

Northumberland, Tyne and Wear NHS Foundation Trust

Board of Directors Meeting

Meeting Date: 22 June 2016

Title and Author of Paper: Quarter 1-June 2016 Board Assurance Framework and Corporate Risk Register
Lisa Quinn, Executive Director of Commissioning and Assurance

Executive Lead: Lisa Quinn, Executive Director of Commissioning and Assurance

Paper for Debate, Decision or Information: Information

Key Points to Note:

- The Board reviewed the Quarter 1 Board Assurance Framework and Corporate Risk Register at its meeting in April 2016.
- The paper attached provides an update on:
 - The red risks which featured on the Groups and Corporate Directorates Risk Registers, as highlighted to the Board in April 2016, and changes in the RAG rating as at June 2016.
 - The Board Assurance Framework and Corporate Risk Register, as at June 2016.
 - The findings from the Internal Audit (NTW1516/02) relating to the process for populating and reporting on the Trust's Assurance Framework.

Risks Highlighted to Board :

There are no changes to the Quarter 1 Board Assurance Framework and Corporate Risk Register, as at June 2016.

Does this affect any Board Assurance Framework/Corporate Risks?

Please state Yes or No-No

If Yes please outline

Equal Opportunities, Legal and Other Implications:

Addressed in Board Assurance Framework and Corporate Risk Register

Outcome Required: Board to note Board Assurance Framework and Corporate Risk Register and Groups/ Corporate Directorates red risks.

Link to Policies and Strategies:

Risk Management Strategy and Risk Management Policy

Board Assurance Framework and Corporate Risk Register Quarter 1-June 2016

Purpose

The Board Assurance Framework and Corporate Risk Register was the subject of a significant review during 2015 with a redesigned format, incorporating recommendations from the Well Led Governance Review, being presented to the Quality and Performance Committee (Q and P) and the Board in February 2016. The redesigned format was well received by members of Q and P and the Board.

The Board Assurance Framework and Corporate Risk Register was subsequently shared with the Trust's Internal Auditors who suggested some further refinements and the Board reviewed at its meeting in April the Quarter 1 Board Assurance Framework and Corporate Risk Register in the context of the risks highlighted in the Trust's Operational Plan 2016/17 and Internal Audit's comments. The Board were also updated on the red risks which featured on the Groups and Corporate Directorates Risk Registers at that time, as recommended by Deloitte.

This paper provides an update on:

- The red risks which featured on the Groups and Corporate Directorates Risk Registers, as highlighted to the Board in April 2016, and changes in the RAG rating as at June 2016.
- The Board Assurance Framework and Corporate Risk Register, as at June 2016.
- The findings from the Internal Audit (NTW1516/02) relating to the process for populating and reporting on the Trust's Assurance Framework

1. Group and Corporate Directorate's red risks

The red risks which featured on the Groups and Corporate Directorates Risk Registers, as highlighted to the Board in April 2016, and any changes in the RAG rating of those risks, as at June 2016, are shown in the Table below:

Risk Group	Risk	RAG rating April 2016	Target Risk April 2016	RAG rating June 2016	Target Risk June 2016
Inpatient Care Group					
Op	The available number of qualified nursing staff within some of the inpatient care wards remains less than the clinically optimum in terms of experience, gender and head count	High (Red) 5X4 20	Very Low (Green) 2X2 4	Moderate (Orange) 4X4 16	Very Low (Green) 2x2 4
Op	Some units are not purpose built to modern mental health standards and not owned by NTW limiting the ability to make structural changes. Long term strategy required for the provision of acute inpatient facilities in Newcastle and Gateshead	High (Red) 5X4 20	Very Low (Green) 2X2 4	Moderate (Orange) 4X4 16	Low (Yellow) 3x2 6
Specialist Care Group					
Finance	Group required to make contribution (Control Total) £28.8m 2016/17) Also key service pressure areas	High (Red) 5X4 20	Moderate (Orange) 5X3 15	High (Red) 5X4 20	Moderate (Orange) 5X3 15
HR	Problems with recruitment and retention	High (Red) 5X4 20	Low (Yellow) 3x3 9	High (Red) 5X4 20	Low (Yellow) 3x3 9

In the light of discussions at the Corporate Decisions Team in June regarding the Specialist Care Group's red risks the Specialist Care Group red risks are to be reviewed.

2. Board Assurance Framework and Corporate Risk Register Quarter 1-June 2016

There are no changes to the Quarter 1 Board Assurance Framework and Corporate Risk Register, as at June 2016.

3. Internal Audit NTW1516/02: Process for Populating and Reporting on the Trust's Assurance Framework

Internal Audit issued their final report in May 2016 relating to the Trust's process for populating and reporting on the Trust's Assurance Framework covering the system in place in 2015-2016 which was undertaken over a period to April 2016. Internal Audit confirmed a level of significant assurance with no issues of note.

Some areas for improvement (minor impact) were identified, many of which were addressed in the Quarter 1 Board Assurance Framework and Corporate Risk Register, reviewed by the Board in April, and an action plan is in place to address the remaining areas by the end of October 2016, as a part of the ongoing development of the Board Assurance Framework and Corporate Risk Register. This work includes identifying the Board sub Committee responsible for controlling each principal and corporate risk enabling them to focus on the risks relevant to their scope.

4. Recommendation

The Board to note:

- The red risks which featured on the Groups and Corporate Directorates Risk Registers, as highlighted to the Board in April 2016, and changes in the RAG rating as at June 2016.
- That there are no changes to the Quarter 1 Board Assurance Framework and Corporate Risk Register, as at June 2016.
- The findings from the Internal Audit (NTW1516/02) relating to the process for populating and reporting on the Trust's Assurance Framework and work going forward.

Lisa Quinn
Executive Director of Commissioning and Quality Assurance
14th June 2016