

<b>Trust Board</b>	<b>Date:</b>	<b>26 April 2017</b>
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<b>Agenda item</b>	<b>Title</b>	<b>Executive Director lead and presenter</b>	<b>Report author</b>
<b>BD/17/015</b>	<b>Update on Trust Risk Register</b>	<b>Hayley Richards, Chief Executive</b>	<b>Paul Daniels, Head of Health, Safety &amp; Operational Risk</b>

**This report is for:**

Decision	
Discussion	
To Note	X

**History**

None.

**The following impacts have been identified and assessed within this report**

Equality	X
Quality	X
Privacy	X

**Executive summary of key issues**

**Risk Web**

This report is a brief monthly risk register update.

This report notes changes to the Corporate risk register as follows:

- Top risks -
  - Delivery of CIP targets
  - Management pressures from regulator activity
  - IMT platform
  - Impact of projected BNSSG financial position
  - Governance of Places of Safety
  - Delivery of CIP targets
  - Integration of quality governance processes

The report also notes a number of closed and new risks.

**This report addresses these strategic priorities:**

We will deliver the best care	X
We will support and develop our staff	X
We will continually improve what we do	X
We will use our resources wisely	X
We will be future focussed	X

**1. Introduction**

This report summarises the high-level operational risk registers comprising the Clinical, Delivery and Business Executive Risk Registers, now referred to as 'Corporate Risks'.

## 2. Risk Grading

The current Risk Management Strategy uses the following three risk matrices. This is currently being reviewed (see section 10). However until Risk Web can be reconfigured the existing arrangements remain in place.

The risk grading (red, amber, and green) reflects Trust Board's appetite to taking risks to each of our strategic priorities (see the Risk Management Strategy). We are least willing to take risks to our strategic priorities of Delivering the Best Care and Supporting Our Staff:

		Severity				
		5	10	15	20	25
Probability	4	5	10	15	20	25
	3	4	8	12	16	20
	2	3	6	9	12	15
	1	2	4	6	8	10
	1	1	2	3	4	5

1. Deliver the Best Care
2. Supporting Our Staff

		Severity				
		5	10	15	20	25
Probability	4	5	10	15	20	25
	3	4	8	12	16	20
	2	3	6	9	12	15
	1	2	4	6	8	10
	1	1	2	3	4	5

3. Continually improving what we do
4. Using our resources wisely

		Severity				
		5	10	15	20	25
Probability	4	5	10	15	20	25
	3	4	8	12	16	20
	2	3	6	9	12	15
	1	2	4	6	8	10
	1	1	2	3	4	5

5. Being Future Focussed

## 3. Top scoring risks

The highest scoring risks on the Corporate Risk Register this month are:

RiskWeb Ref.	Priority	Risk	Updates	Score
225 v4	Use Our Resources Wisely	If the Trust doesn't deliver its planned CIP target or identify new schemes to mitigate in year risks then it is likely to miss its agreed financial control total.  [Executive Lead: Director of Finance]	<b>Reviewed by P Tilley 10/04/2017:</b> Efficiency requirement of £20.5m has been identified for 17/18 following with £11.7m of efficiencies signed off by the board and £8.8m opportunity / unidentified to come back to May Board with plans to deliver. Budgets have been signed off by some managers with actions / meetings in place to get full sign up by mid April	20
422 v1	Deliver the Best Care	If the projected BNSSG financial position for 17/18 is 91m deficit (assuming a 100m savings delivery), the CCGs, which are in turnaround and are looking to reduce cost by decommissioning services and reducing the amount paid to providers, will present a risk to the Trust is that decommissioning of services such as street triage will place greater demand on current services and goes against the mental health 5 year forward view	<b>Reviewed by P Tilley 10/04/2017:</b> No change at this stage - continue to review	16

