

CORPORATE RISK REGISTER & ASSURANCE FRAMEWORK

BRIEFING NOTE PREPARED FOR TRUST BOARD
5th January 2023

There are 20 risks on the Corporate Risk Register as approved at Trust Board on 3rd November 2022.

Summary

- Material Changes to the Risk Register – Risk ID3 Health & Safety. Proposal to revise risk to focus on Violence and Aggression
- Proposed New Risks – No new risks proposed.
- Summary report for actions – No outstanding issues

Summary report – for action

Risks not reviewed in last quarter

- All risks have been reviewed in the last quarter.

Action plans not up to date

- There are no risks with actions outstanding at the time of reporting.

Risk ID3 Health and Safety

Proposal to revise the risk to focus on Violence and Aggression

At Trust Board Workshop it was noted that the risk was too wide and no longer reflected the current position in terms of health and safety. It was also noted that the current grading required reassessment as it reflected the position at the start of the pandemic which has changed, particularly given the change in RIDDOR reporting and the review of incidents relevant to this risk. At Corporate Governance Sub-committee in September it was agreed that going forward, there would be a sharper focus on the mitigations and controls around the risks to staff through violence and aggression, as this is now a significant feature of incidents reported corporately.

Proposed Title - Health & Safety risk to staff as a result of Violence and Aggression

Risk Description - Increases in the number and complexity of patients being treated and awaiting treatment in all our settings; along with social; economic; and environmental factors; restrictive guidelines / practices resulting from Covid etc; increased social media challenges; and the absence of a Corporate legal remedy; have all contributed to an already high level of abuse, violence and aggression against Trust staff.

The result is that staff are increasingly subjected to both sporadic and longer consistent patterns of patients/client/visitors displaying abusive, challenging, aggressive and violent behaviours in our facilities, communities and home environments leading to significant risk of emotional and physical harm.

Current Risk Grading – Outcome Major (4) x Likelihood Possible (3) = **12 HIGH**

Target Risk Grading (appetite) – Outcome Moderate (3) x Likelihood Unlikely (2) = **6 Medium**

Update on outstanding actions from Trust Board

Please see attached list of outstanding actions as agreed following Trust Board workshop. These actions are being progressed through the normal CMT-Trust Board approval process and an update on progress is being tabled each month.

Risk ID	Lead Director	Risk Title	Workshop Action	Progress	Update
3	Medical Director	Health and Safety Risk - Resulting in Injury	This risk will be revised to focus on more specific issues regarding work related stress and violence and aggression. Currently the risk is too broad including work acquired infection – Higher tolerance – to be reviewed at Trust Board in 1 year.		05.12.22 – Reworked risk approved at Medical Directorate SMT on 30 th November.
1213	Medical Director	COVID-19 risk re assess & response to patient/client need & maintain quality & safety for patients/clients and staff	Risk to be reviewed/reworked in conjunction with Risk ID 1316 service rebuild.		02/12/2022 New rebuild risk drafted for approval at PSI SMT on 20 December 2022. Once approved this will then go to CMT and Trust Board for approval and inclusion on the Corporate Risk Register.
1216	Director of Acute Hospital Services	Risk of patient harm in Trust EDs due to capacity, staffing and patient flow issues	This risk is to be reviewed and redefined to reflect the wider issue of patient flow in both the acute and community settings.		08.12.22 – A meeting is being arranged to finalise draft risk.

Risk ID	Lead Director	Risk Title	Workshop Action	Progress	Update
1316	Service Re-build post Covid surge	Service Re-build post Covid surge	Risk to be reworked in conjunction with Risk ID1213 to reflect new landscape. Risk to be brought back to Trust Board review once this exercise is complete.		02/12/2022 New rebuild risk drafted for approval at PSI SMT on 20 December 2022. Once approved this will then go to CMT and Trust Board for approval and inclusion on the Corporate Risk Register.

New Risk Form

Please complete this form if you have identified a risk which needs to be considered for inclusion on the Trust's Risk Register database (Datix). Appendix 3 of the Trust's Risk Management Policy sets out the process that must be followed. The Policy is available on the intranet, web-link:

<http://staffwest.westhealth.ni.nhs.uk/directorates/medical/trustdocs/Risk%20Management%20Policy%20July%202019.pdf#search=Risk%20Management%20Policy>

The information requested below is required for completion of fields within Datix. Sections marked with an asterisk (*) are mandatory and must be completed. The completed form should then be considered at the appropriate Sub-Directorate/Divisional/Department Governance meeting.

No	Datix Field Name	Data to be included in this Field	
1.	Title of Risk * (please keep this brief e.g. "Risk of Fire in Trust Premises" –)	Health & Safety risk to staff as a result of Violence and Aggression	
2.	Facility (only necessary if risk relates to one specific facility)		
3.	Directorate * If risk affects 2 or more Directorates, please list relevant Directorates.	Medical	
4.	Sub-Directorate * If risk affects two or more Sub-Directorates, please list.	Trust Wide Risk	
5.	Specialty Please list most relevant Specialty this risk relates to.		
6.	Ward/Department (necessary only if risk relates to one specific Ward/Dept)		
7.	Risk Type* Please indicate which organisational level you are of the opinion this risk should be escalated to (please tick) NB: This is subject to approval by relevant Senior Manager/Director/CMT – refer to Appendix 3 of Risk Management Strategy (see web-link above) :-	Corporate	X
		Directorate	
		Sub- Directorate/Divisional	
		Ward Level	
8.	Risk Category* Please tick most appropriate category:	<ul style="list-style-type: none"> • Finance and Efficiency • Health and Safety X • Quality of Care • ICT and Physical Infrastructure • People and Resource • Public Confidence • Regulation & Compliance (Statutory, Professional, Quality Legislation) 	
9.	Corporate Objective(s) affected by this risk* (Please tick appropriate box(es) below)		
	C01	Improving the Health of our People	
	C02	Supporting and Empowering Staff	X
	C03	Ensuring the Stability of our Services	
	C04	Improving the Quality and Experience of Care	

10.	Key Performance Indicators to show how the risk is being managed (Please list 3-4) * (e.g. number of incidents, compliance with H&S – number of Risk assessments returned etc)	Controls Assurance KPIs – Security Management Incidents – monitored locally and regionally Risk Assessment Compliance RIDDOR Reporting
11.	Lead Officer* with responsibility for managing this risk (Name, Job Title, and Contact Details. <i>(i.e. manager with operational responsibility)</i>	
12.	Name of Responsible Director* <i>(NB: Where a risk is Cross-Directorate, the most appropriate Director to manage this risk should be listed. It will be their responsibility to liaise with other Directors re management of this risk).</i>	
13.	Description of Risk* Please provide a full description of the nature of the risk. Please limit this to 255 characters and structure to include cause, event and effect	Increases in the number and complexity of patients being treated and awaiting treatment in all our settings; along with social; economic; and environmental factors; restrictive guidelines / practices resulting from Covid etc; increased social media challenges; and the absence of a Corporate legal remedy; have all contributed to an already high level of abuse, violence and aggression against Trust staff. The result is that staff are increasingly subjected to both sporadic and longer consistent patterns of patients/client/visitors displaying abusive, challenging, aggressive and violent behaviours in our facilities, communities and home environments leading to significant risk of emotional and physical harm.

14.	<p>Please list all current control measures in place to manage this risk* (e.g. policies, procedures, training)</p>	<p><u>Violence and Aggression</u></p> <ul style="list-style-type: none"> • Management of Violence and Aggression (MOVA) group in place. • Zero Tolerance & Security policy • Trust adherence to The Management of Health and Safety at Work Regulations NI (2000). Health and Safety at Work NI Order 1978. • Lone Working Guidance • Staff support through Occupational Health. • Safety Intervention training - available to relevant staff. • V&A risk assessment. Usage of Trust General Risk Assessment form for document of specific risks. • Incident reporting on DATIX – identification of trends. • Risk Register process in place • RIDDOR reporting of staff absence and further scrutiny. • Policy for the Use of Restrictive Interventions with Adult Service Users – May 2017 • Trust Security Working Group • Ad hoc Risk Strategy Meetings • Trust Health and Safety Policy •
15.	<p>Please list all identified gaps in Controls.*</p>	<ul style="list-style-type: none"> • MOVA Policy - Await implementation of regional guidance • Limited Legal support available for staff from the Trust when seeking prosecutions/non-molestation orders against violent individuals. • No Acute Liaison Psychiatry service in ED. • No programme of regular education regarding mental health presentations in ED and other acute settings of risk. • CAMHS referral pathways not clarified for patients aged 0-18. CAMHS not co-located in hospital. • No dedicated area for intoxicated or consistently violent patients to be treated in ED. • Lack of resource to provide safety intervention training following CEC cessation of training provision. • Paris alert system not utilised in all areas to warn staff regarding patients with a history of violence. • Non-completion of Annual H&S risk assessment/associated risk assessments Incorrect completion or lack of understanding of what is necessary to assess and how assessment should be completed.
16.	<p>Please list all Assurances currently in place to test adequacy of Controls. (i.e. Audit (Internal/External), inspections by independent organisations, e.g. RQIA, HSENI).</p>	<ul style="list-style-type: none"> • Audit (Internal/External) • RIDDOR Reporting • Trust Controls Assurance standards reporting • Health and Safety Inspections • Risk assessment compliance reporting on corporate risk register, directorate governance. • Regional Benchmarking and DoH return on violence to staff.
17.	<p>Please list all identified gaps in Assurances.</p>	

