REPORT TO THE TRUST BOARD - PUBLIC
19 OCTOBER 2017

Title	Integrated Performance and Compliance Report
Author	Sarah Gibbs, Assistant Director of Informatics
Accountable Executive Director	Mason Fitzgerald, Director of Corporate Affairs Dr Mohit Venkataram, Executive Director of Commercial Development and Performance Steven Course, Chief Financial Officer

Purpose of the Report:

This report provides assurance to the Trust Board on Trust-wide performance and compliance matters for the period 1st April 2017 – 31sst August 2017.

Summary of Key Issues:

Data gathered for the reporting period indicates that Trust's first quarter 2017/18 return for the Single Oversight Framework has been rated as Segment 2. See section 2 of this report for details.

Performance is below target for the cardiometabolic inpatient assessments, and the IAPT recovery target. Narrative is contained in the report. Narrative on workforce indicators is also included in the report. A review of statutory and mandatory training is being carried out and further detail on this area will be included in the December Board report.

There is a n operating surplus (EBITDA) to end of August 2017 of £8.1m (5.3%) compared to plan of £8.3m (5.5%). Overall Risk rating of "2" to the end of August 2017.

The red rated risks on the Trust's Board Assurance Framework are:

- It fails to transform district nursing services in order to meet the needs of the local health services and wider community
- The short-term impact and potential lack of achievability of CRES requirements, coupled with expenditure control and income generation, upon the overall financial sustainability of the Trust. Further risk implications concerning the impact on the reputation of the Trust and access to revenue streams such as STF funding.
- The long term impact and potential lack of achievability of CRES requirements over the next 5 years, threatens the overall financial sustainability of the trust.
- Agreement via consultation with commissioners, the public and other external stakeholders may not be granted in time to execute major plans designed to reduce expenditure and provide a more efficient delivery of service.

Supporting Documents and Research material:

	Description	Frequency
1.	**Board Assurance Framework**	**Bi - Monthly - SDB** **Bi-monthly – Trust Board**

Strategic priorities this paper supports:

Improving service user satisfaction	☒	Via reporting progress on national/local performance and contractual targets
Improving staff satisfaction	☒	Via reporting progress on delivery of national and local workforce targets
Maintaining financial viability	☒	Via confirming delivery of NHS Improvement Risk Assessment Framework requirements

Committees/Meetings where this item has been considered:

Date	Committee and assurance coverage
11th October 2017 19th October 2017 Various. Various dates in following month.	This report is submitted to the Service Delivery and Trust Boards. This report is based on August/YTD activity data received by the 4th September 2017. Final figures were considered at the Service Delivery Board, Quality and Performance review meetings with Trust Executive Directors. This review process is supported via a central adverse variance action tracker and summaries prepared by DMTs. Metrics herein are reported in more depth to service commissioners at monthly Technical Support Group and Service Performance Review meetings. Where required, significant variance and recovery plans are prepared by DMTs and agreed with commissioners regarding contract compliance issues.

Implications:

Impact	Update/detail
Equality Analysis	This report has no direct impact on equalities
Risk and Assurance	This report and supporting appendices cover performance for the period to the end of August 2017 and provides data on key Compliance, NHS Improvement (Month 5), national and contractual targets.
Service User/Carer/Staff	This report summarises progress on delivery of national and local performance targets set for all services.
Financial	The NHSI return, CQUIN report and contract compliance summary will highlight the areas where targets have not been met or areas of noncompliance against the main contacts and could pose a financial risk to the Trust.
Quality	Metrics within this report are used to support delivery of the Trust's wider service and quality goals.

1. Introduction

This report provides assurance to the Trust Board and Executive Directors on Trust wide performance and compliance matters. The report shows compliance for the year to date against key national and commissioning targets.

There are three main changes to highlight this month in the presentation of the report:

1. The integrated reporting dashboard is going live and will be made available to Board members. A wider piece of work in ongoing in order to develop a sustainable integrated reporting system for the Trust. This includes the integration of performance and quality systems and reporting.
2. The finance report has now been integrated into this report. A such, overall reporting on metrics has been streamlined to focus on NHSI operational performance targets.
3. Commentary on workforce issues is exclusively referred to in this report, rather than being duplicated across the performance and quality reports. The graphs continue to be included in the quality report so that an overall view of quality can be seen, until such time as the integrated system becomes available.

The infographic report this month relates to community services in Newham for 2016/17. The aim of the report is to illustrate key activity within each service area with an emphasis on the volume of work carried out, without reference to targets or benchmarking.

2. Single Oversight Framework summary

The Single Oversight Framework has replaced the Monitor 'Risk Assessment Framework' and the NHS Trust Development Authority 'Accountability Framework'. Trusts are now segmented under the Single Oversight Framework (SOF) based on the level of support each provider needs which is designed to help NHS providers attain, and maintain, Care Quality Commission ratings of ‘Good’ or ‘Outstanding.

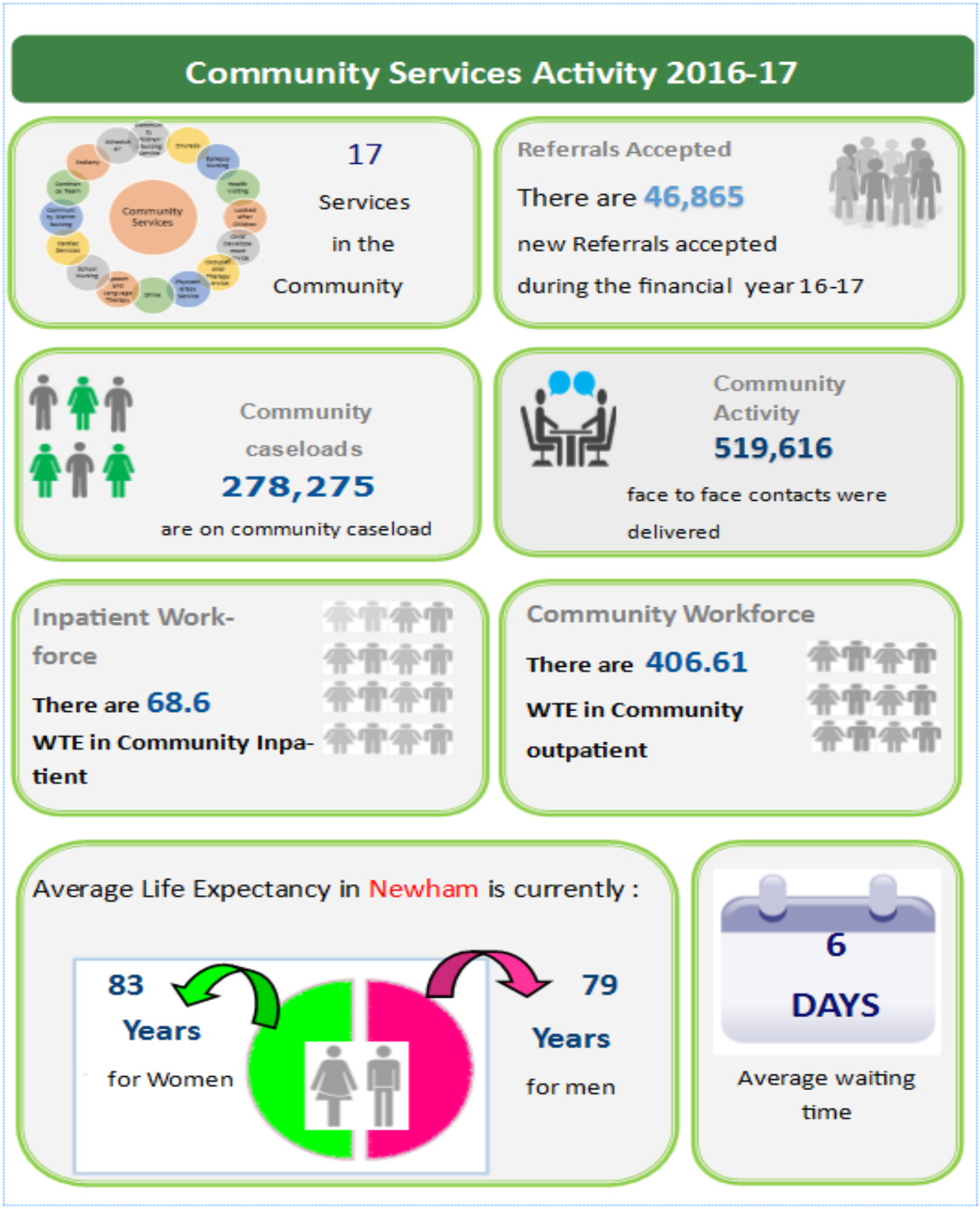
The Framework is divided into 5 themes. See table below for the Trust’s current rating against each theme.

Theme	Current Rating	
Quality of Care		No Concerns
Financial and Use of Resources		Trust currently scores a “2” on the 1-4 rating scale. See finance section for further details.
Operational Performance		No Concerns
Strategic Performance		No Concerns
Leadership and Improvement Capability		No Concerns

Based on the above, the Trust would remain in segment 2 (where targeted support is available, but not mandated).

3. Service Provision Infographic

The reports below highlight just how much work we deliver as a Trust and ensure that we acknowledge and celebrate it. The infographic page aims to address this.



4. Single Oversight Framework

This report shows performance against the operational performance metrics in the Single Oversight Framework. A year to date figure is reported.

4.1 Operational Performance Metrics - Mental Health Providers

Measure	Standard	YTD
Patients requiring acute care who received a gatekeeping assessment by a crisis resolution and home treatment team in line with best practice standards	95%	99.2%
People with a first episode of psychosis begin treatment with a NICE-recommended package of care within 2 weeks of referral	50%	88%
Ensure that cardio-metabolic assessment and treatment for people with psychosis is delivered routinely in the following service areas :	**Standard**	**YTD**
a) inpatient wards	90%	72.0%
b) early intervention in psychosis services	90%	94.0%
c) community mental health services (people on Care Programme Approach)	60%	85.0%
Complete and valid submissions of metrics in the monthly Mental Health Services Data Set (MHSDS) submissions to NHS Digital:	**Standard**	**YTD**
Identifier Metrics	95%	100.0%
Priority Metrics	85%	91.0%
Improving Access to Psychological Therapies (IAPT)/talking therapies	**Standard**	**YTD**
Proportion of people completing treatment who move to recovery (from IAPT MDS)	50%	49.7%
Waiting time to begin treatment within 6 weeks	75%	96.7%
Waiting time to begin treatment within 18 weeks	95%	99.4%

Cardio-metabolic assessment and treatment
Performance against the inpatient target is at 72% for the year to date. There is large variation in performance across different clinical directorates, and this is a focus of monthly performance meetings. Underperformance is partly due to recording issues, and a recent audit of clinical notes has shown compliance with this target. The wider issue of physical healthcare on our inpatient wards was discussed in detail at the October Service Delivery Board, and a review of progress in this area is being conducted.

IAPT recovery rate
The Trust's performance against the recovery rate target was marginally under the 50% target as of 31 August. Latest figures show that this has improved to 50.09% as of 30 September.

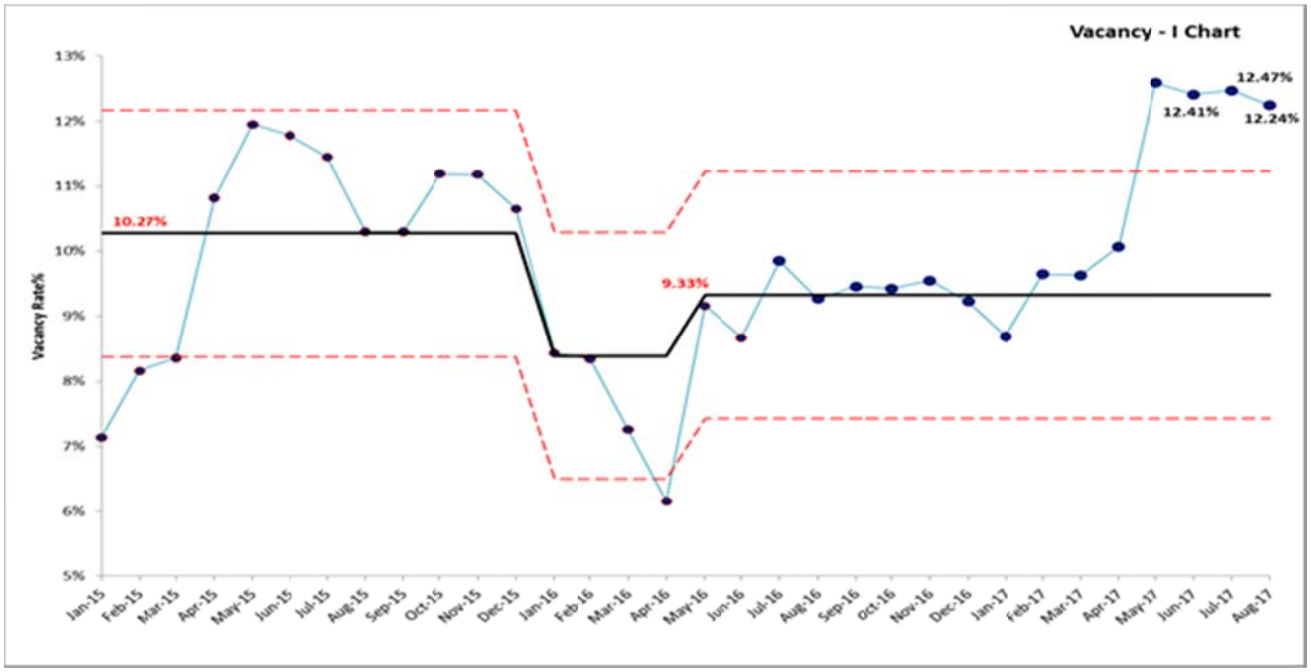
One of the Trust's four IAPT services is reporting 45% in the year to date, with the other three services reporting over 50%. Recovery rates in that service are thought to have been affected by a push to deliver access targets, and now access targets are being comfortably

met, additional focus is on delivery of a high recovery rate. An action plan is in place and is being reviewed at monthly performance meetings, and performance is on an improving trajectory.

