

Risk number:	1964	Lead Director:	Debra Gilderdale	Review Date:	08/01/2018
Monitoring Group:	QSC				
Initial Risk Rating:	12	Current Risk Rating:	12	Residual Risk Rating:	1
<p>Strategic Objective: Quality & Workforce</p> <p>To provide high quality, evidence-based services delivered by a diverse, motivated and engaged workforce</p> <p>Risk description:</p> <p>If demand exceeds capacity. Then service quality, safety and performance could deteriorate. Linked to CRR 1819, 1825 & 1826.</p>					
Key controls:		Internal & External Assurance:		Gaps in assurance:	
<ul style="list-style-type: none"> - IPR & Committee dashboards - BU performance meetings - Directors' & Transformation meetings - Risk Management Framework 		<ul style="list-style-type: none"> - Recent IPR reports to Board (Q1) - Q&SC / MHLC reports and BU presentations (Q1) - Reports to Outstanding Care Steering Group (Q1) - Available through staff intranet 			
Gap in control/Action:		Open actions:		Most recent action update:	
Impact of LA budget - potential mitigation but no local system agreement to LA share of £2bn social care		1 F2E meeting on population demand/Well Bradford.			

Risk number:	1965	Lead Director:	Liz Romaniak	Review Date:	30/10/2017
Monitoring Group:	Trust Board				
Initial Risk Rating:	12	Current Risk Rating:	8	Residual Risk Rating:	4
<p>Strategic Objective: Intergration & Partnerships</p> <p>To be influential in the development of new models of care locally and more widely across the West Yorkshire and Harrogate STP</p> <p>Risk description:</p> <p>If partners (including BDCFT) fail to develop a robust and sustainable ACS across AWC. Then there will not be the system-wide change needed to manage resources vs demand. Linked to CRR 1824.</p>					
Key controls:		Internal & External Assurance:		Gaps in assurance:	
<ul style="list-style-type: none"> - ICB & Accountable Care Boards established - 'Engine Room' meetings arranged 		<ul style="list-style-type: none"> - Regular updates through CEO reports (Q1) - Care model development workshop report (May 2017) 			
Gap in control/Action:		Open actions:		Most recent action update:	
		1 Revise Stakeholder strategy		<p>Aim to revise stakeholder strategy by October 2017.</p> <p>Date Entered : 01/08/2017 09:00 Entered By : Greg Sawiuk</p>	

Risk number:	1973	Lead Director:	Andy McElligott	Review Date:	01/12/2017
Monitoring Group:	QSC				
Initial Risk Rating:	8	Current Risk Rating:	8	Residual Risk Rating:	4
<p>Strategic Objective: Quality & Workforce</p> <p>To provide high quality, evidence-based services delivered by a diverse, motivated and engaged workforce</p> <p>Risk description:</p> <p>If regulatory standards are not met. We may experience intervention from regulators or damage to our reputation. Linked to CRR 1819 & 1820.</p>					
Key controls:		Internal & External Assurance:		Gaps in assurance:	
<ul style="list-style-type: none"> - CQC rating of Good - Quality strategy - Q&SC & MHLC reports - Q&S walkabouts 		<ul style="list-style-type: none"> - Regular meetings with commissioners and regulators - Outstanding Care Board papers/review of well-led framework - Compliance reports on CQC MHA inspections 			
Gap in control/Action:		Open actions:		Most recent action update:	
<ul style="list-style-type: none"> - Result of new CQC well-led inspection - once completed (W4 2017/18) 		<ol style="list-style-type: none"> 1 Preparation for CQC inspection & regular Board updates (ongoing) 		<ul style="list-style-type: none"> - Outstanding Care Programme Board meeting regularly - CQC inspection commenced and actions already being taken in response to initial feedback without waiting for final report <p>Date Entered : 19/10/2017 12:53 Entered By : Greg Sawiuk</p>	