18.	Current level of Risk* (Please tick appropriate box for Impact/Consequence/Severity and Likelihood – refer to Risk Rating Matrix & Impact Assessment Table (Appendix 3 of Risk Management Strategy - see web-link above).		
	Impact/Consequence /Severity	Likelihood	
	Insignificant/none		Rare
	Minor		Unlikely
	Moderate		Possible
	Major	x	Likely
	Catastrophic		Very Likely/ Almost Certain
19.	Target/Acceptable level of Risk* (Please tick appropriate box for Impact/Consequence/Severity and Likelihood – refer to Risk Rating Matrix and Impact Assessment Table (Appendix 2 of Risk Management Strategy - see web-link above).		
	Impact/Consequence /Severity	Likelihood	
	Insignificant/none		Rare
	Minor		Unlikely
	Moderate	x	Possible
	Major		Likely
	Catastrophic		Very Likely/ Almost Certain

NB: Datix will automatically calculate the level of risk (i.e. Red/Extreme, Amber/High, Yellow/Medium, Low/Green).

20. Action Plan to reduce Level of Risk

When developing an action plan to reduce the level of risk to the target level, Managers should take the Trust's Risk Appetite Statement into consideration, as set out in the Risk Management Policy, as follows:-

“The Trust’s appetite for risk is to minimise risk to patient/client/staff safety and the resources of the Trust, whilst acknowledging that it also has to balance this with the need to invest, develop and innovate in order to achieve the best outcomes and value for money for the population that it serves. In this respect, risk controls should not be so rigid that they stifle innovation and imaginative use of limited resources in order to achieve health and social care benefits.”

Managers must consider the following questions when developing an action plan to manage the identified risk:-

Question	Response
1. Does the proposed action plan actively manage this risk to ensure that the level of risk can be reduced to the target level?	
2. Does the proposed action plan take account of any opportunities that could be exploited whilst managing this risk?	
3. Has the target level of risk, and how this will be achieved, been communicated to those staff responsible for the operational management of this risk?	
4. How will the proposed actions be monitored to ensure they are completed within identified timescales?	

5. At what point should the decision regarding the management of this risk be escalated to a higher level?	

Please set out below the key actions that will be taken to reduce the level of risk (e.g. develop business case, service redesign, develop policy/procedures, provide training, recruitment of staff, etc):-

Action Required	Start Date	Due Date	Lead Officer
<ul style="list-style-type: none"> Adopt and imbed regional MOVA policy in Trust Policy and Procedures 			
<ul style="list-style-type: none"> Scope the use of Paris alerts regarding violent patients in ED and on wards 			
<ul style="list-style-type: none"> Draft business case to expand resources for Safety Intervention Training 			

Once the new risk has been approved, these key actions should be recorded within the "Actions" section of Datix.

Once each action has been completed, the date of completion should be recorded. Each completed action should then be listed within the "Controls" section of Datix.

If you require advice with regard to completion of this form, or on the use of Datix Risk Register module, please contact the Corporate Risk Manager on extension 214129.

Meeting where risk was approved:	For use by BSO/BSM only	Risk ID No:
Date of Meeting:		(automatically generated by Datix)

Risk Sub-Category	Risk ID	Lead Director	Risk Title	Initial		Current		Risk Appetite			Current Risk Status		Mths since last updated	Action Plan Status	Latest Update
				Score	Grade	Score	Grade	Score	Level of Tolerance	Action on appetite	Mths since score changed	Change in score since last review			
Health & Safety	3	Medical Director	Health and Safety risk - resulting in injury	16	HIGH	20	EXTREM	4	HIGH	Risk to be reworked to reflect current pressures. Risk will be reviewed in April 2023.	● 31	No change	0	Actions listed with future due dates	05/12/2022 – Reworked risk approved at Medical Directorate SMT. Risk will be submitted for approval at CMT and Trust Board.
Quality of Care	6	Director of Women & Children's Services	Children awaiting allocation of Social Worker may experience harm or abuse	25	EXTREM	12	HIGH	8	HIGH	Review risk in terms of demand capacity. Tolerance will be Reviewed at Trust Board workshop in April 2023	● 61	No change	0	Actions listed with future due dates	December 2022 - Looked After Children services continue to report zero unallocated this month. FIS unallocated has increased which is directly linked to staffing levels. High levels of staff vacancies persist in all frontline teams which directly impacts on unallocated case figures. Workforce review is ongoing to address recruitment and retention as apart of Ray Jones review and workstreams. W&C Senior Management Team continue to closely monitor unallocated case numbers. Monthly returns submitted to SPPG.
ICT & Physical Infrastructure	49	Director of Finance	The potential impact of a Cyber Security incident on the Western Trust	16	HIGH	16	HIGH	6	HIGH	Tolerance will be reviewed at Trust Board Workshop in April 2023	● 65	No change	1	Actions listed with future due dates	07/11/2022 - The review of risk 49 has been approved at Finance SMT and also has been noted by PSI SMT in September 2022. The review was subsequently presented to the Cyber Oversight Group (COG) on 13th October 2022 and noted. Briefing note to be updated for CMT. "One Advanced" who are the provider of the FPL suite of applications, which includes E-Proc and E-Financials that is used for ordering and payment of stock across the Trust, experienced a Cyber-attack on 8th August 2022. This event was deemed a level 2 incident and the Trust established a Silver Command Co-ordination Group. Affected services activated their Business Continuity procedures. This was not a direct attack on HSC and no patient data was impacted. This is the first corporate system incident whereupon a third party provider has been targeted, which has had a direct impact on services across the Trust. Reconnection was re-established to the system on 16th August 2022.
Regulation & Compliance	284	Director of Performance & Service Improvement	Risk of breach of General Data Protection Regulation (GDPR) and Data Protection legislation through loss of personal or sensitiv	16	HIGH	16	HIGH	6	HIGH	Tolerance will be reviewed at Trust Board Workshop in April 2023	● 72	No change	0	Actions listed with future due dates	05/12/2022 - In response to a recent IG-related SAI, bespoke IG Awareness training was delivered via Zoom to 90 AMHLD staff, in Nov. Risk description is currently being reviewed.
Regulation & Compliance	955	Director of Finance	Failure to comply with procurement legislation re social care procurement	12	MEDIUM	12	MEDIUM	9	HIGH	Tolerance will be reviewed at Trust Board Workshop in April 2023.	● 76	No change	1	Actions listed with future due dates	Reviewed 17/11/22 - No further update 20/07/2022 - DoH have now written to Chief Executives requesting nominations to form the new Social Care Procurement Board, to attend a workshop and complete the review and approval of the Terms of Reference
Quality of Care	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	LOW	All actions to be completed within 12 months with a view to reducing the risk to appetite level within 12 months and de-escalating risk	● 31	No change	1	Actions listed with future due dates	07/11/2022 - Training on using nebulisers machines was conducted on the Altnagelvin site on 6th of October. Staff who attended the training will train the remaining ward / department staff until at least 75% of all staff trained. When this figure has been reached, staff will liaise with Noella Madden who will arrange a date and time to attend the ward and remove the medical air flow meters and replace with nebuliser machines. The medical air wall port will be capped off. This will be the same process for SWAH & Omagh. Training was delivered in SWAH on 4th November Training will be delivered in Omagh on 11th November.

