

Principal Risk Description	Risk Level		Overall Risk Level	Expected Controls	Assurances including categorisation	Gaps in controls	Gaps in Assurances	Actions required/Timescale and Lead Officer/ Progress
	Impact	Likelihood						

The Whittington Hospital NHS Trust

Appendix 1

Trust Assurance Framework

Highest Key Risks as at August 2007

2.8	Failure by WFL and their facilities management service provider to deliver a safe and effective service to the GNB and new acute wing.	5	4	20	<p>Weekly operational meetings with JASL</p> <p>Monthly performance monitoring meetings with WFL</p> <p>Effective application of payment mechanism</p> <p>Robust performance management data from WFL</p> <p>Dedicated performance monitoring officer</p> <p>Planet FM operational database</p>	<p>Quarterly performance report to HMB</p> <p>Six monthly performance report to Trust Board</p> <p>Weekly performance monitoring meeting (internal)</p> <p>Limited assurance</p>	<p>Monthly performance meetings not taking place due to non-delivery of performance monitoring data</p> <p>Planet FM data is being compromised by poor feedback from JASL</p> <p>Payment deductions not being made due to poor performance data</p>	<p>Quarterly report to HMB & six monthly report to TB</p> <p>Internal performance meetings</p>	<p>Consideration to be given to Trust performance monitoring directly, by-passing WFL performance systems by April '07 GIC Director of Facilities High priority</p> <p>Quarterly HMB report to be prepared from May 07 GIA Director of Facilities High priority</p> <p>Six-monthly board report to be prepared from May '07 GIA Director of Facilities High priority</p> <p>Internal performance meetings to be set up by April '07 GIA Director of Facilities High priority</p>
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7.2	Adverse changes in strategic decisions of commissioners of services or changes in flow due to Patient Choice	5	3	15	Business planning and LDP process Signed SLAs with commissioners SHA strategic planning	Regular CEO/PCT meetings bimonthly CEO regular liaison monthly TB review position regularly Substantial Assurance	Continue to revise financial implications arising from changing business environment	N/a	Regular discussions with commissioners in place Dir of Finance/Dir of Strategy & Performance High priority
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10.1	Failure to maximise income by internal processes, especially in relation to Payment by results	5	3	15	Finance Plan in place Regular reviews of position by HMB and TB SLAs in place with PCTs Action plan in place to increase capture of activity etc	Internal Audits Peer review HMB monitors financial position monthly TB monitors financial position bi-monthly Finance and Performance Committee reviews monthly financial position Financial & Performance Committee established Substantial Assurance		N/a	
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10.9	Savings programme of £8.4m is not achieved	5	3	15	Agreed CIP in place to achieve surplus	HMB & TB monitor at every meeting Substantial Assurance	N/a	N/a	N/a
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