Risk number:	1974	Lead Director:	Debra Gilderdale	Review Date:	31/12/2017
Monitoring Group:	QSC				
Initial Risk Rating:	9	Current Risk Rating:	9	Residual Risk Rating:	0
<p>Strategic Objective: Quality & Workforce</p> <p>To provide high quality, evidence-based services delivered by a diverse, motivated and engaged workforce</p> <p>Risk description:</p> <p>If we do not provide a positive service user/carer experience. Then we may not be responsive to local communities or commissioners' needs. Linked to CRR 1819.</p>					
Key controls:		Internal & External Assurance:		Gaps in assurance:	
<ul style="list-style-type: none"> - You and Your Care Strategy - Existing service user governance & involvement groups 		<ul style="list-style-type: none"> - Patient experience report to Q&SC (Feb 2017) - Updates from service users at key governance meetings 			
Gap in control/Action:		Open actions:		Most recent action update:	
		1 Development of Carer's Hub/Spoke into AWC			
		2 Engagement exercise on revised quality goals			

Risk number:	1975	Lead Director:	Sandra Knight	Review Date:	30/11/2017
Monitoring Group:	FBIC				
Initial Risk Rating:	16	Current Risk Rating:	16	Residual Risk Rating:	12
<p>Strategic Objective: Quality & Workforce</p> <p>To provide high quality, evidence-based services delivered by a diverse, motivated and engaged workforce</p> <p>Risk description:</p> <p>If we fail to recruit and retain a diverse workforce. Then the quality of our services may deteriorate and our agency costs increase. Linked to CRR 1831.</p>					
Key controls:		Internal & External Assurance:		Gaps in assurance:	
<ul style="list-style-type: none"> - Workforce strategy - BME employment strategy - Workforce data in IPR & FBIC dashboard 		<ul style="list-style-type: none"> - Committee report to FBIC (April 2017) - BME strategy paper to Board (June 2017) 		<ul style="list-style-type: none"> - The link between the Workforce Transformation Steering Group responsible for monitoring progress of actions and EMT requires strengthening. 	
Gap in control/Action:		Open actions:		Most recent action update:	
<ul style="list-style-type: none"> - Progress on delivering representative workforce target by 2020 		<p>1 Workforce strategy update</p>		<ul style="list-style-type: none"> - An up to date RAG rated action plan in place. Work commenced on Workforce Strategy refresh. <p>Date Entered : 20/10/2017 10:49 Entered By : Greg Sawiuk</p>	
<ul style="list-style-type: none"> - Deterioration in staff engagement scores in 2016 staff survey 		<p>2 EMT discussion on re-focusing BME employment strategy</p>		<ul style="list-style-type: none"> - EMT propose that the focus should be broadened to develop an equalities in employment strategy board paper scheduled for November to reflect on progress with staff survey action to address engagement issues and impact. <p>Date Entered : 20/10/2017 10:50 Entered By : Greg Sawiuk</p>	

Risk number:	1976	Lead Director:	Sandra Knight	Review Date:	31/10/2017
Monitoring Group:	FBIC				
Initial Risk Rating:	12	Current Risk Rating:	12	Residual Risk Rating:	8
<p>Strategic Objective: Quality & Workforce</p> <p>To provide high quality, evidence-based services delivered by a diverse, motivated and engaged workforce</p> <p>Risk description:</p> <p>If we do not develop an engaged and motivated workforce. Then the quality of our service may deteriorate. Linked to CRR 1831.</p>					
Key controls:		Internal & External Assurance:		Gaps in assurance:	
<ul style="list-style-type: none"> - Annual Staff Survey results & Board paper - Workforce Strategy - Staff engagement plan 		<ul style="list-style-type: none"> - Results of Q1 & Q2 EMT briefings 		<ul style="list-style-type: none"> - Business Unit monthly performance meetings do not currently encompass progress of staff survey actions. 	
Gap in control/Action:		Open actions:		Most recent action update:	
		1 6-month update on staff survey actions		<p>Corporate actions progressed and evidence of local action planning</p> <p>Date Entered : 20/10/2017 10:52 Entered By : Greg Sawiuk</p>	
		2 Staff Survey results 2017 Board paper		<p>November Board paper to identify progress on Trust wide and Business Unit / corporate actions.</p> <p>Date Entered : 20/10/2017 10:52 Entered By : Greg Sawiuk</p>	

