

BOARD PAPER - NHS ENGLAND

Title: Board Assurance Framework (incorporating the organisation's strategic risks)

Clearance: National Director, Policy: Bill McCarthy

Purpose of paper:

To update the Board on its Assurance Framework (BAF) for NHS England, incorporating the strategic risks for the organisation.

Key issues and recommendations: The Board Assurance Framework sets out a list of strategic risks, current mitigating actions and internal and external assurances. It also identifies further mitigating actions to be taken for each risk area.

Actions required by Board Members:

The Board is asked to:

- receive the BAF;
- accept the risks; and
- receive assurance that mitigating actions are in place.

Board Assurance Framework

Background

1. The Board Assurance Framework (BAF) forms part of the NHS England risk management strategy and policy and is the framework for identification and management of strategic risks; both risks internal to NHS England and those in the wider system in which NHS England has a role.
2. The BAF is reviewed on a monthly basis by the executive risk management group, who finalise the list of strategic risks, confirm actions being undertaken and check assurances.

The Board Assurance Framework 2013 / 14

3. The Board last viewed the BAF at their December meeting, which was the version approved by the executive risk management group at their meeting at the end of November.
4. The executive risk management group did not meet in December to review the BAF, due to the Christmas break. Instead the December meeting was re-scheduled for the 9 January.
5. At the meeting on the 9 January the executive risk management group acknowledged that there had been work to review the risks and update the BAF since the previous meeting. The work has resulted in additional actions being added to the BAF to reflect further activity which is underway to help mitigate against the impact of the risks.
6. There has been an action added to the risk around financial risk in partner organisations (number 2) to confirm that an exercise has been undertaken to achieve reconciliations between commissioners and providers to ensure that consistent assumptions are being used.
7. The transition- transfer of assets and liabilities risk (number 19) has had two further mitigating actions identified to support the management of the risk. These are the intention of the Department of Health to publish an accounts direction and the appointment of external advisors to ensure completion of the legacy accounting process.
8. There have been two actions added to the urgent care demand risk (number 4) to clarify how the £250 million of non-recurrent funding has been allocated and to confirm that a further £150 million was approved in November as part of a second tranche of funding.
9. Additionally, some of the actions already shown on the BAF have been completed and further internal assurance has been provided for some risks.
10. The mitigating action to publish strategic and operational planning guidance for the strategy risk (number 1) has been completed with the guidance published.

11. The report on management cost savings to mitigate against the capacity and capability risk (number 33) will now be linked to the business plan refresh.
12. An assurance framework for direct commissioning has been approved by the Board in November and a dedicated project team has been established, both of which were actions to mitigate the direct commissioning risk (number 3).
13. Following the review of the current position with the risks and further to the mitigating actions being updated and added, as detailed above, only one risk score has changed. The NHS 111 service risk (number 7), has been reduced from a red/amber risk to an amber risk.
14. The BAF summary sheet is attached as annex A, with the full BAF attached as annex B.

Actions Required by Board Members:

The Board is asked to:

- receive the BAF:
- accept the risks; and
- receive assurance that mitigating actions are in place.

Bill McCarthy
National Director: Policy
January 2014

NHS England Board Assurance Framework Summary as at 31 December 2013

Risk Ref	Potential Risk Description	Initial Risk Score			Current Residual Risk Score			Residual risk progress since last meeting	Anticipated Risk Score Following Mitigation		
		Impact	Likelihood	RAG Status	Impact	Likelihood	RAG Status		Impact	Likelihood	RAG Status
		<i>High-level potential risks that are unlikely to be fully resolved and require on-going control</i>									
1	Strategy - the context in which NHS England is operating will undermine the ability to develop and lead visionary programmes of work, needed to improve outcomes for patients into the future.	5	4	R	4	4	R	➔	4	3	AR
2	Financial Risk in Partner Organisations - serious financial difficulties elsewhere in the health and social care sector leads to an adverse impact on commissioners.	4	4	R	4	3	AR	➔	4	3	AR
3	Direct Commissioning - underdeveloped direct commissioning processes do not discharge specialised commissioning responsibilities effectively.	4	4	R	4	4	R	➔	4	3	AR
4	Urgent Care Demand - increasing demand for urgent and emergency services leads to a threat to delivery of key operational standards.	4	4	R	4	4	R	➔	4	3	AR
5	Clarity of Roles - lack of clarity of roles and responsibilities in national and local organisations results in NHS England not delivering the desired improvements in services that are safe, clinically effective and provide the appropriate levels of quality of care.	5	3	R	4	2	A	➔	4	2	A
6	Primary Care Services - the necessary reduction in management costs for this service could result in operational difficulties.	4	4	R	4	4	R	➔	4	3	AR
7	NHS 111 Services - NHS 111 services cannot be rolled out across England safely in line with the original timetable.	4	4	R	3	3	A	⬇	3	3	A
8	CCG Development - CCGs do not reach the maturity level to deliver the strategic plans required to improve patient care.	4	4	R	4	3	AR	➔	4	2	A
9	Primary Care - general practice will face increasing challenges in securing continuous quality improvement.	4	4	R	4	2	A	➔	4	2	A
10	Health Inequalities - immature partnerships, lack of good data and a poor evidence base, impair NHS England's ability to reduce inequalities in outcomes across the five domains.	4	4	R	4	3	AR	➔	4	2	A
11	Information Governance - changes to the Information Governance environment impact on the ability of commissioners to operate effectively.	4	5	R	4	3	AR	➔	3	2	A
12	Health Visitors - an inability to recruit and train sufficient health visitors results in insufficient numbers to meet the target.	4	4	R	3	3	A	➔	3	3	A
13	Compassion in Practice - Inadequate engagement with health professionals and processes of national and local partners means that NHS England does not deliver Compassion in Practice.	4	3	AR	4	2	A	➔	4	2	A
14	Commissioning Support Services - increasing financial pressures on CCGs leads to significant reduction in outsourcing of CSS and a shift to in-house provision, resulting in a loss of strategic transformational capability from the system, and potential liabilities.	3	4	AR	4	4	R	➔	3	3	A
15	Transformation of Congenital Heart Services - motivation and momentum for changes to congenital heart services is reduced and sustainability of good outcomes is endangered.	4	3	AR	4	2	A	➔	4	2	A
17	Patient and Public Participation - commissioners do not give adequate priority to patient and public engagement.	4	3	AR	4	3	AR	➔	4	2	A
18	Emergency Preparedness, Resilience and Response - given the new environment and changed personnel, exercises do not adequately test the incident response arrangements within NHS organisations.	3	3	A	3	3	A	➔	2	2	AG
19	Transition - Transfer of Assets and Liabilities - NHS England will face significant unforeseen liabilities and impairment of assets resulting from the significant structural changes.	4	4	R	4	3	AR	➔	4	2	A
21	Human Resources - NHS England is unable to attract suitable candidates to fill key roles.	4	3	AR	4	3	AR	➔	4	2	A
22	Procurement - NHS England is restricted in the way it operates due to government procurement controls.	4	4	R	4	3	AR	➔	4	3	AR
23	Dealing with Customer Contacts - the transition arrangements for dealing with complaints and customer contacts fail to reflect NHS England's values.	4	4	R	4	3	AR	➔	3	3	A
24	Transition - ICT - NHS England's Information and Communications Technology (ICT) strategy implementation plan is delayed.	4	3	AR	3	3	A	➔	3	2	A
25	Organisational Culture - NHS England fails to create a culture where there is a shared sense of purpose, clarity about our values and behaviours and how we work together and with others.	4	3	AR	4	3	AR	➔	2	2	AG
26	Embedding Outcomes - the five clinical domains are not fully embedded in the strategic programmes due to an insufficient focus on improving quality and outcomes for patients.	4	3	AR	4	2	A	➔	3	2	A
27	Development Commissioning - some CCGs do not progress beyond the safe threshold achieved in CCG authorisation.	4	3	AR	4	2	A	➔	3	2	A
28	Innovation and Research - do not achieve the potential benefits or get return from the investment in innovation and research.	3	4	AR	3	2	A	➔	2	2	AG
30	Immature Systems and Processes - immature systems and governance processes in NHS England impede the delivery of a number of key objectives.	4	4	R	3	3	A	➔	2	2	AG
31	Activity Control - lack of robust activity data will impede NHS England's ability to challenge and confirm providers of specialised commissioning, oversee and track CCG progress on activity and agree baselines for future planning.	4	4	R	4	3	AR	➔	4	3	AR
32	External Partners - Priorities and Whole System Approach - lack of alignment between organisational visions and priorities lead to a lack of progress in the health and social care agenda.	3	3	A	3	2	A	➔	3	2	A
33	Capacity and Capability - NHS England will not have the management capacity required to deliver on ambitious plans, now and in the future, due to current and future planned reductions in management resources alongside additional priorities for action.	4	3	AR	4	3	AR	➔	3	2	A
34	Transparency and Information Sharing - NHS England will not persuade the clinical community of the benefits of sharing information.	4	3	AR	4	3	AR	➔	4	2	A
35	System Governance Uncertainty - the complex governance and lack of NHS England control over informatics expenditure will impact on the ability to deliver on NHS England's agenda.	4	3	AR	4	3	AR	➔	4	2	A