5.0 Workforce Indicators

The charts below show the Trust's performance in relation to Vacancy, Absence, Turnover and Training compliance rates:

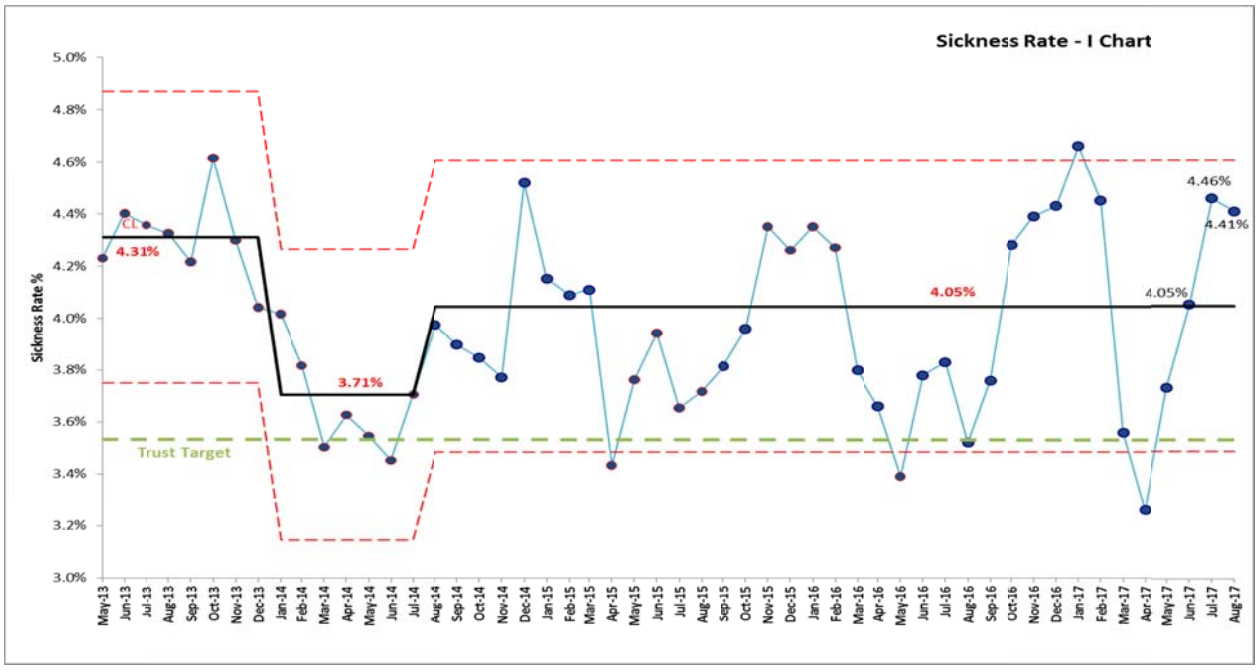
5.1 Vacancies



The Trust vacancy rate has decreased slightly between July and August to 12.24% in September. Hotspots include Community Services Tower Hamlets and Luton and Bedfordshire both of which have working groups established to reduce vacancies and agency spend.

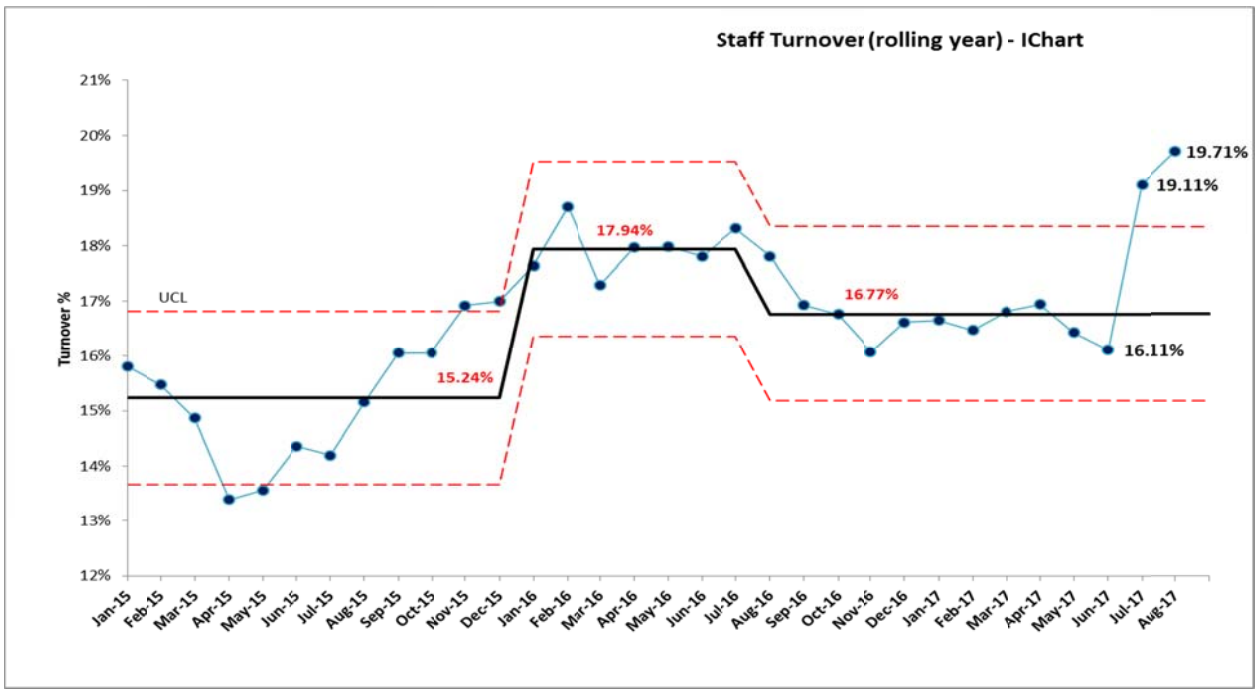
The TRAC recruitment system has been implemented and is in its fifth month of operation. This is providing significantly improved reporting on core metrics and enable greater transparency and cross referencing of vacancy and recruitment data and information.

5.2 Absence



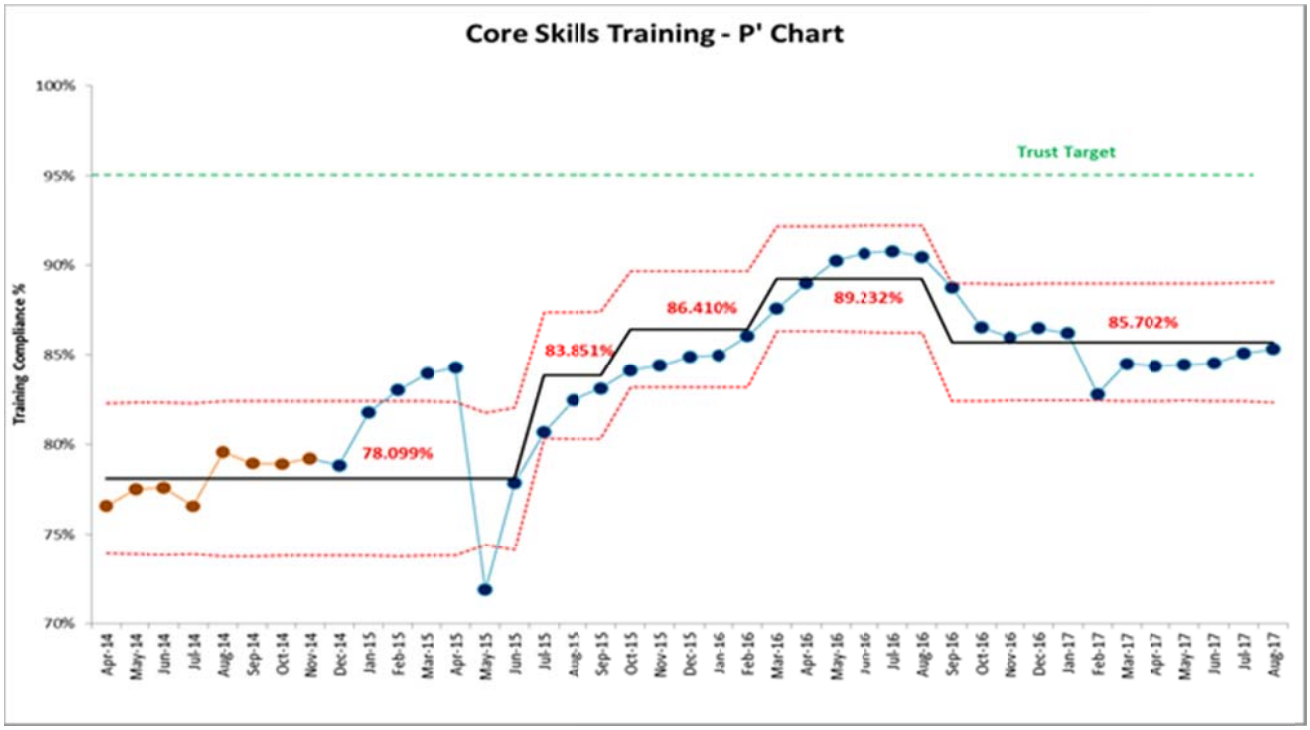
Sickness absence has increased to 4.1 % in August and is attributable in part to Tower Hamlets Community services, Newham services undergoing organisational change and Luton and Bedfordshire where additional resource has been supplied to support managers to deal with sickness absence.

5.3 Turnover



Trust turnover annual figure cumulative to August was 19.71%. The increase is accounted for in part by TUPE transfers of staff. With TUPE transfers removed the underlying turnover figure is 17.72%. Outlying directorates include Bedfordshire and Luton who are part of a national programme looking at retention and Tower Hamlets which has had organisational change and retirements as key factors affecting retention. Plans to improve retention of staff in year 1 and also being implemented, with some early positive indications of their impact.

5.4 Training



Core skills compliance as at 31st August 2017 increased to from 85.08% to 85.31% which was a slight increase from the July compliance rate.

A review of our statutory and mandatory training requirement is being undertaken. This will also ensure that staff are mapped correctly to the competences required in their role, and that the training is delivered in the most effective and efficient way. This process has begun with our Luton & Bedfordshire colleagues and will be rolled out across the whole organisation, concluding by the end of December 2017.

There is significant variation across different directorates and across individual courses. The November performance meetings with directorates will be used to undertake a more detailed analysis of issues and performance in each area.

More detailed analysis and an updated action plan will be provided to the December Board meeting.

6.0 Finance dashboard

6.1 This section highlights financial performance for the period ended 31 August 2017 and projections to 31 March 2018.

6.2 Performance is summarised in the dashboard that is attached as Appendix A. Key conclusions are:

- Operating surplus (EBITDA) to end of August 2017 of £8.1m (5.3%) compared to plan of £8.3m (5.5%).
- Overall Risk rating of "2" to the end of August 2017.
- Net surplus of £1.6m (1.0%) compared to revised planned net surplus of £1.8m (1.2%).
- Year to-date adverse net surplus variance of £0.2m
- Cash balance of £58m as at the end of August 2017.

7.0 Board Assurance Framework

7.1 The Board Assurance Framework (BAF) incorporates a register of the highest risks faced by the Trust in meeting its principal objectives. It is in effect a 'high level Risk Register' which provides the Trust with a simple but comprehensive method of describing the organisation's objectives, identifying the key risks to their achievement and the gaps in assurances on which the Board relies in agreeing action plans. The Audit Committee has overall responsibility for risk management and the BAF.

7.2 Each risk within the Board Assurance Framework has a designated Executive Lead or risk owner, who is responsible for routinely reviewing the details of the risk, before submitting it to the Trust Board and other relevant committees. The most recent version of the BAF is presented to each Trust Board meeting, for information only. A streamlined version of the BAF, containing only the relevant risks, is submitted to each of the Board sub-committees, assigned as the lead committee for particular risks. The role of each Board sub-committee to review its assigned risks at each meeting, focusing specifically upon:

a) The accuracy of the current risk score based on the available assurance and/or gaps in assurance
b) Progress against action plans or mitigating actions designed to reduce the risk,
c) Identifying any risks for addition/deletion.
d) Where it deems it necessary, conduct a more detailed review or 'deep dive' into specific risks

7.3 The BAF is submitted to the Trust Board on a bimonthly basis. The latest version of it is attached as Appendix 2.

8.0 Recommendations and Action Being Requested

The Board is asked to:

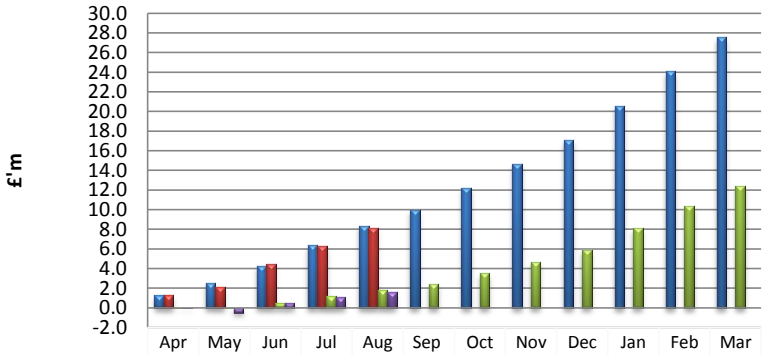
a) **RECEIVE** and **DISCUSS** the report
b) **NOTE** action taken to maintain and improve performance

Financial Overview to Period Ending 31st August 2017

EBITDA AND NET SURPLUS

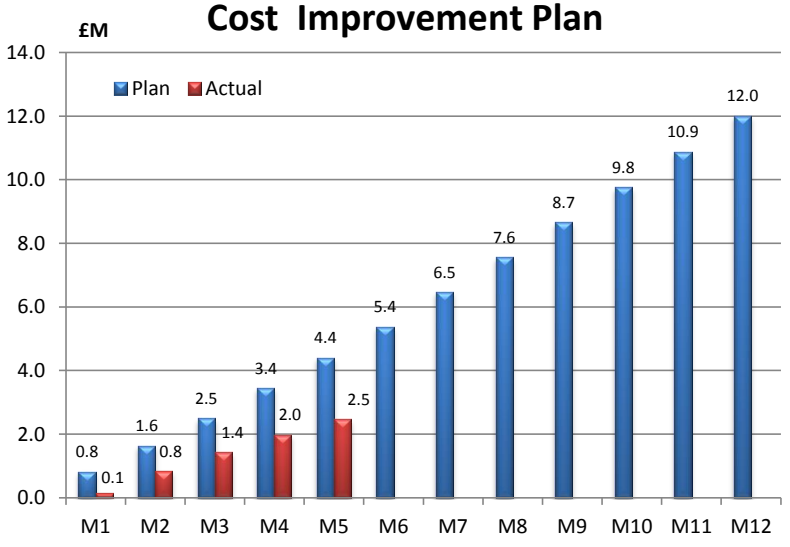
	To 31/08/17		Projection		Plan	
	£m	%	£m	%	£m	%
EBITDA	8.1	5.3	27.9	7.6	27.9	7.6
SURPLUS	1.6	1.0	12.4	3.4	12.4	3.4

EBITDA and Net Surplus



	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar
EBITDA Plan	1.2	2.5	4.2	6.4	8.3	10.0	12.2	14.6	17.1	20.6	24.0	27.5
EBITDA Actual	1.3	2.1	4.4	6.3	8.1							
NS PLAN	0.0	0.0	0.5	1.2	1.8	2.5	3.5	4.7	5.9	8.1	10.3	12.4
NS Actual	0.0	-0.5	0.5	1.1	1.6							