Risk Sub-Category	Risk ID	Lead Director	Risk Title	Initial		Current		Risk Appetite			Current Risk Status		Mths since last updated	Action Plan Status	Latest Update
				Score	Grade	Score	Grade	Score	Level of Tolerance	Action on appetite	Mths since score changed	Change in score since last review			
Regulation & Compliance	1183	Director of Adult Mental Health & Learning Disability	Where MCA processes are not being followed, patients may be deprived of their liberty, without having safeguards in place	25	EXTREM	15	HIGH	6	LOW	Actions should be completed within 12 months with a view to de-escalation for management at directorate level.	5	No change	0	Actions listed with future due dates	07/12/2022. Outstanding actions reviewed and updated. 2 additional actions added.
Quality of Care	1213	Trust-wide (Risk Register Use Only)	COVID-19 risk re assess & response to patient/client need & maintain quality & safety for patients/clients and staff	20	EXTREM	20	EXTREM	6	LOW	Risk to be transferred within a service rebuild risk	32	No change	0	Actions listed with future due dates	2/12/2022 New rebuild risk drafted for approval at PSI SMT on 20 December 2022. Once approved this will then go to CMT and Trust Board for approval and inclusion on the Corporate Risk Register.
Quality of Care	1216	Acute Hospital Services	Risk of patient harm in Trust EDs due to capacity, staffing and patient flow issues	15	EXTREM	15	EXTREM	6	HIGH	This risk is to be reviewed and redefined to reflect the wider issue of patient flow in both the acute and community settings.	33	No change	0	Actions listed with future due dates	06/12/2022 ED ALT – Work continues onsite regarding the use of escalated beds and the formalising of non designated beds . Despite recruitment of 10 new staff via regional recruitment – vacancies persist in the department perpetuating the use of high cost bank and agency workers.
Regulation & Compliance	1219	Acute Hospital Services	Lack of endoscopy capacity for endoscopy to meet the demand which impacts on Patient outcomes	20	EXTREM	20	EXTREM	6	LOW	This risk should be reduced to the appetite level set by April 2023.	23	No change	0	Actions listed with future due dates	6.12.2022. The service has ongoing contracts for insourcing and outsourcing by independent providers. IPT allocation letter for Nurse endoscopist and associated infrastructure has been received in November, recruitment to commence. Two GI consultant posts are going to be advertised before end of the year, 2023.
Financial	1236	Director of Finance	Ability to achieve financial stability, due to both reductions in Income and increased expenditure.	16	HIGH	16	HIGH	6	HIGH	Risk tolerance will be reviewed at Trust Board Workshop in April 2023	28	No change	0	Actions listed with future due dates	07/12/2022 - No further update
Quality of Care	1254	Director of Human Resources	Inability to deliver safe, high quality and sustainable services due to workforce supply and disruptions	16	HIGH	16	HIGH	8	HIGH	Risk tolerance will be reviewed at Trust Board Workshop in April 2023	24	No change	0	Actions listed with future due dates	06/12/2022 The Trust has been notified of industrial action by a number of Trades Unions, some of which commenced action short of strike on 5th December 2022 and strike action planned for 12th, 15th and 20th December 2022. The impact of this industrial action is likely to be significant. The Trust's Corporate Management Team and senior staff in all Directorates have been working to put mechanisms in place to manage risks and ensure patient safety throughout this period of industrial action. We will work with our staff and Trade Union representatives to navigate this difficult time with respect and to ensure that the harmonious industrial relations that exist in the Trust continue once the period of industrial action has ended.
Regulation & Compliance	1288	Director of Performance & Service Improvement	Risk of failure to meet regulatory standards and compliance associated with Trust infrastructure and estate.	12	HIGH	12	HIGH	6	HIGH	Tolerance will be reviewed at Trust Board Workshop in April 2023	22	No change	0	Actions listed with future due dates	06/12/2022 Property Asset Management Plan prepared and to be submitted to Trust Board December meeting for approval. PAM plan indicates increase of BLM costs from £267million to £288million. BLM schemes continue to be delivered and progress monitored.

Risk Sub- Category	Risk ID	Lead Director	Risk Title	Initial		Current		Risk Appetite			Current Risk Status		Mths since last updated	Action Plan Status	Latest Update
				Score	Grade	Score	Grade	Score	Level of Tolerance	Action on appetite	Mths since score changed	Change in score since last review			
Quality of Care	1306	Acute Hospital Services	Vacant Paediatric Ophthalmology consultant post resulting in no Paediatric Ophthalmology clinics	16	HIGH	16	HIGH	8	LOW	This risk tolerance will be reviewed in 6 – 12 months with the expectation that the level of risk is reduced and de-escalated for management at directorate level.	18	No change	1	Actions listed with future due dates	11/11/2022 - We continue to have regular meetings with the Belfast Trust and there is a meeting today. New paediatric ophthalmology patients continue to be sent to the Belfast Trust to be triaged and are seen in the Ballymena Eye Clinic supported by WHSCT optometry and orthoptics staff. We have also commenced an imaging clinic in the WHSCT for paediatric patients, so they do not have to travel to Belfast Trust to have their diagnostic tests and these are reviewed at a virtual clinic by one of the BHSCT paediatric ophthalmologists. Review paediatric patients still remains a risk as Belfast Trust do not have capacity to see them at present. Mrs Brennan, Paediatric ophthalmologist along with the support of the ophthalmology team did 4 outpatient clinics in Altnagelvin on the 19th and 22nd October for 70 review patients and also validation of the review waiting list. We are still waiting for the Ophthalmology Consultant job to be advertised but we are hoping that this will happen in the next few weeks.
Quality of Care	1307	Director of Women & Children's Services	Clinical Risk regarding Delayed Transfer of Babies, Children and Adults to Other Hospitals	25	EXTREM	25	EXTREM	6	HIGH	Risk to be kept under review and re-examined within 3 months with deep dive.	15	No change	0	Actions listed with future due dates	30/11/2022 A deep dive exercise has been completed. Actions regarding time critical transfers are being taken forwards.
Quality of Care	1316	Director of Performance & Service Improvement	Service Re-build post Covid surge	12	HIGH	12	HIGH	8	HIGH	Risk to be reworked in conjunction with Risk ID1213 to reflect new landscape. Risk to be brought back to Trust Board review once this exercise is complete.	18	No change	0	Actions listed with future due dates	2/12/2022 New rebuild risk drafted for approval at PSI SMT on 20 December 2022. Once approved this will then go to CMT and Trust Board for approval and inclusion on the Corporate Risk Register.
Quality of Care	1320	Director of Women & Children's Services	Delayed/inappropriate placement of children assessed as requiring inpatient mental health care.	12	HIGH	20	EXTREM	8	HIGH	It was agreed that this risk should remain on the corporate risk register to provide corporate oversight. The tolerance will be reviewed at Trust Board Workshop in April 2023	6	No change	3	Actions listed with future due dates	12/09/2022 - Significant challenges remain relating to demand and capacity issues with respect to the regional adolescent inpatient mental health unit (Beechcroft). Patient acuity and work for pressures continue to be cited as mitigating factors. The inability to secure timely inpatient mental health admission places significant secondary pressures on Community CAMHS. A marginal fall in the need for emergency mental health crisis assessment through July and August 2022 in conjunction with greater bed availability has led to a subsequent fall in the need to secure alternative/inappropriate placements in AMHS wards and paediatric admissions during this timeframe. Monthly interface continue with Community CAMHS/Tier 5 Regional Inpatient Unit. Currently 6 WHSCT young people within the Unit, 2 of which are detained under MHO.
Ensuring Stability of Our Services	1334	Acute Hospital Services	Sustainability of surgical services in Southern Sector of Trust due to recruitment & retention difficulties at Consultant and Mi	20	EXTREM	20	EXTREM	8	LOW	Low tolerance for risk remaining at this level and aim to be deescalated by April 2023.	15	No change	0	Actions listed with future due dates	06/12/2022 The temporary cessation of Emergency Surgical services commenced 5/12/22 and pathways have been developed for direct referral to ACU / direct admission to the Alt site to bypass ED for southern sector referrals. Work also ongoing in partnership with NIAS and neighbouring trusts.
Ensuring Stability of Our Services	1338	Director of Women & Children's Services	Risk to Provision of Neonatal Care in SWAH due to staffing shortages particularly staff qualified in specialty.	20	EXTREM	20	EXTREM	6	HIGH	Tolerance will be reviewed quarterly at Trust Board	12	No change	3	Actions listed with future due dates	08/09/2022 - A band 7 has been offered a post and will take up post in November 22. 3 band 5 staff have been recruited. One will undertake the QIS course this year. Media adverts are organised for further band 5 and band 6 posts. Additional bank staff have been recruited - retired neonatal nurses.
Ensuring Stability of Our Services	1375	Acute Hospital Services	Consultants Cover in Cardiology	16	HIGH	16	HIGH	6	LOW	This risk will be reviewed within 6 months with view to de-escalating in 12 months.	10	No change	0	Actions listed with future due dates	06/12/2022 -Update as at December 2022 - Recruitment exercise completed with 2 applicants and 4 posts to fill. Currently service has 5 locums Cardiology consultants reducing to 4 by 12th December 2022. Recruitment commencing to attract staff grade to be in post for 2023. The situation remains fragile and risk remains.

