

Combined Committee Risk Report (as at 13/03/14)

Please note:

Committees listed include both Strategic and Operational Risks

Section 1. Finance & Investment Committee risks include current risks rated 12 and above.

Section 2. Quality Committee risks include current risks rated 12 and above.

Section 3. Risks identified that cross-over both Finance & Investment Committee and Quality Committee(current risks rated 12 and above).

ID	Committee	Directorate	Specialty	Risk source	Risk Type	Risk Subtype	Description	Actions	Risk level (current)	Rating (current)	Risk level (Target)	Rating (Target)
1. Finance & Investment Committee												
321	F&I Committee	Standards and Compliance	NHS 111	Internal business review	Strategic Risk	Financial	Risk to continued viability of the service line due to the current income not covering the cost of operating the service	Continue funding discussions with commissioners, NHS 111 service optimisation programme	High Risk	16	Moderate Risk	8
206	F&I Committee	Finance and Performance	PTS (Patient Transport Services) - Operations	Internal business review	Strategic Risk	Financial	Risk of loss of income due to the inability to secure / retain PTS contracts resulting in financial and reputational loss	PTS service transformation programme	Moderate Risk	8	Low Risk	4
261	F&I Committee	Finance and Performance	Business Development	Internal business review, Legislative requirement	Strategic Risk	Financial	Adverse impact on financial service delivery due to competitive tendering and potential loss of associated business.	Stakeholder engagement plan, re-introduction of the Intelligence Register to store centrally all information on threats and new service developments, commercial development	Moderate Risk	15	Moderate Risk	10
262	F&I Committee	Finance and Performance	Business Development	Internal business review	Strategic Risk	Financial	Adverse impact on finances due to ineffective contract management through lack of capacity within the Business Development team	Review the Business Development structure and introduce new processes to support effective tender and bid writing processes	Moderate Risk	12	Low Risk	4
208	F&I Committee	Finance and Performance	PTS (Patient Transport Services) - Operations	Internal business review	Strategic Risk	Financial	Risk of financial deficit against planned outturn due to operational budget overspend and inability to secure planned income	Review of accounting and service line costing structures within PTS, confirmation of resource requirements linked to contract model agreed	Moderate Risk	12	Low Risk	4
54	F&I Committee	Finance and Performance	Estates	Claims, Incidents	Operational Risk	Health and safety	Middlewood, Harrogate, Menston, Doncaster,castleford,Gildersome,Skipton and Hoyland, road surface has degraded to such an extent that normal patch repairs are not adequate	Review of capital bids for funding to replace road surfaces to identify priorities for action	Moderate Risk	12	Low Risk	4
203	Finance & Investment Committee	Finance and Performance	PTS (Patient Transport Services) - Operations	Internal business review	Operational Risk	Human Resources	Risk of high sub contractor, overtime costs, operational inefficiency and failure to deliver key performance indicators due to length of time taken to recruit staff to established posts	Joint development of a formal process for the management of PTS recruitment and training between the recruitment team and PTS	Moderate Risk	12	Low Risk	3
253	F&I Committee	Finance and Performance	Fleet		Operational Risk	Financial	Failure to deliver CIP resulting in financial budget overspend.	Strengthen current processes for monitoring CIP ensuring appropriate actions are taken where necessary.	Moderate Risk	12	Low Risk	6