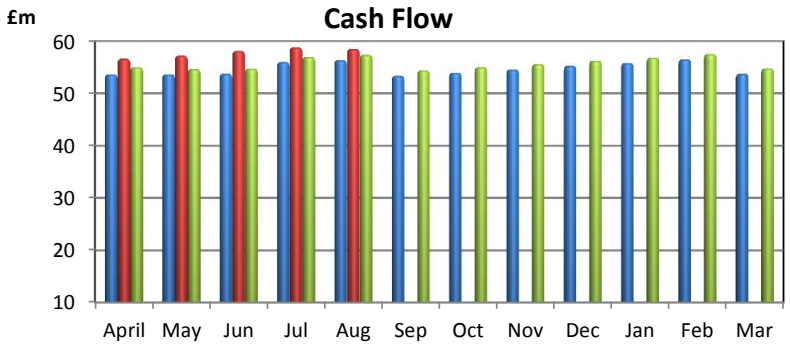
Cost Improvement Plan



WORKING CAPITAL

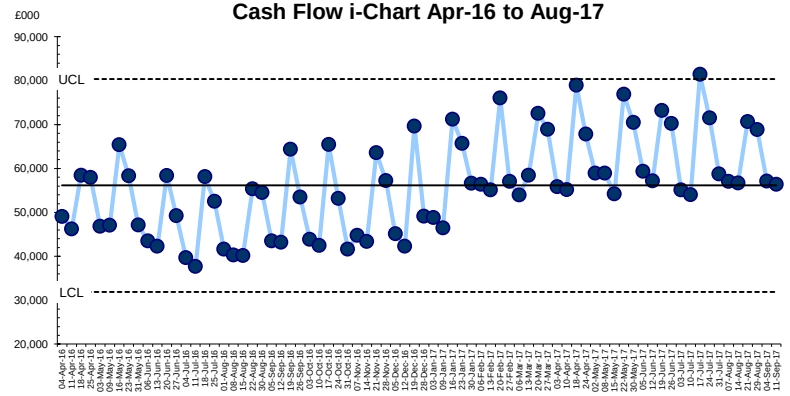
		£m	Risk
Cash	: at Bank	58.5	
	: Short term deposits	0.0	
Short term	: Assets (requires update)	83.2	
	: Liabilities (requires update)	63.4	

Cash Flow



	April	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar
Plan £M	54	54	54	56	56	53	54	55	55	56	56	54
Actual	57	57	58	59	58							
Forecast £M	55	55	55	57	57	54	55	56	56	57	57	55

Cash Flow i-Chart Apr-16 to Aug-17



	M01	M02	M03	M04
DEBTOR DAYS	17	17	20	21
CREDITOR DAYS	28	24	34	34

RISKS AND RISK RATINGS

INCOME	£m
EBITDA Income	360.7
Signed / agreed	339.5
Non Contract	12.3
INCOME RISK	LOW

EXPENDITURE

Savings Programme	HIGH
Expenditure Risk	MEDIUM

METRICS	RISK RATING
Capital Service Cover	2
Liquidity	1
I&E Margin rating	1
Distance from plan	2
Agency rating	3

(NHSi return not yet submitted - final risk ratings TBC)

NHS
East London
NHS Foundation Trust

Board Assurance Framework (BAF)

September 2017

Risk Scoring Matrix and Colour Codes					
	Likelihood (Probability)				
Consequence	1: Very Unlikely	2: Unlikely	3: Likely	4: Very Likely	5: Almost Certain
5: Catastrophic	5	10	15	20	25
4: Major	4	8	12	16	20
3: Moderate	3	6	9	12	15
2: Minor	2	4	6	8	10
1: Negligible	1	2	3	4	5

Responsible Leads and Committees

Filtered by Executive Lead

Risk No.	Executive Lead	Lead Committee
1.1	Dr. Kevin Cleary, Chief Medical Officer	Quality Assurance Committee
1.4		Quality Assurance Committee
1.5		Quality Assurance Committee
1.7		Quality Assurance Committee
1.3	Jonathan Warren, CN & Deputy Chief Executive	Quality Assurance Committee
1.6		Quality Assurance Committee
1.10	Mason Fitzgerald, Director of Corporate Affairs	Trust Board
2.1		Appointments and Remuneration Committee
2.2		Appointments and Remuneration Committee
2.3		Appointments and Remuneration Committee
2.4		Appointments and Remuneration Committee
2.6		Appointments and Remuneration Committee
3.6		Trust Board
3.1	Dr. Mohit Venkataram, Executive Director of Commercial Development and Performance	Trust Board
3.3		Trust Board
1.2	Paul Calaminus Chief Operations Officer	Quality Assurance Committee
1.9		Quality Assurance Committee
3.4		Quality Assurance Committee
3.5 (b)		Finance, Business and Investment Committee
1.8	Steven Course, Chief Finance Officer	Quality Assurance Committee
2.5		Audit Committee
3.2		Finance, Business and Investment Committee
3.5 (a)		Finance, Business and Investment Committee
3.7		Finance, Business and Investment Committee

Filtered by Lead Committee

Risk No.	Lead Committee	Executive Lead
2.1	Appointments and Remuneration Committee	Mason Fitzgerald, Director of Corporate Affairs
2.2		Mason Fitzgerald, Director of Corporate Affairs
2.3		Mason Fitzgerald, Director of Corporate Affairs
2.4		Mason Fitzgerald, Director of Corporate Affairs
2.6		Mason Fitzgerald, Director of Corporate Affairs
2.5	Audit Committee	Steven Course, Chief Finance Officer
3.2	Finance, Business and Investment Committee	Steven Course, Chief Finance Officer
3.5 (b)		Paul Calaminus Chief Operations Officer
3.5 (a)		Steven Course, Chief Finance Officer
3.7		Steven Course, Chief Finance Officer
1.1	Quality Assurance Committee	Dr. Kevin Cleary, Chief Medical Officer
1.2		Paul Calaminus Chief Operations Officer
1.3		Jonathan Warren, CN & Deputy Chief Executive
1.4		Dr. Kevin Cleary, Chief Medical Officer
1.5		Dr. Kevin Cleary, Chief Medical Officer
1.6		Jonathan Warren, CN & Deputy Chief Executive
1.7		Dr. Kevin Cleary, Chief Medical Officer
1.8		Steven Course, Chief Finance Officer
1.9		Paul Calaminus Chief Operations Officer
3.4		Paul Calaminus Chief Operations Officer
1.10	Trust Board	Mason Fitzgerald/Jonathan Warren
3.1		Mohit Venkataram, Executive Director of Commercial Development and Performance
3.3		Mohit Venkataram, Executive Director of Commercial Development and Performance
3.6		Mason Fitzgerald, Director of Corporate Affairs

Summary of Principle Risks

Principle Risks: *The Trust may not achieve its objectives if:*			**Scores**	
	Ref.	**Risk Description**	**Current**	**Target**
OBJECTIVE 1: Improve Service User Satisfaction	**1.1**	It fails to improve the overall quality of care provision	8	8
	1.2	It fails to achieve agreed optimum levels of adult acute MH bed occupancy	9	9
	1.3	It fails to transform district nursing services in order to meet the needs of the local health services and wider community	16	9
	1.4	It fails to implement relevant NICE guidance	12	9
	1.5	It fails to innovate in the pursuit of quality improvement	6	3
	1.6	It fails to meet standards for safety and quality as set out in the Health and Social Care Act 2009 and measured through the CQC's regulatory process	12	6
	1.7	It fails to develop systems and processes to deliver safer and more effective physical health care to MH patients	12	8
	1.8	It fails to provide high quality services from premises that are secure, minimise risk, and are well maintained	12	9
	1.9	It fails to recognise and respond to the impact of CRES savings plans on the quality and safety of services already responding to increasing demand	8	6
	1.10	The impact of new strategies, models of care or organisational forms may adversely impact on the quality of care currently provided by the Trust	12	8
OBJECTIVE 2: Improve Staff Satisfaction	**2.1**	It fails to recruit and retain high quality staff	12	8
	2.2	It fails to ensure that workforce capability and capacity and ability to respond to change, including delivery of new strategies and models of care, is sufficient to continue to meet stated trust objectives	12	6
	2.3	It fails to put in place succession plans for the Trust Board and Senior Management roles	9	9
	2.4	If it fails to maintain improvement in measures of staff engagement in the context of continued financial constraints and CRES plans	6	6
	2.5	If it fails to provide, and engage staff with, modern and effective IT infrastructure, both physical and systems	9	9
	2.6	If the Trust fails to address concerns regarding fair treatment, career progression and discrimination then the experience and outcomes for certain staff groups will not improve, and adversely impact on the quality of care provided	12	8
OBJECTIVE 3: Maintain Financial Viability	**3.1**	Changes to the commissioning landscape due to the development of accountable care systems could lead to loss of relationships with current commissioners and impact upon currently agreed contractual terms.	12	8
	3.2	It fails to plan properly for the introduction of new funding systems, potentially jeopardising income streams	8	8
	3.3	Pressure to meet the trust's Control Total could lead to the pursuit of service acquisitions beyond the trust's agreed geographical footprint, placing additional demands upon existing leadership and management resources which could impact upon the quality of existing service provision. This in turn, could have a detrimental effect upon the trust's reputation for providing high quality care and its competitive edge within the commissioning arena.	12	6
	3.4	If the trust fails to deliver the Year 3 plan of the Luton & Bedfordshire integration, then it may find that the quality of care is compromised, patient and staff satisfaction reduced, and its reputation affected	12	6
	3.5 (a)	The short-term impact and potential lack of achievability of CRES requirements, coupled with expenditure control and income generation, upon the overall financial sustainability of the Trust. Further risk implications concerning the impact on the reputation of the Trust and access to revenue streams such as STF funding.	20	12
	3.5 (b)	The long term impact and potential lack of achievability of CRES requirements over the next 5 years, threatens the overall financial sustainability of the trust.	16	12
	3.6	If services are not adequately incorporated into Sustainability and Transformation Plans (STPs), they risk becoming unsustainable over the next financial year.	12	8
	3.7	Agreement via consultation with commissioners, the public and other external stakeholders may not be granted in time to execute major plans designed to reduce expenditure and provide a more efficient delivery of service.	16	12

Mitigation Actions from the BAF

Risk No.	Risk Lead	Action	Responsible Person/s	Due date
2.4	Mason Fitzgerald	Implementation of staff survey action plans	Mason Fitzgerald	Jul 2017
1.8	Steven Course	The window security at The Green site to be upgraded.	Steven Course	Aug 2017
3.5(a)	Steven Course	Continued discussions with directorates and commissioners regarding further efficiency savings.	Steven Course/Paul Calaminus	Aug 2017
3.6	Mason Fitzgerald	Development of mental health and community health plans for BLMK	Mason Fitzgerald	Sep 2017
2.1	Mason Fitzgerald	Develop directorate workforce plans	Mason Fitzgerald/Paul Calaminus	Nov 2017
2.2	Mason Fitzgerald	Revise the Workforce Strategy	Mason Fitzgerald	Jan 2018
2.2	Mason Fitzgerald	OD programme to report to the workforce committee	Mason Fitzgerald	Oct 2017
2.6	Mason Fitzgerald	Introduce a high level oversight report to the Workforce Committee	Mason Fitzgerald	Sep 2017
3.2	Steven Course	Analysis of the impact of the IAPT PbR approach	Steven Course	Sep 2017
3.5 (b)	Paul Calaminus	Review current system for identification of CRES needs	Mohit Venkataram	Sep 2017
1.10	Mason Fitzgerald	Introduce measure for the anticipated and actual impact of new strategies and models of working.	Mason Fitzgerald	Oct 2017
2.3	Mason Fitzgerald	Develop a formal succession plan	Mason Fitzgerald	Oct 2017
2.3	Mason Fitzgerald	Introduce a system for monitoring succession planning outcomes	Mason Fitzgerald	Oct 2017
3.5 (b)	Paul Calaminus	Revise the trust's 5 year strategy	Mason Fitzgerald	Nov 2017
1.10	Mason Fitzgerald	Revised Trust 5 year strategy to be approved by the Board (November 2017)	Mason Fitzgerald	Nov 2017
2.5	Steven Course	Implementation of EMIS in Tower Hamlets CHS (December 2017)	Steven Course	Dec 2017
3.3	Mohit Venkataram	Establish assurance for the Luton and Bedfordshire Project Board and the Tower Hamlets Community Health Services Project Board	Mohit Venkataram	Dec 2017
2.5	Steven Course	Roll-out of mobile working across all services	Steven Course	TBC
2.5	Steven Course	Delivery of inter-operability across all services	Steven Course	TBC
1.4	Kevin Cleary	Implement and evaluate the trust's new process for implementing NICE guidance.	Kevin Cleary	Jan 2018
1.9	Paul Calaminus	Embed and evaluate the effectiveness of the new Quality Impact Assessment format	Paul Calaminus/ Kevin Cleary	Mar 2018
3.1	Mohit Venkataram	Agree MoUs for Luton, Bedfordshire and Newham providers.	Mason Fitzgerald	Mar 2018
3.4	Paul Calaminus	Implementation of the Year 3 plan	Paul Calaminus	Mar 2018
3.6	Mason Fitzgerald	Implementation of NEL STP mental health delivery plan	Mason Fitzgerald	Apr 2018
1.6	Jonathan Warren	Implement new trust process for monitoring and ensuring CQC compliance	Jonathan Warren	Jul 2018
3.1	Mohit Venkataram	Implement the Business Strategy and review its impact	Mason	Sep 2018

Risk No.	**1.1**
Objective	Improve service user satisfaction
Risk Description	It fails to improve the overall quality of care provision
Executive Lead	Dr Kevin Cleary, Chief Medical Officer
Lead Committee	Quality Assurance Committee
Source	Annual plan/Board development day – April 2014
Change since last review	None

Controls	**Assurance**
1. Chief Medical Officer is the executive lead for quality	➢ CMO reports monthly to the QAC
2. Real time patient feedback system	➢ Quality and safety report to the SDB and Trust Board.
3. Quality Improvement Strategy and supporting strategies	➢ Bi-monthly reporting to the QAC
4. Integrated reporting around quality assurance, quality improvement and quality control.	➢ Regular reporting to the QAC and Trust Board via the Quality and Safety Dashboard. ➢ Annual Quality Accounts report to the Trust Board. ➢ CQC inspection report (August 2016)
5. Quality Improvement Team	➢ Progress reports on the QI work plan at the QI Programme Board
6. Participation in national audits and benchmarking exercises	➢ Feedback reports to the Quality Committee and QAC.
7. QI work plan	➢ Progress reports on the QI work plan at the QI Programme Board
8. CQC Compliance Framework	➢ Reporting to the Quality Committee ➢ Directorate quarterly CEO monitoring meetings
Gaps in Controls	**Gaps in Assurance**

