

Foundation Trust Board of Directors – 31 May 2018

Organisational Risk Register

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Purpose of the report

- The organisational risk register (ORR) is presented as part of the ongoing review process. At each meeting the Board receives the summary ORR highlighting any risk changes and updates since the last Board. The executive board first regularly considers and updates the full ORR, with the Quality and Governance Committee and Performance Committee exercising their delegated responsibility from the Board to review, update and gain assurance on their allocated risks. The ORR is then updated to reflect committee recommendations and the revised summary ORR presented to the Board of Directors for agreement.
- This report outlines the revised organisational risk register which has been compiled to support the refreshed Trust strategy.

Analysis of the issue

- The board workshop on 8th March 2018 used the Trust's refreshed strategy as the basis for consideration and identification of new risks which may impact on the delivery of the strategy. Individual conversations with directors were then undertaken to discuss the detail of these risks and to identify which existing risks should remain or align with the new risks. Following this process 35 risks now sit on the ORR and were considered by the executive board at its meeting on 21st May 2018. Through the refresh and alignment process 6 risks have been de-escalated/closed, 16 new risks have been added, 1 risk escalated from a directorate level, 18 risks remain and/or have had their risk title updated to more accurately reflect risks to delivery of the revised strategy. The overall impact of the NCC position has been considered as part of this process and is subject to ongoing assessment within risks ID 3197 Unable to achieve Financial Plan and support STP implementation, 2017-19 and ID 2386 The Trust fails to safeguard children and adults appropriately.

Proposal

Revised organisational risk register

Source	Risk ID	Risk Title	Risk Owner	Responsible Committee	Current Risk Level	Residual Risk Level
		Strategic theme - Develop				
New	3735	Partnership fails to deliver achieved patient benefits	DoBD	Performance	20	12
New	3736	Risk that partners take our ideas and commission the service elsewhere resulting in an income reduction for NHFT	DoBD	Performance	16	8
Updated	3581	System leadership role impacts negatively on NHFT (Exec capacity)	DoBD	Performance	16	12
New	3738	Complexity of setting up partnerships and ongoing governance leads to compliance and/or performance risks for NHFT	DoBD	Performance	12	12
New	3739	Lack of appetite from partners/ shared understanding of purpose/ benefits of partnership	DoBD	Performance	15	8
Existing	3582	Non-delivery of system wide intermediate care business case	DoBD	Performance	12	4

Source	Risk ID	Risk Title	Risk Owner	Responsible Committee	Current Risk Level	Residual Risk Level
		Strategic theme - Innovate				
New	3740	Insufficient capacity to deliver innovation effectively	MD	Quality & Governance	12	6
New	3741	Innovation implementation does not achieve return on investment	MD	Quality & Governance	12	6
New	3742	Inability to sustain a proven innovation within core business after completion of the project	MD	Quality & Governance	9	4
New	3743	Innovations fails negatively affecting our reputation	MD	Quality & Governance	9	4
		Strategic theme - Grow				
New	3744	We are unable to safeguard the wellbeing of our staff	DoHR & OD	Quality & Governance	15	12
New	3745	Failure to deliver a diverse and inclusive workforce	DoHR & OD	Quality & Governance	16	12
New	3746	Failure to deliver staff engagement and leadership	DoHR & OD	Quality & Governance	15	8
Existing	2771	Insufficient medical staffing levels	MD	Quality & Governance	9	6

Source	Risk ID	Risk Title	Risk Owner	Responsible Committee	Current Risk Level	Residual Risk Level
		Strategic theme – Build				
New	3747	System problems and issues – stop us delivering – plan and growth and transformation	FD	Performance	25	12
New	3748	Lack of expertise and good systems inhibits our ability to achieve	FD	Performance	20	12
New	3750	Not able to achieve sufficient size to sustain ourselves and influence	FD	Performance	15	9
New	3751	Anticipated commercial finance benefits not realised	FD	Performance	12	9
Existing	2378	Implementation of STP negatively affects the Trust’s ability to deliver its strategy	FD	Performance	12	12
Existing	2860	Regulatory non-compliance with IAPT targets jeopardises the Trust’s risk rating	FD/COO	Performance	12	6 ↓
Updated	3197	Unable to achieve Financial Plan and support STP implementation, 2017-19	FD	Performance	20	16
Existing	3425	2017-19 Integration and Better Care Fund negatively affects the Trust’s ability to deliver its strategy and financial plan	FD/COO	Performance	16	6
Escalated	3214	Non-compliance with GDPR	FD	Performance	9	9