These are the significant risks directly associated with delivering the NHS England Business Plan. Also included are operational risks that have emerged through directorate reporting and escalation in terms of significance for the organisation

Risk Owner	Risk Ref	Potential Risk Description	Business Plan Score Card Priority											Initial Risk Score (see note 1)	Mitigating Actions in Place	Internal Assurance	External Assurance	Current Residual Risk Score (see note 2)			Residual risk progress since last meeting	Further Mitigating Actions	Completion Date for Actions	Anticipated Risk Score Following Mitigation (see note 3)					
			1 - Satisfied patients	2 - Motivated, positive NHS staff	3 - Domain 1 preventing people	4 - Domain 2 enhancing quality of people recover from	5 - Domain 3 Positive experience of care	6 - Domain 4 Safe environment & employment	7 - Domain 5 NHS consistency and pledges	8 - Promoting equality	9 - NHS consistent rights and pledges	10 - Becoming an excellent organisation	11 - High quality financial management					Impact	Likelihood	RAG Status				Impact	Likelihood	RAG Status	Impact	Likelihood	RAG Status
		<i>Should be high-level potential risks that are unlikely to be fully resolved and require on-going control</i>														<i>Systems and processes that are in place and operating that mitigate this risk</i>	<i>Internal evidence that this risk is being effectively managed (e.g. Board reporting, subcommittee and internal audit committee reviews)</i>	<i>External evidence that this risk is being effectively managed (e.g. planned or received external audit reviews)</i>						<i>Additional actions required to mitigate this risk further</i>	<i>For each further mitigating actions a completion date must be provided</i>				
National Director: Policy Supported by: Chief Operating Officer and Chief Financial Officer	1	Strategy: There is a risk that the context in which NHS England is operating will undermine the ability to develop and lead visionary programmes of work, needed to improve outcomes for patients into the future. This is in relation to the financial environment, potential for future service development, the political context and the relatively early development of relationships across the new health and care system.	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	5	4	R	1. NHS England, with partners, is leading a "7 products" strategy programme. 2. Working arrangements in place to share and agree NHS England strategic analysis with partners. 3. Post spending review work with Local Government Association (LGA) to agree conditions, including political buy in for use of integration fund. 4. 'Call to Action' process to gain local ownership for actions through CCG's. 5. NHS England with Monitor, the Trust Development Authority and the Local Government Association have aligned their planning timetables and have regular meetings about their planning approach. 6. 2014/15 refreshed Mandate published. 7. 2014/15 Strategic and Operational planning guidance has been published.	1. Programme governance established. 2. Regular reporting to the Board. 3. Included in the internal audit plan for review.	1. Arm's Length Body (ALB) joint executive group.	4	4	R	➔	1. Publish 2014 refresh of NHS England Business Plan.	1. 31/03/2014	4	3	AR	
Chief Financial Officer	2	Financial risk in partner organisations: There is a risk that in some areas, serious financial difficulties elsewhere in the health and social care sector (e.g. provider or social care organisations) leads to an adverse impact on commissioners (CCGs and NHS England) either financially or operationally.												4	4	R	1. The shared financial agreement between NHS England, Monitor and the Department of Health (DH) considers health sector wide financial positions. 2. The planning process for 2013/14 included an on-going process of triangulation with the NHS Trust Development Authority (NHS TDA) of commissioner and provider plans. 3. NHS England has agreed a set of principles under which support may be provided to challenged Trusts outside of Public by Results (PbR) rules. 4. Local Authority & social care - Transfer of £859m to Local Authorities for social care in 2013/14 is a year on year increase and is overseen locally. 5. Local reconciliations between commissioners and providers and agreement of balances exercise undertaken to ensure that consistent assumptions are being used by all parties.	1. Providers: over the last 2 months NHS England and NHS TDA Executives have met to discuss and agree support to financially challenged Trusts in line with the agreed principles. The risks of both provider and social care financial positions impacting on CCGs or NHS England are most likely to be clarified in the over-performance of acute contracts. 2. Acute activity over-performance will be included as a risk item reported to Finance and Investment Committee (FIC).	None identified.	4	3	AR	➔	1. NHS England major programme established to ensure appropriate activity information is available, overseen by the Operations Directorate which includes the timely and relevant information on activity trends being made available to enable corrective action to be taken especially in direct commissioning.	1. 31/12/2013	4	3	AR	
Chief Operating Officer Supported by National Directors: Patients and Information, Policy & Chief Financial Officer	3	Direct Commissioning: There is a risk that underdeveloped direct commissioning processes do not discharge specialised commissioning responsibilities effectively. This could result in loss of potential outcome benefits and financial risk.	✓		✓	✓	✓	✓	✓	✓	✓	✓		4	4	R	1. Approach to the Single Operating Model has been reinforced. 2. Board approved governance arrangements of committee and oversight groups. 3. Implementation of single operating models in progress. 4. Some progress in aligning staff from national support centre to contribute to direct commissioning. 5. Direct commissioning assurance framework under development. 6. Regional Director leads identified for each aspect. 7. Commissioning Support Unit service level agreements in place with steering group. 8. Dedicated project team has been established through rapid mobilisation of resources and high profile attention by the Executive Team. 9. Assurance framework for direct commissioning has been approved by the Board in November.	1. Board development session 17 July 2013. 2. The Board has approved a Direct Commissioning Committee with Non - Executive Directors identified. 3. Specialised Commissioning oversight group. 4. Included in the internal audit plan for review.	None identified.	4	4	R	➔	1. Work underway to clarify roles and responsibilities across matrix.	1. 31/03/2014	4	3	AR	
Chief Operating Officer	4	Urgent Care Demand: There is a risk that increasing demand for urgent and emergency services leads to a threat to delivery of key operational standards which are a marker for quality of care of patients.												4	4	R	1. NHS A&E Improvement plan guidance published on 9 May 2013 on NHS England website. 2. A&E Improvement plan which has led to Urgent Care Boards being established in local health systems along with regional and national tripartite groups for oversight of recovery and improvement plans. 3. This work is also informed by Emergency Care Intensive Support Teams (ISTs) (ISTs are part of NHS Improving Quality (NHSIQ), and a joint intelligence group represented by NHS England, Department of Health (DH) NHS Trust Development Authority (NHS TDA) and Monitor). 4. Recovery and Improvement plans have been produced by all organisations with an A&E unit (not just those currently failing) to ensure whole systems sustainability and all year round delivery with a particular focus on winter. 5. £250m non-recurrent winter funding confirmed for targeted use for 2013/14 (same for 2014/15). The £250m non-recurrent funding was approved in September, of which £221m was targeted at 53 high risk systems, as agreed by Urgent Care Working Groups, and £15m assigned to NHS 111. The remaining £14m was set aside as contingency. 6. NHS 111 programme board in place. 7. External stakeholders have been identified to inform this work. 8. A second tranche of an additional £150m of funding was approved in November 2013, of this £140m will go to the remaining systems. The outstanding £10m going to ambulance services and specialist services e.g. paediatric intensive care, along with the £14m contingency from the first tranche.	1. Chief Operating Officer reports to the NHS Operations Executive and to the Board on current performance and related issues. 2. Weekly A&E data published on NHS England website.	1. Weekly delivery stock take meetings with Secretary of State (SoS). 2. NHS TDA, Monitor and Association of Directors of Adult Social services represented in regional and national tripartite groups providing assurance functions.	4	4	R	➔	None identified.			4	3	AR
Chief Nursing Officer Supported by National Director: Policy, Medical Director and Chief Operating Officer	5	Clarity of roles: There is a risk that a lack of clarity in an immature system, whether between NHS England and partner organisations or within NHS England itself results in less ability to effectively commission services that are safe, clinically effective and provide the appropriate levels of quality of care.	✓										5	3	R	1. Clear definitions of what high quality care looks like for particular pathways or patient groups and what commissioners can do to commission it, by: • Developing a framework of support for commissioners as to how they can practically discharge their roles and responsibilities around quality at all points of the commissioning cycle, in co-production with the Quality Working Group of the NHS Commissioning Assembly, to include how they can work with regulators and other bodies locally. • National leadership for quality across the system, with NHS England as an equal voice on behalf of commissioners - through the National Quality Board, brings together CQC, Monitor, NHS TDA, NICE, PHE, HEE, etc to provide oversight and leadership for quality. • NHS England involvement in local safeguarding boards. • Work with the Care Quality Commission (CQC), professional regulatory bodies and other national partners. 2. The Patient Safety Board has now been established, renamed as the Patient Safety Expert Group to bring together experts in specific fields.	1. Chief Nursing Officer reports to the Board on Domain 5. 2. Reporting on adverse and near events.	1. Local safeguarding boards (tbc). 2. CQC, professional regulatory bodies and other national partners including National Advisory Group on the Safety of Patients in England.	4	2	A	➔	1. To deliver on the outcomes and recommendations of the Keogh Review in partnership between NHS England, NHS Trust Development Authority, Monitor and Care Quality Commission.	1. 31/03/2014	4	2	A		
Chief Operating Officer	6	Primary Care Services (Formally Family Health Services): There is a risk that the necessary reduction in management costs for this service could result in operational difficulties which could damage NHS England's relationships with GPs.	✓										4	4	R	1. Project plan with centrally funded National Project Team. 2. Area teams actively engaged. 3. Mechanism in place to handle operational issues as they arise. To include publication of national procedures / policies and potential flexing of existing private sector contracts. 4. Plans from Area Teams organised via regional offices and then via National Project Team. 5. Senior Responsible Officer (SRO) has received approval of governance arrangements from appropriate approval forums. 6. Project Governance arrangements were formally ratified on 3/10/13. 7. Risk plans are in place with regular updating. 8. Recruitment of Programme Director.	1. Programme board in place with regular reporting to the executive team meeting (ETM). 2. Board will be updated on the 17 July 2013 and a paper with proposals will be taken to the Board on the 13 September 2013. 3. Risks associated with lack of capacity identified and mitigated via business cases, reporting to Procurement Controls Committee. 4. Included in the internal audit plan for review.	1. Reviews of plan by Primary Care Services (PCS) Programme Board: service specification to be cleared through Clinical Priorities Assurance Group. 2. Engagement plan with contractor representative groups. 3. Engagement plan with unions on workforce transition plan; involvement of and advice sought from NHS Business Services Authority (NHS BSA) re procurement.	4	4	R	➔	1. Financial Arrangements still to be clarified should spending be delayed and funding need to be carried over to 2014/15. Review of funds to take place March 2013. 2. Communications plan under development. 3. Creation of task and finish group to strengthen oversight of the programme.	1. 31/03/2014 2. 31/03/2014 3. 31/12/2013	4	3	AR		