Risk Scores

	Initial Score	**Current Score**	**Target Score**
Consequence	4	4	4
Likelihood	4	2	2
Risk Scores	**16**	**8**	**8**

Action Required

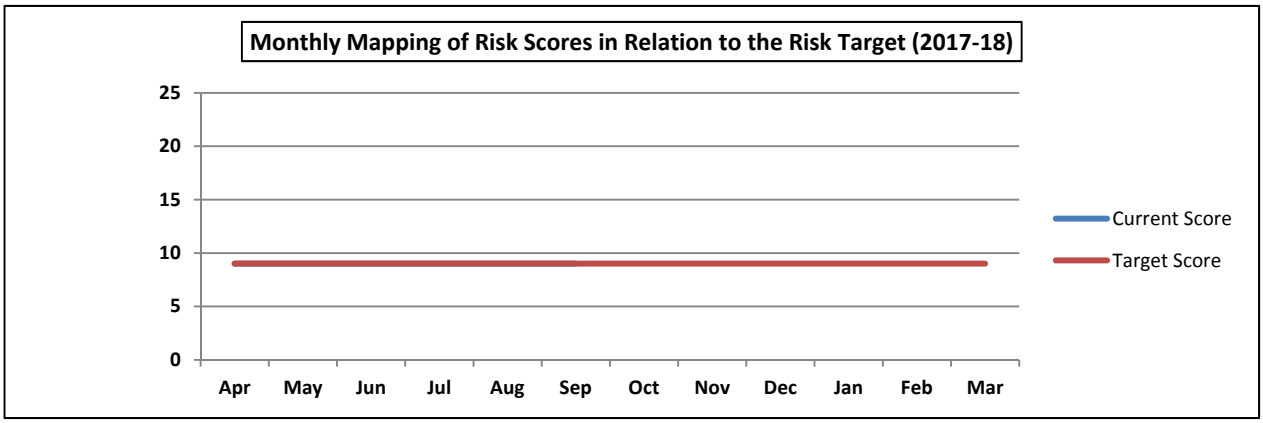
No.	**Action**	**Responsible Person/s**	**Due date**	**Progress /Status**

Risk No.	**1.2**
Objective	Improve service user satisfaction
Risk Description	It fails to achieve agreed optimum levels of adult acute MH bed occupancy
Executive Lead	Paul Calaminus, Chief Operating Officer
Lead Committee	Quality Assurance Committee
Source	Trust annual plan, directorate risk registers and serious incident reviews
Change since last review	None

Controls	**Assurance**
1. Monitoring of trustwide bed occupancy by the SDB	➢ Monthly performance report containing bed occupancy levels, length of stay and re-admission rate.
2. Weekly directorate safety huddles	➢ Bed numbers and occupancy levels reported to the Exec. Team.
3. Care pathways to ensure to appropriate admissions	➢ Monitoring of CMHT contact rates, seven day follow-up, numbers of admissions and A&E breaches, via the monthly performance report to the SDB.
4. Monitoring of formal admissions	➢ Quarterly MHA report to the Quality Committee
5. Team level dashboard data provided by Reporting Service update in real time.	➢ Monitoring and oversight the Chief Operating Officer.
6. Daily reports to the CNO and COO from directorates on inpatient activity.	➢ Data review by CNO and COO.
Gaps in Controls	**Gaps in Assurance**

Risk Scores

	Initial Score	Current Score	Target Score
Consequence	5	3	3
Likelihood	5	3	3
Risk Scores	**25**	**9**	**9**



Action Required

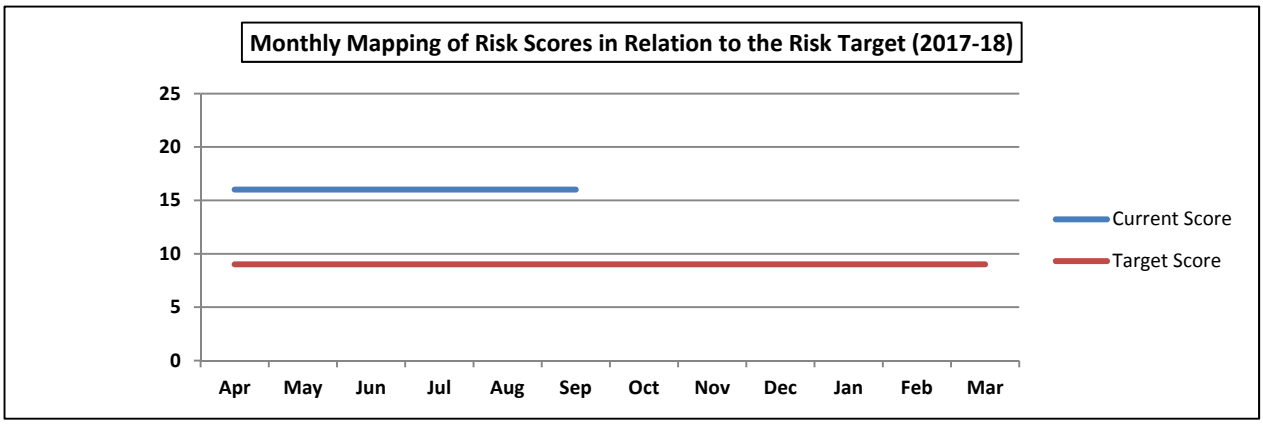
No.	Action	Responsible Person/s	Due date	Progress /Status

Risk No.	**1.3**
Objective	Improve service user satisfaction
Risk Description	It fails to transform district nursing services in order to meet the needs of the local health services and wider community
Executive Lead	Jonathan Warren, Chief Nurse and Deputy Chief Executive
Lead Committee	Quality Assurance Committee
Source	Trust annual plan, directorate risk register (CHN) and serious incident reviews
Change since last review	None

Controls	**Assurance**
1. Recruitment and retention strategy	➢ Reporting to the Directors' Weekly Safety Huddle ➢ Verbal reports to bimonthly QAC ➢ Monthly reports on the numbers of district nursing staff and vacancy rate.
2. Tower Hamlets Project Board	➢ Monitoring by the CEO
3. Piloting Tower Hamlets Neighbourhood Community Team	➢ Monthly reporting to the performance meetings and quarterly meetings with the CEO.
4. Collaboration and supporting the development of GP federations	➢ Monthly reporting to the performance meetings and quarterly meetings with the CEO.
5. Development of a training super hub in conjunction with HEE	➢ Monthly reporting to the performance meetings and quarterly meetings with the CEO.
Gaps in Controls	**Gaps in Assurance**

Risk Scores

	Initial Score	Current Score	Target Score
Consequence	4	4	3
Likelihood	4	4	3
Risk Scores	**16**	**16**	**9**



Action Required

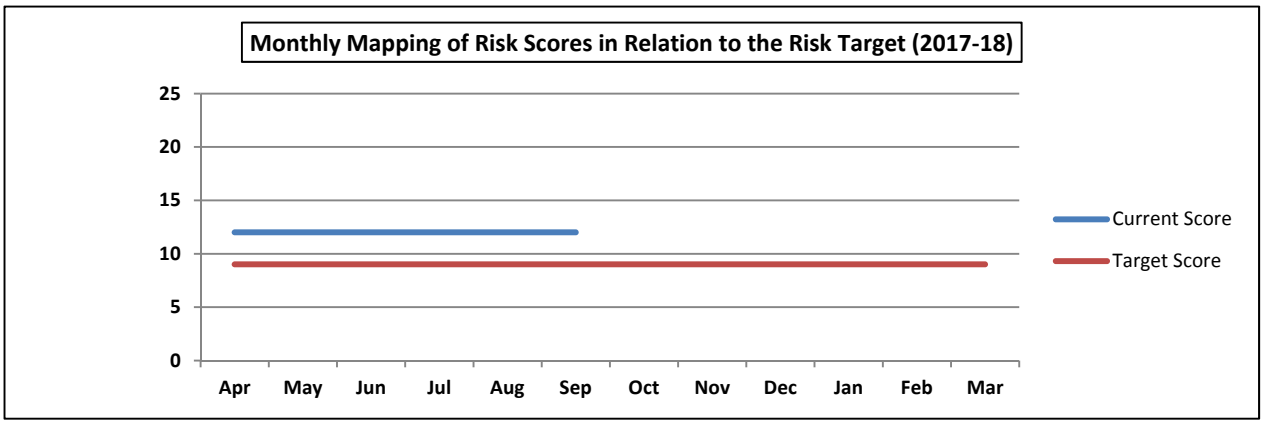
No.	Action	Responsible Person/s	Due date	Progress /Status

Risk No.	**1.4**
Objective	Improve service user satisfaction
Risk Description	It fails to implement relevant NICE guidance
Executive Lead	Dr. Kevin Cleary, Chief Medical Officer
Lead Committee	Quality Assurance Committee
Source	Quality Assurance Committee – October 2015
Change since last review	None

Controls	**Assurance**
1. 'NICE Guideline Process in ELFT'	➢ Monthly NICE briefing reports to the Mental Health Quality Committee and Physical Health Quality Assurance Group ➢ Annual report to the Quality Committee
2. The Associate Medical Directors for mental health and community health services are the designated leads for NICE guidance	➢ Monthly NICE briefing reports to the Mental Health Quality Committee and Physical Health Quality Assurance Group ➢ Reporting to the Quality Committee
3. NICE Guidance Policy: Dissemination, Implementation and Monitoring of NICE Guidance	➢ Monthly implementation monitoring at the Quality Committee ➢ Annual report to the Quality Committee
4. Clinical audit programme	➢ Clinical audit reports go to the Quality Committee
Gaps in Controls	**Gaps in Assurance**

Risk Scores

	Initial Score	**Current Score**	**Target Score**
Consequence	4	4	3
Likelihood	4	3	3
Risk Scores	**16**	**12**	**9**



Action Required

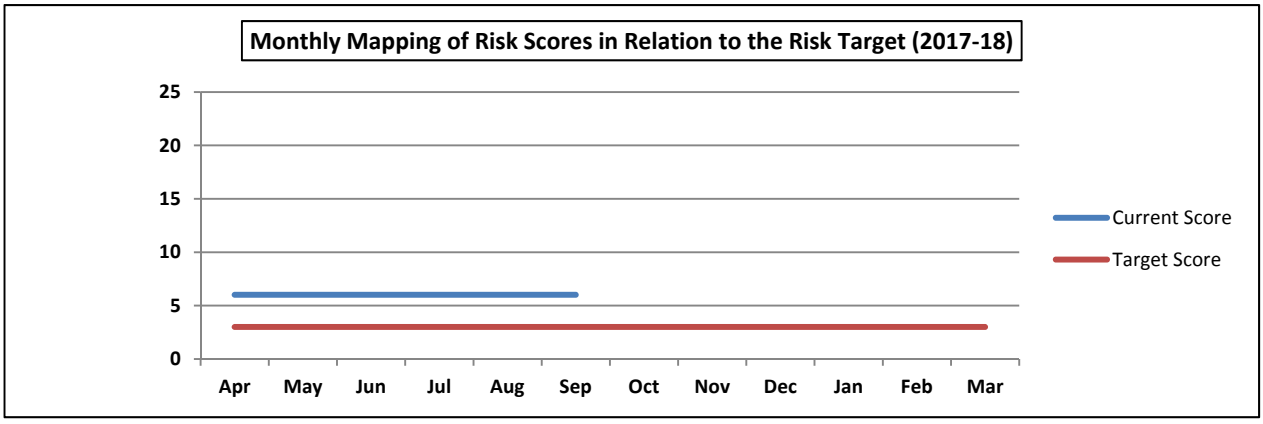
No.	**Action**	**Responsible Person/s**	**Due date**	**Progress /Status**
1	Implement and evaluate the trust's new process for implementing NICE guidance.	Kevin Cleary	January 2018	

Risk No.	**1.5**
Objective	Improve service user satisfaction
Risk Description	It fails to innovate in the pursuit of quality improvement
Executive Lead	Dr Kevin Cleary, Chief Medical Officer
Lead Committee	Quality Assurance Committee
Source	Trust Board - April 2014
Change since last review	None

Controls	**Assurance**
1. Quality Improvement Programme Board	➢ Reports to the Trust Board
2. Quality Improvement Strategy and work plan	➢ Reports to the QI Programme Board ➢ Monitoring of QI projects at directorate QI meetings
3. Associate Medical Director for QI in post, supported by QI team	➢ Reporting to the QI Programme Board and Chief Medical Officer/Executive Lead for Quality
4. Central QI Team with structures to support directorates (Directorate QI Leads and QI meetings)	➢ Reporting to the QI Programme Board
5. Associate Medical Director for research and innovation in post	➢ Reporting to the Research Board
6. QI training delivery	➢ Reporting to the QI Programme Board
7. Strategic partnership with IHI	➢ Reporting to the QI Programme Board
8. Service User Steering Group	➢ Reporting to the QI Programme Board
9. People participation structure and PP Team	➢ Reporting to the Trustwide People Participation Committee
Gaps in Controls	**Gaps in Assurance**

Risk Scores

	Initial Score	**Current Score**	**Target Score**
Consequence	3	3	3
Likelihood	2	2	1
Risk Scores	**6**	**6**	**3**



Action Required

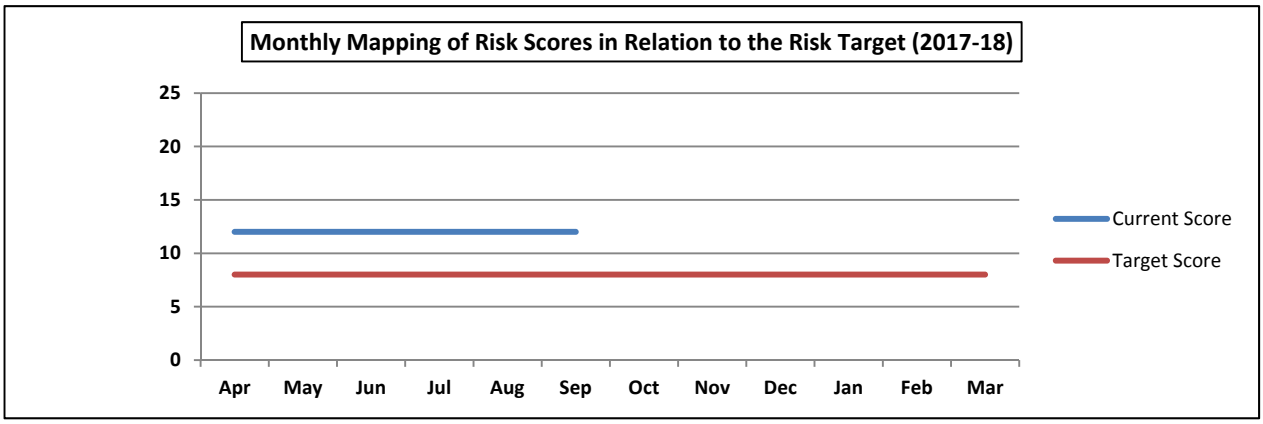
No.	**Action**	**Responsible Person/s**	**Due date**	**Progress /Status**

