest residual risk rating of 20. The remaining two risks (256 and 264) have a rating of 16.</p> <p>Three of the risks are from Commissioning (271, 280 and 256) and one each from Finance (264) and Quality and Governance (278).</p> <p>The BAF report is made up of two parts. The front sheet (Part 1) is a summary of the risks and Part 2 (pages 2, 3 and 4) is the detailed risk register.</p>	
How does this paper support the CCGs objectives?*	<b>Patients:</b>	Improve the health and wellbeing of people in Bexley in partnership with our key stakeholders
	<b>People:</b>	Empower our staff to make NHS Bexley CCG the most successful CCG in (south) London
	<b>Pounds:</b>	Delivering on all of our statutory duties and become an effective, efficient and economical organisation
	<b>Process:</b>	Commission safe, sustainable and equitable services in line

## Clinical Commissioning Group

		with the operating framework and which improves outcomes and patient experience
What are the Organisational implications	Key risks	Failure to identify and manage risks effectively risks that affect the running of the CCG.
	Equality	None identified in this report
	Financial	Failure to identify and manage risks effectively may lead to financial consequences for the CCG
	Data	None identified in this report
	Legal issues	Failure to identify and manage risks effectively may have legal implications for the CCG
	NHS constitution	Failure to identify and manage risks effectively may lead to a breach of the NHS constitution.
Engagement	The risk register is reviewed and updated by the risk owners and committees of the governing body	
Audit trail	The risk register is reviewed by the CCG's assistant directors and a number of committees on a regularly basis	
Comms plan	The report will be rolled and published on the CCG's website	
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Date	15 September 2016	

**NHS Bexley Clinical Commissioning Group  
Board Assurance Framework (All Risks Scored above 15+)**

Risk Ref	Risk <i>High-level potential risks that are unlikely to be fully resolved and require ongoing control</i>	Movement since Last Assessment	Residual Risk Rating			Forecast Risk Rating		
			Likelihood	Impact	RAG Status	Likelihood	Impact	RAG Status
271	There is a risk that during 2016-17 patients will not receive definitive treatment within 18 weeks from GP referral to Acute Secondary Care as a result of the improvement trajectories that have been agreed as part of the Sustainability and Transformation Plans. (Dir: Commissioning)	↑	5	4	20	5	4	20
278	There is the risk that residents of the borough of Bexley may receive poor quality care due to the A&E failing to meet the 4-hr performance of A&E waiting standard 2016-17. This is in conjunction with low staffing levels, high use of agency staff, prolonged ambulance handover times and patient flow issues affecting bed capacity (Dir: Governance And Quality)	↔	5	4	20	4	3	12
280	There is a risk that A&Es providers for Bexley residents are failing to meet the 4hour performance of A&E waiting standards within the contract for 2016-17 (Dir: Commissioning)	↑	5	4	20	4	3	12
256	There is the risk that in 2016-17 patients will not receive definitive treatment within 62 days from referral which is mainly attributable to issues affecting performance at LGT. (Dir: Commissioning)	↔	4	4	16	4	4	16
264	There is a risk that the CCG will fail to breakeven in 2016/17 (Dir: Finance)	↔	4	4	16	3	2	6

NHS Bexley Clinical Commissioning Group Board Assurance Framework (All Risks Scored above 15+)