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2. Quality Committee												
227	Quality Committee	Operations	Resilience and Special Services	Legislative requirement	Operational Risk	Other (not listed above)	No training for Special Operations Response Teams (CBRN Decon Staff x 200) for two years. Funding provided by DH for training as response is national requirement. Changes to workforce requires changes to SORT operatives to balance clinical capability with logistical decon capability, e.g. ECAs need to be SORT team trained.	Ensure content is built into training programme approved by TEG.	Moderate Risk	12	Low Risk	4
58	Quality Committee	Standards and Compliance	NHS 111	Risk assessment, Self audit	Operational Risk	Clinical	Inability to recruit and retain Clinical Advisors due to poor responses to advertisements and poor retention rates, risk to deliver workforce plan.	Employ staff through agency to fill rota gaps, develop workforce strategy in 2014.	Moderate Risk	12	Low Risk	4
336	Quality Committee	People & Engagement	Corporate Communication	Internal business review, Legislative requirement	Strategic Risk	Regulatory compliance	Compliance with FOI process leading to risk of regulatory compliance and reputation.	Monitor new arrangements to ensure working effectively. Review in April 2014.	Moderate Risk	9	Low Risk	3
330	Quality Committee	Standards and Compliance	Risk and Safety	Incidents, Internal business review	Operational Risk	Health and safety	Risk of harm/injury and litigation due to failure to follow existing incident investigation process leading to incident recurrence.	R&S team to continue to engage with local managers to complete timely investigations. Ensure management accountability through dashboard review.	Moderate Risk	12	Low Risk	4
313	Quality Committee	Standards and Compliance	Risk and Safety	Incidents, Internal business review, Legislative requirement	Strategic Risk	Health and safety	Update to existing Health and Safety policy and associated guidance required as some areas should be included to prevent injury and loss. Risk of harm and litigation.	Amend policy in line with Trust Policy for procedural documents to include necessary procedural updates	Moderate Risk	12	Low Risk	4
150	Quality Committee	Standards and Compliance	Risk and Safety	Internal business review	Operational Risk	Information governance	Potential breach of the Data Protection Act (potential for enforcement action from ICO) for theft/inappropriate access to patient and staff identifiable information stored on secure and insecure YAS premises.	Co-ordinate and plan removal of records from identified stores, repeat and respond to amnesty - relevant departments asked to securely dispose of/move/move to CINTAS store all records currently held within relevant premises	Moderate Risk	12	Low Risk	4
133	Quality Committee	Standards and Compliance	Risk and Safety	Internal business review	Operational Risk	Regulatory compliance	Risk of harm to patients and staff and potential financial loss due to non-compliance with Manual Handling Regulations when moving patients on carry chairs.	Complete roll out of new carry chair with extending handle and track	Moderate Risk	12	Low Risk	4
337	Quality Committee	Standards and Compliance	Quality and Patient Experience	Legislative requirement	Strategic Risk	Regulatory compliance	Breach of NHS Standard Contract 2013/14 (The Prevent Strategy) leading to compliance and reputational loss.	Deliver HealthWRAP training programme YAS wide as part of 2014/15 training programme.	Moderate Risk	12	Low Risk	4
210	Quality Committee	Finance and Performance	PTS (Patient Transport Services) - Operations	Internal business review	Operational Risk	Other (not listed above)	Risk of operational inefficiency, poor patient experience and high aborted journey rates due to incorrect patient mobilities identified as part of the booking process	Ongoing educational programme with HCPs where possible, continuous evolution of the on line and support materials based on user feedback	Moderate Risk	12	Low Risk	6

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84	Quality Committee	Operations	A&E Operations	Internal audit	Operational Risk	Clinical	Potential for patient harm due to failure to release clinical staff and bronze commanders for training leading to out of date skills and knowledge.	Target training for clinical supervisors and monitor delivery, ensure ongoing requirement built into 2014/15 training plan.	Moderate Risk	12	Low Risk	4
126	Quality Committee	Standards and Compliance	Risk and Safety	Claims, Incidents, Internal business review, Legislative requirement	Operational Risk	Health and safety	Inconsistent Health & Safety risk assessment process leading to risk of loss, injury and litigation.	Develop and implement risk assessment proformas and guidance. Including Dynamic Risk Assessment packs for vehicles in partnership with staff side.	Moderate Risk	12	Low Risk	4
63	Quality Committee	Standards and Compliance	NHS 111	Risk assessment, Self audit	Operational Risk	Clinical	Patient care compromised when special notes are not available to Clinical Advisors due to an inconsistent approach in the way notes are added across a number of software systems entered from different sources	NHS 111 temporary staff entering SPN's on to adastr for 6 months as agreed in partner workshop, joint working with SystemOne software on clinical viewer.	Moderate Risk	12	Moderate Risk	9
112	Quality Committee	People & Engagement	Organisational Effectiveness and Education	Risk assessment	Strategic Risk	Other (not listed above)	Places on Technician to Paramedic conversion courses are not being fully utilised. These places are fully funded but this funding is finite in that it cannot be rolled over if capacity is not fully utilised, financial risk.	Prioritise skill gap review and dialogue with technicians to identify participants, further joint statements to be issued from management and UNISON	Moderate Risk	12	Low Risk	4
70	Quality Committee	Operations	A&E Operations	Legislative requirement, Regulatory body	Operational Risk	Regulatory compliance	Risk of A&E vehicle cleaning being non compliant with CQC requirements. Periods where cleaning staff are not available due to Annual Leave or Sickness with no provision in place for replacement staff.	Spot checks to be undertaken by Clinical Supervisors and areas of concern reported to Fleet Ancillary Manager.	Moderate Risk	12	Low Risk	6