Risk No.	**1.6**
Objective	Improve service user satisfaction
Risk Description	It fails to meet standards for safety and quality as set out in the Health and Social Care Act 2009 and measured through the CQC's regulatory process.
Executive Lead	Jonathan Warren, Chief Nurse and Deputy Chief Executive
Lead Committee	Quality Assurance Committee
Source	Mental Health Act Commissioner visit and CQC regulatory inspection reports
Change since last review	None

Controls	**Assurance**
1. Chief Nursing Officer is the Executive Lead for CQC compliance	➢ Reporting the Quality, and Quality Assurance Committees
2. Quality Assurance Strategy	➢ Monitoring reports to the Quality Committee
3. Local governance arrangements in place	➢ Quality and performance reports to the Executive Team
4. CQC action plan	➢ Monitored via the Quality Assurance Committee
Gaps in Controls	**Gaps in Assurance**

Risk Scores

	Initial Score	Current Score	Target Score
Consequence	5	4	4
Likelihood	4	3	2
Risk Scores	**20**	**12**	**6**



Action Required

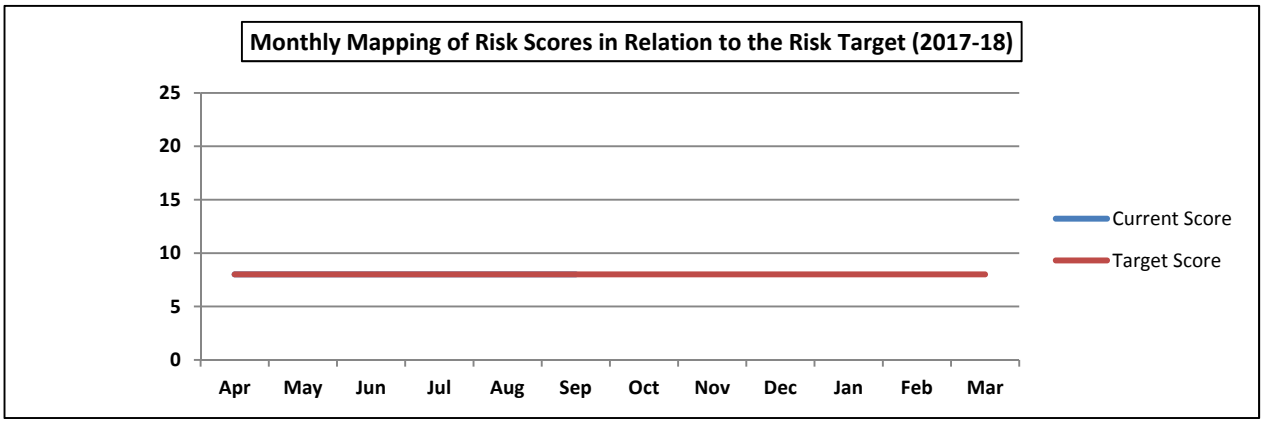
No.	Action	Responsible Person/s	Due date	Progress /Status
1	Implement new trust process for monitoring and ensuring CQC compliance	Jonathan Warren	July 2018	

Risk No.	**1.7**
Objective	Improve service user satisfaction
Risk Description	It fails to develop systems and processes to deliver safer and more effective physical health care to MH patients
Executive Lead	Dr Kevin Cleary, Chief Medical Officer
Lead Committee	Quality Assurance Committee
Source	Serious Incident Reviews, City & Hackney Directorate Risk Register, Council of Governors feedback
Change since last review	None.

Controls	**Assurance**
1. Lead director for physical health	➢ Reports to the Quality Committee
2. Lead Nurse in post for control of infection and physical health	➢ Reports to the Quality Committee
3. GP service in place across the Trust	➢ Reports to the Quality Committee
4. Physical health strategy	➢ Progress reports to the Quality Committee ➢ Incident reporting
5. Physical health policy	➢ Audit of Physical Healthcare Assessments ➢ Incident reporting
6. Physical healthcare training programme	➢ Audit of Physical Healthcare Assessments ➢ Incident reporting ➢ Compliance figures for physical health training
7. National CQUIN standards	➢ Monthly CQUIN performance report
8. QI projects	➢ Reports to directorate QI meetings
9. Physical health care simulation exercises	➢ Reports to the Quality Committee
10. Physical health monitoring equipment including Pods, to community mental health teams	➢ Monthly CQUIN performance report
Gaps in Controls	**Gaps in Assurance**

Risk Scores

	Initial Score	**Current Score**	**Target Score**
Consequence	4	4	4
Likelihood	4	3	2
Risk Scores	**16**	**8**	**8**



Action Required

No.	**Action**	**Responsible Person/s**	**Due date**	**Progress /Status**

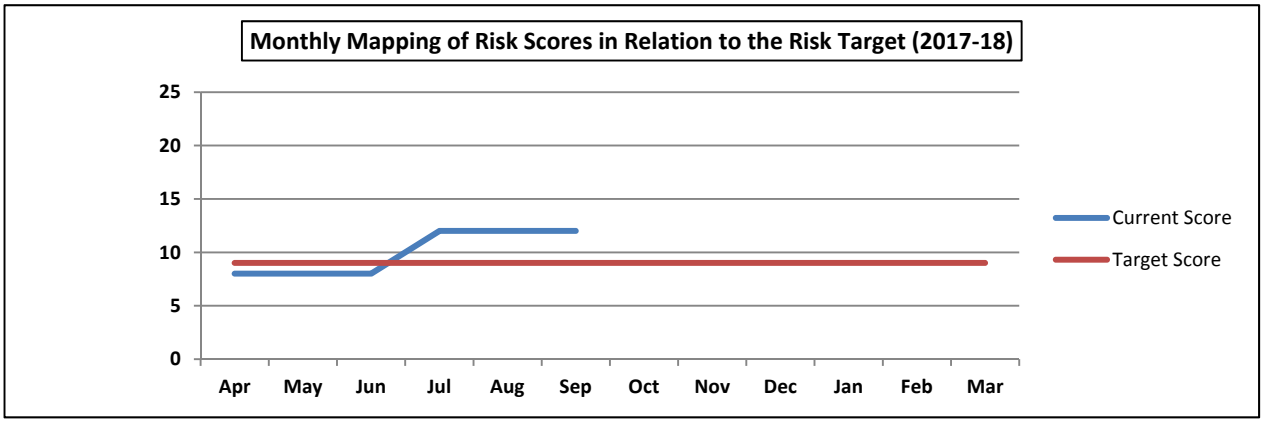
Risk No.	**1.8**
Objective	Improve service user satisfaction
Risk Description	It fails to provide high quality services from premises that are secure, minimise risk, and are well-maintained
Executive Lead	Steven Course, Chief Financial Officer
Lead Committee	Quality Assurance Committee
Source	Serious Incident Reviews, Directorate Risk Register, Board walkabout feedback - June 2015
Change since last review	Likelihood score has increased from 2 to 3 (Risk Score from 8 to 12) following a review of window security at The Green site

Controls	**Assurance**
1. Estates Strategy in place, and funded Capital Plan	➢ Reporting to the FBIC (from Sept 2017) ➢ Monitoring officers reporting monthly to the Director of Estates ➢ Incident reporting to the Quality Committee
2. Capital Projects Steering Group	➢ Reporting to the FBIC
3. QI Gold Standard Environments project	➢ Reporting to C&H QI meeting
4. CQC compliance programme	➢ Reporting to the Quality Committee ➢ CQC inspection reports
5. PLACE assessments	➢ Reporting to the FBIC, SDB and Trust Board as part of the annual update on the Estates Strategy

Gaps in Controls	**Gaps in Assurance**
Security at the Green site is not at the required level due to current window design.	

Risk Scores

	Initial Score	**Current Score**	**Target Score**
Consequence	4	4	3
Likelihood	4	3	3
Risk Scores	**16**	**12**	**9**



Action Required

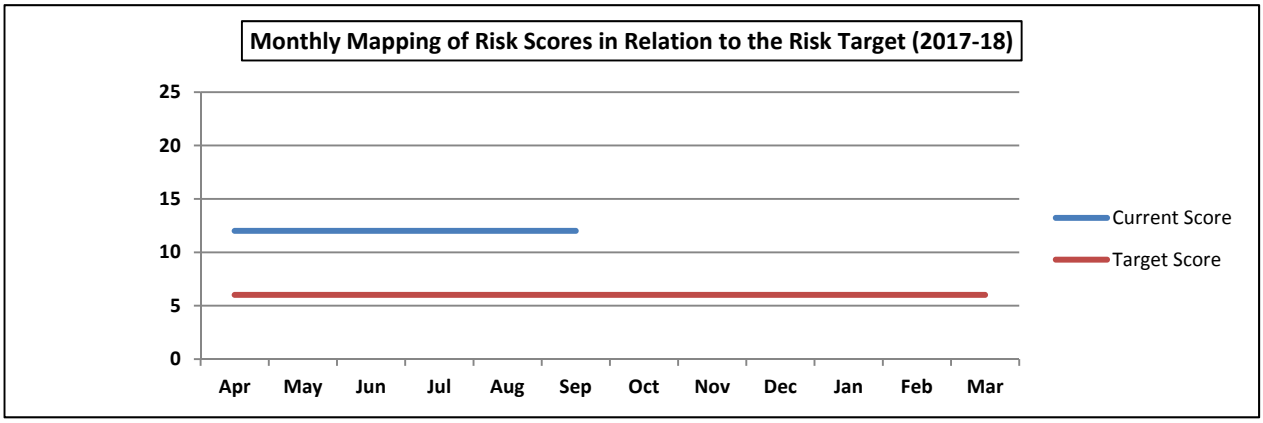
No.	**Action**	**Responsible Person/s**	**Due date**	**Progress /Status**
1	The window security at The Green site to be upgraded.	Steven Course	August 2017	

Risk No.	**1.9**
Objective	Improve service user satisfaction
Risk Description	It fails to recognise and respond to the impact of CRES savings plans on the quality and safety of services already responding to increasing demand
Executive Lead	Paul Calaminus, Chief Operating Officer
Lead Committee	Quality Assurance Committee
Source	Annual Plan – April 2014
Change since last review	None

Controls	**Assurance**
1. Integrated Business Strategy and Annual Plan	➢ Reporting to FBIC
2. Quality Impact Assessment (QIA) Group	➢ Reports to the QAC
3. Quality impact assessment (QIAs) for CRES plans twice yearly	➢ Reports to the QIA Group
4. Annual budget setting cycle	➢ Reports to the FBIC
5. Refreshed 5 year strategic and financial plan	➢ Reporting on implementation to the Trust Board
6. Quality Dashboard	➢ Reports to the Trust Board ➢ Patient feedback
Gaps in Controls	**Gaps in Assurance**
New Quality Impact Assessment format is not yet fully embedded	

Risk Scores

	Initial Score	**Current Score**	**Target Score**
Consequence	3	3	3
Likelihood	5	4	2
Risk Scores	**15**	**12**	**6**



Action Required

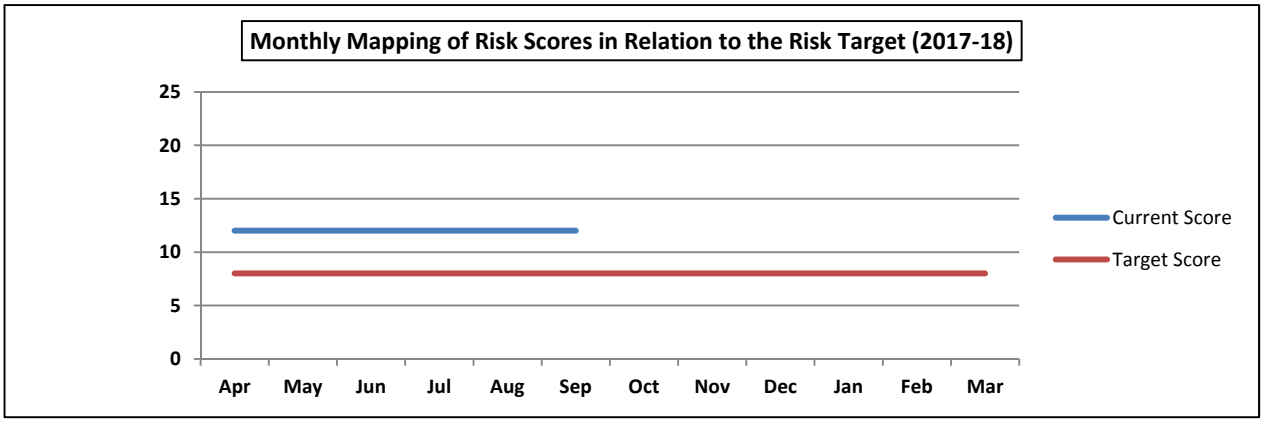
No.	**Action**	**Responsible Person/s**	**Due date**	**Progress /Status**
1	Embed and evaluate the effectiveness of the new Quality Impact Assessment format	Paul Calaminus/ Kevin Cleary	Mar 2018	

Risk No.	**1.10**
Objective	Improve service user satisfaction
Risk Description	The impact of new strategies, models of care or organisational forms may adversely impact on the quality of care currently provided by the Trust
Executive Lead	Mason Fitzgerald, Director of Corporate Affairs
Lead Committee	Trust Board
Source	Board development event
Change since last review	None.