ID	Opened date	Initial Risk		Current Risk		Target Risk		Responsible Director	Directorate	Corporate Objectives	Title	Description	Controls Assurance	Gaps in controls Assurance	Assurance	Gaps in assurance	Action Plan	Due date for Action Plan	Done date for Action Plan
		Rating (Initial)	Risk level (Initial)	Rating (Current) (Consq x Likli)	Risk level (Current)	Rating (Target)	Risk level (Target)												
3	19/11/2008	16	HIGH	20	EXTREM	4	HIGH	Medical Director	Trust-wide (Risk Register Use Only)	Governance Safe & Effective Services. Workforce.	Health and Safety risk - resulting in injury	Risk of injury to patients/clients/staff and visitors arising from failure to fully comply with Health & Safety legislation.	Incident reporting and investigation. Criteria based Health & Safety Inspection plan and action plans. Induction and Mandatory Training for Staff. Occupational Health Self and Management Referrals. Use of aids e.g. hi-low beds, hoists. Patient/client risk assessment. Leadership Walkrounds. KPI for health & safety, e.g. falls. Falls Risk Assessment. Falls Prevention Policy. Ligature risk assessment tool adopted MAPA training team in place Falls - Regional Post falls review, Falls Co-ordinator in post 2018; Falls Learning Group; CEC Falls Prevention course 2018 WHSCT Occupiers rules & regulations Aug 2017 Combination training (includes Risk assessment and COSHH risk assessment) Nurse managers trained in Ligature assessment July 2019 Labs representative on Health & Safety Working Group Four officers in Risk Management are NEBOSH qualified including H&S officer COSHH added as standing item to Health & Safety Working Group agenda. Annual review of completed H&S Risk Assessments Directorate Gov Reports with H&S RA info Revised Covid PPE arrangements including RIDDOR reporting (See Covid Risk) Sit rep reporting on Staff covid issues including positives Office Environment Risk Assessment tool - Covid Rebuilding Services Risk Assurance Decision Tool	Limitation / constraint on funding to purchase all H&S equipment but the Trust risk assesses each procurement request of H&S equipment funding is allocated accordingly. Similarly a risk based approach is applied to the maintenance of all Trust equipment and facilities in order to mitigate the risk to an appropriate level. Comparatively limited staff resources dedicated to H&S. No overall database of trained nominated H&S officers by facility Limited availability of risk register to managers to allow direct management of risks Limited availability for managers to update risks on Datix. Datixweb module required to allow linking with incidents	RQIA inspections. Internal Audit of H&S Controls Assurance Standard (2017/18). Benchmarking by Regional H&S Practitioners Group. Inspections by HSENI. Inspections by H&S Officer and H&S Working Group members. Review of Incident data by H&S Working Group (inc. Union reps). Inspections by Regional Medical Physics Services Advisers. Sharpoint site for H&S Risk Assessments. Monitoring of implementation of recommendations following inspections/Leadership walkrounds. BSO Internal Audit of H&S (June 2017). Manual Handling Audit at Altnagavlin Hospital (July 2013 and re-audit September 2014) Priority mechanism for Inspections MOVA Group	Learning themes across Incidents and Claims	Include compliance scores on H&S Risk Assessments reports. Develop and roll out virtual training Agree process for reporting Covid RIDDOR incidents Review monthly Ongoing Advice & Guidance re Covid in Trust documents & comms. Complete Inspection plan for 2021 H&S Policy revised COSHH policy revised Train managers on Ligature risk assessment tool Source funding for approved Business case for purchase of Risk Registers on Datixweb Database of nominated H&S officers trained to be developed Review of Fit Testing policy / protocol	30/06/2019 31/12/2020 15/05/2020 31/01/2023 31/03/2022 31/03/2020 31/03/2020 31/07/2019 31/03/2020 30/01/2023 31/05/2021	31/03/2019 31/12/2020 15/05/2020 18/03/2022 09/03/2020 09/03/2020 31/07/2019 29/02/2020 31/05/2021
6	21/09/2009	25	EXTREM	12	HIGH	8	HIGH	Director of Women & Children's Services	Women & Children's Services	Safe & Effective Services.	Children awaiting allocation of Social Worker may experience harm or abuse	Due to capacity and demand issues within Family & Childcare, children may not be allocated a Social Worker in a timely manner to provide appropriate support. Children may experience harm as a result and the Trust may not meet its associated professional and organisational requirements.	Ongoing action to secure recurring funding. Update meetings between F&CC ADs and Director. Performance Management Review is being undertaken by HSCB with all 5 Trusts focusing on Unallocated cases and timescales Service Managers and Social Work Managers monitor and review unallocated cases on a weekly basis. Principal Social Work redeployed will monitor Action Plan and progress to stabilise team Early Help staff returned to their substantive posts within gateway to increase the ability to allocate Service and SW Managers constantly prioritise workloads.	Inability to get sick leave covered inability to recruit and retain social workers Principal Social Workers review unallocated cases regularly HSCB have drafted a regional paper to secure additional funding for Unallocated Cases. Delays in recruitment	Quarterly governance reports to Governance Committee. Feedback given to Performance & Service Improvement for accountability meetings with HSCB. Up-dates by Director to CMT and Trust. Delegated Statutory Functions Action Plan to review and Address Risks within FIS Enniskillen	Piloting a generic model of practice FIS Early Help Team established to help address unallocated cases. Principal SW temporarily redeployed to review all unallocated cases in FIS and then SW caseleads in FIS Action Plan Developed to address and Monitor Risks in FIS Enniskillen	29/09/2023 30/09/2020 01/11/2018	31/12/2019 30/09/2020 06/03/2019	
49	06/10/2009	16	HIGH	16	HIGH	6	MEDIUM	Director of Finance	Trust-wide (Risk Register Use Only)	Safe & Effective Services.	The potential impact of a Cyber Security incident on the Western Trust	Information security across the HSC is of critical importance to the delivery of care, protection of information assets and many related business processes. Without effective security and controls; compromises can arise from technology and people which can lead to breaches of Data Protection Act and Network and Information Systems (NIS) regulations. □ Compromises can arise from: □ • NON Managed Trust ICT Equipment (e.g. Radiology modalities, cameras, door access, medical devices etc) in areas such as Radiology, Labs, PFI, HSDU, Estates, GP's etc are operating un-supported operating systems, e.g. Windows XP, and/or do not have the most up to date software updates (patching) which can lead to Ransomware attacks, introduction of malware or hacking incidents. □ • Lack of Cyber Security awareness or training among Trust staff □ □ The outcomes of a compromise, due to a cyber attack/equipment or network failure/damage/ theft or erroneous mistake(s), could result in: □ • unparallelled HSC-Wide disruption of services due to lack of/unavailability of systems that facilitate HSC services (e.g. appointments, admissions to hospital, ED attendances) or data contained within. This may result in the need to cancel appointments and treatments, or divert emergency/essential clinical or other services. □ • significant business disruption which could also lead to increased waiting lists, delayed urgent clinical interventions, suboptimal clinical outcomes and potentially bring	Data & System backups 3rd Secure Remote Access Server / Client patching HSC security software (threat detection, antivirus, email and webfiltering) HSC security hardware (eg firewalls) 3rd Party Contracts / Data access agreements Contract of employment HR Disciplinary Policy Mandatory training policies Induction policy Regional and local Incident Management & reporting policies & procedures Corporate Risk Management framework, Processes & monitoring Emergency planning & Service business continuity plans Disaster recovery plan User account management processes Change control processes Data protection Act Regional & Local ICT info security policies Band 7 & band 6 recruited to support Cyber security Trust and Regional Cyber Project Boards ICT Security Assessment Questionnaire	Insufficient User Awareness of impact of personal behaviours in relation to cyber threat Full extent of gaps are not understood at this point - Gap analysis regionally and locally required by HSC to capture a considered extent of vulnerabilities Insufficient corporate recognition and ownership of cyber security threat as a service delivery risk Current inability to obtain 100% coverage on patch updates due to a combination of user behaviours and service needs	Internal audit / IT Dept self-assessment against 10 Steps towards NCSC Technical risks assessments and penetration tests HSC SRO Forum for shared learning and collaborative action planning and delivery ICT Security Review meetings regularly reviews and assesses service submitted ICT Security Questionnaire	There is a resource issue regarding Cyber Staff in the Trust. The Business Case that was approved should address this pressure however experience from other Government Organisations would suggest that it is difficult to attract and retain specialist skills in this area. Unable to have consistent patching of critical/core services due to service disruption. Limited testing of Data and Systems restores.	Implementation of cyber security work plan which has been agreed with the Region. Recruitment of Band 7 Cyber Security Manager. Recruitment of Band 6 to support implementation of Cyber Security Action Plan. Full implementation for Metacompliance across the Trust with regular course updates being issued thereafter. Introduce routine reporting to Trust Board (or other equivalents (local or regional)) on reported incidents/near miss, and other agreed indicators.	31/03/2023 31/03/2019 31/03/2019 31/03/2020 31/08/2018	28/02/2019 31/03/2019 31/08/2019 31/08/2018