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			1 - Satisfied patients	2 - Motivated, positive NHS staff	3 - Domain 1: preventing people	4 - Domain 2: enhancing quality of people recover from	5 - Domain 3: Helping people recover from experience of care	6 - Domain 4: Positive environment & staff	7 - Domain 5: Safe environment & staff	8 - Promoting equality and reducing health inequalities	9 - NHS constitution rights and pledges	10 - Becoming an excellent organisation	11: High quality financial management	Impact	Likelihood				RAG Status	Impact	Likelihood				RAG Status	Impact	Likelihood	RAG Status						
Chief Operating Officer	7	NHS 111 Services: There is a risk that NHS 111 services cannot be rolled out across England safely in line with original timetable and that already live services could be compromised due to provider failure.																1. Strategic review of NHS 111 Services. 2. Operations Directorate working with CCGs to secure clear plans for delivery of service. 3. CCG assurance framework in place. 4. Close monitoring of NHS direct capacity and sustainability with NHS Trust Development Authority (NHS TDA). 5. Support for CCG's to secure alternative providers where necessary. 6. Operational decision to delay rollout in two sites. 7. Business case developed for external assurance of mobilisation plans - delivered as part of ambulance service step-in plans (NHS Direct take over of certain NHS 111 services).	1. Established Programme Oversight Group. 2. Established weekly Operational Group. 3. Established NHS Direct 111 Service. 4. Liaison and Negotiating group with CCGs. 5. Checkpoint process in place for service roll out.	1. Deloitte report into NHS Direct contracted services. 2. Assurance of higher risk recovery plans undertaken by Deloitte.	3	3	A	None identified.										
Chief Operating Officer Supported by: National Director: Commissioning Development and Chief Financial Officer	8	CCG Development: There is a risk that some CCGs do not reach the maturity level to deliver the strategic plans required to improve patient care and ensure a clinically and financially sustainable health system.																1. CCG development programme in place. 2. CCG Assurance Framework in place. 3. Support offered by NHS England and Commissioning Support Units (CSU). 4. The four regions are having on-going conversations with Area Teams and CCGs around remaining conditions and concerns, working towards the removal of any remaining conditions of authorisation. Reviews of conditions and directions of authorisation are also reviewed on a formal basis through the quarterly checkpoint of annual assurance, and considered by CCG Authorisation and Assurance Committee (on-going, first committee on 8 Oct 2013). 5. Commissioning development programmes (including area teams) to be aligned across the system. 6. The four regions are having on-going conversations with Area Teams and CCGs around remaining conditions and concerns, working towards the removal of any remaining conditions of authorisation. Reviews of conditions and directions of authorisation are also reviewed on a formal basis through the quarterly checkpoint of annual assurance. 7. Engagement project plan is in place and being rolled out to ensure final assurance framework is co-produced with CCGs, prior to final publication in the autumn.	1. Board reporting on CCG development programme. 2. The final CCG Assurance Framework has now been approved by the Board and is set to be published by the end of November 2013. The framework will inform all future discussions between NHS England and CCGs. 3. Authorisation Committee review of conditions. 4. Included in the internal audit plan for review.	None identified.	4	3	AR	None identified.										
National Director: Commissioning Development Supported by: Chief Operating Officer and National Medical Director	9	Primary Care: There is a risk that due to demographic pressures and a tight financial environment, general practice will face increasing challenges in securing continuous quality improvement leading to an impact on reducing the variations in quality and access.																1. Development of strategic framework for commissioning of primary care services. 2. Development of GP contract. 3. Primary medical services assurance framework. 4. NHS Commissioning Assembly primary care working group to develop and test ideas. 5. Successful launch of 'A Call to Action' for general practice.	1. Primary Care Strategic Framework Oversight Group. 2. National Primary Medical Services Assurance and Quality Improvement Steering Group. 3. Board approval for negotiating remit for 2014/15 GP contract.	1. CQC assessment of general practices.	4	2	A	None identified.	1. 31/03/2014 2. 31/03/2014									
National Director: Policy Supported by: National Director: Commissioning Development	10	Health Inequalities: There is a risk that immature partnerships, lack of good data and a poor evidence base, impair our ability to reduce inequalities in outcomes across the 5 domains.																1. NHS Equality and Diversity Council (EDC). 2. Equality Delivery System (EDS). 3. Partnership working with key stakeholders. 4. Equality and Diversity Group. 5. Resource allocation. 6. Primary care commissioning. 7. GP contracts and incentive review aligned to reducing inequalities.	1. Board task and finish group. 2. Equalities policy. 3. Included in the internal audit plan for review.	1. Department of Health (DH) assessment of NHS England's performance against duty to reduce health inequalities and to integrate services where reduces health inequalities. 2. Her Majesty's Treasury (HMT) reporting against Public Accounts Committee (PAC)'s outstanding recommendations on Health Inequalities.	4	3	AR	None identified.	1. 31/03/2014 2. Ongoing 3. Ongoing 4. 31/03/2014 5. 31/03/2014 6. 31/03/2014									
National Director: Patients and Information Supported by: National Director: Commissioning Development	11	Information Governance: There is a risk that the changes to the Information Governance (IG) environment impact on the ability of commissioners to operate effectively, leading to reduced ability to have a significant impact on improving patient outcomes. Specifically: • Risks to the commissioning system: ability to target and commission improved services for patients and ensure value for money from providers; • Risk to commissioning support services: potential to destabilise CSUs and their ability to meet CCG customer expectations and be financially sustainable; • Reputational risks for NHS England: the ability for NHS England to maintain business as usual in the first year of operation.																1. Establishment of a Programme Board (including a programme manager to ensure the completion of key programme documentation, controls and plans) to oversee the full range of activities required to ensure a successful transition to new IG environment including: • identify the full implications of the new information governance environment for commissioning and commissioning support tools, ensure that they are effectively communicated to and understood by commissioners, and that any changes in practice are implemented in a way that is consistent with the law; • ensure robust management of the risks to the overall commissioning system and in the processes involved in handling confidential data and using it to support commissioning practice and care; ensure a smooth transition from current practice to how it needs to work in the future; • oversee the process of separation of the Data Management Information Centre (DMICs) from Commissioning Support Units (CSUs), and their formal migration to the Health and Social Care Information Centre (HSCIC), addressing all the technical, operational, funding, HR and leadership issues. • ensure that the emerging effects on CSUs, including the implications for their future operating model and sustainability, are effectively addressed; • continue to manage the issue of s251 support for commissioning during the transition period.	1. Update reports from joint Senior Responsible Officers (SROs) to the Executive Management Team (ETM). 2. Included in the internal audit plan for review (August 2013).	None identified.	4	3	AR	None identified.	1. 31/03/2014									
Chief Nursing Officer Supported by: Chief Operating Officer	12	Health Visitors: There is a risk that an inability to recruit and train sufficient health visitors results in insufficient numbers to meet the target.																1. This is a particular issue in London and Kent, Surrey, Sussex (KSS) where recovery plans include: • Workstream around rebranding and marketing of Health visiting (London to spearhead). • Work with Health Environment Inspectorate Framework (HEIs) to delay course start to allow sufficient places. 2. Communication pathways for effectiveness have been revised and assessed and are complete. 3. Effectiveness of interventions in the lead up to the next recruitment cohort has been assessed, with London and KSS having detailed recovery plans in place which are challenged and revised on a regular basis. 4. Medway Community Healthcare have confirmed that Band 5 Development posts were in place for February – May 2013, to offer experience for newly qualified staff applying. 5. NHS England is working towards ensuring that sufficient posts are commissioned in line with agreed workforce trajectories, to ensure placements for trained health visitors.	1. Chief nursing officer reports to the Board. 2. Included in the internal audit plan for review. 3. Kent and Medway have established a Health Visiting Programme Board. 4. London have developed a Health Visiting Transformation Board.	1. Development of regular communication pathway with Community Practitioners and Health Visitors Association (CPHVA), Department of Health (DH), NHS England and Health Education England (HEE). 2. Refreshed Joint Programme Board (yet to be confirmed).	3	3	A	None identified.										

