

Risk Category (to be revised)	Risk ID	Lead Director	Risk Title	Initial		Current		Target		Current Risk Status		Mths since last updated	Action Plan Status	Latest Update
				Score	Grade	Score	Grade	Score	Grade	Mths since score changed	Change in score since last review			
Health and Safety	3	Medical Director	Health and Safety risk - resulting in injury	16	HIGH	20	EXTREM	4	HIGH	7	No change	0	Actions listed with future due dates	Oct20 - 13 Covid related RIDDOR incidents reported in last month to date taking total to 92. Trust communication sent out in October to managers on how to report incidents related to work acquired Covid infection. Safety lesson of the week planned for October on Guidance on revising Risk assessments relate to Covid. Inspection completed in Lakeview with update on action taken to be tabled at October H&S Working group. List of Corporately held Annual Health & Safety Risk Assessments returns sent to directorates to ensure they are updated to align with performance reports.
Patient/Client Safety	6	Director of Women & Children's Services	Harm to children whilst awaiting Gateway and Family Intervention Service (unallocated cases)	25	EXTREM	12	HIGH	8	HIGH	37	No change	0	Actions listed with future due dates	16/10/20 The Directorate have reviewed the context of Enniskillen and is piloting a generic model of practice that will effectively utilise the current workforce structure to address safeguarding and promote the needs of looked after children. The preparatory work for this pilot has commenced and it is anticipated will be put into effect from November 20 pending the context of Covid 19. 13-10-20 Early Alert sent to DoH regarding Gateway risk to service re Covid staff outbreak.
Compliance with Professional/Clinical/Non-Clinical Standards	46	Director of Human Resources	Challenges to compliance with Working Time Regulations	12	HIGH	12	HIGH	9	MEDIUM	84	No change	0	Actions listed with future due dates	Oct 2020 - Workforce risks to be revised in Trust Board workshop and agreed approach in line with revised categories. August 2020: At Trust Board Workshop it was agreed to develop a new Corporate Risk which covers all workforce related issues. Draft risk being submitted to August CMT.
Organisational	49	Director of Finance	Virus attack disables network/services	16	HIGH	16	HIGH	9	MEDIUM	41	No change	0	Actions listed with future due dates	9th October 2020 - ICT held a Risk Management Workshop on 18th September 2020, in conjunction with members of the Trusts' Risk Management Team with the aim of reviewing the ICT Risk Register. This included the revised review of Corporate Risk 49, taking account of the regional cyber risk themes of: Technology, User Behaviour, Legislation (NIS Directive). This work will be completed by the end of October 2020. ICT will also develop their Risk Assessment Appetite Statement based on the work commenced in early October by Trust CMT and Trust Board.
Patient/Client Safety	57	Medical Director	Lack of cross-Directorate learning from adverse incidents, complaints, claims & audit recommendations	16	HIGH	12	HIGH	8	HIGH	31	No change	0	Actions listed with future due dates	Oct20 - At 09/10/20 there were 84 overdue SAIs with 17 reviews becoming overdue in the previous 2 weeks whilst in the same period no reviews have been completed. Of these, 45 legacy SAI reviews remain open (54% reduction from 31 March 2020).
Workforce Issues	58	Director of Human Resources	Over dependence on the use of locum and agency staff to sustain services and insufficient induction for locum medical staff	12	MEDIUM	15	HIGH	9	MEDIUM	34	No change	0	Actions listed with future due dates	Oct 2020 - Workforce risks to be revised in Trust Board workshop and agreed approach in line with revised categories. August 2020: At Trust Board Workshop it was agreed to develop a new Corporate Risk which covers all workforce related issues. Draft risk being submitted to August CMT.
Patient/Client Safety	63	Director of Adult Mental Health & Learning Disability	High risk forensic/challenging individuals who have potential to cause harm to themselves or others	20	EXTREM	15	EXTREM	12	HIGH	29	No change	0	Actions listed with future due dates	19 October risk related to forensic service. Retract risk to MH sub directorate for management and monitoring. 15th July 2020 Discussed at SMGM and controls and assurances remain appropriate to this risk. 9th June 2020 Risk reviewed and controls and assurances remain appropriate for risk. 29th April 2020 1 open action appropriate, controls and assurances appropriate, to remain on the risk register.

Patient/Client Safety	66	Director of Adult Mental Health & Learning Disability	Death or serious injury of patient as a result of a suicide or attempted suicide while in a Trust facility	25	EXTREM	10	HIGH	5	HIGH	●	84	No change	0	Actions listed with future due dates	19 October - review of risk recognises that this can be managed within AMH risk register. Controls and Assurances will be managed through AMH Governance arrangements.