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		Rating (Initial)	Risk level (Initial)	Rating (current (Consq x Likli))	Risk level (current)	Rating (Target)	Risk level (Target)												
284	13/12/2010	16	HIGH	16	HIGH	6	MEDIUM	Director of Performance & Service Improvement	Performance & Service Improvement	Governance.	Risk of breach of General Data Protection Regulation (GDPR) and Data Protection legislation through loss of personal or sensitive data.	As a result of gaps in staff awareness and training in data protection requirements and non-adherence to retention and disposal guidance, there is a risk that personal or sensitive data could be lost, inappropriately stored or accessed; records could be retained beyond their lifecycle and lead to a breach of confidentiality and the Data Protection Act, DoH Good Management Good Records Guidelines and result in potential enforcement action from the Information Commissioners' Office alongside damage to the Trust's reputation.	Subject Access and Data Access agreement procedures. Information Governance/Records Management induction/awareness training. ICT security policies. Raised staff awareness via Trust Communicators/Share to Learn. Regional code of practice. Information Governance Steering Group. Records held securely/restricted access. Fair processing leaflets/posters. Investigation of incidents. Data Guardians role. Regional DHSSPS Information Governance Advisory Group. Electronic transmission protocol. Investigation of incidents. 2 secondary storage facilities available across NS & SS Trust Protocol for Vacating & Decommissioning of HSC Facilities. Scoping exercise to identify volume and location of secondary close records completed in December 2010. band 3 post in place Review of regional IG training available on HSC Learning completed and updated to provide more robust training for staff. Data Protection & Confidentiality Policy. Information Governance SIRO and IAO Framework. Laptops encrypted & use of Trust-issued Safe Sticks.	Potential that information may be stored/transferred in breach of Trust policies. Limited uptake of Information Governance and Records Management training. No capacity within the team to take on provision of IG training	Reports to Risk Management Sub-Committee/Governance Committee BSO Audit of ICT and Information Management Standards. BSO Internal Audit of Information Governance. Revised composition and terms of reference of the Information Governance Steering Group as a result of the new SIRO/IAO framework.	Band 3 0.5 post increased to full time Recruitment of Band 4 Information Governance Development of information leaflet for Support Services Staff to increase awareness of information governance Review of regional e-learning IG training Establishment of Regional Records Man Group Development of IG action plan to be finalised through IGSG Recruitment of band 5 IG post to support DPA Development of IG information leaflet for support staff Review of Primary (acute) records storage in AAH Restructure of IAO process Review of Secondary storage in Maple Villa Production of Records Storage guidance for home working staff working from home New secondary storage facility in the southern sector Recruitment of IG Team leader post Introduction of Infreamation for IG requests	31/03/2019 31/03/2019 31/03/2019 31/12/2020 30/09/2020 30/09/2020 31/12/2020 30/09/2020 29/03/2024 31/01/2023 31/03/2023 31/12/2021 28/02/2023 01/06/2022 31/12/2022	31/03/2019 28/02/2019 01/03/2019 25/11/2020 30/09/2020 30/09/2020 31/12/2020 30/09/2020	
955	11/08/2016	12	MEDIUM	12	MEDIUM	9	MEDIUM	Director of Finance	Trust-wide (Risk Register Use Only)	Financial Management & Performance.Moderation.Public Confidence.	Failure to comply with procurement legislation re social care procurement	The risk that the Trust will breach UK procurement legislation rules in awarding contracts for the provision of social care services. The legislation outlines that a formal tender process must be followed when awarding contracts that are expected to be above a specified threshold. This is to be managed by BSO PaLS on behalf of all Trusts but the current proposed work programme means that Trusts will not be fully compliant with the legislation for a period of 5 years ending on 31 March 2022.	The issue has been discussed at the Trust's Procurement Board and Social Care Procurement Group. The Trust's Director of Finance & Contracting has highlighted this issue to the Regional Procurement Board.	The Trust does not have the resource or infrastructure required to manage this risk internally. DOH has determined that the issue should be managed regionally.		The 5 year implementation plan will continue to be monitored - via Regional Procurement Board, Trust Procurement Board and Social Care Procurement Group.	30/06/2023		
1133	23/05/2019	15	EXTREM	25	EXTREM	5	HIGH	Director of Primary Care & Older Peoples Services	Trust-wide (Risk Register Use Only)	Safe & Effective Services.	Risk to safe patient care relating to inappropriate use of medical air	Risk of patient receiving medical air in error when oxygen is required resulting in hypoxia.	Regional procurement process - will no longer be able to buy a medical air flowmeter without a flowguard In the Trust's clinical procedures for medical gases Included on the medical gas training for wards Medical air blanking caps have been circulated to wards to insert into outlets that wont be used Colour coding of medical air flowmeters and air outlet on most wards Flowmeters with air-guards attached on all wards now.	Lack of knowledge of colour coding and appreciation of risks with medical gases Potentially have old flowmeters that are not fully compliant with colour coding (not mandatory) Not all medical air flowmeters had airguards but they do now Incidents are continuing to happen during 2020, lack of confidence that the actions taken last year are being adhered to in all areas - further review of processes and controls undertaken 29 May 2020. Lack of knowledge of colour coding and appreciation of risks with medical gases	Walk around to be carried out in SWAH/OHPCC although they have new flowmeters with air-guards. Walk around on Altnagelvin site occurred in November 2018. To be repeated February 2019. To be picked up on annual medical gases walkaround. No external inspections Update 05 June 2020 - Lead nurses and service managers have been asked to provide assurances on the actions taken in response to the revised controls for each of their designated areas of responsibility. May 2020 update - regular Walk arounds to be undertaken on all hospital sites until assurance in place.	Lack of training on medical gases. This has increased now since included in Trust Combination training days.	SAI reviews progress actions to completion Review the mitigating actions and any gaps in controls Possible further learning from SAI investigation Continue to include in Trust combination training days (potential for this to become a mandatory area) Old flow-meters removed to ensure colour coding approach is used Air outlet blocking caps to be inserted to air outlets that are not needed Ensure full compliance with use of air guards on medical air flowmeters across all three sites	30/12/2022 31/12/2022 31/12/2019	31/12/2019 31/12/2019 31/12/2019 31/12/2019