Controls	**Assurance**
1. Partnership arrangements in place	➢ Monthly Strategic Activity Update reports to the SDB and Trust Board
2. Representation in all relevant strategic forums	➢ Monthly Strategic Activity Update reports to the SDB and Trust Board
3. 5 year strategy and operational plan in place	➢ Monthly Strategic Activity Update reports to the SDB and Trust Board
Gaps in Controls	**Gaps in Assurance**
Measurement of the anticipated and actual impact of new strategies and models of working	

Risk Scores

	Initial Score	**Current Score**	**Target Score**
Consequence	4	4	4
Likelihood	3	3	2
Risk Scores	**12**	**12**	**8**



Action Required

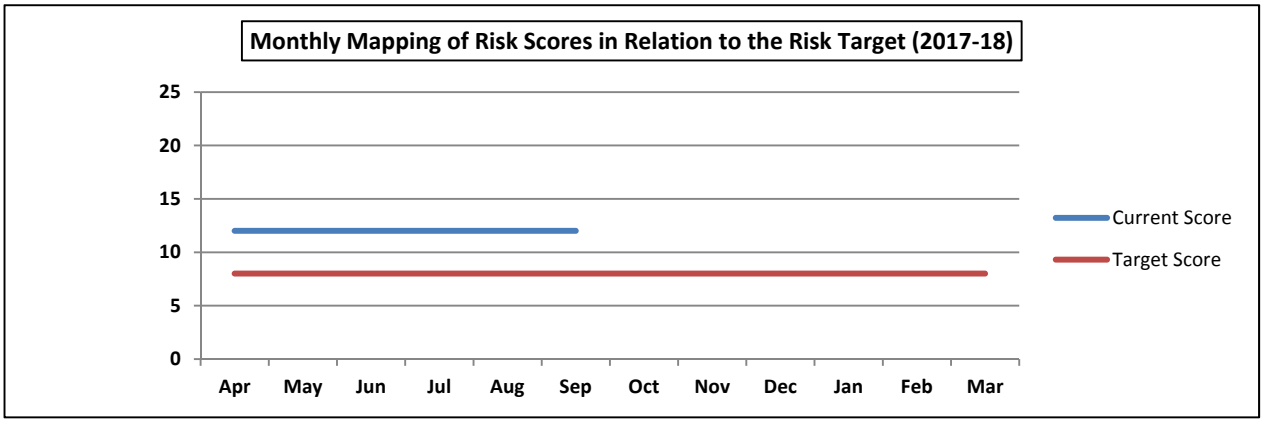
No.	**Action**	**Responsible Person/s**	**Due date**	**Progress /Status**
1	Revised Trust 5 year strategy to be approved by the Board (November 2017)	Mason Fitzgerald	End of Nov 2017	
2	Introduce measure for the anticipated and actual impact of new strategies and models of working.	Mason Fitzgerald	Oct 2017	

Risk No.	**2.1**
Objective 2	Improve staff satisfaction
Risk Description	It fails to recruit and retain high quality staff
Executive Lead	Mason Fitzgerald, Director of Corporate Affairs
Lead Committee	Appointments & Remuneration Committee
Source	Board development event
Change since last review	Due date on action no. 1 changed from Sep 2017 to Nov 2017.

Controls	**Assurance**
1. QI recruitment project	➢ Reporting to the corporate services QI meeting
2. Workforce Committee	➢ Reporting to the Service Delivery Board
3. Close links with training institutions	➢ Reporting to the Trust Board
4. Retention project	➢ Reporting to the Workforce Committee
5. Training, supervision and appraisal compliance monitoring	➢ Monthly compliance reports to the Service Delivery Board
6. Annual staff survey	➢ Annual staff survey results
Gaps in Controls	**Gaps in Assurance**
Lack of directorate workforce plans	

Risk Scores

	Initial Score	**Current Score**	**Target Score**
Consequence	4	4	4
Likelihood	4	3	2
Risk Scores	**16**	**12**	**8**



Action Required

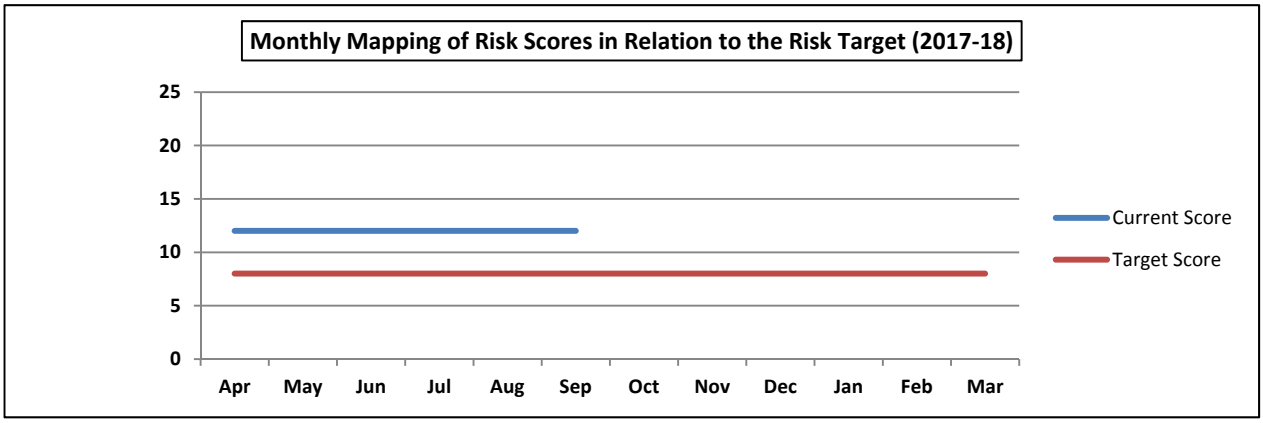
No.	**Action**	**Responsible Person/s**	**Due date**	**Progress /Status**
1	Develop directorate workforce plans	Mason Fitzgerald/ Paul Calaminus	Nov 2017	Due put back from Sep 2017.

Risk No.	**2.2**
Objective 2	Improve staff satisfaction
Risk Description	It fails to ensure that workforce capability and capacity and ability to respond to change, including delivery of new strategies and models of care, is sufficient to continue to meet stated trust objectives
Executive Lead	Mason Fitzgerald, Director of Corporate Affairs
Lead Committee	Appointments & Remuneration Committee
Source	Trust annual plan
Change since last review	The due date for action point 1 has been changed from Sep 2017 to Jan 2018. The due date for action point 2 has been changed from Sep 2017 to Oct 2017.

Controls	**Assurance**
1. Management of Staff Affected by Change Policy and Procedure	➢ Reporting to Joint Staff Committee ➢ Reporting on grievances relating to change ➢ Feedback from staff on change consultations
2. Organisational development programme	➢
3. Workforce Committee	➢ Reports to the Service Delivery Board
Gaps in Controls	**Gaps in Assurance**
Lack of an up to date workforce strategy	Reporting on the organisational development programme

Risk Scores

	Initial Score	**Current Score**	**Target Score**
Consequence	4	4	4
Likelihood	4	3	2
Risk Scores	**16**	**12**	**8**



Action Required

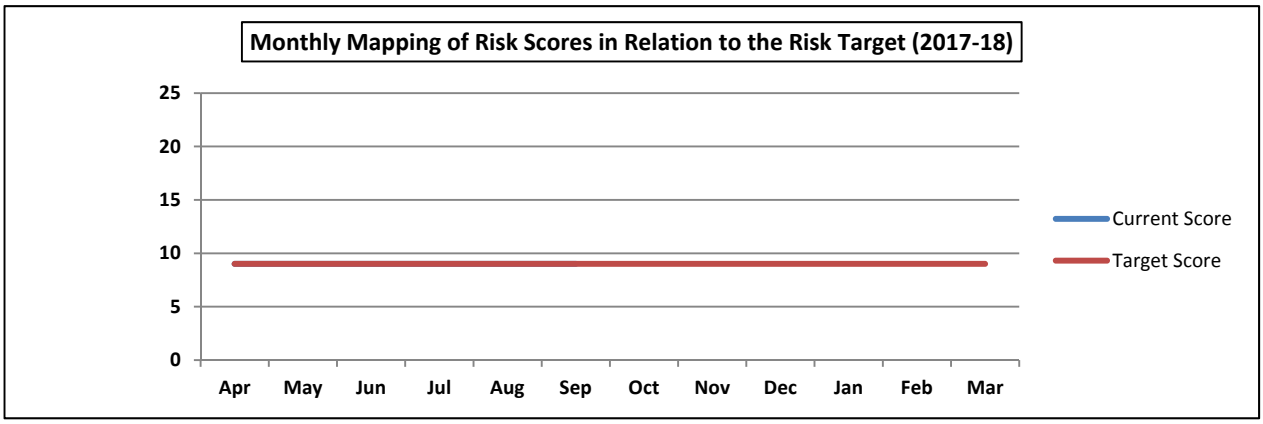
No.	**Action**	**Responsible Person/s**	**Due date**	**Progress /Status**
1	Revise the Workforce Strategy	Mason Fitzgerald	Jan 2018	Due date amended
2	OD programme to report to the workforce committee	Mason Fitzgerald	Oct 2017	Due date amended

Risk No.	**2.3**
Objective 2	Improve staff satisfaction
Risk Description	It fails to put in place succession plans for the Trust Board and senior management roles
Executive Lead	Mason Fitzgerald, Director of Corporate Affairs
Lead Committee	Appointments & Remuneration Committee
Source	Board development event
Change since last review	None

Controls	**Assurance**
1. Appointments and Remuneration Committee	➢ Reports to the Trust Board
2. Council of Governors Nomination Committee	➢ Reports to the Council of Governors
3. Board skills audit	➢ Reports to the Trust Board
4. Formal succession planning process in place	➢ Reports to the Appointments and Remuneration Committee
Gaps in Controls	**Gaps in Assurance**
➢ No formal succession plan in place ➢ No formal monitoring of succession planning outcomes	

Risk Scores

	Initial Score	Current Score	Target Score
Consequence	4	3	3
Likelihood	4	3	3
Risk Scores	**16**	**9**	**9**



Action Required

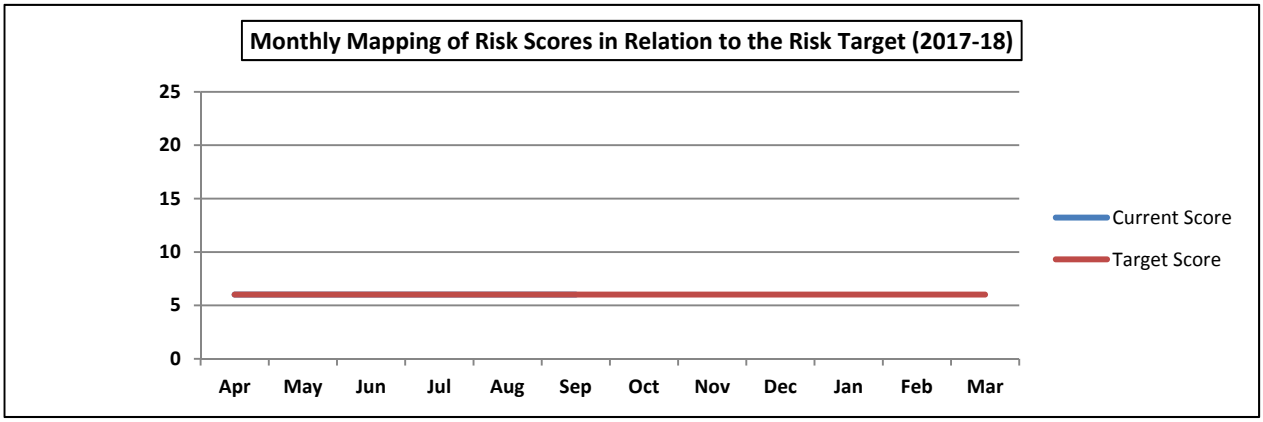
No.	Action	Responsible Person/s	Due date	Progress /Status
1	Develop a formal succession plan	Mason Fitzgerald	Oct 2017	
2	Introduce a system for monitoring succession planning outcomes	Mason Fitzgerald	Oct 2017	

Risk No.	**2.4**
Objective 2	Improve staff satisfaction
Risk Description	If it fails to maintain improvement in measures of staff engagement in the context of continued financial constraints and CRES plans
Executive Lead	Mason Fitzgerald, Director of Corporate Affairs
Lead Committee	Appointments & Remuneration Committee
Source	Board development event & annual staff survey
Change since last review	None

Controls	**Assurance**
1. Staff engagement strategy in place	➢ Quarterly internal staff survey ➢ Annual national staff survey
2. QI programme	➢ No. of staff trained in QI methodology ➢ No. of staff involved in QI projects
3. Trustwide directorate and professional group action plans	➢ Reporting to the Workforce Committee
Gaps in Controls	**Gaps in Assurance**
Staff experience measures specific to change programmes	

Risk Scores

	Initial Score	**Current Score**	**Target Score**
Consequence	3	3	3
Likelihood	3	2	2
Risk Scores	**9**	**6**	**6**



Action Required

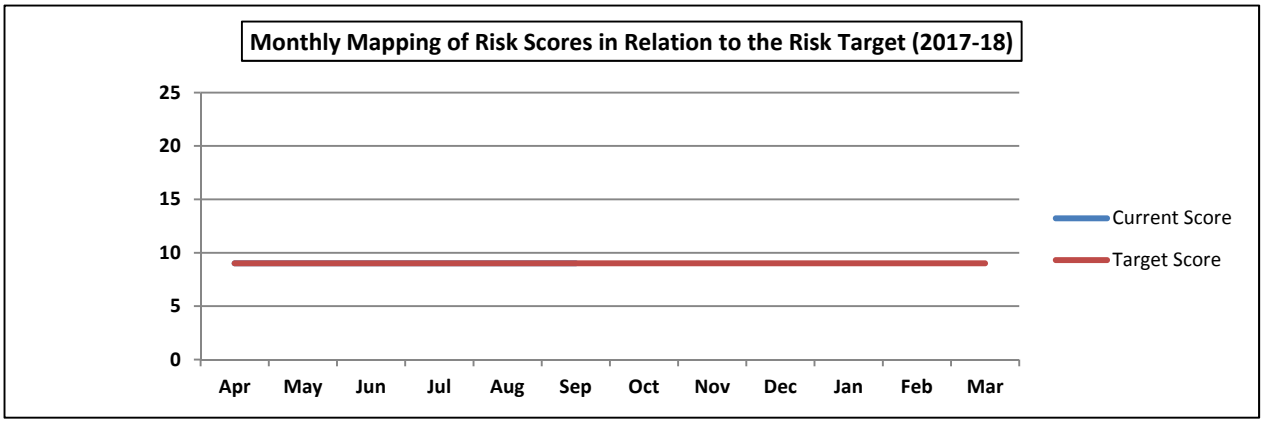
No.	**Action**	**Responsible Person/s**	**Due date**	**Progress /Status**
1	Implementation of staff survey action plans	Mason Fitzgerald	Jul 2017	Plans are now in place.