Source	Risk ID	Risk Title	Risk Owner	Responsible Committee	Current Risk Level	Residual Risk Level
		Strategic theme - Quality				
Updated	2385	Workforce supply and capability insufficient to meet contractual demand and deliver high quality of care	DoHR&OD/ DoN/MD	Quality & Governance	15 ↓	15
Updated	2383	Financial pressures compromise delivery of care by appropriately qualified staff	DoN/MD	Quality & Governance	10	10
Updated	2384	Regulatory non-compliance impacts on ability to deliver high quality care	DoN	Quality & Governance	12	10
Updated	2105	Lack of capacity to respond to demand impacts on patient quality/outcomes	COO	Quality & Governance	16	9
New	3757	Excess demand results in patients being unable to access required services	COO	Performance	16	12
Existing	2833	Non-compliance with VTE/NEWS assessment levels	DoN/MD	Quality & Governance	15	10
Existing	2563	Clinical audit plan priorities may not match safety risks	MD	Quality & Governance	6	3
Existing	2387	The Trust fails to identify and act on poor practice	DoN/DoHR &OD	Quality & Governance	12	8
Existing	2386	The Trust fails to safeguard children and adults appropriately	DoN	Quality & Governance	15	10
Existing	2972	Lack of assurance for planned preventative maintenance (PPM) on properties leased with NHSPS	FD	Performance	16	4
Existing	2761	Acute Outflows	COO	Performance	15	15
Existing	2562	Lack of emergency preparedness results in major service failure	COO	Performance	12	6

Risks de-escalated to directorate level

Risk ID 3351 Medication management – failure to ensure safe care and treatment – de-escalated to controlled directorate risk as actions in place.

Risk ID 3481 Standard of patient transport service provision – de-escalated to directorate level risk as incidents reported have reduced and situation has improved.

Risks closed

Risk ID 2381 Risks inherent in new partnership models negatively affect Trust's ability to deliver its strategy – risk closed incorporated into new Develop risks.

Risk ID 3598 Insufficient urgent care system capacity to meet winter demand – risk closed winter season completed.

Risk ID 3599 Community nursing continuing increase in demand and Risk ID 2376 The Trust is materially unable to manage demand pressures – risks closed and combined into risk ID 3757 Excess demand results in patients being unable to access required services.

Risk escalated

Risk ID 3214 Non-compliance with GDPR – escalated to reflect the potential organisational impact if the Trust fails to comply with the revised regulations.

Changes to risk levels

Risk ID 2860 Regulatory non-compliance with IAPT targets jeopardises the Trust's risk rating – residual likelihood reduced.

Risk ID 2385 Workforce supply and capability insufficient to meet contractual demand and deliver high quality of care – improving figures current likelihood reduced.

The heat maps below illustrate the current and residual risks levels of the revised organisational risk register – the strategic theme is indicated alongside each risk ID.

Current risk levels

Consequence	5		2384 Q 2383 Q	3739 D 3746 G 3750 B 2833 Q 2761 Q 2386 Q 2385 Q 3744 G	3735 D 3197 B	3747 B
	4			3738 D 3582 D 3742 I 3743 I 2860 B 2378 B 2387 Q	3581 D 3736 D 3745 G 3425 G 3757 Q 2972 Q	3748 B
	3		2563 Q	2771 G 3214 B	3751 B 2562 Q 3740 I 3741 I	2105 Q
	2					
	1					
		1	2	3	4	5

Likelihood

Residual risk levels

Consequence

5		2833 Q 2386 Q 2384 Q 2383 Q	2761 Q 2385 Q		
		3736 D 3739 D 3746 G 2387 Q	3735 D 3581 D 3738 D 3745 G 3744 G 2378 B 3757 Q 3747 B	3197 B	
3	2563 Q	2562 Q	2860 B 2105 Q 3214B 3750 B 3751 B	3748 B	
2		3582 D 2972 Q 3742 I 3743 I	2771 G 3425 B 3740 I 3741 I		
1					
	1	2	3	4	5

Likelihood

Decision required

- The Board are asked to agree the revised organisational risk register as detailed above and confirm that risks are assigned to the appropriate committees for ongoing scrutiny and monitoring.

Governance Table

For Board and Board Committees:	Trust Board	
Paper sponsored by:	Chris Oakes – Director of HR & OD	
Paper authored by:	Tina Perkins – Health & Safety Risk Manager/Trust Policy Lead/MDSO	
Date submitted:	24.5.18	
State which Board Committee or other forum within the Trust’s governance structure, if any, have previously considered the report/this issue and the date of the relevant meeting(s):		
If considered elsewhere, state the level of assurance gained by the Board Committee or other forum i.e. assured/ partially assured / not assured:		
State whether this is a ‘one off’ report or, if not, when an update report will be provided for the purposes of corporate Agenda planning	Bi-monthly review and update of organisational risk register	
DIGB Q strategic alignment*:	Develop	√
	Innovate	√
	Grow	√
	Build	√
	Quality	√
Organisational Risk Register considerations:	List risk number and title of risk	
False and misleading information (FOMI) considerations:	None believed to apply	
Equality considerations:	None believed to apply	