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		Rating (Initial)	Risk level (Initial)	Rating (Current)	Risk level (Current)	Rating (Target)	Risk level (Target)												
1183	27/11/2019	25	EXTREM	15	HIGH	6	MEDIUM	Director of Adult Mental Health & Disability Services	Adult Mental Health & Disability Services	Governance Safe & Effective Services.	Where MCA processes are not being followed, patients may be deprived of their liberty, without having safeguards in place	Where MCA processes are not being followed, there is the risk that patients may be deprived of their liberty, without having the relevant safeguards in place, with the result that individual staff may be held criminally liable with appropriate sanctions, including financial penalties and imprisonment. <input type="checkbox"/> For patients that lack capacity and for whom safeguards are not in place, there is the risk that statutory services may not be delivered. Emergency provisions should be considered where deemed appropriate, to support continuing service delivery until the safeguards are approved. <input type="checkbox"/> The Department of Health, requires H&SC Trusts to proceed with a partial implementation of the Mental Capacity Act (N) 2016 (MCA) for providing a statutory framework for the Deprivation of Liberty from the 2nd December 2019 with full implementation by December 2020. <input type="checkbox"/> <input type="checkbox"/> By the 2nd December 2019, the Trust must have sufficient numbers of staff identified and trained & structures and administrative process put in place to ensure legal compliance in situations where the care of a patient requires a deprivation of liberty to take place. If these arrangements are not ready and working efficiently then there is a significant risk to the effective delivery of care including our ability to treat patients in the hospital using short-term detention orders and our ability to discharge patients from hospital where a Trust Panel decision is required.	Staff training is available online & classroom, provided by Trust Trainers. Progressing interactive online training via VC. Training videos developed MCA resources are available via MCA HUB on StaffWest DOLS office supports administration processes, including advice to support completion of forms Staff training is available via eLearning as well as from CEC. Training available online & classroom, provided by Trust Trainers. Progressing interactive online training via VC. Emergency provisions to be used, where deemed appropriate, to support continuing service delivery until the safeguards are approved. Director resource to support Directorate related MCA activity	Medic capacity to ensure timely completion of relevant forms and sit on Panels Queries from NIRT / requirement for submission of evidence to hearings is an additional task on top of current job plans. Role of Community Teams in making DOLS applications to be strengthened Role of Managers in quality Assuring DOLS applications to be strengthened Extended scope of Legacy to Day Care and Dom Care requires additional Resourcing Funding not adequate to deliver the projected activity. Funding not provided recurrently, compounding recruitment issues	RQIA monitoring role MCA Information T&F group (systems, processes & reporting) Trust is engaging with regional arrangements to share practice and develop solutions MCA Project Board held monthly. Training T&F group Mental Health Order MCA Project Team	Systems, Processes & Reporting to be strengthened & formalised. Regional Direction required but none identified	Engage with programme board and team Scope potential Mental Capacity/DOLS assessments A Programme Implementation Officer to continue engaging on leading implementation. Trust Lead Directors and Responsible leads in each Sub-Directorate to be identified Quantification of Costs and completion of the IPT bid to ensure fully funded MCA arrangements and minimise financial risk HR & remunerations for staff identified to undertake duties on panels Seek interest from relevant staff to sit on panels. Ensure sufficient staff attend training to allow them to undertake statutory functions commencing 2nd December 2019 Seek interest from Nurses at Band 7 and above to sit on panels. Rotas for panel activity and short-term authorisation to be developed. Ongoing communication with the Unions. Communication Plan to be developed - draft to be presented at Mar21 Project Board Resource appointed from within directorate to support identification, completion of forms and processing of all required Safeguards.nance. Currently engaged with Acute and W&C. Develop STDA escalation policy Completion of Legacy 2 work	31/12/2020 31/03/2020 31/03/2020 31/03/2020 31/03/2020 31/03/2020 31/03/2020 31/03/2020 31/03/2020 30/07/2021 31/03/2023 30/11/2022 30/11/2022 30/11/2022	31/08/2019 02/12/2019 31/08/2019 31/08/2019 01/11/2019 01/12/2019 25/10/2021 31/03/2020 31/03/2020 02/12/2019 31/01/2020 21/04/2021 21/07/2021
1213	04/04/2020	20	EXTREM	20	EXTREM	6	MEDIUM	Medical Director	Trust-wide (Risk Register Use Only)	Governance Safe & Effective Services.Workforce.	COVID-19 risk re assess & response to patient/client need & maintain quality & safety for patients/clients and staff	If current capacity limitations and activity levels across all Trust services remain or increase, the Trust may not be able to meet the increased demand placed on it during an outbreak of Coronavirus (Covid-19) or in the rebuild of services following/during surge, resulting in possible harm to patients and staff.	Residential Accommodation Surge Plan Additional screening POD in place for screening pathways Chief Executive video Fit testing / PPE Podcast and video training' face to face training, Posters Fit-testing use of private company to assist OH Intranet Covid19 site to ensure information shared across the Trust Sub groups Workforce planning - regional PPE Group; Regional Discussion Group Screening & assessment pathways and designated areas Health & Safety Policy Guidelines on Management of COVID-19 as PHE IPC policy Revised Governance arrangements - Corporate Safety team 3 Planning groups; Acute; Community & Support Services Business continuity activated with 3 Bronze Control rooms: - Altnagelvin Acute; SWAH Acute; Community Community planning group - follow up of clusters in Indep sector Paediatric Service - pathway review; Hospital Planning Group to review pathways Medical Advisory Group Ethics Committee Hospital Surge Plan PPE - Trust PPE Group, Risk assessed process for PPE from Non-approved sources; Donation process established; Trust PPE Checking group; Stock management / monitoring Testing arrangements - In-house process established for all staff and relatives, reported daily	A lack of additional resource to manage community screening and subsequent management. Environmental challenges in ED to facilitate appropriate isolation facilities Gaps in regional /national supply issues on commodities/medicine etc A lack of guidance on pathways for specialities (regional/national) Availability and quality challenges re PPE Awaiting additional equipment (regional) Single database for reporting monitoring on staff positive figures Suspended Regional HSC Silver Control Group	Corporate Safety Huddle / RRG reporting Sil-rep reports (Trust & Indep sector) Health checks Governance framework for Covid-19 management Covid-19 Risk Register Covid-19 Corporate Risk Datix incidents, complaints Daily briefings - Bronze and Silver control, planning groups Covid App Staffing indicators Covid pathways compliance - incidents Hand hygiene compliance audits Stats on 12 hour delays / overcrowding in ED Minutes / action notes of meetings and safety huddles Documentation of risk assessments Local PPE audits (on daily safety huddles for noting and actions) IPC audits and dashboards/reporting system for escalation Trust Silver monitoring of action log Covid indicators reported for risk to CMT and TB RIDDOR reporting Covid Governance audit	No Regional process/guidance for approving donated PPE Covid-19 Independent sector reporting	Update risk to second surge environment Develop Covid risk & control document Facilitate daily monitoring and reporting on Risks Monitor, manage and update Risk & Control document	31/10/2020 31/05/2020 31/05/2020 30/09/2022	20/11/2020 31/05/2020 31/05/2020 22/09/2022

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1216	15/04/2020	15	EXTREM	15	EXTREM	6	MEDIUM	Director of Acute Hospital Services	Acute Hospital Services	Public Confidence.Safe & Effective Services.	Risk of patient harm in Trust EDs due to capacity, staffing and patient flow issues	If Emergency Department (ED) Physical capacity and staffing levels are not sufficient to meet the demands of patient numbers and acuity, there will be increased likelihood of significant patient harm, risk to staff wellbeing and damage to Trust reputation as a direct result.	Ongoing Trust recruitment focus on Critical posts IE Medical and Nursing Use of Medical locums/ Bank and agency Nurses. Social Media Campaign Escalation protocol within full capacity protocol Nursing KPI and audit (ALAMAC) Ongoing in house Quality improvement work (Implementation of SAFER principles) Daily regional huddle meeting with escalation as required IT systems - Symphony Flow board On call managers/medics rota Ongoing MDT patient flow huddles in department/wards Medical team ED reviews Hub flow meetings with lead nurse attendance. Patient flow teams/night service manager Major incident policy Full capacity protocol Business case approved dedicated HALO (Hospital Ambulance Liaison Officer NIAS crews waiting to offload in our hospital early warning score	Implementation of SAFER principles challenged due to Medical Job plans and current Medical team models in operation ageing population living with challenging health needs Community infrastructure to meet needs of patients i.e. Gp appointments, social care packages Recruitment to perm medical posts Challenging across NI	Datix - Incident, Complaints, Litigation, Risk register Patient flow teams, Night service manager, SPOC, Hub Regional huddle Established patient pathways	PACE implementation to commence March 2020. Improvement QI work commencing with aim to address communication within department. Full capacity protocol	31/03/2022 31/01/2023 28/02/2022	06/05/2022 15/03/2022	
1219	30/04/2020	20	EXTREM	20	EXTREM	6	MEDIUM	Director of Acute Hospital Services	Acute Hospital Services	Safe & Effective Services.	Lack of endoscopy capacity for endoscopy to meet the demand which impacts on Patient outcomes	Lack of endoscopy capacity in the Trust has resulted in breaching of the 2 week red flag wait/9 week urgent and routine wait and surveillance targets for endoscopy. The lack of timeliness for endoscopy will lead to delayed diagnosis of cancer and poor outcome for these patients as evidenced in SAts.□ The service has been further impacted by Covid-19 where the service has been reduced to emergency and red flag endoscopy only and reduced turnaround times between patients due to IPC requirements.□	Telephone pre assessment of colonoscopy ongoing to improve list utilisation and reduce DNA rates Independent sector was utilised to deliver 250 surveillance colonoscopies from January to March 2020. Further use of Independent Sector to be explored post Covid-19 Surveillance waiting lists are being validated in line with new guidelines. Discussions have commenced with the commissioner to reconfirmity fund one of the posts in 2021 to address the demand/capacity gap. The second post will be funded from a current vacancy. Training of 2 nurse endoscopists under transformation commenced in September 2019 - trainees were to be signed off by the end of 2020 the delay was due to Covid-19. Short-term provision by SE Trust to provide WT in IS tender 200 patients identified and moved to the independent sector.	Band 4 team lead recruited to manage waiting lists and oversee the scheduling team and processes. Encourage consultants to triage referrals in line with NICAN suspect cancer guidelines (Oct 2019) and utilise the urgent and routine categories. Additional funding for a second pre assessment nurse has been discussed with the commissioner- await confirmation in 2021 allocation	Waiting lists discussed monthly at the Endoscopy Users Group Clinical audits are completed annually to benchmark the service against National Standards. Monthly monitoring of waiting lists is carried out to identify longest waits and prioritise for scheduling. The need to develop the service to include the inclusion of a hepatologist as part of the team in line with Royal College modernisation of gastroenterology training and service provision. The need to address the impact of a job plan which includes the medical on-call rota The need to urgently increase the consultant workforce and make the Trust an attractive opportunity for the next round of doctors in training due for recruitment April 2021	Explore the possibility of utilising the Independent Sector to address waiting lists. Need to review GI consultants job plan to reduce General Medicine commitment to increase availability for endoscopy lists. Secure funding for an additional pre assessment nurse to support list utilisation and reduce DNA rates. Secure additional recurrent funding to support 2nd post for trainee nurse endoscopist completing training. Recruitment of a further GI consultant to fill present vacancy and increase the medical team to 6 wte.	05/10/2021 30/10/2022 14/02/2023 14/02/2023 31/03/2023	05/10/2021 14/11/2022	
1236	21/08/2020	16	HIGH	16	HIGH	6	MEDIUM	Director of Finance	Finance and Contracting	Ensuring Stability of Our Services	Ability to achieve financial stability, due to both reductions in income and increased expenditure.	With continued reductions in income from savings requirements coupled with increased expenditure due to demand and risk, there will be a reduction in the Trust's ability to achieve financial stability in the current and future years, resulting in significant challenges in meeting the Trust strategic priorities	Chief Executive Assurance meetings to review performance Recovery Plan Oversight - Directorate, CMT, Trust Board (and Finance & Performance Committee) and DoH Annual Financial Plan to review risks to financial position and opportunities for savings Trust Board (and Finance & Performance Committee) and CMT oversight of the financial position monthly Monthly budget reports for all levels in the organisation, with follow-up variances Monthly Finance focus meetings between Finance and Directors / Senior Directorate Officers	Controls are in place. However, it is not always possible to have full financial controls without looking at quality & safety risks to patients/clients.	CMTFMG financial performance reports to Trust Board and CMT members. Internal Audit. Assurances from Director of Finance and ADF to CMT & Trust Board. Assurance obtained by the Chief Executive from chairing CMTFMG Self-assessment and audit of Financial Management Controls Assurance Standard. External Audit (NIAO) . DHSSPS/HSCB monthly financial monitoring.	No gaps identified. Ongoing financial management and monitoring Operation of DVMB (Delivering Value Management Board) to ensure delivery of the 3 year financial recovery process	31/10/2022 31/10/2022		

