

Meeting Title	Board of Directors		
Date	10.1.2019	Agenda item	Bo.1.19.7

Report from the Integrated Governance and Risk Committee: The Strategic Risk Register

Presented by	Professor Clive Kay, Chief Executive		
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Lead Director	Professor Clive Kay, Chief Executive		
Purpose of the paper	This paper provides an overview of the work of and outcomes from the Integrated Governance and Risk Committee in November 2018		
Key control	Strategic risk management and principal risk framework		
Action required	To note		
Previously discussed at/ informed by	Integrated Governance and Risk Committee (22 nd November 2018)		
Previously approved at:	Committee/Group	Date	

Key Options, Issues and Risks

The Integrated Governance and Risk Committee provides a governance infrastructure for review and challenge associated with the management of and mitigation of risks being managed within the Strategic Risk register. This report provides, by exception, risks on the strategic risk register which were subject to active consideration and decision making, with the rationale for that consideration and the outcome of the decision making at the Committee meetings (See Appendix 1). In addition the significant risk profile (Appendix 2) provides Directors with details on all identified significant risk exposures throughout the Trust. Appendix 3 provides the agenda for the meeting.

At the November meeting the Committee also reviewed the Trust's risk management strategy and risk escalation framework. It was advised that Audit Yorkshire were undertaking a review of divisional risk management and escalation processes.

Analysis

All strategic risks are subject to a monthly review and have been reviewed by the Integrated Governance and Risk Committee in line with its terms of reference on one occasion (November 2018) since the last meeting of the Board. The December meeting was not held. The Trust has identified a range of significant risks, which are currently being mitigated, whose impact could have a direct bearing on requirements within the NHS Improvement Accountability Framework, CQC registration or the achievement of Trust policies, aims and objectives should the mitigation plans be ineffective. Currently, the significant risks relate to the following principal risks:

No	Principal risk	Significant risks being mitigated
1	Failure to maintain the quality of patient services	▪
2	Failure to recruit and retain an effective workforce	▪
3	Failure to maintain operational performance	▪
4	Failure to maintain financial stability	▪
5	Failure to deliver the required transformation of services,	▪
6	Failure to achieve sustainable contracts with commissioners	▪
7	Failure to deliver the benefits of strategic partnerships	▪
8	Failure to maintain a safe environment for staff, patients and visitors	▪
9	Failure to meet regulatory expectations and comply with laws, regulations and standards	▪
10	Failure to continually learn and improve the quality of care for our patients	

Appendix 1 Summary of the work of the Integrated Governance and Risk Committee

Appendix 2 Strategic risk register-significant risks (open strategic risks >12 by principal risk)

Appendix 3 Agenda of meeting

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Recommendation

The Committee is asked to note the content of this report

Risk assessment						
Strategic Objective	Appetite (G)					
	Avoid	Minimal	Cautious	Open	Seek	Mature
To provide outstanding care for patients			G			
To deliver our financial plan and key performance targets			G			
To be in the top 20% of NHS employers			G			
To be a continually learning organisation				G		
To collaborate effectively with local and regional partners					G	
The level of risk against each objective should be indicated. Where more than one option is available the level of risk of each option against each element should be indicated by numbering each option and showing numbers in the boxes.	Low		Moderate	High	Significant	
	Risk (*)					
Explanation of variance from Board of Directors Agreed General risk appetite (G)	The Board Assurance Framework provides the alignment of corporate risks by principal risk and contextualises it in relation to controls in place to for each strategic objective					

Risk Implications (see section 4 for details)	Yes	No
Corporate Risk register and/or Board Assurance Framework Amendments		▪
Quality implications		▪
Resource implications		▪
Legal/regulatory implications		▪
Diversity and Inclusion implications		▪

Regulation, Legislation and Compliance relevance
NHS Improvement: Risk assessment framework, quality governance framework, code of governance , annual reporting manual
Care Quality Commission Domain: <i>Safe, caring, effective, responsive, well led</i>
Care Quality Commission Fundamental Standard:
Other (please state):

Relevance to other Board of Director's Committee:					
Workforce	Quality	Finance & Performance	Partnerships	Major Projects	Other (please state)
▪	▪	▪	▪	▪	