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		<i>Should be high-level potential risks that are unlikely to be fully resolved and require on-going control</i>														<i>Systems and processes that are in place and operating that mitigate this risk</i>	<i>Internal evidence that this risk is being effectively managed (e.g. Board reporting, subcommittee and internal audit committee reviews)</i>	<i>External evidence that this risk is being effectively managed (e.g. planned or received external audit reviews)</i>					<i>Additional actions required to mitigate this risk further</i>	<i>For each further mitigating actions a completion date must be provided</i>				
Chief Nursing Officer	13	Compassion in Practice: There is a risk that inadequate engagement with health professionals and / or lack of clarity of roles, responsibilities, and processes of national and local partners means that NHS England does not deliver Compassion in Practice, leading to sub-optimal outcomes and dissatisfied patients.	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	4	3	AR	1. Compassion in Practice implementation plans overseen by NHS England and Federation of Nurse Leaders. 2. Chief Nursing Officer supporting the delivery of local and regional actions. 3. There is excellent engagement with national bodies, regulators and key stakeholders. 4. Continuous networking and engagement with stakeholder at local and national level. 5. NHS England's response to the Francis report was consistent with the Compassion in Practice implementation plans. 6. The 6CsLive Communication Hub has been launched and serves as a vehicle to promote best practices in all six action areas. 7. A quarterly review of progress against the implementation plan has been established.	1. Chief Nursing Officer reports to the Board. 2. Progress reports against implementation plans. 3. Internally engagement and business planning to ensure processes are developed to support the delivery of Compassion in Practice. 4. Friends and Family Test roll out underway. Acute inpatient and A&E services went live in April. 5. Maternity element of Friends and Family Test went live in October. 6. The Insight Dashboard to drive and enhance public participation has been established.	1. Friends and Family Test. 2. Feedback from national bodies, regulators and key stakeholders. 3. Care Quality Commission (CQC) will report on the delivery of Compassion in Practice implementation plans when inspecting Trusts.	4	2	A	➔	1. Developing measures for success in quality of care in patient experience.	1. 31/01/2014	4	2	A
National Director: Commissioning Development Supported by Chief Financial Officer	14	Commissioning Support Services: There is a risk that increasing financial pressures on Clinical Commissioning Groups (CCGs) leads to significant reductions in outsourcing of Commissioning Support Services (CSS) and a shift to in-house provision, resulting in a loss of strategic transformational capability from the system, and potential liabilities.	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	3	4	AR	1. Commissioning support services (CSS) transition programme. 2. Active development of the Commissioning Support Market - via Launch of the CSS Market Development Strategy 'Towards Commissioning Excellence' on 12/06/13. 3. Development programme for Commissioning Support Units (CSUs) to ensure they continue to offer high quality & responsive services to CCGs & thrive within the future market. 4. Increasing pace of CSU development (partnering and right-sizing), Make/Share/Buy and In-Housing Impact Assessment advice; on-going engagement with CCGs.	1. Board reporting on Commissioning Support Units (CSUs) transition programme. 2. On-going Assurance regime through Monthly CSU Dashboard that monitors key performance and financial indicators 3. Specific Committee established to oversee assurance & development of CSUs & approach to market development. 4. Key Risks reported to the Board via both the committee & standard Board Programme Management Office (PMO) procedures. 5. Included in internal audit plan for review.	1. There will be on-going independent assessment of Commissioning Support Units (CSUs) financial viability 2. CSUs will be subject to NHS England's audit arrangements.	4	4	R	➔	1. A programme of on-going development for CSUs, including a leadership programme is being implemented with the Leadership Academy to support CSUs in shaping their strategic direction, commerciality, bidding ability, Organisational Development and resilience. 2. An assurance regime is also in place to ensure the on-going financial viability of CSUs and that they are continuing to deliver excellent and efficient services that their customers value. 3. Clarity about where and how transition resources are sourced.	1. 31/03/2016 2. 31/03/2016 3. 31/03/2014	3	3	A	
National Director: Policy Supported by: National Medical Director	15	Transformation of Congenital Heart Services: There is a risk that following the judicial review and Independent Reconfiguration Panel (IRP) reports on the 'safe and sustainable review', motivation and momentum for changes to congenital heart services is reduced and sustainability of good outcomes is endangered.	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	4	3	AR	1. Stakeholder engagement - maximum openness, working with and through e.g. National Voices, Involve, and Centre for Public Scrutiny; fortnightly blog on NHS England website for patient and public information. 2. Design a process which deliberately "front loads" the difficult issues to lessen risk of appeals and objections at the end of the process. 3. Commitment to a 12 month deadline for agreeing change.	1. 18 July 2013 Board to consider proposed approach, which will inform response to the Secretary of State (asked for 31 July 2013 update). 2. Board Task & Finish group, chaired by Sir Malcolm Grant, to meet regularly.	1. Governance model will include external input (possibly some international expertise, to avoid perceived parochialism).	4	2	A	➔	1. Early meeting with National Voices etc, facilitated by Patients and Information, as precursor to meeting patient and parent charities. 2. Ongoing discussion with Communications to ensure appropriate support. 3. Make robust links to NHS England strategy process and to other significant workstreams e.g. on overall commissioning of specialised services and reconfiguration.	1. 01/06/2014 2. 01/06/2014 3. 01/06/2014	4	2	A	
National Director: Patients and Information	17	Patient and Public participation: There is a risk that commissioners do not give adequate priority to patient and public engagement, leading to NHS England failing to meet its statutory obligation to engage patients and the public in the design and commissioning of health and care services.	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	4	3	AR	1. Direct commissioning patient and public involvement has been designed into the system (formal requirement). 2. For CCGs, patient and public involvement is integral to the assurance programme. 3. Friends and Family Test roll out underway. Acute inpatient and A&E services went live in April. 4. NHS England implementing accelerator projects to support CCGs with public participation (on-going). 5. Maternity element of Friends and Family Test went live in October. 6. The Insight Dashboard to drive and enhance public participation has been established.	1. Board reporting on NHS England's direct commissioning. 2. Board reporting on the CCG assurance programme. 3. Board reporting on patient and public participation activity on the Integrated Customer Service Platform. 4. Board reporting on implementation of Friends and Family Test roll out plans.	None identified.	4	3	AR	➔	1. Civil Society Assembly launched in March 2014, which will operate as a vehicle and lever for ensuring public participation.	1. 31/03/2014	4	2	A	
Chief Operating Officer	18	Emergency Preparedness, Resilience and Response (EPRR): There is a risk that given the new environment and changed personnel, exercises do not adequately test the incident response arrangements within NHS organisations leading to the system being unable to respond.	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	3	3	A	1. Agree the EPRR Training & Exercising Programme for 2013/14. 2. Implement the EPRR Annual "Safe System" Assurance to assure that NHS organisations' incident response plans are in place and that organisational reporting/response arrangements are aligned to them. 3. Maintain robust and constructive communication links with the four NHS England Regional EPRR Leads in relation to exercise scheduling and completion. 4. The London Regional Area Team is working with the Corporate Team to produce and deliver this product. 5. Other exercises i.e. EMERGO exercises and other regional and Cross Government exercises such as Home Office led exercises; Cabinet Office exercises (Tier 1 and Tier 2). 6. Regular engagement with PHE, DH and Cabinet Office policy to understand where they are with guidance and ensure any publications are aligned and complementary where possible. 7. Forward awareness in respect of national cross government (Tier 1) Pandemic Influenza exercises for delivery into 2014/15 with the majority of the planning taking place in the current fiscal period.	1. Quarterly updates to the EPRR partnership group. 2. Monthly reporting to the Department of Health (DH), Public Health England (PHE) and NHS England Training and Exercise Group who review all training and exercises Quarterly reporting on patient contact / complaints by end of July 2013. 3. Monthly meetings with Regional EPRR Leads.	1. Following each of the exercises (commissioned and paid for by DH) written reports to the DH, PHE and NHS England group.	3	3	A	➔	None identified.		2	2	AG	
National Director: Medical	26	Embedding Outcomes: There is a risk that the five clinical domains are not fully embedded in the strategic programmes due to an insufficient focus on improving quality and outcomes for patients, leading to a failure to optimise impact on improving outcomes as set out in the NHS business plan objectives.	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	4	3	AR	1. Strategic programmes are developed to address improving outcomes and deliver through supporting commissioners to optimise their functions and using other tools, levers and mechanisms available and delivered through delivery partners e.g. NHS Improving Quality (NHSIQ). 2. Comms and engagement plan developed to ensure maximum coverage, buy-in and spread internally and externally. 3. Sufficiently senior representation from domain teams on all matrix groups across to ensure input and influence. 4. Domain programme leads and NHS Improving Quality programme leads have established links to ensure alignment between programmes. The process is embedded and will continue to ensure alignment.	1. Outcomes domains programme board governance arrangements in place: clinical directorates reporting and assurance system includes delivery and benefits monitoring and return on investment tracking.	1. Analytical Team and information centre monitoring of outcomes indicators. 2. ITEG steering group and Monitoring of international comparators. 3. Programme boards for underpinning programs will feature members from across the system and patients where appropriate.	4	2	A	➔	1. Domain programmes prioritised and included with business planning process for 2014/15.	1. 31/01/2014	3	2	A	