ID	Opened date	Initial Risk		Current Risk		Target Risk		Responsible Director	Directorate	Corporate Objectives	Title	Description	Controls Assurance	Gaps in controls Assurance	Assurance	Gaps in assurance	Action Plan	Due date for Action Plan	Done date for Action Plan
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1254	18/01/2021	16	HIGH	16	HIGH	8	HIGH	Director of Human Resources	Trust-wide (Risk Register Use Only)	Ensuring Stability of Our Services/Improving the Quality and Experience of Care/Supporting and Empowering Staff	Inability to deliver safe, high quality and sustainable services due to workforce supply and disruptions	Due to an inability to attract, recruit and retain staff throughout the Trust, services may not be able to maintain sufficient staffing levels to sustain high quality safe services which may result in a reduction in service provision.	Trust Business Continuity Plans with full HR support on hospital / community workforce groups. Delivering Care: Nurse Staffing in Northern Ireland Organisation Development Steering Group Health and Wellbeing Strategy Engagement & Involvement Strategy DOH Workforce Strategy & Trust Workforce Strategy and key actions Trust EU Exit Group - Contingency Planning processes i.e. workforce, data sharing, etc. (Risk 1075) Policies - Rec & Selection Framework, Attendance at Work, Flexible Working, Redundancy and Redeployment, etc. HR Strategic Business Partner identified for each Directorate - targeted interventions in relation to absence, agency usage, temporary staffing and other identified Directorate priorities. (Risk 6, 1075) Pension information sessions Joint Forum, Joint LNC and Consultation Group Workforce Information reports provided to key stakeholders Trust Governance Arrangements - People Committee Use of Bank/Agency/Locum Staff through Locum's Nest. Single Employer Project Group Review of existing Locum Framework Regional Strategic and Implementation Groups established to consider WFP implications for reform initiatives Delivering Value Management Board - Workforce Efficiency Project Pay arrangements agreed for Agenda for Change staff up to 31 March 2021 which represents 94% of workforce.	Occupational Health - absence of locums and increasing demands on team without additional resources. Low uptake of mandatory training and completed annual appraisal. Inability to follow normal policies and procedures during periods of Industrial Action and also during emergency situations such as Pandemic. Lack of co-ordinated information on agency staffing Due to demand in services compliance with Working Time Regulations and New Deal. BSO Recruitment Shared Service provides recruitment services for the Trust and there has been an increased delay in recruitment and dependence on them for related information. Inability of NIMDTA to provide required number of Junior Doctors for certain specialities and localities. (Risk 694) Difficulty in recruiting in rural areas and accessing cover when needed in those areas i.e. Domiciliary Care Workers. (Risk 547) Insufficient applicants for medical, nursing and social work posts. (Risks 6,1109)	Working Together Delivering Value Health check measurements on absence hours lost, mandatory training, appraisal, time to fill posts, job planning completion rate. Involvement Committee - Quarterly monitoring of staff engagement on initiatives that contribute to achievement of Trust Great Place ambitions (start life, live well and grow old). Pension Regulator Compliance Junior Doctors Hours monitored twice yearly and returns submitted to DOH. People Committee - Workforce Strategy, Recruitment and NIMDTA Allocation Updates twice per year. People Committee - Quarterly monitoring of Absence, Appraisal, Mandatory Training, Consultant Job Planning, Temporary Staffing, Agency Staffing, Turnover and Grievance/Disciplinary/Statutory Cases. RCJA Inspections of services which link to employment matters UK Border Agency Inspections on ad hoc basis. Audit assurance and progress reports in relation to Audit recommendations provided at least twice per year to internal audit. Professional Guidance - Telford, Royal Colleges, NI Delivering Care (N&M)	BSO Shared Service not meeting statutory or procedural deadlines resulting in, for example, delays in recruitment Government/Department of Health managing a number of risk mitigation issues associated with EU Exit including cross border matters. (Risk 1075) Inability of NIMDTA to fill all posts. Insufficient number of social work student applications to the University Degree Course in rural areas. (Risk 1109) Insufficient training places being procured by Department of Health to meet the demands of medical and nursing workforce. HMRC Regulations and impact for staff HSC Pension particularly high earners. Impact of McCloud and Sergeant Employment Law cases. Safe staffing model for social work. Lack of regional cap on agency rates Legal challenges to Terms and Conditions arising from changing employment law e.g. FSNi and Alioate Cases.	Looking After our People Growing for the Future Belonging to the HSC New Ways of Working	31/03/2023 31/03/2023 31/03/2023 31/03/2023	
1288	08/04/2021	12	HIGH	12	HIGH	6	MEDIUM	Director of Performance & Service Improvement	Trust-wide (Risk Register Use Only)	Ensuring Stability of Our Services/Improving the Quality and Experience of Care	Risk of failure to meet regulatory standards and compliance associated with Trust infrastructure and estate.	There is a risk of deterioration in the Trust Estate due ageing and lack of capital investment in the maintenance of building services infrastructure and physical environment which could lead to loss of service and non-compliance with regulatory and statutory standards (e.g. water, electrical, asbestos and physical infrastructure).	Monitoring and review by PSI SMT of directorate risks including water, electrical, asbestos and physical infrastructure. Should a critical issue materialise further funding can be sought from DOH or existing funding re-prioritised to address the new critical issue Estates Strategy 2015/16-2020/21 Annual review of building condition (3) and creation of prioritised BLM list. 2022/23 Backlog maintenance programme developed and implemented Continual bidding for funding to address backlog maintenance Targeting of priority areas as funding becomes available. Monthly review of Backlog Maintenance capital investment plan Priority Backlog Maintenance capital investment plan	Ageing infrastructure resulting in deterioration of buildings Insufficient funding to carry out full remedial works identified.	Back-log Maintenance list Health & Safety audits Environmental Cleanliness audits Authorising Engineer audits Annual inspections carried out Membership at Health and Safety/ Water Safety Groups Reports to Corporate Governance Sub Committee/Governance Committee Assurance standards Buildings, Land, Plant & Non-Medical Equipment Oakleaf - 6 facet independent survey	Lack of Funding for backlog maintenance. Monthly review of Backlog Maintenance capital investment plan Review Ward 50 ventilation system performance BLM and Capital Plan Project Delivery for 21/22 Develop BLM bid 22/23 DoH approval of BLM 2022/23.	Review of emerging issues and response required Development of business cases for 2021/22 backlog maintenance agreed action plan. CMT approval of BLM 2021/22 for submission. Development of 2021/22 BLM bid Completion of six facet condition survey Review of emerging issues and response required Monthly review of Backlog Maintenance capital investment plan Review Ward 50 ventilation system performance BLM and Capital Plan Project Delivery for 21/22 Develop BLM bid 22/23 DoH approval of BLM 2022/23.	30/06/2022 30/09/2021 30/04/2021 30/04/2021 30/09/2021 30/09/2021 31/03/2022 31/08/2021 31/03/2022 30/06/2022 30/09/2022	06/06/2022 07/09/2021 03/08/2021 03/08/2021 07/09/2021 07/09/2021 12/04/2022 31/08/2021 12/04/2022 06/06/2022 30/09/2022
1306	16/06/2021	16	HIGH	16	HIGH	8	HIGH	Director Acute Hospital Services	Acute Hospital Services	Ensuring Stability of Our Services/Improving the Quality and Experience of Care	Vacant Paediatric Ophthalmology consultant post resulting in no Paediatric Ophthalmology clinics	No consultant to lead Paediatric Ophthalmology services. No routine paediatric cases being seen in Ophthalmology. Long waiting lists with clinical risk of adverse outcomes. No clinical oversight for orthoptic and optometry clinics.	ROP screening performed by retinal consultants as a temporary measure Urgent paediatric cases discussed with general ophthalmologists for referral to Belfast as required.	No consultant oversight for orthoptics and optometry Increase clinical risk Significant clinical risk in ROP screening by consultants without Paediatric fellowship.	Ongoing discussions with commissioners as regards filling the post.	Advertise new agreed post for a General Ophthalmology Consultant Agree solution for review patients	30/03/2023 30/03/2023		
1307	16/06/2021	25	EXTREM	25	EXTREM	6	MEDIUM	Director of Women & Children's Services	Women & Children's Services	Supporting and Empowering Staff	Clinical Risk regarding Delayed Transfer of Babies, Children and Adults to Other Hospitals	Due to limitations on the NISTAR resource and ability of Trust to facilitate transfers that don't meet NISTAR protocols and lack of clarity around same, time critical transfers are being either delayed or are completed using sub-optimal alternatives. This may result in harm to patients being transferred, the patients in the services covering the transfer as well as additional financial cost to the Trust.	Consider stabilising and holding patient until NISTAR available. Ensure staff are trained in use of transport equipment in case required to transfer patient in absence of NISTAR In absence of NISTAR, Pro-paramedics (independent company) may be used. NISTAR will make ambulance and driver available if local team can do transfer			Escalate to Director of Acute services for discussion with counterpart in Belfast as he/she is responsible for NISTAR. Raise at corporate safety huddle and RRG Escalate through child health partnership.	30/06/2022 31/03/2022 31/03/2022	03/02/2022 03/02/2022 03/02/2022	