Health and Safety	100	Director of Performance & Service Improvement	Backlog Maintenance	16	HIGH	12	HIGH	12	HIGH	●	86	No change	0	Actions listed with future due dates	16 Oct 2020: £2.5m BLM BC's approved for 20/21 completion. 4 Sept 2020: BLM Plan has been approved and under procurement,.
Health and Safety	235	Medical Director	Risk of continuing failure to meet statutory requirements for Water Safety	15	EXTREM	15	EXTREM	8	HIGH	●	72	No change	0	Actions listed with future due dates	21/10/20 - Trust Board workshop whilst agreeing title and description change requested consideration of an overall risk related to deficits in Estates Investment. Updated Water Safety Plan completed for tabling at CMT next available date is Nov 2020.
Compliance with Professional/Clinical/Non-Clinical Standards	284	Director of Performance & Service Improvement	Risk of breach of General Data Protection Regulation (GDPR) and Data Protection legislation through loss of personal or sensitive	16	HIGH	16	HIGH	8	HIGH	●	47	No change	0	Actions listed with future due dates	Oct 20: Action plan developed addressing safety agenda during covid response. Review of secondary storage ongoing. Working with service areas to address secondary storage issues and destruction and retention or records . Working with estates to address storage issues in Gransha and T&F . Business cases currently being finalised for approval.
Service Delivery	547	Director of Nursing, Primary Care & Older People's Services	Inability to access domiciliary care in a timely manner	15	HIGH	16	HIGH	8	MEDIUM	●	66	No change	0	Actions listed with future due dates	Oct20 - The Trust's Delivering Value programme has identified project resources to progress a specific initiative progressed to increase the utilisation of block contracts which in turn has facilitated increasing demand for homecare and has also optimised the available carer resource across the Trust. This work will continue for the remainder of 2020 and into 2021. The Trust is waiting on the region to issue the proposed framework but this has been delayed due to Covid. The Trust continues to develop its own commissioning framework for these services in the future that will be closely linked to the regional framework
Workforce Issues	694	Director of Acute Services	Risk to patient/client safety because of insufficient Medical cover in PCOPS and Medical Wards in SWAH	9	MEDIUM	12	HIGH	9	MEDIUM	●	50	No change	0	Actions listed with future due dates	Oct20 - Medical staffing paper to be submitted in November 2020. August 2020: Work is continuing on the Medical Staffing Paper as per July update. It is hoped this Paper will be submitted to September SMT for consideration.
Compliance with Professional/Clinical/Non-Clinical Standards	719	Director of Women & Children's Services	Risk of failure to meet a standard/protocol/guideline.	20	EXTREM	12	HIGH	8	HIGH	●	72	No change	1	Actions listed with future due dates	Sept 20 - Raised as an agenda item at Quality & Standards Sub Committee on 26 August 2020. Therese Brown Chaird and advised Risk ID719 is a Corporate Risk, Deirdre Mahon is the responsible person for assurance that this Risk is regularly reviewed and appropriately graded. Therese asked that it remains as a standing agenda item and is raised as the 1st point on the agenda going forward. She asked members to encourage Leads to review the NICE Guidelines and Standards on the 'Ongoing and Unable' dashboard and update were applicable reflecting where recommendations can't be met if this poses a risk and if so it should be reflected on the appropriate risk register. The 'unable to implement NICE Guidelines' Dashboards stands at 124 presently and is increasing monthly. Many have not been reviewed in several years. This is a concern. Therese agreed to write out to Directors and ask for both the ongoing and unable NICE Guidelines to be reviewed and asked Lorraine Adams to reflect any improvement in her reports at the next meeting.
Compliance with Professional/Clinical/Non-Clinical Standards	955	Chief Executive	Failure to comply with procurement legislation re social care procurement	12	MEDIUM	12	MEDIUM	4	LOW	●	51	No change	2	Actions listed with future due dates	August 20 The Trust is participating in the Light Touch Regime with regional prioritisation of social care procurements. The decision has been made to begin preparations for the retendering of contracts for Domiciliary Care although the decision to complete will require further consideration.