Risk Owner	Risk Ref	Potential Risk Description	Business Plan Score Card Priority											Initial Risk Score (see note 1)	Mitigating Actions in Place	Internal Assurance	External Assurance	Current Residual Risk Score (see note 2)			Residual risk progress since last meeting	Further Mitigating Actions	Completion Date for Actions	Anticipated Risk Score Following Mitigation (see note 3)				
			1 - Satisfied patients	2 - Motivated, positive NHS staff	3 - Domain 1, preventing people	4 - Domain 2, enhancing quality of	5 - Domain 3, Helping people recover from	6 - Domain 4, Positive experience of care	7 - Domain 5, Safe environment &	8 - Promoting equality and reducing	9 - NHS consultation rights and pledges	10 - Becoming an excellent organisation	11 - High quality financial management					Impact	Likelihood	RAG Status				Impact	Likelihood	RAG Status	Impact	Likelihood
		<i>Should be high-level potential risks that are unlikely to be fully resolved and require on-going control</i>														Systems and processes that are in place and operating that mitigate this risk	Internal evidence that this risk is being effectively managed (e.g. Board reporting, subcommittee and internal audit committee reviews)	External evidence that this risk is being effectively managed (e.g. planned or received external audit reviews)					Additional actions required to mitigate this risk further	For each further mitigating actions a completion date must be provided				
National Director: Commissioning Development Supported by: All	27	Development of Commissioning: There is a risk that some CCGs do not progress beyond the safe threshold achieved in CCG authorisation, which could result in an inability to commission an appropriate level of high quality services for their local population.	✓	✓			✓	✓					4	3	AR	1. Clear definitions of what high quality care looks like for particular pathways or patient groups and what commissioners can do to commission it, by: • developing tools and resources which support the implementation of quality standards, such as service specifications which can be inserted into contracts • developing a framework of support for commissioners as to how they can practically discharge their roles and responsibilities around quality at all points of the commissioning cycle, in co-production with the Quality Working Group of the NHS Commissioning Assembly, to include how they can work with regulators and other bodies locally • catalysing a movement towards a seven-day service offer in the NHS to remove barriers for commissioners in commissioning 7 day services from providers. 2. Improving the availability of measures and data on quality to support transparency of quality and help commissioners drive improvement by: • National Clinical Audit and Patient Outcomes Programme, ensures clinical audits cover the services which account for the majority of NHS activity. • Linking GP and hospital data to be able to understand the quality of care and outcomes for individuals throughout their pathway of care, through Care.data 3. NHS England uses the following levers to encourage, incentivise and enable commissioners to drive improvement, e.g. Quality Premium, the Planning Guidance for 2014/14, the CCG Outcomes Indicator Set, the tariff and best practice tariffs, the Quality and Outcomes Framework. 4. National leadership for quality across the system, with NHS England as an equal voice on behalf of commissioners - through the National Quality Board, brings together CQC, Monitor, NHS TDA, NICE, PHE, HEE, etc to provide oversight and leadership for quality. 5. The NHS architecture enables local health economies to share information on quality, triangulate intelligence, spot problems at an early stage and take coordinated actions - through Quality Surveillance Groups and Risk Summits. 6. Publication of the CCG development framework and CCG development support directory focusses on supporting CCGs to progress beyond the threshold achieved in authorisation. 7. The publication of the CCG assurance framework and supporting processes will support CCG development.	1. CCG Leaders will steer work through the Quality Working Group of the Commissioning Assembly. 2. CCG leaders have oversight of the assurance work through the CCG Development Working Group.	1. Work will report into Quality and Clinical Risk Committee of NHS England Board. 2. National Quality Board will provide oversight from across the system.	4	2	A	➡	1. Working with NICE in developing their library of Quality Standards. 2. Publishing activity and outcomes data from national clinical audits at consultant-level for the first time for 10 specialities. 3. CCGs will publish the finance and performance dashboard data on their websites.	1. 01/01/2014 2. 01/01/2014 3. Ongoing	3	2	A	
National Director: Medical	28	Innovation and Research There is a risk that we do not achieve the potential service improvement and financial benefits (including appropriate return from the investment of resource) in innovation and research if innovation and research practices are not mainstreamed into core activities. This would lead to poorer outcomes for patients and a financially unstable health system.			✓		✓			✓			3	4	AR	1. Support and assurance to CCGs who have a legal duty to promote innovation and research. 2. Develop research strategy and prioritisation process and disseminate across organisation. 3. Implementation of portfolio of innovation programmes underway.	1. Clinical directorates reporting and assurance system includes delivery and benefits monitoring and return on investment tracking; Clear clinical leadership in development of research strategy.	1. Academic programme for Evaluation of Innovation, Health and Wealth is being developed.	3	2	A	➡	1. Full engagement on development of research strategy to take place during 2013/14. 2. Roll-out of innovation programmes throughout 2013/14.	1. 31/03/2014 2. 31/03/2014	2	2	AG	
Chief Operating Officer	31	Activity Control There is a risk that lack of robust activity data will impede NHS England's ability to challenge and confirm providers of specialised commissioning, oversee and track CCG progress on activity and finance and agree baselines for future planning.											4	4	R	1. Work is underway, through the IG Programme (see risk 11), to provide solutions to the new IG arrangements that are impeding the access of area teams to hospital activity data, and their ability to validate invoices (on-going action through Summer and Autumn 2013). 2. the complexity of determining what is commissioned by CCGs versus what is directly commissioned by NHS England is currently being worked through. The re-commissioning of the Integrated Reporting tool via HSCIC will assist with this work. Part of the Review is to scope the extent of the problem to get a better sense of the scale of the issue. 3. A report has been delivered to identify the problems and recommend solutions.	1. Current review being undertaken via the Activity Information Project.	None identified.	4	3	AR	➡	None identified.		4	3	AR	
Chief Financial Officer Supported by: National Director: Policy	19	Transition - Transfer of Assets and Liabilities: There is a risk that NHS England will face significant unforeseen liabilities and impairment of assets resulting from the significant structural changes leading to a failure to achieve financial performance targets for 2013/14, an inability to plan effectively for 2014/15, and problems with completing satisfactory accounts.											✓	4	4	R	1. Update reports by Chief Financial Officer to the Finance and Investment Committee. 2. Financial reporting to ETM (Executive Team Meeting) and the Board. 3. A two stage process has been agreed for asset and liability transfer: • "Assurance Process" - ensure that asset and liabilities transferring to NHS England are in accordance with the transfer scheme requirements and agree to the relevant accounting records for 2012/13. • Verify the true underlying assets and liabilities concerned through due diligence process and assess the results in the context of 2012/13 final position and risk sharing agreement.	1. External audit review of Opening Balances. 2. Included in internal audit plan for review.	1. External audit review of Opening Balances.	4	3	AR	➡	1. Develop and implement Transfer Order work streams. 2. Continue engagement with NHS Property Company. 3. Agree internal audit plan and scope of reviews. 4. Agree external audit plan and scope of work. 5. Develop and agree detailed plan for reviewing transfer schemes and the workings to support transfer of assets and liabilities. 6. Develop the accounting environment for legacy items and resource accordingly. 7. Develop risk sharing agreement with Department of Health (DH) and key stakeholders to cover the financial impact of any legacy items. 8. For assets and liabilities relating to clinical contracts, develop a consolidated approach to transfer to mitigate the risk associated with disaggregation. 9. Develop plan for on-going management of assets and liabilities transferred. 10. The Department of Health is planning to issue an "Accounts Direction", which will substantially reduce the requirement to disaggregate balances to CCGs. This will reduce the overall statutory reporting risk. 11. PricewaterhouseCoopers have been commissioned to accelerate the completion of the legacy accounting process.	1. 31/03/2014 2. 31/03/2014 3. 31/03/2014 4. 31/03/2014 5. 31/03/2014 6. 31/03/2014 7. 31/03/2014 8. 31/03/2014 9. 31/03/2014 10. 31/01/2014 11. 31/01/2014	4	2	A
National Director: HR	21	Human Resources: There is a risk that NHS England is unable to attract and retain suitable candidates of the required capability and diversity to fill key roles, including at the very top of the organisation, leading to a failure to deliver business objectives.						✓	✓				4	3	AR	1. Regular analysis and reporting of workforce data on turnover, vacancies and diversity. 2. Exit interview process. 3. Staff barometer.	1. Integrated performance report to Board to include qualitative and quantitative workforce data. 2. Included in the internal audit plan for review. 3. Remuneration and Terms of Service Committee business.	1. 360 degree feedback from stakeholders and partners.	4	3	AR	➡	1. Develop and implement a succession planning strategy for NHS England. 2. Develop and implement an inclusion strategy for NHS England. 3. Develop an attraction strategy linked to brand.	1. 31/03/2014 2. 31/01/2014 3. 31/03/2014	4	2	A	
Chief Financial Officer Supported by: National Director: Policy	22	Procurement: There is a risk that NHS England is restricted in the way it operates due to Cabinet Office or other government procurement controls leading to failure to deliver business objectives- or that the complexity of the various government procurement regimes leads to them being breached - with consequential reputational damage in either case.	✓					✓	✓	✓			4	4	R	1. Dialogue with Department of Health (DH) sponsor to ensure clarity and appropriateness of procurement rules and delegations. 2. Business processes within integrated accounting system to ensure compliance with standing orders and standing financial instructions incorporating government procurement controls. 3. Delegated authority vested in Efficiency Controls Committee meeting on a weekly basis. 4. Revised draft regulations have now been received from DH.	1. Procurement exception reporting to Audit Committee. 2. Continuous monitoring by Executive Team and Board of business plan delivery.	1. Operation of procurement regime overseen by DH sponsor team. 2. Procurement controls included as a specific workstream within Internal Audit programme.	4	3	AR	➡	None identified.		4	3	AR	