Risk number:	1977	Lead Director:	Sandra Knight	Review Date:	31/12/2017
Monitoring Group:	FBIC				
Initial Risk Rating:	9	Current Risk Rating:	9	Residual Risk Rating:	8
<p>Strategic Objective: Quality & Workforce</p> <p>To provide high quality, evidence-based services delivered by a diverse, motivated and engaged workforce</p> <p>Risk description:</p> <p>If we fail to develop an innovative learning culture for staff. Then we may not exploit new opportunities that emerge. Linked to CRR 1830.</p>					
Key controls:		Internal & External Assurance:		Gaps in assurance:	
<ul style="list-style-type: none"> - iCare programme introduced - IPR policy in place - Quality and learning network - Worksmart strategy 		<ul style="list-style-type: none"> - FBIC reports (Q1) - Recognition through regional awards/YASA - EMT paper on crowdsourcing 			
Gap in control/Action:		Open actions:		Most recent action update:	
<ul style="list-style-type: none"> - Formal governance arrangements for iCare and crowd sourcing in development 		<p>1 Business case on option for crowdsourcing</p>		<p>Expression of Interest in providing crowd sourcing issued following EMT decision to proceed</p> <p>Date Entered : 20/10/2017 10:55 Entered By : Greg Sawiuk</p>	

Risk number:	1978	Lead Director:	Nicola Lees	Review Date:	31/01/2018
Monitoring Group:	Trust Board				
Initial Risk Rating:	12	Current Risk Rating:	12	Residual Risk Rating:	12
<p>Strategic Objective: Intergration & Partnerships</p> <p>To be influential in the development of new models of care locally and more widely across the West Yorkshire and Harrogate STP</p> <p>Risk description:</p> <p>If partners (including BDCFT) fail to deliver a robust West Yorkshire and Harrogate STP. Then there could be financial and quality financial implications for the wider health economy. Linked to CRR 1824.</p>					
Key controls:		Internal & External Assurance:		Gaps in assurance:	
<ul style="list-style-type: none"> - Approved STP Plan - STP Steering Group in place - PMO and lead Director in place - NHSE & NHSI part of governance arrangements 		<ul style="list-style-type: none"> - Regular updates through CEO reports (Q1) 			
Gap in control/Action:		Open actions:		Most recent action update:	
<ul style="list-style-type: none"> - Committee in Common (CIC) arrangements for 3 WY FTs to be established 		<ul style="list-style-type: none"> 1 Governance discussions being arranged with report back to STP steering group/FT Boards 		<p>Paper to October board outlining timescale for development of a CIC and an MOU for west YH.</p> <p>Date Entered : 20/10/2017 10:38 Entered By : Greg Sawiuk</p>	

Risk number:	1979	Lead Director:	Nicola Lees	Review Date:	31/01/2018
Monitoring Group:	Trust Board				
Initial Risk Rating:	12	Current Risk Rating:	12	Residual Risk Rating:	12
<p>Strategic Objective: Intergration & Partnerships</p> <p>To be influential in the development of new models of care locally and more widely across the West Yorkshire and Harrogate STP</p> <p>Risk description:</p> <p>If partners (including BDCFT) fail to delivery a robust Bradford and Craven Yorkshire STP. Then there could be financial and quality implications for the local health economy. Linked to CRR 1824.</p>					
Key controls:		Internal & External Assurance:		Gaps in assurance:	
<ul style="list-style-type: none"> - ICB structure in place - active engagement by Executive Directors - Accountable care programme boards in place - Regular DoF's meeting in place 		<ul style="list-style-type: none"> - Regular updates through CEO reports (Q1) - Regular updates through ICB - Updates through the STP leadership team meetings 		<ul style="list-style-type: none"> - Not fully quantified how the financial gap will be bridged 	
Gap in control/Action:		Open actions:		Most recent action update:	
<ul style="list-style-type: none"> - Approved public narrative for STP progress to be re-issued in Autumn 		<ul style="list-style-type: none"> 1 Refreshed STP narrative to be reviewed at the healthy future group. 			