Risk No.	**2.5**
Objective 2	Improve staff satisfaction
Risk Description	If it fails to provide, and engage staff with, modern and effective IT infrastructure, both physical and systems.
Executive Lead	Steven Course, Chief Financial Officer
Lead Committee	Audit Committee
Source	Directorate risk registers and staff feedback
Change since last review	None

Controls	**Assurance**
1. IT strategy	➢ Reporting to the Trust Board on strategy implementation ➢ Reporting to the FBIC on the quality of IT hardware and systems
2. Electronic Clinical Systems Board (ECSB)	➢
3. RiO Project Board	➢ Reporting to the ECSB
4. Associate Medical Director for Clinical Information	➢ Reports to the Chief Financial Officer and the ECSB
5. Roll-out of Open RiO in Luton and Bedfordshire	➢ Performance reporting
Gaps in Controls	**Gaps in Assurance**
➢ Inter-operability is not currently delivered across all trust services.	Reporting on the effectiveness and work of the Electronic Clinical Systems Board

Risk Scores

	Initial Score	**Current Score**	**Target Score**
Consequence	3	3	3
Likelihood	5	3	3
Risk Scores	**15**	**9**	**9**



Action Required

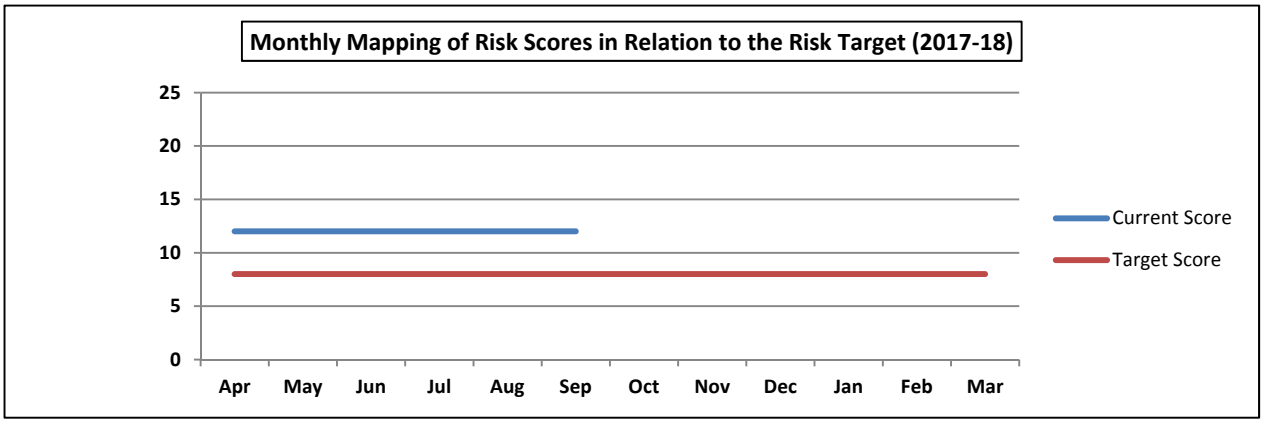
No.	**Action**	**Responsible Person/s**	**Due date**	**Progress /Status**
1	Implementation of EMIS in Tower Hamlets CHS (December 2017)	Steven Course	Dec 2017	
2	Roll-out of mobile working across all services	Steven Course	TBC	
3	Delivery of inter-operability across all services	Steven Course	TBC	
4	Migration of all staff to NHS Mail	Steven Course	Sep 2018	

Risk No.	**2.6**
Objective 2	Improve staff satisfaction
Risk Description	If the Trust fails to address concerns regarding fair treatment, career progression and discrimination then the experience and outcomes for certain staff groups will not improve, and adversely impact on the quality of care provided
Executive Lead	Mason Fitzgerald, Director of Corporate Affairs
Lead Committee	Appointments & Remuneration Committee
Source	Board development event
Change since last review	

Controls	**Assurance**
Equality & Diversity Strategy	➢ Reporting to the Workforce Committee, ➢ Reporting to the Remuneration Committee and Trust Board
Equality & Diversity Steering Group	➢ Staff survey results broken down by staff groups ➢ Levels of violence & aggression, harassment and discrimination experienced by BME staff
Staff networks led by executive directors	➢ Reports to the Workforce Committee
Workforce Race Equality Standards (WRES) action plan	➢ Monitoring and review by the trust Board
Strategy and action plan reviews by the Board	➢ Monitoring and review by the trust Board
Gaps in Controls	**Gaps in Assurance**
Lack of high level oversight of all workstreams	

Risk Scores

	Initial Score	**Current Score**	**Target Score**
Consequence	4	4	4
Likelihood	3	3	2
Risk Scores	**12**	**12**	**8**



Action Required

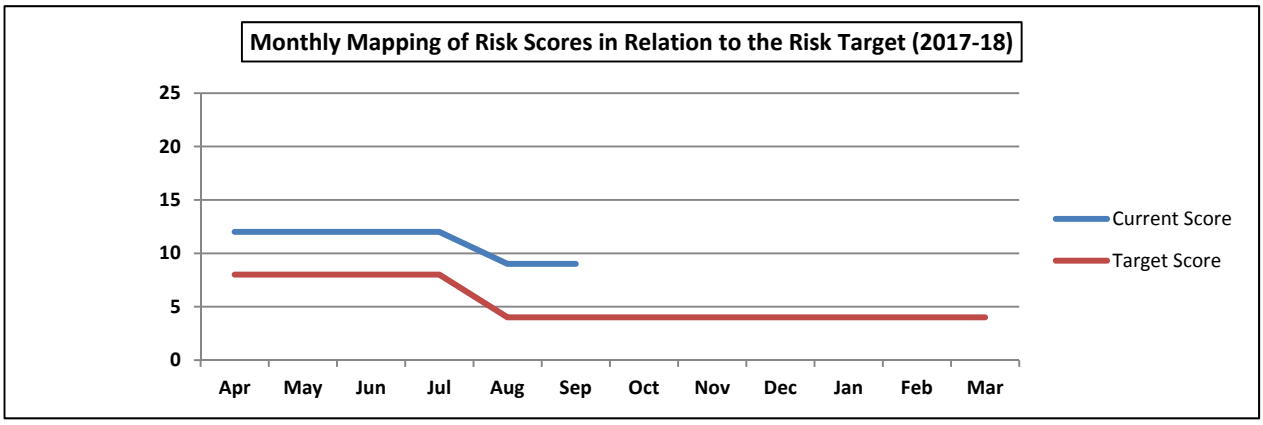
No.	**Action**	**Responsible Person/s**	**Due date**	**Progress /Status**
1	Introduce a high level oversight report to the Workforce Committee	Mason Fitzgerald	Sep 2017	

Risk No.	**3.1**
Objective	Maintain financial viability
Risk Description	Changes to the commissioning landscape due to the development of accountable care systems could lead to loss of relationships with current commissioners and impact upon currently agreed contractual terms.
Executive Lead	Mohit Venkataram, Director of Commercial Development and Performance
Lead Committee	Trust Board
Source	Board development event
Change since last review	Risk description has been rewritten and controls amended. The target score has been reduced to from 8 to 4 and the current score from 12 to 9. Action 2 has been added.

Controls	**Assurance**
Leadership and representation at STP	➢ CEO's report at Board Part II
Business Strategy approved by the Trust Board	➢ Monitored at Trust Board and Board development events
MoU between providers in Tower Hamlets and Hackney	➢ Monthly Strategic Activity Update Report
Current relationship with NHSI and NHSE	➢ CEO's report at Board Part II
Gaps in Controls	**Gaps in Assurance**
MoUs for some providers	
Information about the who the new commissioners will be	

Risk Scores

	Initial Score	**Current Score**	**Target Score**
Consequence	5	3	2
Likelihood	4	3	2
Risk Scores	**20**	**9**	**4**



Action Required

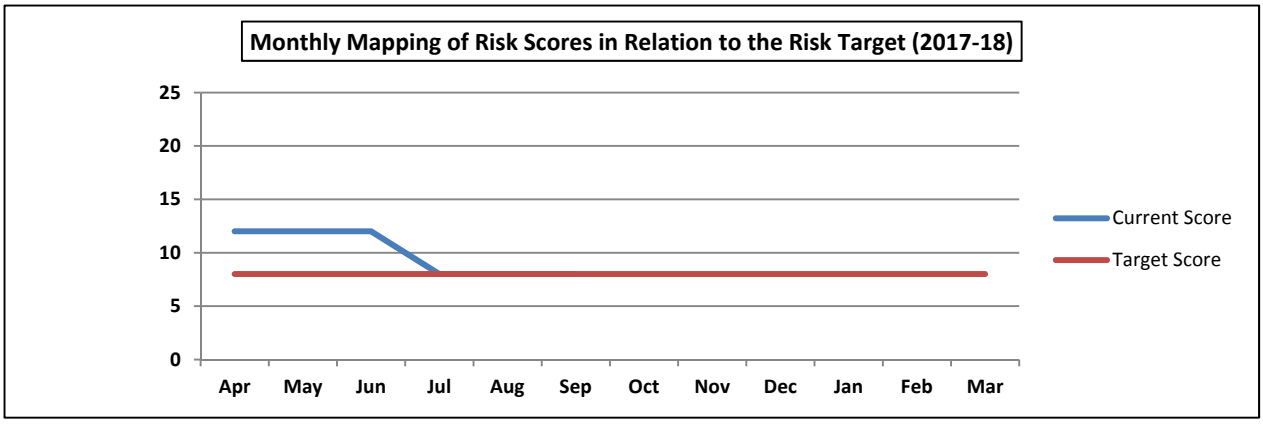
No.	**Action**	**Responsible Person/s**	**Due date**	**Progress /Status**
1	Implement the Business Strategy and review its impact	Mason	Sep 2018	
2	Agree MoUs for Luton, Bedfordshire and Newham providers.	Mason	Mar 2018	

Risk No.	**3.2**
Objective	Maintain financial viability
Risk Description	It fails to plan properly for the introduction of new funding systems, potentially jeopardising income streams
Executive Lead	Steven Course, Chief Financial Officer
Lead Committee	Finance, Business and Investment Committee
Source	Trust annual plan
Change since last review	The likelihood has reduced from 3 to 2 (Current Score is now 8)

Controls	**Assurance**
1. Joint Tariff Implementation Board (Co-chaired with CCGs)	➢ Reports to Trust Board and Financial, Business and Investment Committee (FBIC)
2. Trust involvement in London-wide PBR group	➢ Reports to Trust Board and Financial, Business and Investment Committee (FBIC)
3. Agreement with commissioners on payment systems as part of 2017/18 contracting round (December 2016)	➢ Reports to Trust Board and Financial, Business and Investment Committee (FBIC)
4. Engagement with the STPs to develop new payment systems.	➢ Reports to Trust Board and Financial, Business and Investment Committee (FBIC)
Gaps on Controls	**Gaps in Assurance**

Risk Scores

	Initial Score	**Current Score**	**Target Score**
Consequence	4	4	4
Likelihood	4	2	2
Risk Scores	**16**	**8**	**8**



Action Required

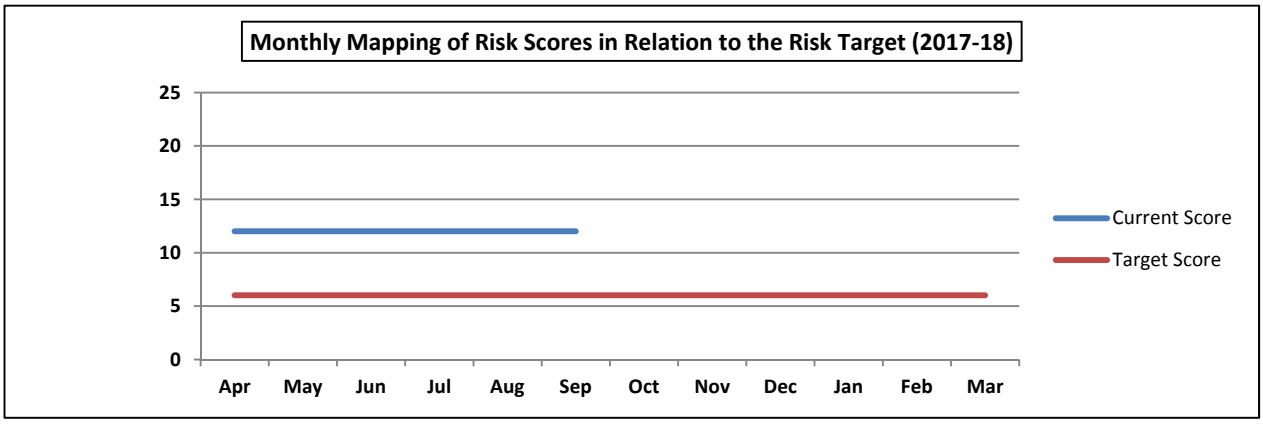
No.	**Action**	**Responsible Person/s**	**Due date**	**Progress /Status**
1	Analysis of the impact of the IAPT PbR approach	Steven Course	Sep 2017	

Risk No.	**3.3**
Objective	Maintain financial viability
Risk Description	Pressure to meet the trust's Control Total could lead to the pursuit of service acquisitions beyond the trust's agreed geographical footprint, placing additional demands upon existing leadership and management resources which could impact upon the quality of existing service provision. This in turn, could have a detrimental effect upon the trust's reputation for providing high quality care and its competitive edge within the commissioning arena.
Executive Lead	Mohit Venkataram, Executive Director of Commercial Development and Performance
Lead Committee	Trust Board
Source	Quality Assurance Committee, Luton and Bedfordshire transaction risk register
Change since last review	Risk description has been rewritten and new controls (2&3) added.

Controls	**Assurance**
1. The trust's business strategy	➢ Six monthly reporting to the Trust Board
2. Workforce strategy, capacity and planning	➢ Annual reporting to the Trust Board and reporting to the Workforce Committee
3. Programme of training to prepare trust leaders for new and evolving leadership roles within accountable care systems	➢ Reporting to the Workforce Committee
4. Quality and safety dashboard	➢ Quality and safety reports to the Trust Board
5. BDU team and support structures	➢ Report to the Executive Team fortnightly
6. Luton and Bedfordshire Project Board	➢ CQC report
7. Governance and quality improvement structures	➢ Key quality metrics across trust services
8. Revised executive and senior leadership structure	➢ CQC annual Well-led Domain
9. Mobilisation plan and TH CHS Project Board	➢ Monitoring of mobilisation plans by
Gaps in Controls	**Gaps in Assurance**
	➢ Internal monitoring of the functioning of the Luton and Bedfordshire Project Board
	➢ Internal monitoring of the functioning of the Tower Hamlets CHS Project Board

Risk Scores

	Initial Score	**Current Score**	**Target Score**
Consequence	4	4	2
Likelihood	3	3	3
Risk Scores	**12**	**12**	**6**



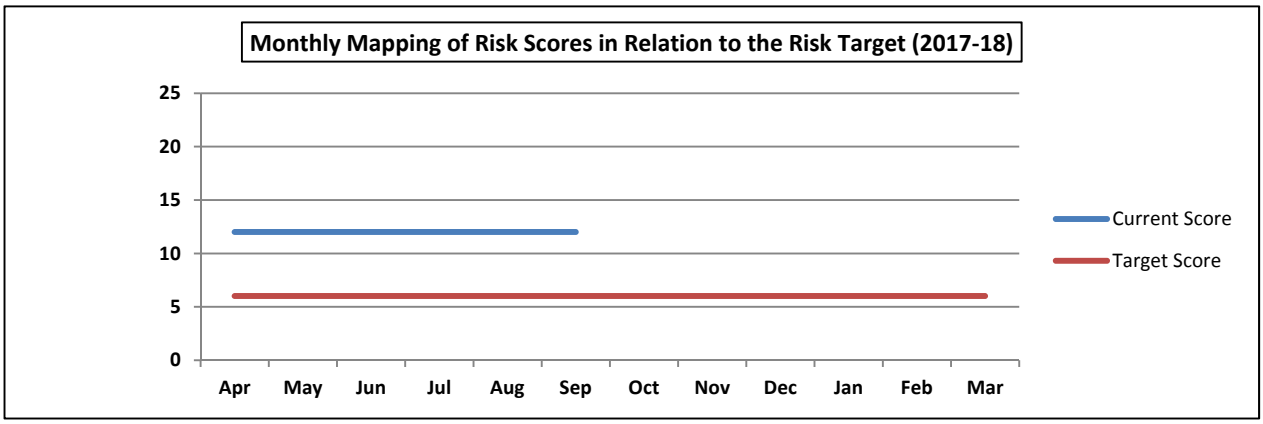
Action Required				
No.	**Action**	**Responsible Person/s**	**Due date**	**Progress /Status**
1	Establish assurance for the Luton and Bedfordshire Project Board and the Tower Hamlets Community Health Services Project Board	Mohit Venkataram	Dec 2017	