Risk Owner	Risk Ref	Potential Risk Description	Business Plan Score Card Priority											Initial Risk Score (see note 1)		Mitigating Actions in Place	Internal Assurance	External Assurance	Current Residual Risk Score (see note 2)			Residual risk progress since last meeting	Further Mitigating Actions	Completion Date for Actions		Anticipated Risk Score Following Mitigation (see note 3)		
			1 - Satisfied patients	2 - Motivated, positive NHS staff	3 - Domain 1: preventing people	4 - Domain 2: enhancing quality of people recover from	5 - Domain 3: Helping people recover from experience of care	6 - Domain 4: Positive environment & staff	7 - Domain 5: Safe environment & staff	8 - Promoting equality and reducing health inequalities	9 - NHS and its staff: rights and pledges	10 - Becoming an excellent organisation	11 - High quality financial management	Impact	Likelihood				RAG Status	Impact	Likelihood			RAG Status	Impact	Likelihood	RAG Status	
		<i>Should be high-level potential risks that are unlikely to be fully resolved and require on-going control</i>															Systems and processes that are in place and operating that mitigate this risk	Internal evidence that this risk is being effectively managed (e.g. Board reporting, subcommittee and internal audit committee reviews)	External evidence that this risk is being effectively managed (e.g. planned or received external audit reviews)	Impact	Likelihood	RAG Status		Additional actions required to mitigate this risk further	For each further mitigating actions a completion date must be provided	Impact	Likelihood	RAG Status
National Director: Policy	23	Dealing with Customer Contacts: There is a risk that the transition arrangements for dealing with complaints and customer contacts fail to reflect NHS England's values and commitments to a public and patient voice, leading to low public and patients satisfaction in NHS England.	✓														1. Monthly reporting on patient satisfaction with customer contact arrangements established 2. Quarterly reporting on patient contact / complaints established. 3. New process, and additional capacity in place to deal with whole of complaints at local level. 4. Additional capacity in place to clear backlogs and increase response times. 5. Ongoing support and training is provided to facilitate improved service and first time response rate. 6. Regular review of existing Knowledge Articles takes place to ensure they remain accurate. 7. Provision of new Knowledge Articles and 'Question Bank' to provide more information to address callers' queries. 8. Rapid improvement workshop focussing on the complaints process completed.	1. Daily and weekly report shared with Commissioning Support Units (CSUs) and Area Teams. 2. Regular reporting to executive team. 3. Daily conference call with the CSUs commissioned by Area Team to resolve complaints. 4. Weekly meetings with Area Team Directors. 5. Service Teams from directorates engaged in matrix group, first meeting end of July 2013. 6. Report to every Board meeting. 7. Included in internal audit plan for review. 8. Service improvement plan overseen by the Programme Board first meeting 16 December.	1. Engagement plan with external stakeholder groups such as the Ombudsman and Healthwatch to keep arrangement under review over next six months.	4	3	AR	➡	1. Review of resource requirements in 2014/15 based on activity levels as part of business planning process. 2. Develop and implement a Learning from Complaints Strategy. 3. Implement the recommendations from the Internal Audit review. 4. Undertake complaint sampling with Patient Safety, Patient Experience and Nursing and Safeguarding to review quality of response.	1. 30/01/2014 2. 31/12/2013 3. 30/03/2014 4. 30/03/2014	3	3	A
National Director: Policy	24	Transition - ICT: There is a risk that NHS England's corporate Information and Communications Technology (ICT) strategy implementation plan is delayed, particularly given the scale of the programme in an immature organisation and the newness of the ATOS offer, leading to an inability of regional and area teams to deliver the business plan, and work efficiently in an agile and flexible way.	✓													1. Programme board in place with weekly supplier delivery reports. 2. Weekly review of implementation plan, correct and re-align activities and focus where necessary, provision of weekly status and progress report to the National Director: Policy. 3. Additional helpline capacity in place (ATOS). 4. Regular feedback is collated from a number of sources pre, during and post deployment. It is used to directly influence the deployment process to ensure that all processes are fit for purpose and appropriate. 5. All deployments have a 'hand into service' meeting to discuss any risks identified and mitigating actions. It also enables the capture of learning points to feed into the next stage of site deployments.	1. Customer representation on programme board. 2. Department of Health (DH) and other Arm's Length Bodies (ALBs) implementing Open Service knowledge and learning exchange taking place. 3. Deloitte will be involved in ICT audit, so this may add further independent review. 4. Included in internal audit plan for review.	1. Customer representation on programme board. 2. Department of Health (DH) and other Arm's Length Bodies (ALBs) implementing Open Service knowledge and learning exchange taking place. 3. Deloitte will be involved in ICT audit, so this may add further independent review.	3	3	A	➡	1. Formalisation of the feedback process to ensure that continuous improvement is integral to the deployment process.	1. 28/02/2014	3	2	A	
ALL Co-ordinating National Director: HR	25	Organisational Culture: There is a risk that NHS England fails to create a culture where there is a shared sense of purpose, clarity about our values and behaviours and how we work together and with others, which leads to a lack of focus and confusion about what is important and what we need to deliver, which causes difficulties in our relationships with external partners, creates staff demotivation, disengagement, reductions in staff satisfaction and productivity, all of which directly affects our ability to successfully discharge our functions as an organisation.	✓													1. Interim performance and development review process. 2. Regular staff barometer. 3. Leadership Forum residential took place 14 and 15 November 2013. 4. Exit interviews. 5. Workforce data analysis- e.g. turnover, vacancy rate. 6. Developing an excellent organisation programme, including the 'hygiene group' established to tackle internal issues.	1. Integrated performance report to Board to include qualitative and quantitative workforce data. 2. Included in internal audit plan for review. 3. Remuneration and Terms of Service Committee business.	1. 360 degree feedback from stakeholders and partners.	4	3	AR	➡	1. End state Personal Development Review (PDR) which will assess individuals' performance against organisation values. 2. The second enhanced staff barometer has now closed and the results are currently being analysed and will be shared with ETM on 28 November 2013. 3. Target developmental interventions in areas where workforce information and staff experience data identify particular challenges.	1. 31/03/2014 2. 31/03/2014 3. 31/03/2014	2	2	AG	
