

'You matter, we care'

Trust Board Meeting (Part 1)	Date: 30 October 2013
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Title:	Board Assurance Framework and Trust-wide Risk Register
Item:	BD/13/210

Executive Director lead and presenter	Emma Roberts, Company Secretary
Report author(s)	Hannah Dennis, Corporate Governance and Risk Manager

History:	<i>SMT, 16 October 2013 & Audit and Risk Committee, 25 October 2013</i>
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This report is for:	
Decision	X
Discussion	X
To Note	

Executive summary of key issues:
<p>The Board Assurance Framework and Trust-wide Risk Register are presented with this report. All Executive Risk Registers have been reviewed at the meeting of SMT on 16 October 2013. SMT considered recommendations from Executive Directors with ownership of the Business, Clinical and Delivery Executive risk registers on risks to be escalated to the Trust-wide Risk Register. No risks were identified as requiring escalation in this month, however a discussion regarding possible risk associated with the recent implementation of NHS Mail within the Trust and the implications of this for Trust systems, particularly those required to support delivery of clinical services. It was agreed by SMT that this risk should be subject to a detailed risk assessment and the outcome of this assessment shall determine whether the risk is escalated as a Trust-wide risk.</p> <p>Work to review assurances identified on the Board Assurance Framework is on-going, with a piece of assurance mapping work underway to map sources of assurance, and the adequacy of these, Trust-wide. During October the document has been updated where risks and controls have changed at departmental level and against Trust-wide risks. The assurance mapping process has begun with a review of all management groups currently in operation which escalate information to Board Committees. Clarification as to which groups continue to operate and report, and the Terms of Reference of each group is on-going.</p> <p>As part of the Governance team plans to further develop the risk management framework and ensure the Trust's risk processes are integrated with core systems and embedded in</p>

business activity and decision-making, work to define the “Next Steps” for risk is ongoing, including defining the Trust’s risk appetite and risk tolerance boundaries, aligning risk processes with the recently developed Business Planning Process and horizon scanning throughout this and throughout “business as usual” and developing mechanisms for stakeholders and partners to feed into our risk management processes. We are also at the start of a project supported by IM&T to implement new modules within the Safeguard system which will include a Risk module to replace our current spread sheet based approach. A paper discussing this work in detail will be presented to the Audit and Risk Committee meeting in December 2013.

The following appendices are provided:

1. Board Assurance Framework v1.3, October 2013
2. Trust-wide Risk Register, October 2013 – risks divided by area
3. Trust-wide Risk Register, October 2013 – risks sorted from high to low scoring

The Trust-wide Risk Register and Board Assurance Framework are presented to the Board for review. It is recommended that the Board **note** the report and appendices.

This report addresses these Strategic Objectives:

Consolidate	X
Integrate	X
Expand	X

This report addresses these Values:

Passion	Doing our best, all of the time	X
Respect	Listening, understanding and valuing what you tell us	
Integrity	Being open, honest, straightforward and reliable	X
Diversity	Relating to everyone as an individual	
Excellence	Striving to provide the highest quality support	X