



MEETING TITLE : Trust Board		MEETING DATE 24/03/2015	
TITLE of PAPER	Risk Management Report	PAPER REF	5.3
STRATEGIC OBJECTIVE	All		
PURPOSE OF THE PAPER	To inform the Board on the risks recorded in the Board Assurance Framework and Corporate Risk Register and to provide assurance on the effective management of corporate risks		
For Approval	<input type="checkbox"/>	For Assurance	<input checked="" type="checkbox"/>
For Decision	<input type="checkbox"/>	Discussion/Information	<input type="checkbox"/>
AUTHOR / LEAD	Becky Monaghan, Associate Director Risk and Safety	ACCOUNTABLE DIRECTOR	Steve Page, Director of Standards and Compliance
DISCUSSED AT / INFORMED BY The BAF and CRR are subject to the quarterly cycle of peer review through Risk and Assurance Group, Trust Executive Group and Board Committees. The BAF has been discussed and reviewed in the Trust Executive Group, Quality Committee and Audit Committee and Finance and Investment Committee. Key risks and mitigations were discussed at the Board Development Meeting in February 2015. This is the final BAF of 14/15 with proposals for 15/16.			
PREVIOUSLY AGREED AT:	Committee/Group: Not Applicable	Date:	
RECOMMENDATION	It is recommended that Board notes the developments outlined in the report and is assured with regard to the effective management of risks.		
RISK ASSESSMENT		Yes	No
Corporate Risk Register and/or Board Assurance Framework amended <i>If 'Yes' – expand in Section 4. / attached paper</i>		<input checked="" type="checkbox"/>	<input type="checkbox"/>
Resource Implications (Financial, Workforce, other - specify) <i>If 'Yes' – expand in Section 2. / attached paper</i>		<input type="checkbox"/>	<input checked="" type="checkbox"/>
Legal implications/Regulatory requirements <i>If 'Yes' – expand in Section 2. / attached paper</i>		<input type="checkbox"/>	<input checked="" type="checkbox"/>
Equality and Diversity Implications <i>If 'Yes' – please attach to the back of this paper</i>		<input type="checkbox"/>	<input checked="" type="checkbox"/>
ASSURANCE/COMPLIANCE			
Care Quality Commission		All	
Monitor Quality Governance Framework		All	

1. PURPOSE/AIM

- 1.1 This report informs the Board on the risks recorded in the Board Assurance Framework (BAF) and Corporate Risk Register (CRR) and provides assurance on the effective management of corporate risks

2. BACKGROUND/CONTEXT

- 2.1 The BAF was updated and agreed through the round of Trust High Level Committees and Public Trust Board in January 2015, as well as updates received from Executive Directors during January and February 2015. There was a presentation to Board Development Meeting in February 2015, where all risks and mitigations on the BAF were discussed with a view to closing down the 2014/15 BAF and proposing continuation of existing risks or the addition of new risks for the 2015/16 BAF which will be presented to the May Trust Board.
- 2.2 The strategic objectives on the BAF are underpinned by Risk Registers and high level risks from other sources, covering the full range of Trust business. The risks in the Risk Register rated as moderate (12 and above) are provided in Appendix 1.
- 2.3 An additional section has been provided within the report at the request of Trust Board. This section highlights the changes made to the BAF since the last iteration, including updates and removal of completed items.

3. REVIEW OF KEY RISKS FOR 2015/16

- 3.1 The Board Assurance Framework was reviewed in the Board Development Meeting in February and a number of developments were proposed as mentioned below, taking into account current Trust performance and developments in the wider operating environment.
- 3.2 Risk Number 1a to remain on the BAF for 15/16 until completion of the planned department restructure.
- 3.3 Risk Number 2b will be removed from the BAF and be managed at Directorate Level within the Risk Register Process.
- 3.4 Risk Number 3a will remain on the BAF for 15/15 with the main risk area identified as A&E Operations.
- 3.5 Risk Number 3b to remain on the 15/16 BAF and will be reframed following the receipt of the CQC inspection report.
- 3.6 Risk Number 4a this risk will remain on the 15/16 BAF reframed to capture the risks across trust service lines and challenge the delivery of Trust strategy within the constraints of the wider commissioning system.
- 3.7 Risk Number 5a to remain on the BAF 15/16 and to be reframed around the 15/16 Transformation programme, risk to be increased to 16

- 3.8 Risk Number 5b to be retained on the BAF 15/16 and score to be reviewed subject to CQC inspection report, also to include priority around complaints response times.
- 3.9 Risk Number 6a around Clinical Leadership Framework to be retained on the BAF 15/16 and broadened to encompass wider clinical leadership issues following CQC inspection report and feedback from Staff Survey. Risk rating to be reviewed depending on outcomes.
- 3.10 Risk Number 6b to be retained on BAF 15/16 reference to be added to national paramedic shortage and recruitment and retention issues.
- 3.11 Risk Number 7a to be retained on BAF 15/16, with current risk score until completion of planned testing.
- 3.12 Risk Number 8a around urgent care to be retained on the BAF 15/16 and reframed around political change and uncertainty in the wider system and impact on delivery of YAS Strategy. Consideration to be given to merging of this risk with Risk 4a.
- 3.13 Risk 8b to be retained for the BAF 15/16 updated for the 15/16 context.
- 3.14 Additional risks were identified relating to PTS, responsiveness and alignment of support services, and staff engagement. These will be included in the 15/16 BAF
- 3.15
- 3.3

4. NEXT STEPS

- 4.1 The final 2014/15 BAF and February Board review will be used to inform the 2014/15 annual Governance Statement.
- 4.2 Further work will be undertaken by the Executive team to develop the 2015/15 BAF based on February Board discussion. The updated BAF will be presented to the Board in May for approval.
- 4.3 An additional session has been scheduled within Board Development program to allow further opportunity to discuss Risk Appetite in relation to Trust Strategy.
- 4.4 The quarterly cycle of the BAF review will continue through management groups and committees.
- 4.5 The Risk Register will continue to be reviewed at each meeting of the Risk and Assurance Group.

5. RECOMMENDATIONS

It is recommended that The Committee notes the developments outlined in the report and is assured with regard to the effective management of risks.

6. APPENDICES/BACKGROUND INFORMATION

Appendix 1 - BAF including Corporate Risk Report Summary

Appendix 2 - Risk Register (risks rated moderate – 12 and above)