ALL Co-ordinating National Director: Policy	30	Immature Systems and Processes: There is a risk that immature systems and governance processes in NHS England could impede the delivery of a number of key objectives, leading to poorer outcomes for patients.		✓												1. Executive Risk management Team established to monitor high level and key risks. 2. Regular Senior Management Team meetings established in all National Directorates to keep on top of tasks. 3. Internal 'hygiene group' established to tackle internal issues. 4. Policy, Operations and Commissioning Development Directorates are working together on an internal governance and assurance framework for reconfigurations of directly commissioned services, and for joint collaborative decision making structures where schemes span both CCG and directly commissioned services. 5. London Delivery Group and Transformation Group monitor adherence to governance and processes through monthly meetings including review of progress against objectives and consideration of issues appropriate to escalate to the Executive Team Meeting. 6. London Business Meeting (Very Senior Managers) monthly deep dive into directorate risk registers. Proposed Wording Midlands & East Region: 7. CCG assurance framework will help to identify those CCGs where additional support or intervention is required. 8. The Operations Directorate has produced a draft guide to the decision making powers of Area Directors making recommendations as to the transparency of decision making in respect of all delegated powers. 9. Establishment of the work place champions network.	1. Monitored through integrated performance reports which is discussed at Board. 2. Staff barometer results which are discussed at Executive Team Meeting. 3. Monthly leadership Forum. 4. Regional Directors attend monthly executive team meeting. 5. Monthly Operations Executive meetings.	None identified.	3	3	A	➡	None identified.		2	2	AG	
National Director: Policy	32	External Partners - priorities and whole system approach: There is a risk that lack of alignment between organisational visions and priorities could hinder the establishment of, and commitment to, a shared system-wide purpose, leading to a lack of progress in the health and social care agenda, for example regarding views on competition.		✓	✓	✓	✓	✓						✓		1. Arms Length Body chief executives meet regularly, as do directors of strategy and other professional leadership groups. 2. Partnership Agreements are in place between NHS England and key organisations. 3. Joint Executive and Board meetings take place to facilitate joint working and confirm shared priorities. 4. ALBs and other partners have signed up to, and are participating in the 'call to action' strategy process. 5. Close working relationships maintained with colleagues in the National Trust Development Authority (NTDA) and Monitor through regular meetings and conversations at national and local levels. NHS England, NTDA and Monitor have formed national and regional groups, with the Association of Directors of Adult Social Services, to manage work around A&E recovery and improvement, and winter planning. The national group meets on a weekly basis. 6. The National Quality Board, brings together NHS England, Care Quality Commission, Monitor, NHS Trust Development Authority, National Institute of Clinical Excellence, Public Health England and Health Education England to provide national leadership for quality across the system. 7. The Clinical Directorates have key partnerships in place with the professions through: - National Federation of Nurse Leaders - Regional meetings of all Directors of Nursing as well as other key stakeholders - National Medical Leadership meetings - quarterly meetings with Regional and Local Medical Directors and National Clinical leads.	1. Partnership implications of specific policies or initiatives are reported to Board on a case-by-case basis.	1. The Board will receive structured feedback from partners on the extent to which they are satisfied with their engagement with NHS England.	3	2	A	➡	1. To deliver on the outcomes and recommendations of the Keogh Review in partnership between NHS England, NHS Trust Development Authority, Monitor and Care Quality Commission.	1. Ongoing	3	2	A	
National Director: Policy Supported by: Chief Financial Officer	33	Capacity and Capability: There is a risk that NHS England will not have the management capacity required to deliver on ambitious plans, both now and in the future, due to current and future planned reductions in management resources, alongside additional priorities for action (which may be conflicting), leading to an impact on the ability to fulfil statutory obligations, deliver core business plan objectives and improvement in outcomes.	✓	✓	✓	✓	✓	✓								1. Tight budgetary control, overseen by Executive Team, with modest contingency available for pressures emerging during the year. 2. Regular review of resource alignment with business needs, resulting in budgetary and staffing adjustments where appropriate. In particular the business plan refresh due in Spring 2014, with work commencing throughout the autumn provides an opportunity to re-look at how resources are allocated to deliver priorities. 3. Regular monitoring of business plan delivery to ensure early identification of risks and corrective action, including establishment of the Business Plan Assurance Group. 4. Annual resource planning based on strategic priorities. 5. Meeting with DH and NHS England to discuss the issue of emerging action / priorities. 6. Bi-monthly meetings take place between the chairman and secretary of state.	1. Business Plan Deliverables reported at ETM and Board. 2. Ongoing meetings with DH to support and influence the Mandate refresh, and associated work priorities. 3. Establishment of a forward looking business planning working group to deliver revised priorities and a forum for future discussions on capacity, to be overseen by the Business Planning Steering Group.	1. The business plan refresh creates an opportunity to engage with external partners to get their input and support on existing plans and recommendations for the future.	4	3	AR	➡	1. Board to receive a report of management cost savings, linked to the business plan refresh. 2. Publish 2014 refresh of NHS England Business Plan.	1. 31/03/2014 2. 31/03/2014	3	2	A	

