



Summary of Assurances, Risks and Items for Escalation from Executive Risk Management Group meeting on 09/09/2019							
<p><b>Key items considered by the committee / group:</b> [Summarise the main points on the agenda including anywhere the committee was unable to obtain assurance or there may be an adverse impact for the Trust (e.g. potential impact on: strategic progress, compliance or patient safety). Consider whether the agenda fit for purpose – e.g. linked to the terms of reference and the work plan for that month]</p>	<ul style="list-style-type: none"> <li>• Review of Service Line Risk Register for EOC</li> <li>• Review of Strategy, Technology &amp; Transformation Directorate</li> <li>• Risk Dashboard which highlighted               <ul style="list-style-type: none"> <li>○ Outstanding Risk Reviews</li> <li>○ Outstanding Risk Actions</li> <li>○ Closed Risks with Outstanding Actions</li> </ul> </li> <li>• Trust's Top 3 security Risks</li> <li>• Review of Risks 12 &amp; over</li> <li>• Organisational Risk Register</li> <li>• Cycle of Business for 2019 – 20</li> </ul>						
<p><b>Items for escalation:</b> [Describe the reason for the item being escalated, where it has been escalated to and what action this committee / group needs to take as a result. This may include for example:</p> <ul style="list-style-type: none"> <li>• Outstanding actions where limited progress has been made]</li> </ul>	<ul style="list-style-type: none"> <li>• There were no items to be escalated</li> </ul>						
<p><b>Key decisions made:</b> [Concise bullet points describing the <b>key</b> decisions made and the responsible owners]</p>	<ul style="list-style-type: none"> <li>• Risk dashboard parameters to be updated to pull any risks at 12</li> </ul>						
<p><b>Main sources of assurance:</b> [Concise bullet points describing any key sources of assurance which are relevant to the Trusts strategic risks]</p>	<ul style="list-style-type: none"> <li>• There were no risks for consideration for the ORR</li> <li>• There were no closed risks with outstanding actions</li> </ul>						
<p><b>Key risks identified:</b> [Concise bullet points describing the <b>most</b> significant risks identified including agreed actions For the Board committees only please reference any work undertaken in relation to allocated Board Assurance Framework risks]</p>	<ul style="list-style-type: none"> <li>• S Tucker stated that there is work ongoing regarding risk 205 EOC relocation in the event of the loss of Bernicia House. Although the work had not yet mitigated the risk the register could be updated with actions that had been taken including the mapping and the different options that had been looked into. The instant access to available seats will become mandatory by April 2020 and it was noted there are currently 120 live seats within the EOC. The SMT had held a workshop to look into the options therefore J Boyle was to assist S Tucker in updating the risk. J Baxter added that the initial risk rating should be higher.</li> </ul>						
<b>Meeting details:</b>							
<b>Number of apologies:</b>	8	<b>Quorate:</b> [i.e. was the committee / group quorate?]	<table border="1"> <thead> <tr> <th>Yes</th> <th>No</th> </tr> </thead> <tbody> <tr> <td>✓</td> <td></td> </tr> </tbody> </table>	Yes	No	✓	
Yes	No						
✓							
<b>Chair:</b>	Joanne Baxter, Director of Quality & Safety	<b>Lead Director:</b>	Joanne Baxter, Director of Quality & Safety				

## Document Information

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## MINUTES OF MEETING

<b>Meeting :</b>	Executive Risk Management Group
<b>Details:</b>	Monday 9 <sup>th</sup> September 2019 @ 13:30, Fulbeck Room, NEAS HQ
<b>Present:</b>	Mrs J Baxter, ( <b>JBAX</b> ), Director of Quality and Safety (Chair) Mr K Scollay, ( <b>KS</b> ), Group Director of Finance & Contracting Mrs C Thurlbeck, ( <b>CT</b> ), Director of Strategy, Technology & Transformation
<b>In Attendance:</b>	Miss J Boyle, ( <b>JB</b> ), Trust Secretary Mr D McDougall, ( <b>DMc</b> ), Strategic Head of Operations South (for V Court) Mrs S Tucker, ( <b>ST</b> ), Strategic Head of Operations Centre
<b>Minute-taker:</b>	Miss L O'Donnell, Chief Executive Administrative Assistant