Risk number:	1980	Lead Director:	Andy McElligott	Review Date:	31/10/2017
Monitoring Group:	Trust Board				
Initial Risk Rating:	12	Current Risk Rating:	12	Residual Risk Rating:	8
<p>Strategic Objective: Intergration & Partnerships</p> <p>To be influential in the development of new models of care locally and more widely across the West Yorkshire and Harrogate STP</p> <p>Risk description:</p> <p>If partners (including BDCFT) fail to develop a robust and sustainable Accountable Care Systems across Bradford and AWC. Then there will not be the system-wide change needed to manage resources v demand. Linked to CRR 1824.</p>					
Key controls:		Internal & External Assurance:		Gaps in assurance:	
<ul style="list-style-type: none"> - ICB & Accountable Care Boards established - MoU and Alliance Agreement approved - Out of hospital structural collaboration launched 		<ul style="list-style-type: none"> - Regular updates through CEO reports (Q1) - MOU and Alliance Agreement signed (June 2017) 			
Gap in control/Action:		Open actions:		Most recent action update:	
<ul style="list-style-type: none"> - No MoU in place in AWC yet - No agreement on diabetes outcomes framework for Bradford 		<p>1 Active leadership of both emerging Accountable Care Systems</p>		<ul style="list-style-type: none"> - Two Executive Directors on each Accountable Care Programme Board and each Provider Alliance Board - BDCFT Chair in Bradford - BDCFT Deputy Chair in AWC <p>Date Entered : 19/10/2017 12:49 Entered By : Greg Sawiuk</p>	

Risk number:	1981	Lead Director:	Sandra Knight	Review Date:	31/01/2018
Monitoring Group:	FBIC				
Initial Risk Rating:	12	Current Risk Rating:	12	Residual Risk Rating:	9
<p>Strategic Objective: Sustainability & Growth</p> <p>To maintain our financial viability whilst actively seeking appropriate new business opportunities</p> <p>Risk description:</p> <p>If we are unable to facilitate a dynamic culture of innovation. Then we are unlikely to meet future quality and financial challenges which threaten our performance and sustainability in the market place. Linked to CRR 1827.</p>					
Key controls:		Internal & External Assurance:		Gaps in assurance:	
<ul style="list-style-type: none"> - Market development plan to FBIC - iCare programme 		<ul style="list-style-type: none"> - FBIC reports (April, June, July 2017) 		<ul style="list-style-type: none"> - Market Development Plan impacted by greater focus on structured collaboration and reduction in corporate functions. 	
Gap in control/Action:		Open actions:		Most recent action update:	
		<ol style="list-style-type: none"> 1 Business case on option for crowd sourcing 		<p>iCare ideas being implemented/progressing. EMT has agreed to pursue crowd sourcing option.</p> <p>Date Entered : 20/10/2017 10:57 Entered By : Greg Sawiuk</p>	

Risk number:	1982	Lead Director:	Debra Gilderdale	Review Date:	31/01/2018
Monitoring Group:	Trust Board				
Initial Risk Rating:	12	Current Risk Rating:	12	Residual Risk Rating:	0
<p>Strategic Objective: Sustainability & Growth</p> <p>To maintain our financial viability whilst actively seeking appropriate new business opportunities</p> <p>Risk description:</p> <p>If we do not have a clear and viable vision for business growth. We will not be able to respond confidently and creatively to opportunities to grow and develop our services. Linked to CRR 1827 & 1828.</p>					
Key controls:		Internal & External Assurance:		Gaps in assurance:	
<ul style="list-style-type: none"> - Operational Plan and response to 5YFV for MH - Mental Wellbeing strategy sets framework for locally - MH UEC Vanguard for West Yorkshire 		<ul style="list-style-type: none"> - Board discussion on wellbeing strategy (June 2017) 			
Gap in control/Action:		Open actions:		Most recent action update:	
<ul style="list-style-type: none"> - Ongoing discussions with local commissioners about MH funding linked to new strategy (ongoing) - Uncertainty over LA budget implications on MH services linked to VCS (ongoing) 		<ul style="list-style-type: none"> 1 SWOT analysis and wider re-fresh of organisational strategy, following Board workshop) 			