Risk Owner	Risk Ref	Potential Risk Description	Business Plan Score Card Priority											Initial Risk Score (see note 1)		Mitigating Actions in Place	Internal Assurance	External Assurance	Current Residual Risk Score (see note 2)			Residual risk progress since last meeting	Further Mitigating Actions	Completion Date for Actions	Anticipated Risk Score Following Mitigation (see note 3)								
			1 - Satisfied patients	2 - Motivated, positive NHS staff	3 - Domain 1: preventing people	4 - Domain 2: enhancing quality of	5 - Domain 3: Helping people recover from	6 - Domain 4: Positive experience of care	7 - Domain 5: Safe environment &	8 - Promoting equality and consistency	9 - NHS constitution rights and pledges	10 - Becoming an excellent organisation	11: High quality financial management	Impact	Likelihood				RAG Status	Impact	Likelihood				RAG Status	Impact	Likelihood	RAG Status					
		<i>Should be high-level potential risks that are unlikely to be fully resolved and require on-going control</i>															Systems and processes that are in place and operating that mitigate this risk	Internal evidence that this risk is being effectively managed (e.g. Board reporting, subcommittee and internal audit committee reviews)	External evidence that this risk is being effectively managed (e.g. planned or received external audit reviews)					Additional actions required to mitigate this risk further	For each further mitigating actions a completion date must be provided								
National Director: Patients and information	34	Transparency and Information Sharing: There is a risk that NHS England will not persuade the clinical community of the benefits of sharing information. This will lead to NHS England failing to meet its commitments to make healthcare information transparent and could result in reduced transparency and participation of the public and patients in health and care.	✓														1. Engagement with clinical leadership via Informatics Services Commissioning Group (ISCG) Clinical Reference group, to ensure the transparency and participation agenda receives appropriate levels of clinical input. 2. Robust work programme to address IG challenges, including provision of guidance to commissioners and stakeholders on how to overcome hurdles. 3. The work of the Informatics Services Commissioning Group to help oversee delivery of the vision for improving services and delivery of benefits through transparency and patient participation. 4. Partnership working with the Healthcare Quality Improvement Partnership (HQIP) to help oversee the vision for data transparency through the delivery of publication of consultant data. 5. Use of the Standard Contract to require providers to publish information. Work on-going to consult on requirements.	1. Published consultant level quality and outcomes performance information for 10 key specialties. 2. Outputs from the Integrated Intelligence Tool (IIT). 3. Included in internal audit plan for review.	1. Healthcare Quality Improvements Partnerships (HQIP) published activity, clinical quality measures, and survival rates from national clinical audits.	4	3	AR				None identified.							
National Director: Patients and information	35	System Governance Uncertainty: There is a risk that complex governance and lack of NHS England control over informatics expenditure will impact on the ability to deliver on NHS England's agenda as we do not have appropriate and sufficient levers to maximise our ability to deliver our vision and meet our public commitments.	✓														1. Established working relationship with the Health Information Centre through delivery of a Partnership Working Agreement which will set out a framework for joint working. 2. NHS England's National Director for Patients and Information holding regular dialogue with the Director General for External Relations at the Department of Health (DH) to review and work through governance and accountability arrangements in the new system. 3. On-going work with legal teams to review the legislative basis for Informatics funding across the system, to review and test whether there is scope for (and options to potentially enable) transfer of funding from DH to NHS England. 4. Informatics Strategic Stocktake meeting to review Health and Social Care Information Centre (HSCIC) Informatics Priorities to be held 11 September between DH, HSCIC and NHS England.	1. Informatics Strategic Stocktake meeting to review HSCIC Informatics Priorities to be held 11 September between DH, HSCIC and NHS England.	1. Regular (at least quarterly) Delivery Stocktake meetings between DH and NHS England.	4	3	AR				1. Identify next steps plan, dependent on legal advice (outlined in mitigating actions). The timeframe is uncertain at this time, but likely to be Autumn.	1. 31/03/2014						
Note 1 - Initial risk score:	An assessment of the risk at the start, based upon the information available, prior to the consideration of any mitigating actions.																																
Note 2 - Current residual risk score:	The most up-to-date score assessed by taking into account current information and consideration of the mitigating actions.																																
Note 3 - Anticipated risk score following mitigation:	An intended score to be achieved following the completion of all the mitigating actions.																																