Workforce Issues	1075	Director of Finance	No Deal Scenario / Hard Border EU Exit	12	HIGH	16	HIGH	4	LOW	● 25	No change	0	Actions listed with future due dates	<p>Oct 20 - There is still the potential for a No Deal EU Exit at the end of the transition period on 31st December 2020, given the status of negotiations between the UK and EU. The NI Protocol is to be applied whether there is a Deal or No Deal EU Exit. Given the tight run-in period, the Department of Health (DOH) have re-instated fortnightly update regional meetings with Arms Length Bodies (ALB) representatives on EU Exit.</p> <p>The advice from DOH remains that Arms Length Bodies (ALBs), including the Western Trust, should retain the 6 weeks buffer levels of non-stock items until further notice.</p> <p>In relation to Medicines and Medical Devices, it was noted at the regional ALB meeting on 5th October 2020, there may be additional checks on medicines and medical devices travelling from GB to NI.</p> <p>There is an intention, as directed by DOH, for Independent Sector providers to be approached again soon to gain a re-assurance on their readiness for EU Exit, particularly on their ability to obtain & hold sufficient stock levels of critically needed supplies.</p> <p>In relation to Workforce/HR aspects and healthcare arrangements, this is a complex area and agreements are still being refined with continuity expected on Frontier Workers rights, reciprocal healthcare between NI and ROI and an extension to the application process for the EU Settlement Scheme until June 2021. A risk has been identified upon non-Irish EU Nationals low-skilled workers not obtaining citizenship.</p> <p>There is no intention at this stage of re-instating Emergency Planning sitrep arrangements on EU Exit in parallel with existing Command & Control/ Contingency systems already in place across NI for Covid-19.</p>
Workforce Issues	1100	Director of Human Resources	Agenda for Change (AFC) Pay Reform Dispute may impact service provision	12	HIGH	8	HIGH	8	HIGH	● 7	No change	0	Actions listed with future due dates	<p>Oct 2020 - Workforce risks to be revised in Trust Board workshop and agreed approach in line with revised categories. August 2020: At Trust Board Workshop it was agreed to develop a new Corporate Risk which covers all workforce related issues. Draft risk being submitted to August CMT.</p> <p>May 2020: The Agenda for Change Pay Awards for years 2019/2020 and 2020/2021 have been implemented. NIPSA Action Short of Strike remains suspended due to COVID-19. An issue relating to unsocial hours payments for particular Bands and pay points has caused a small detriment for some staff so Trades Unions wish this to be referred to Technical Group for further negotiation. Description and Risk Rating updated. Proposal to reduce risk level to Major:Unlikely.</p>
Workforce Issues	1109	Director of Women & Children's Services	Difficulty Recruiting to all frontline social work areas across the Trust	16	HIGH	16	HIGH	4	LOW	● 23	No change	0	Actions listed with future due dates	<p>16/10/20 Work has continued to engage schools and colleges as a way of promoting SW as a career choice. The Directorate has established SW ambassadors to engage with schools and colleges and have participated in University career event days. Given current context in respect of Covid 19 this action will be compromised due to the priority focus on the front line.</p>
Patient/Client Safety	1133	Director of Nursing, Primary Care & Older People's Services	Risk to safe patient care relating to inappropriate use of medical air	15	EXTREM	25	EXTREM	5	HIGH	● 6	No change	0	Actions listed with future due dates	<p>Oct20 - Comments received from RRG and SAI reports to be finalised for submission in November 2020. Aug 2020 - SAI meeting 24/08/20, SAI draft report progressing, aim for submission mid September. July 2020 - Grading revised following consideration at CMT in June from 15 to 25 EXTREME following 3 SAls / Never Events. SAls being progressed and ToR and Team membership sent to HSCB on 10-07-20.</p>

Workforce Issues	1165	Director of Human Resources	Service Impact of HMRC Regulations in relation to Pensions.	20	EXTREM	12	HIGH	4	LOW	● 7	No change	0	Actions listed with future due dates	Oct 2020 - Workforce risks to be revised in Trust Board workshop and agreed approach in line with revised categories. August 2020: At Trust Board Workshop it was agreed to develop a new Corporate Risk which covers all workforce related issues. Draft risk being submitted to August CMT.
Patient/Client Safety	1166	Director of Adult Mental Health & Learning Disability	Lack of a robust Governance Structure within AMHDS resulting in risk of not being able to identify emerging risks and Learn	20	EXTREM	20	EXTREM	9	MEDIUM	● 16	No change	0	Actions listed with future due dates	19/10/2020 Action taken to formalise Governance structure. Interim arrangements in place until recruitment completed. Controls and assurances reviewed and all actions closed. Will be considered for de-escalation to AMH Directorate risk. 23/09/2020 awaiting funding to secure governance posts in the interim governance structure outlined and agreed with RQIA and Trust.
Compliance with Professional/Clinical/Non-Clinical Standards	1183	Director of Adult Mental Health & Learning Disability	Insufficient relevant staff trained in DoLS processes may result in the Trust depriving patients of their liberty with the resu	25	EXTREM	25	EXTREM	15	EXTREM	● 13	No change	0	Actions listed with future due dates	20/10/20. Updated Title and Description. Risk reviewed updated to reflect progress in Controls, Assurances and Actions. Action relating to Level 2 training removed as this is covered on other Action. 9/07/20. Controls and Assurances reviewed and updated. Target completion dates reviewed and updated.