RiskWeb Ref.	Priority	Risk	Updates	Score
423 v1	Using our resources wisely	Failure to improve the IT platform in AWP will restrict the level of service transformation and implementation of new ways of working. It will also restrict the organisations ability to save money due to the automation of certain processes. The standard of the core IT platform across the Trust is weak with poor IT infrastructure in some areas. Although the Trust has made head way with improving the resilience of it data centre the network and IT hardware is poor in many areas and in need of replacement.	<b>Reviewed by P Tilley 10/04/2017:</b> No change at this stage - continue to review	<b>16</b>
252 V2	Deliver the Best Care	If our governance processes on places of safety are inadequate then the safety of our service users may be compromised.  A notice has been served under Section 29A of the Health and Social Care Act 2008 following recent CQC Inspection. The notice is in relation to all the Trusts health based places of safety.	<b>07/04/17</b> - no further updates, awaiting CQC inspection.  24/02/17: AD - CQC are returning to inspect the Trust in June 2017 with a specific emphasis on our notice under section 29A Health & Social Care Act 2008 regarding our Trust based places of safety. Risk remains in place until CQC have completed their inspection.	<b>12</b>
421 v1	Deliver the Best Care	If the CQC, HSE, NHSI or other significant regulator determine that there are concerns, improvements, compliance actions required of our service, this will require significant management and clinical resources and attention.	<b>07/04/17 - Reviewed by AD.</b> We are currently reviewing all our monitoring processes, our structural governance processes and preparing our key lines of enquiry for the CQC inspection in June 2017 and will be able to gauge our system success when aligning our key lines with the CQC key lines of enquiry.	<b>12</b>

#### 4. Increased risks

There were no risks with increased scores on the Corporate Risk Register this month:

#### 5. Other significant risks

##### New/Downgraded/Closed risks on the Corporate Risk Register:

There were no downgraded risks. There were 3 closed risks. There were no New risks. Changes are as follows:-

Risk Web Ref.	Priority	Risk	Updates	Score
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443 V1		If medicine fridge temperatures are not monitored regularly and actions taken if temperatures are outside recommended range, there is a risk that the effectiveness of medicines could be reduced, patient care compromised, and failure of regulatory compliance.	<b>New Risk (RE)</b> Fridge logs will be reviewed by ward managers on a two-weekly basis	<b>9 NEW</b>
210	Being future focused	(formerly BE9 on Business Executive Risk Register) If we do not have the capacity and capability to respond to large scale tender opportunities we will not be able to grow our business which is key to the long term success of AWP.	<b>CLOSED.</b> Risk is now closed and as all actions have been completed and capacity is now in place	<b>N/A</b>
211	Using our resources wisely	(formerly FIN 6 Business Executive Risk Register) If we fail to control or predict our cash flow leading to non-payment of creditors then we will breach our statutory targets on cash, and have potential impact on the capital programme.	<b>CLOSED</b> Cash monitoring is now undertaken on a daily basis and the Trust is clear about its cash requirements. On this basis the risk is now closed	<b>N/A</b>

## **6. Strategic Risk Register**

### **New/Downgraded/Closed risks on the Strategic Risk Register:**

There were no changes to the strategic risk register this month

## **7. Corporate Risk Register – See Appendix 1**

The Executive Team review new corporate risks as they created and the full Corporate Risk register on a monthly basis. In addition they identify systematic risks to add to the corporate risk register.

See Appendix 1 for the full Corporate Risk Register. Changes are summaries above in sections 3,4 and 5.

All users of RiskWeb now have the ability to view ALL risks currently held on the RiskWeb Database. However, they will only be allowed to add and edit their own risks.

## **8. Strategic Risk Register See Appendix 2**

There were no risks downgraded on the Strategic Risk Register this month.

## **9. Risk Web Training**

There are no training dates being offered currently as the system is still being rebuilt and the support facilitator has not been appointed.

Those wishing to do so should contact Paul Daniels for the necessary training material and to be added to the Safeguard system.