

Appendix B – Principal Risks

<p>PR1 - Financial planning & management</p> <p>There is a risk that the organisation's financial planning and management processes may not be sufficiently robust to ensure all risks to attaining financial balance are identified. Mitigation of the risk will be supported by performance monitored action plans to ensure the Trust achieves year-on-year financial balance.</p>	<p>PR2 - Strategic & business planning</p> <p>There is a risk that the organisation's strategic and business planning processes may not be sufficiently robust to ensure all risks to delivering of the Trust's services are identified. Mitigation of the risk will be supported by performance monitored action plans to ensure delivery of the Trust's strategic objectives.</p>	<p>PR3 - Workforce numbers</p> <p>There is a risk that the organisation's workforce planning processes may not be sufficiently robust to ensure both the current and future workforce can adequately provide the resources to deliver the change necessary to achieve sustainability. Mitigation of the risk will be supported by detailed directorate-level workforce plans fully aligned with the long-term financial model.</p>	<p>PR4 - Workforce skills</p> <p>There is a risk that the organisation's training and development arrangements may not be sufficiently robust to ensure staff can safely carry out their duties. Mitigation of the risk will be delivered by ensuring the staff are adequately trained and opportunities for continuous professional development are provided.</p>	<p>PR5 - Procedural management</p> <p>There is a risk that the organisation's processes for developing, maintaining and implementing policies and other procedural documents may not be sufficiently robust to ensure staff understand their roles and responsibilities. Mitigation of the risk will be delivered through the Trust's procedural documents being compliant with legislative and national requirements.</p>	<p>PR6 - Equipment & facilities arrangements</p> <p>There is a risk that the organisation's equipment and facilities may not be fit for purpose to ensure the delivery of the Trust's services. Mitigation of the risk will be through ensuring a planned and sustainable approach being maintained to ensure an adequate supply and by ensuring that there are appropriate contingency arrangements in place.</p>
<p>PR7 - Clinical records management</p> <p>There is a risk that the organisation's processes for managing clinical records are not sufficiently robust to ensure staff can safely provide treatment and care. Mitigation of the risk will be through ensuring that a systematic and planned approach is in place to ensure the Trust's clinical records are quality controlled, fit for purpose and created, stored and disposed of appropriately.</p>	<p>PR8 - Leadership & management</p> <p>There is a risk that the organisation's leadership and management arrangements may not be sufficiently robust to ensure the support of a clear and fair culture of accountability and to ensure staff are appropriately held responsible for the delivery of the Trust's strategic objectives. Mitigation of the risk will be delivered through regular reviews of leadership capability and Board development.</p>	<p>PR9 - Unsafe behaviour</p> <p>There is a risk that staff, patients, visitors, contractors and partner organisations do not adhere to the Trust's policies and procedures, either inadvertently, negligently or maliciously. Mitigation of the risk will be through ensuring knowledge of policies and other procedural documents is maximised through appropriate communication channels.</p>	<p>PR10 - External demands</p> <p>There is a risk that the organisation's financial and business planning arrangements may not be sufficiently robust to ensure the Trust can respond effectively to unexpected demands from statutory organisations or other external agencies. Mitigation of the risk will be supported by the planning processes that will enable the organisation to appropriately resource the delivery of the Trust's strategic objectives.</p>	<p>PR11 - Partnership arrangements</p> <p>There is a risk that the organisation's partnership working arrangements may not be sufficiently robust to ensure all risks are identified and managed. Mitigation of the risk will be through a frequent and regular review of stakeholder relationships.</p>	<p>PR12 – Communication</p> <p>There is a risk that the organisation's employees are not committed to good communication or that the employees do not or are not able to communicate effectively. The organisation may not have effective or robust communication arrangements, systems and processes. Mitigation of the risk will be through the development of a clear and robust Communications Strategy.</p>