Patient/Client Safety	1207	Director of Nursing, Primary Care & Older People's Services	Care, safety and quality standards delivered in Independent Sector Nursing and Residential Care Facilities	9	MEDIUM	12	HIGH	8	HIGH	● 8	No change	0	Actions listed with future due dates	Oct20 - The Senior Community Governance Group met in September for the first time. This group is tasked with overseeing governance for Independent Sector Care Homes in the first instance and with a plan to oversee other care facilities in the community including Day Centres and Hostels. The Group will meet every Thursday as required having reviewed on Monday the Trust's dashboard for the current RAG rated status of all Independent Sector care facilities. The Group will ask Trust representatives for the Care Facilities that are in an Amber or Red status to present their Improvement plan to the Group. Contracts and financial aspects will also be discussed as part of the overall governance review. The Group will then give guidance if the Improvement plan is not on track or escalate concerns to the relevant AD or Director as appropriate. This Group will feedback then to the Community Oversight Group.
Patient/Client Safety	1213	Medical Director	COVID-19 risk re assess & response to patient/client need & maintain quality & safety for patients/clients and staff	20	EXTREM	20	EXTREM	10	HIGH	● 8	No change	0	Actions overdue (All Risk & Control updates not received)	27/10/20 - 57 Covid related deaths (cumulatively); 90 Covid positive inpatients; 9 patients in ICU; 67 beds closed; 315 staff tested positive (cumulatively at 29/10/20); 114 RIDDOR reported re Covid to date; 1419 (11%) staff unavailable for work (includes community); positive in last 7 days NI=6753, Derry Strabane=930, Omagh Fermanagh= 260; 1 Early Alerts re Outbreak in ward 31 Alt. 15/10/20 - 36 Covid related deaths (cumulatively); 50 Covid positive inpatients; 5 patients in ICU; 40 beds closed; 187 staff tested positive (cumulatively); 92 RIDDOR reported re Covid to date; 1453 (13%) staff unavailable for work (now includes community); positive in last 7 days NI=6696, Derry Strabane=832, Omagh Fermanagh= 322; Included 3 Early Alerts re ADS Short Breaks service stood down & Gateway service risk due to staff outbreak, ward 31 closure Alt. Outbreak switchboard. Bank office have a covid outbreak also, wards aware to continue to send emails but try to limit the amount of telephone calls. Urgent Care Omagh staff shortages, currently providing rota.
Patient/Client Safety	1216	Acute Hospital Services	Risk of patient harm in Trust EDs due to capacity, staffing and patient flow issues	15	EXTREM	15	EXTREM	5	HIGH	● 8	No change	0	Actions listed with future due dates	Oct20 - Erection of a temporary extension to the front of ED approved at CMT on 13-10/20. Sept 2020 - In period 07/08/20 - 20/09/20 34 incidents reported re Capacity / Demand / Staffing in EDs with SWAH ED reporting 19 Red incidents and 12 Amber incidents and Altnagelvin ED reporting 2 Red and 1 Amber in period. Details attached to risk. Email from Sr in ED SWAH to Dr Brown and D Keenan outlining current Nursing risks in that depart (attached to risk on Datix). Also includes suggested solutions for consideration.

Compliance with Professional/Clinical/Non-Clinical Standards	1227	Director of Nursing, Primary Care & Older People's Services	Action Plan for implementation of new regulations on medical devices by May 2020 as per circular HSE16-19 not completed	15	HIGH	15	HIGH	9	MEDIUM	● 5	No change	0	Actions listed with future due dates	Oct20 - The scoping of the impact of the new medical device regulations has been completed with a number of clinical specialties. Obstetrics and Gynae and General Surgery are still to be completed. The emerging themes. The Trust does manufacture some medical devices - Dental Services and Radiotherapy Services. They are not implantable devices. Modifications to medical devices identified thus far are within the intended use of the medical device. The issues to be taken forward into the Trust Action Plan will include. Provision of Information to patients on the medical devices, invitro medical devices. Systems for recording medical devices used in the treatment of patients are largely paper based which makes interrogation and retrieval of data a challenge. The Encompass System may provide a solution but clarity has been requested from the Project Lead. The timeline for the implementation of the Encompass system is not imminent and thus the risk may remain until this benefit is realised.
Financial	1236	Director of Finance	Ability to achieve financial stability, due to both reductions in Income and increased expenditure.	16	HIGH	16	HIGH	8	HIGH	● 4	No change	2	Actions listed with future due dates	August 2020 - Added as a new Corporate Risk with merging of risks ID51 & ID924.