No.		Action by
<b>1.</b>	<b>APOLOGIES FOR ABSENCE</b>	
	Apologies for absence were received from V Court, A Gallagher, M Cotton, P Liversidge, M Beattie, A Hopper, J Emerson and S Swallow.	
<b>2.</b>	<b>MINUTES OF PREVIOUS MEETING HELD ON 8<sup>th</sup> AUGUST 2019</b>	
	The minutes of the previous meeting were agreed to be a true and accurate record.	
<b>3.</b>	<b>REGISTER OF ACTIONS</b>	
	The actions register was reviewed and on-going progress noted. Those actions which had been completed were closed. The register would be updated to reflect discussions and distributed prior to the next meeting.	
	Action 12) EOC Servers – <b>CT</b> explained that there would be an update paper presented to the Private Trust Board and <b>ST</b> shared that there was a lot going on regarding the servers.	
	Action 16) ToR to be updated – complete	
	Action 17) Risk 205 to be look into as to why on the ORR – <b>AH</b> unavailable for the meeting therefore <b>JBAX</b> to follow up.	
<b>4.</b>	<b>MATTERS ARISING</b>	
	There were no matters arising	
<b>5.</b>	<b>DIRECTORATE RISK REVIEW – STRATEGY, TECHNOLOGY &amp; TRANSFORMATION</b>	

No.		Action by
	<b>CT</b> introduced the directorate risk register and explained there were no significant changes to note since the last presentation at ERMG however a number of longstanding risks had been removed.	
	<b>CT</b> highlighted the risks with a high residual score: <ul style="list-style-type: none"> <li>• Cyber Attack Threat – Risk is for visibility but is ‘accepted’</li> <li>• Inability to recruit skilled staff in IM&amp;T remains a challenge (scored at 6) this is in both IT and in the Informatics team</li> <li>• Airwaves telephony (risk of 6) relates to the risk if the planned work was unsuccessful but there is a plan in place for this and it is not anticipated to materialise as a concern.</li> <li>• Project Risks <ul style="list-style-type: none"> <li>- Vehicles delays – this risk is dynamic and although the risk remains high (15), it is being tracked daily and being managed across directorates. The level of risk is reducing. The Scheduled Care vehicles are all available.</li> <li>- System Change (ICS) – Risk remains high (9) but actions are in place for this. <b>CT</b> stated this is to be raised with D Gallagher</li> </ul> </li> </ul>	
<b>6.</b>	<b>SERVICE LINE RISK REGISTER – EOC</b>	
	<b>ST</b> presented a detailed breakdown of the risks within the EOC risk register and highlighted the risks concerning the new telephony and the issues regarding releasing staff for the training. There is ongoing work with WFM to pin down dates for training.	
	Risk 255 was to be closed.	
	<b>ST</b> stated that staffing issues remain a problem throughout the whole of the EOC which led to a discussion regarding agency staffing and the following points were noted: <ul style="list-style-type: none"> <li>• The agency cap has been broken</li> <li>• <b>ST</b> was working alongside Ed Hutton and V Court in order to work out a better solution.</li> <li>• There are ongoing meetings with recruitment</li> <li>• <b>ST</b> is drafting a paper for V Court and P Liversidge to look at different options</li> </ul>	
<b>7.</b>	<b>RISK DASHBOARD AND HEAT MAP</b>	
	The dashboard identified that out of 204 current risks, 25 were due for review in the reporting period 0 risks have no review date entered, 9 risks exceeded the review date by 0-5 days, and 0 risks exceeded the review date by 5-10 days whilst 16 risks exceeded the review date by more than 10 days	
	Out of the 184 assigned actions, 0 actions had no assigned target date, 52 actions were outstanding, 6 had passed their reminder date and 46 had passed their target date. <b>JBAX</b> raised her concerns regarding the 71 risks that had no assigned actions and requested that all members communicate this within their directorate.	
	The area reporting the highest number of ‘high’ rated risks was still the Organisational Risk Register while Business Continuity continued to record the highest number of ‘significant’ rated risks.	
	Overall compliance regarding risk reviews had decreased against last month’s report however there were still no closed risks with outstanding actions.	
	<b>ST</b> shared that she had spent a lot of time updating risks in the previous 24 hours therefore these changes would not be reflected on the report.	
	<b>JBAX</b> highlighted the Trust wide overview of the risks and stated that the reporting looked appropriate.	
	<b>DMc</b> highlighted that the risk regarding the ORH vehicles should be raised.	