Step 1 - Identify				Step 2 - Evaluate						Step 3 - Plan				Step 4 - Record & Review								
Date Raised	Ref	Accountable Lead (Risk Owner) Accountable Director (Risk Sponsor)	Risk Description & Cause (What could prevent the Objective from being achieved)	Potential Consequence (Impact)	Inherent Likelihood Score	Inherent Impact Score	Inherent Risk Rating	Controls In Place i.e. Actions implemented where this is evidence/documentated note evidence of Risk being controlled	Residual Likelihood Score	Residual Impact Score	Residual Risk Rating	Risk Movement from Last Assessment	Risk Response	Target Risk Rating	Control Gap What further action needs to be put in place	Action Deadline	Forecast Likelihood (Post Actions)	Forecast Impact (Post Actions)	Forecast Risk Rating (Post Actions)	Interdependencies i.e. Does it Impact any one else	Audit and Integrated Assurance Committee RAG Rating of Mitigating Actions	
<b>DIRECTORATE : Commissioning</b>																						
<b>Patients: Improve The Health &amp; Wellbeing Of People In Bexley</b>																						
23/06/2016	271.1	Sarah Valentine	James O'weny	There is a risk that during 2016-17 patients will not receive definitive treatment within 18 weeks from GP referral to Acute Secondary Care as a result of the improvement trajectories that have been agreed as part of the Sustainability and Transformation Plans.	Breach of the CCG's statutory duty to deliver the NHS constitution Poor patient outcomes, quality of care and patient experience Risk to the health and wellbeing of patients Poor reputation of the organisation Complaints	5	4	20	Acute provider recovery trajectories i) KCH failure in 2016-17 ii) DGT to achieve delivery in 2016-17 iii) LGT risk to delivery in 2016-17 link to capacity iv) Referral to Treatment Clinical Working Group reviewing clinical pathways v) Referral to Treatment backlog clearance group in place.	5	4	20	↑	Tolerate	12	KCH recovery trajectory has been set below the threshold for the Standard	31/03/2017	5	4	20		0
14/09/2016	280.1	Sarah Valentine	James O'weny	There is a risk that A&Es providers for Bexley residents are failing to meet the 4hour performance of A&E waiting standards within the contract for 2016-17	Breach of statutory duty and the delivery of the NHS constitution	5	4	20	DGT have a programme to improve patient flow to ED which includes additional trolleys, senior clinicians in minors and 7 day working. DGT developing an AEC unit Home FIRST and FLOW project at LGT LGT developing an ambulatory care centre Review of RAPID response service at QEH KCH recovery trajectory CQC inspection Performance report Contract monitoring meetings	5	4	20	↑	Treat	12	KCH recovery trajectory set below the threshold for the standard LGT not achieving their recovery trajectory DVH not achieving their recovery trajectory The environment and layout of QEH ED requires reconfiguration Increase staffing level to reduce reliance on agency staff	31/03/2017	4	3	12		0
19/01/2016	256.2	Sarah Valentine	James O'weny	There is the risk that in 2016-17 patients will not receive definitive treatment within 62 days from referral which is mainly attributable to issues affecting performance at LGT.	Delayed care for cancer patients. It will affect the CCG's quality premium. Failure to delivery patients rights under the NHS Constitution	4	4	16	The recovery trajectory for Lewisham is being monitored at weekly PTL meetings by SE London CCGs	4	4	16	↔	Treat	9	Confidence in the ability of LGT to deliver the plan is limited, based on past performance in delivering cancer improvement plans	30/09/2016	4	4	16		0

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<b>DIRECTORATE : Finance</b>																					
<b>Pounds: Delivering On All Of Our Statutory Duties</b>																					
28/04/2016	264.5	Theresa Osborne Sarah Blow	There is a risk that the CCG will fail to breakeven in 2016/17	Financial statutory duty not met. The CCG would not qualify for any quality premium payment if the financial plan is not delivered.	4	4	16	5 year plan submitted to NHS England. 1% surplus not achieved until year 5. Financial recovery plan in place. Agreed 169k surplus for 2016/17. Robust internal budget monitoring processes. 0.5% contingency fund in place. 1% transformation fund uncommitted. Monthly external reporting via Non ISFE to NHS England. Monthly internal financial reporting to FSC and Governing body.	4	4	16	↔	Treat	6	Risk of over performance on acute contracts and prescribing.	31/03/2017	3	2	6		0

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DIRECTORATE : Governance And Quality																					
Patients: Improve The Health & Wellbeing Of People In Bexley																					
14/07/2016	278.3	Anne Douse Zoe Hicks-John	There is the risk that residents of the borough of Bexley may receive poor quality care due to the A&E failing to meet the 4-hr performance of A&E waiting standard 2016-17. This is in conjunction with low staffing levels, high use of agency staff, prolonged ambulance handover times and patient flow issues affecting bed capacity	Breach of statutory duty and NHS to deliver the NHS constitution. Adverse impact on patient experience, health outcomes, quality of care and patient safety.	5	4	20	DGT have a programme to improve patient flow to ED which includes additional trolleys, senior clinicians in minors and seven day working. DGT developing an AEC Unit Home FIRST and FLOW, Project at LGT LGT developing an AMBULATORY Care Centre Review of RAPID Response service at QEH KCH recovery trajectory Quality assurance visits CQC inspection Patient experience feedback/quality alerts Performance reports CQRG meetings Patient safety incident monitoring Healthwatch visits/feedback DVH have UCC on site with effective triage and streaming LAS and SCAM have introduced one crew to be responsible for multiple patients waiting to be handed over to A&E staff to release crews back out to service.	5	4	20	↔	Treat	12	The environment and layout of QEH ED department requires reconfiguration. Increase permanent staffing levels; to reduce reliance on agency staff	31/03/2017	4	3	12		0