3. Both Finance & Investment Committee and Quality Committee

193	Quality Committee & Finance & Investment Committee	Finance and Performance	PTS (Patient Transport Services) - Operations	Internal business review, Self audit	Operational Risk	Financial	Risk of loss of financial income through failure to collect data accurately through the front line systems	Development of PTS data collection processes including implementation of actions arising from recent Internal Audit review.	High Risk	15	Low Risk	6
310	Quality Committee & Finance & Investment Committee	Corporate Affairs	Foundation Trust	Internal business review, Legislative requirement	Strategic Risk	Regulatory compliance	Risk of failure to achieve FT status (due to potential missed performance targets, status of quality compliance and/or financial position)	Continued focus on Red Performance by delivery of implementation plan., implementation of revised rosters in Feb 2014, continued engagement and negotiation with NHS 111 Commissioners including WYUC capacity review discussions and 2014/15 contract negotiations, prepare for first CQC inspection under new regime Ambulance Trusts inspected under new regime.	High Risk	15	Moderate Risk	10
327	Quality Committee & Finance & Investment Committee	Operations	Resilience and Special Services	Legislative requirement, Regulatory body	Operational Risk	Regulatory compliance	Structured MTFA training for cadre of 63 staff not provided with potential impact on effectiveness.	Inclusion in 2014/15 Trust training programme	Moderate Risk	12	Low Risk	4

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207	Quality Committee & F&I Committee	Finance and Performance	PTS (Patient Transport Services) - Operations	Internal business review	Strategic Risk	Other (not listed above)	Risk of failure to deliver service transformation and organisational change programme within PTS due to capacity and capability within YAS	Clearly articulate and agree the required support for the programme, work with organisational effectiveness and education to ensure that values are reflected throughout PTS via recruitment, training and ongoing management processes , introduce on-going competency assessments in all areas of PTS operations to ensure consistency and high quality of service delivery	Moderate Risk	12	Low Risk	4
74	Quality Committee & F&I Committee	Operations	A&E Operations	Incidents, Internal audit, Internal business review	Operational Risk	Financial	Demand rise in the CBU above that of contracted level impacting on CQUIN 6 (Red Performance), Rural CQUIN, and financial/reputational impact due to failure to perform and achieve performance.	Implement Operational redesign project , Complete CQUIN Projects driving changes and pushing through engaged CCG's to demonstrate good practice	Moderate Risk	12	Low Risk	4
217	Quality Committee & Finance & Investment Committee	Finance and Performance	Support Services	Self audit, Incidents, Regulatory body	Operational Risk	Infection, Prevention & Control	Increased risk of infection due to inability to cover cleaning staff absence across all sites due to lack of provision. This issue was also identified by the CQC in their January 2013 inspection and included in their final outcome	Further staff have been recruited to mitigate this risk however this will continue to be monitored to ensure adequacy.	Moderate Risk	12	Low Risk	6
148	Quality Committee & Finance & Investment Committee	Standards and Compliance	Risk and Safety	Internal business review	Operational Risk	Information governance	Risk of adverse impact on finances due to storage costs incurred, as a consequence of failing to 1. set destruction dates on boxes of records and 2. update that boxes of records have been destroyed locally.	IAOs to manage appropriate disposal of historical records, educational materials to be developed and issued to IAOs around accuracy of file track records and storage costs.	Moderate Risk	12	Low Risk	6