



Paper No. SET/81/19	
	Tick One ✓
For discussion	
For approval	
For information/noting	✓

Date of Trust Board Meeting: 27 November 2019

Confidential or Public Agenda: Public

Agenda item: Update on Board Assurance Framework and Corporate Risk Register 2019/20

1.0 Introduction

This paper provides an update on the Board Assurance Framework and the Corporate Risk Register (CRR) for 2019/20 as at 11 November 2019. It also provides a suite of reports on the CRR detailing progress as at the same date including high level information about risks on the Directorate Risk Register.

2.0 Background information

The Trust is required to have a Board Assurance Framework (3 year framework) and Corporate Risk Register (annual basis) in place which is updated and presented to the Trust Board on a regular basis (normally May/June and November each year). A new three year Board Assurance Framework and Risk Management Strategy (2018/2021) was developed and approved by the Trust Board at its meeting on 11 February 2019¹.

3.0 Brief summary of key points contained in the paper/s

The Corporate Risk Register for 2019/20 was approved by the Trust Board at its meeting held on 29 May 2019. Regular update reports on the Corporate and Directorate Risk Registers are presented to the Governance Assurance and the Corporate Control Committees respectively on a quarterly basis.

Additions/changes to the Corporate Risk Register since the last report to the Trust Board (29 May 2019):-

- DB1 – Mental Capacity Act – new corporate risk added to the register on 19 September 2019. This relates to the Trust’s inability to deliver phase 1 of the MCA as directed by the DOH resulting in adverse impact on performance and consequently patient safety and care.

¹ *BAF and Risk Management Strategy documents cover the period 2018-2021. However given that the documents were not formally approved until February 2019, the Trust, in line with the Internal Audit Finding – Risk Management Report, extended the time period covered by these documents to 2022 ie, to ensure a full 3 year period as intended in the current documents” [P3 finding – 2018/19 Risk Management Audit].*

- MW4 – Workforce – updated in September 2019 to take account of the High Earner risk issue – ie, service Impact of HMRC Regulations in relation to Pensions – Clinical staff seeking to reduce their additional employment contract commitments due to tax consequences of the HSC pensions (annual allowance)
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- MW5 – EU Exit – updated in September 2019 to take account of potential emerging risks highlighted by ISPs in their ability to meet contractual obligations due to impacts of a no deal; and potential industrial action resulting in reduction in staffing.

A total of 18 items are now on the Corporate Risk Register for 2019/20.

4.0 Recommendation/s for the Trust Board (please state if the paper/s is for information/noting or for approval by Board members)

To note, for information, the report on the Board Assurance Framework and Corporate Risk Register for 2019/20.

Lead Director: Mrs M Weir

Designation: Director of Human Resources & Corporate Affairs

Date: 18 November 2019