No.		Action by
	<b>7.1. OUTSTANDING RISK ACTIONS</b>	
	The contents of the report were noted.	
	<b>7.2. OUTSTANDING RISK REVIEWS</b>	
	The contents of the report were noted.	
	<b>7.3. CLOSED RISKS WITH OUTSTANDING ACTIONS</b>	
	There were no closed risks with outstanding actions.	
<b>8.</b>	<b>TOP 3 SECURITY RISKS</b>	
	<b>CT</b> presented the risks and confirmed there has been no change since the last presentation at ERMG therefore asked for the members to note the risks. <b>CT</b> assured that none of the risks were for consideration for the ORR.	
	<b>JBAX</b> raised a query regarding communication received advising against using internal systems to transfer secure data. <b>CT</b> stated she was unaware of this but would follow up.	
<b>9.</b>	<b>ORGANISATIONAL RISK REGISTER (ORR)</b>	
	<b>JBAX</b> introduced the ORR and shared that the report would be presented at the Trust Board in October.	
	<b>ST</b> stated that there is work ongoing regarding risk 205 EOC relocation in the event of the loss of Bernicia House. Although the work had not yet mitigated the risk the register could be updated with actions that had been taken including the mapping and the different options that had been looked into. The instant access to available seats will become mandatory by April 2020 and it was noted there are currently 120 live seats within the EOC. The SMT had held a workshop to look into the options therefore <b>JBOY</b> was to assist <b>ST</b> in updating the risk. <b>JBAX</b> added that the initial risk rating should be higher.	<b>S Tucker / J Boyle</b>
	<p>The following updates were noted:</p> <ul style="list-style-type: none"> <li>• 249 – Happy with mitigations, <b>ST</b> updated risk in the morning previous to the meeting.</li> <li>• 256 – 2 more exes to be put in. <b>CT</b> suggested the risk be removed from the ORR as now reporting to the commissioner.</li> <li>• 263 – It had been agreed at Workforce Committee to lower the internal appraisal target to 85%. <b>JBAX</b> suggested removing the percentage from the risk.</li> <li>• 266 – <b>CT</b> still working through the data security toolkit</li> <li>• 280 – <b>JBAX</b> at ‘Just Culture’ training w/c 16<sup>th</sup> September and will link in with FTSUP. <b>JBAX</b> to update after the meeting.</li> <li>• 301 – M Beattie / P Aitken-Fell to review however actions look reasonable.</li> <li>• 303 - M Beattie / P Aitken-Fell to review. <b>JBAX</b> to pick – up with PAF.</li> <li>• EOC 19 – <b>ST</b> chasing actions</li> <li>• MED05 – <b>JBAX</b> to look into</li> <li>• ORR41 – up to date</li> <li>• ORR45 – to be updated</li> <li>• ORR57 – more actions needed to be added</li> </ul>	<b>All to note</b>
<b>10.</b>	<b>REVIEW OF RISKS 12 &amp; OVER</b>	
	The risks rated at 12 & over which were not on the ORR were presented to the group for consideration around whether they should be upgraded to the ORR. There were no risks to be upgraded.	

No.		Action by
	<b>JBAX</b> to speak to A Gallagher regarding updating the parameters for the risk dashboard to only show new or changed risks for consideration.	<b>J Baxter</b>
<b>11.</b>	<b>CYCLE OF BUSINESS FOR 2019-2020</b>	
	The cycle of business was introduced for review and it was noted that Chief Executive would be the next Directorate to be review and Unscheduled Care would be the service line.	
<b>12.</b>	<b>ANY OTHER BUSINESS</b>	
	No other business was discussed.	
<b>13.</b>	<b>ITEMS FOR ESCALATION</b>	
	There were no items for escalation to the Board.	
<b>14.</b>	<b>DATE AND TIME OF NEXT MEETING</b>	
	Date and Time of next meeting: Thursday 10 <sup>th</sup> October 09:30 – 11:30, Fulbeck Room.	