Risk No.	**3.4**
Objective	Maintain financial viability
Risk Description	If the trust fails to deliver the Year 3 plan of the Luton & Bedfordshire integration, then it may find the quality of care it provides compromised, patient and staff satisfaction reduced, and its reputation affected.
Executive Lead	Paul Calaminus, Chief Operating Officer
Lead Committee	Quality Assurance Committee
Source	Trust Board
Change since last review	None

Controls	**Assurance**
1. Luton and Bedfordshire Project Board	➢ Regular transaction reports to the Quality Assurance Meeting ➢ Quality and Safety report to the Trust Board
2. Corporate and directorate governance arrangements	➢ Ongoing performance and quality monitoring
3. Executive walkarounds	➢ Improved staff survey scores and good stakeholder feedback
4. Monitoring implementation of the Year 3 plan	➢ Reports to the Quality Assurance Committee
Gaps in Controls	**Gaps in Assurance**
Implementation of the Year 3 plan	

Risk Scores

	Initial Score	**Current Score**	**Target Score**
Consequence	4	4	3
Likelihood	3	3	2
Risk Scores	**12**	**12**	**6**



Action Required

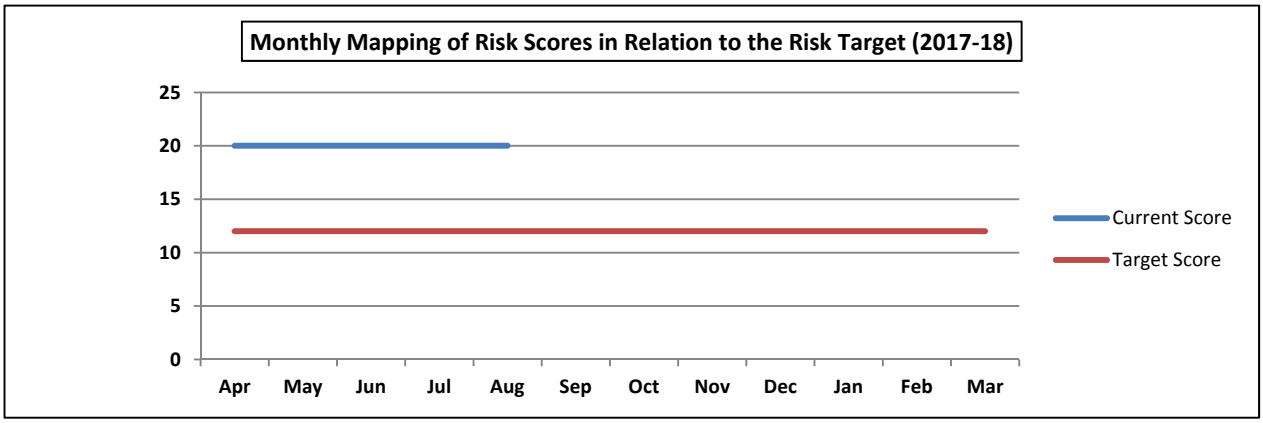
No.	**Action**	**Responsible Person/s**	**Due date**	**Progress /Status**
1	Implementation of the Year 3 plan	Paul Calaminus	Mar 2018	

Risk No.	**3.5 (a)**
Objective	Maintain financial viability
Risk Description	The short-term impact and potential lack of achievability of CRES requirements, coupled with expenditure control and income generation, upon the overall financial sustainability of the trust. Further risk implications concerning the impact on the reputation of the trust and access to revenue streams such as STF funding.
Executive Lead	Steven Course, Chief Financial Officer
Lead Committee	Finance, Business and Investment Committee
Source	Board development event
Change since last review	None

Controls	**Assurance**
1. Quality Impact Assessment of CRES plans	➢ Monitored by the Chief Medical Officer
2. Financial planning process with clinical leadership and engagement	➢ Reporting to the FBIC ➢ Financial reports to the Board detail the ongoing actions of the operational teams in managing services within budget
3. In year financial monitoring meetings with directorates and the Chief Operating Officer	➢ Reporting to the FBIC ➢ Reporting to the Board
4. Agency expenditure reviews	➢ Reporting to the FBIC
5. Scrutiny of in-year financial position at FBIC	➢ Reporting to the FBIC
6. Joint work with CCGs to allow progress on CRES schemes requiring their approval	➢ Reporting to the FBIC
Gaps in Controls	**Gaps in Assurance**

Risk Scores

	Initial Score	**Current Score**	**Target Score**
Consequence	4	4	4
Likelihood	4	5	3
Risk Scores	**16**	**20**	**12**



Action Required

No.	**Action**	**Responsible Person/s**	**Due date**	**Progress /Status**
1	Continued discussions with directorates and commissioners regarding further efficiency savings.	Steven Course/ Paul Calaminus	End of August 2017	Closed as part of control no.3
2	Update directorate CIP delivery targets for 2017-18	Steven Course/	Sep 2017	

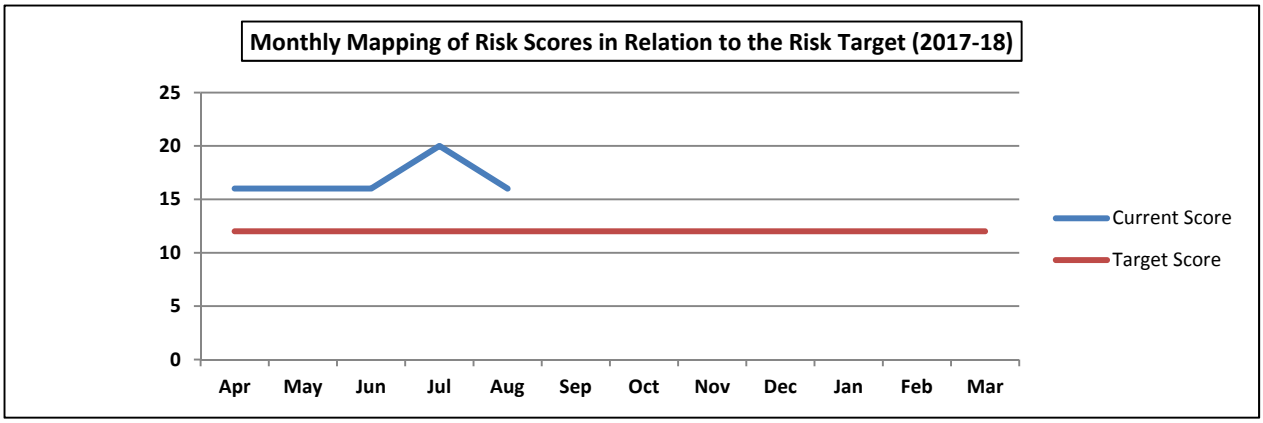
		Paul Calaminus		

Risk No.	**3.5 (b)**
Objective	Maintain financial viability
Risk Description	The long term impact and potential lack of achievability of CRES requirements over the next 5 years threatens the overall financial sustainability of the Trust
Executive Lead	Paul Calaminus, Chief Operating Officer
Lead Committee	Finance, Business and Investment Committee (FBIC)
Source	Board development event
Change since last review	None

Controls	**Assurance**
1. Quality Impact Assessment of CRES plans	➢ Reports to the Quality Impact Assessment Group ➢ Reports to the CCGs
2. Financial planning process with clinical leadership and engagement	➢ Reporting to the Service Delivery Board and the FBIC
3. Business Strategy	➢ Reports to the FBIC
Gaps in Controls	**Gaps in Assurance**
Current system for identification of CRES needs reviewing	

Risk Scores

	Initial Score	Current Score	Target Score
Consequence	4	4	4
Likelihood	4	4	3
Risk Scores	**16**	**16**	**12**



Action Required

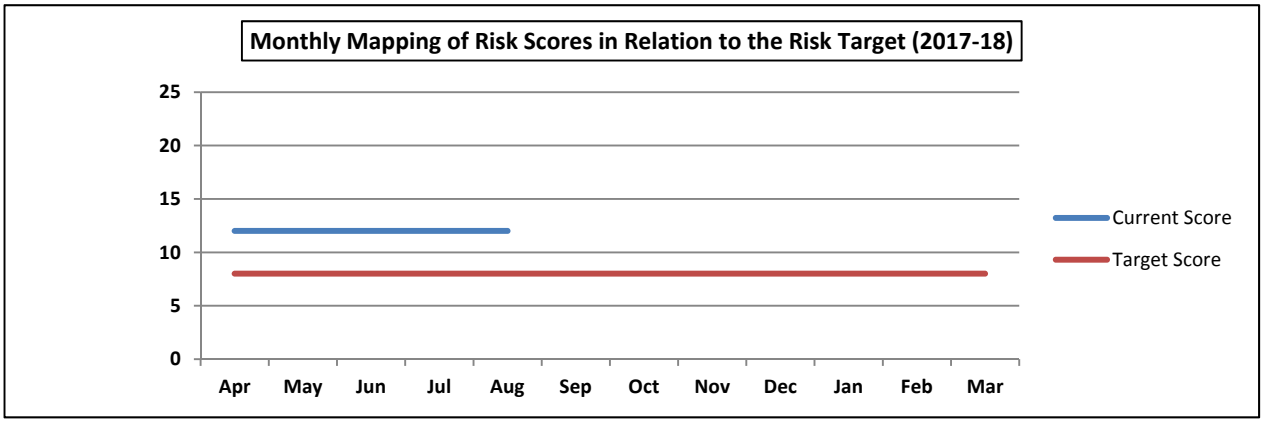
No.	Action	Responsible Person/s	Due date	Progress /Status
1	Revise the trust's 5 year strategy	Mason Fitzgerald	Nov 2017	
2	Review current system for identification of CRES needs	Mohit Venkataram	Sep 2017	

Risk No.	**3.6**
Objective	Maintain financial viability
Risk Description	If services are not adequately incorporated into Sustainability and Transformation Plans (STPs), they risk becoming unsustainable over the next five years.
Executive Lead	Mason Fitzgerald, Director of Corporate Affairs
Lead Committee	Trust Board
Source	Trust Board discussion
Change since last review	None

Controls	**Assurance**
1. Involvement in STP planning groups	Reports to Service Delivery Board
2. Mental health/community workstreams in North East London	Reports to Service Delivery Board
3. Mental health/community workstream in Luton & Bedfordshire	Reports to Service Delivery Board
4. Action plan in response to NELSTP mental health review	Reports to Service Delivery Board
5. Mental health and community health workstreams now commenced in BLMK (April 2017)	Reports to Service Delivery Board
Gaps in Controls	**Gaps in Assurance**
➢ Implementation of NEL STP mental health delivery plan ➢ Development of mental health and community health plans for BLMK	

Risk Scores

	Initial Score	**Current Score**	**Target Score**
Consequence	4	4	4
Likelihood	3	3	2
Risk Scores	**12**	**12**	**8**



Action Required

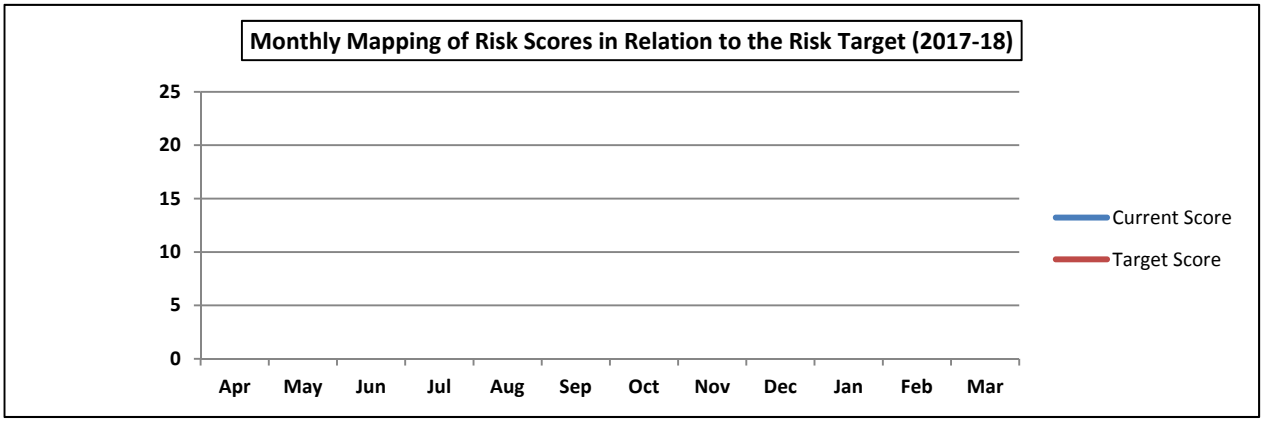
No.	**Action**	**Responsible Person/s**	**Due date**	**Progress /Status**
1	Implementation of NEL STP mental health delivery plan	Mason Fitzgerald	Apr 2018	
2	Development of mental health and community health plans for BLMK	Mason Fitzgerald	Sep 2017	

Risk No.	**3.7**
Objective	Maintain Financial Viability
Risk Description	Agreement via consultation with commissioners, the public and other external stakeholders may not be granted in time to execute major plans designed to reduce expenditure and provide a more efficient delivery of service.
Executive Lead	Steven Course, Chief Financial Officer
Lead Committee	Finance, Business and Investment Committee (FBIC)
Source	FBIC meeting on 23rd May 2017
Change since last review	N/A

Controls	**Assurance**
1. Development of reconfiguration plans in collaboration with key external stakeholders	➢ Quarterly reporting to the FBIC
2. Membership of the Waltham Forest and East London Collaborative System Delivery Board	➢ Reporting to the Trust Board
Gaps in Controls	**Gaps in Assurance**

Risk Scores

	Initial Score	**Current Score**	**Target Score**
Consequence	4	4	3
Likelihood	5	4	4
Risk Scores	**20**	**16**	**12**



Action Required

No.	**Action**	**Responsible Person/s**	**Due date**	**Progress /Status**