Risk number:	1983	Lead Director:	Sandra Knight	Review Date:	30/11/2017
Monitoring Group:	FBIC				
Initial Risk Rating:	12	Current Risk Rating:	12	Residual Risk Rating:	9
<p>Strategic Objective: Sustainability & Growth</p> <p>To maintain our financial viability whilst actively seeking appropriate new business opportunities</p> <p>Risk description:</p> <p>If we do not create resilience and invest capacity within the organisation to support transformation and transition. We will stifle innovation, create disengagement and not achieve our vision for sustainability and growth. Linked to CRR 1829.</p>					
Key controls:		Internal & External Assurance:		Gaps in assurance:	
<ul style="list-style-type: none"> - Workforce strategy - BME employment strategy - Workforce data in IPR & FBIC dashboard - iCare - Workforce Strategy Market Development Plan 		<ul style="list-style-type: none"> - Digital strategy to FBIC (June 2017) - Workforce Strategy (April 2017) - September annual update to FBIC. - EMT review of opportunities and investment 		<ul style="list-style-type: none"> - Impact of corporate benchmarking on resilience/ability to respond to opportunities 	
Gap in control/Action:		Open actions:		Most recent action update:	
		1 Actions identified following F2E Resilience Workshop		Awaiting and replace with Action plan drafted Date Entered : 20/10/2017 11:00 Entered By : Greg Sawiuk	
		2 Transformational plan costings to FBIC		EMT agreement to pursue crowd sourcing platform Date Entered : 20/10/2017 11:00 Entered By : Greg Sawiuk	

Risk number:	1984	Lead Director:	Liz Romaniak	Review Date:	28/11/2017
Monitoring Group:	FBIC				
Initial Risk Rating:	20	Current Risk Rating:	20	Residual Risk Rating:	0
<p>Strategic Objective: Sustainability & Growth</p> <p>To maintain our financial viability whilst actively seeking appropriate new business opportunities</p> <p>Risk description:</p> <p>If public sector finances tighten. Then our financial position could deteriorate. Linked to CRR 1821.</p>					
Key controls:		Internal & External Assurance:		Gaps in assurance:	
<ul style="list-style-type: none"> - Regular finance reports to Board/FBIC - CIP programme reviews delivery - EMT oversight of financial mitigation plans - Financial dashboard 		<ul style="list-style-type: none"> - Corporate benchmarking report to FBIC (June 2017) 			
Gap in control/Action:		Open actions:		Most recent action update:	
		1 Draft operational plan to FBIC			

Risk number:	1985	Lead Director:	Liz Romaniak	Review Date:	30/11/2017
Monitoring Group:	FBIC				
Initial Risk Rating:	16	Current Risk Rating:	16	Residual Risk Rating:	0
<p>Strategic Objective: Sustainability & Growth</p> <p>To maintain our financial viability whilst actively seeking appropriate new business opportunities</p> <p>Risk description:</p> <p>If productivity and VfM are not improved. Then we may gradually lose contracts to more competitive providers and could become unviable. Linked to CRR 1821 & 1822.</p>					
Key controls:		Internal & External Assurance:		Gaps in assurance:	
<ul style="list-style-type: none"> - Regular finance reports to Board/FBIC - Deep dives on service lines 		<ul style="list-style-type: none"> - Corporate benchmarking report to FBIC (June 2017) - Deep dive on central services costs (June 2017) 			
Gap in control/Action:		Open actions:		Most recent action update:	
		1 Further report on corporate benchmarking of IMT to FBIC (Q3)			
		2 Refreshed NHS Benchmarking Club report to FBIC			
		3 Workforce strategy deep dive to FBIC			

Risk number:	1986	Lead Director:	Liz Romaniak	Review Date:	31/01/2018
Monitoring Group:	FBIC				
Initial Risk Rating:	16	Current Risk Rating:	16	Residual Risk Rating:	0
<p>Strategic Objective: Sustainability & Growth</p> <p>To maintain our financial viability whilst actively seeking appropriate new business opportunities</p> <p>Risk description:</p> <p>If commissioners reduce the value of contracts. Then we may not be able to cover fixed costs with adverse consequences to our financial viability. Linked to CRR 1821.</p>					
Key controls:		Internal & External Assurance:		Gaps in assurance:	
<ul style="list-style-type: none"> - Positive contractual round with NHSE and CCGs - Wakefield contract provides some contribution to overheads 		<ul style="list-style-type: none"> - Corporate benchmarking report to FBIC (June 2017) 			
Gap in control/Action:		Open actions:		Most recent action update:	
<ul style="list-style-type: none"> - Public health reductions have potential to materially impact on Trust's financial position - Identification of delivery for all CIPs in 2017/18 and 2018/19 key priority 		1 .			