APPENDIX A
DRAFT Strategic Risk Register Matrix 2012-13
Version 01: June 2012

Southern Health NHS
NHS Foundation Trust

Purpose
The Strategic Risk Register enables the Board of Southern Health NHS Foundation Trust to:
- **Identify and understand the most significant risks – both internal and external - critical to the success of the organisation**
- **To agree acceptable levels of strategic risk and approve the actions required to mitigate risks to this level**
- **To receive assurance mitigating actions are being taken and risks are being appropriately managed**

Strategic Objectives 12-13
01. Ensure we meet our quality and safety, operational performance and financial obligations
02. Transform our services to improve outcomes and experience, and reduce costs – through internal redesign, integration with partners and through growth
03. Develop our people and their leadership capacity and capability to deliver our clinical strategy
04. Develop our organisation, its capabilities and its infrastructure to enable the delivery of our vision and strategy

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Key Strategic Themes 12-13
01.The external political environment , financial challenge and internal redesign could have a negative impact on Standards of care, quality and clinical Governance are not maintained
02.Failure to respond and deliver due to the financial environment
03.Organistion and workforce unable to respond to both internal and external changing requirements
04 Future political environment and NHS Reform does not support Trust strategy

Risk Scores
Each risk is scored using the matrix below which is explianed in detail in the Southern Health Risk Management Policy

Likelihood	Impact				
	Minimal 01	Low 02	Moderate 03	Major 04	Catastrophic 05
Rare 01	01	02	03	04	05
Unlikely 02	02	04	06	08	10
Possible 03	03	06	09	12	15
Likely 04	04	08	12	16	20
Almost Certain 05	05	10	15	20	25

STRATEGIC RISKS BOARD OF DIRECTORS - DRAFT TEMPLATE V1 JUNE 2012 - CONFIDENTIAL

STRATEGIC THEME CATEGORY	STRATEGIC RISK ID NUMBER	RISK DESCRIPTION	LINK TO KEY STRATEGIC OBJECTIVE/S 2012/13	IMPACT SUMMARY	SUMMARY MITIGATING CONTROLS IN PIACE AND BOARD ASSURANCE FRAMEWORK REFERENCE	INITIAL Risk Rating (June 2012)	ACCEPTABLE Risk Rating (By End 2012/13)	CURRENT Risk Rating (June 2012)	MONTHLY CHANGE	ACCOUNTABLE EXECUTIVE	FORECAST IMPROVEMENT TRAJECTORY (End Q2 2012/13)
1. Quality of Services and Patient Care	Key Strategic Risk Risk ID xx	**The external political environment, financial challenge and internal redesign could have a negative impact on Standards of care, quality and clinical Governance arrangements are not maintained.**	**1 2 3 4**	Quality standards, safety, patient experience and clinical effectiveness at risk. Targets not met and breach of authorisation. Failure to meet legal, statutory and other external compliance standards such as Monitor, Care Quality Commission Registration and National Litigation Authority standards (NHSLA)						Chief Executive	
1.1	Risk Risk ID xx	Failure to achieve regulatory and compliance requirements	1	Serious breach of authorisation and non delivery of Trust Objectives.						Chief Executive	
1.2	Risk Risk ID xx	Governance arrangements do not satisfy Monitor and current green governance rating not maintained	1b	Serious breach of authorisation						Whole Board	
1.3	Risk Risk ID xx	Failure to achieve national performance targets e.g.		Serious breach of authorisation Compromised clinical quality and safety						Chief Operating Officer	

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1.4	Risk Risk ID xx	Inability to demonstrate value of organisation in terms of quality, performance, governance, contractual and commercial developmentdue to insufficient informatics systems	1e 1f 4g 4h	Failure to maintain data quality, reliability and completeness. Non compliance with legislation. Serious breach of authorisation						Director of Health Technology and Outcomes	
2. Financial Risks	Key Strategic Risk Risk ID xx	**Failure to respond and deliver due to the financial environment**	**1** **2** **3** **4**	Serious breach of authorisation and non delivery of Trust Objectives, clinical quality and delivery at risk						Chief Executive Director	
2.1	Risk Risk ID xx	Failure to achieve planned Monitor Financial Risk Rating of 3 in 2012 - 2013	1e	Serious breach of authorisation and non delivery of Trust Objectives.						Director of Finance	
2.2	Risk Risk ID xx	Cost improvement plan not delivered as planned in 2012/13	1e	Non recurrent savings would impact on quality of service. Serious breach of authorisation						Chief Operating Oficer	
2.3	Risk Risk ID xx	Failure to develop and deliver sustainable financial plans for 2013-2014 and 2014-2015	2	Serious breach of authorisation and non delivery of Trust Objectives.						Director of Finance	
2.4	Risk Risk ID xx	Commissioners will not agree to changing funding flows	4e	Unable to develop sustainable service model. Serious breach of authorisation						Director of Finance	
2.5	Risk Risk ID xx	Failure to respond to Tariff changes		Failure of financial plans and long-term sustainability put at risk. Serious breach of authorisation						Director of Finance	
3.Organisational Culture and Workforce Development	Key Strategic Risk ID xx	**Organistion, workforce and culture unable to respond to both internal and external changing requirements**	**1** **2** **3** **4**	Serious breach of authorisation Compromised clinical quality and safety						Director of Workforce and Development	

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3.1	Risk Risk ID xx	The level of change both within the Trust and within the local health and social care economy will have a negative impact on morale, focus on core duties, and willingness to embrace new ways of working		Potential disenfranchisement of staff, and impact on local plans, organisational culture and values due to pace of change and nature of change required by TrustHarm to patients, targets not met and breach of authorisation						Director of Workforce and Development	
3.2	Risk Risk ID xx	Partnership working with external organisations will deteriorate as financial challenges grow		Financial position deterioration						Chief Executive	
3.3	Risk Risk ID xx	Unforeseen issues arise which cause reputation damage to the Trust		Damage to Trust reputation and patient confidence						Executive Team	
3.4	Risk Risk ID xx	Failure to implement workforce strategy, workforce plans								Director of Workforce and Development	
3.5	Risk Risk ID xx	The economic climate , inparticular the ongoing pensions disputes and cuts to public services, will inhibit local discussions regarding organisational change , terms and conditions	Workforce requirements (regulatory) unaffordable or unachievable	Non compliance with legislation. Serious breach of authorisation						Director of Workforce and Development	
4. External	Key Strategic Risk ID xx	**Future political environment and NHS Reform does not support Trust strategy**	**1 2 3 4**	Unsustainable long-term future for the Trust						Chief Executive	
4.1	Risk Risk ID xx	Clinical Commissioning Groups do not share the vision for ICO services		Trust services become fragmented to "salami Slicing"							

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4.1	Risk Risk ID xx	National Policy does not support Trusts Strategy		Long-term sustainability of the Trust at risk							

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