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1316	16/07/2021	12	HIGH	12	HIGH	8	HIGH	Director of Performance & Service Improvement	Trust-wide (Risk Register Use Only)	Ensuring Stability of Our Services	Service Re-build post Covid surge	If re-build of services is not effectively risk assessed, planned and coordinated Trust wide, re-opening of services could be delayed or create risks in other areas which are unprepared, or result in services being opened in a sub-optimal Covid-safe environment. This may result in delays for service users awaiting appropriate treatment and care, potential for harm to staff/ service users where Covid safe environment compromised and damage to the reputation of the Trust.	Ongoing Fit testing / PPE management, training and Posters Intranet Covid19 site to ensure information shared across the Trust Regional PPE Group; Regional Discussion Group Regional IPC cell and Product Review Group Health & Safety Policy Guidelines on Management of COVID-19 as PHE COVID zoom training for acute and community. PPE videos completed for acute care and domiciliary care IPC policy and procedures, mandatory IPC training, IPC audit process Revised Governance arrangements - Corporate Safety team 3 Planning groups; Acute; Community & Support Services; Trust PPE advisory group Business continuity activated with 3 Bronze Control rooms: - Altnagelvin Acute; SWAH Acute; Community Community planning group - follow up of clusters in Indep sector Community Oversight Governance group Clinical Advisory Group Ethics Committee Continued testing services for staff referrals and patient testing in line with regional guidelines Appointment of project lead for implementation of staff testing - Cancer & Diagnosis Appointment of Testing co-ordinator to ensure adherence to guidance - Cancer & Diagnosis Trust's Covid 19 Vaccination Programme Trust's Ventilation Safety Working Group and Ventilation Investment Plan for 21/22 to create safer working spaces, particularly for staff/patients in AGPs.	Storage issues in Altnagelvin with PPE Storage requirements and service rebuild Inappropriate storage for records due to displacement for PPE/ Tea rooms under Covid environment Lack of Corporate communication clarifying Home working requirements in context of re-build and safe working Re-build risk assessments not completed W&C - need for additional staff to undertake the screening questionnaires Poor Vaccine uptake in Band 5 nursing We don't routinely screen staff for Covid Work force appeal staff remain key to service delivery in some areas but not funded. There will be a risk to elective service in the event that we experience a further early surge	Covid dashboard Silver various reports e.g. bed occupancy, ED monitoring, Covid app Sit rep report Governance assurance framework	Agile Working Guidance Re-build Risk Assessment Guidance Record Storage Communication Action Plan Safe Working Job Profiling Promotion of Covid 19 Vaccine for Staff Trust Working Flexibly and From Home Policy	31/01/2022 31/12/2022 31/03/2022 30/12/2022 30/09/2021 31/03/2023 31/05/2022	10/11/2021 09/03/2022 20/07/2021 12/04/2022	
1320	15/09/2021	12	HIGH	20	EXTREM	8	HIGH	Director of Women & Children's Services	Women & Children's Services	Improving the Quality and Experience of Care	Delayed/inappropriate placement of children assessed as requiring inpatient mental health care.	Increasing demand for the need for inpatient beds has resulting in capacity issues within the regional adolescent mental health inpatient unit. There is significant challenges for CAMHS resulting in increasing delays in accessing and securing emergency, urgent or planned admission for treatment to a regional bed for vulnerable adolescents requiring immediate and planned inpatient mental health care. □ As a consequence of this children are being placed inappropriately in inpatient AMHS beds when available and/or acute medical and paediatric wards or are being managed by Community CAMHS intensively with heightened complex risk. As a consequence CAMHS staff from other steps within the Service are being redeployed to support this intensive working. Community CAMHS remains under significant capacity and resource issues. □ CAMHS is not currently commissioned for an OOH Service as such an OOH pathway is in place to mitigate risk in conjunction with CAMHS/AMHS/ED Colleagues. □ This increases potential for - sub-optimal care whilst inappropriately placed in hospital; risks to other patients and staff in those areas. □ Heightened risks of both physical and mental health deterioration and associated harm relating to safety and family breakdown. □ Attempting to work intensively with high risk young people in the community creates significant pressures on core CAMHS and as a consequence waiting times for assessment and intervention on routine appointments impacted adversely.	Staff training in Paediatrics Staff training in Emergency Department wards/facilities in particular YP presenting self-harm, suicidal risk, risk of absconding. Policy on age appropriate care to acute setting Policy on L18 admission to AMH wards Protocol CAMHS/AMHS pathway OOH (2011) - under review at present Supervision deficit in ED/AMH/Paed wards Psychiatric cover limited in CAMHS and AMHS Delayed & limited availability of AMH beds in Trust. Training/knowledge deficit re pathways related to high staff turnover in acute medical/AMHS setting CAMHS/AMHS OOH Pathway review overdue Unfunded demand for CAMHS OOH Limited regional capacity for inpatient beds	Environmental risks of temporary placement wards/facilities in particular YP presenting self-harm, suicidal risk, risk of absconding. There will be a risk to elective service in the event that we experience a further early surge	Monitoring of waiting lists Regional AD Forum - standing item Regional Care Network - weekly data collation Daily updates with Beechcroft In-house monitoring of inappropriate admissions Early Alerts of inappropriate placements both in AMHS wards and Acute medical /Paediatric wards. Weekly review and monitoring by HSCB Escalation to HSCB/DOH	CAMHS Business case to be developed to progress development of CAMHS OOH service provision Family & Child Care Social work input in over 16 MH assessment with AMHS to be reviewed to ensure cover and consistency to mitigate risk WTCAMHS/AMHS OOH 2011 pathway to be considered and reviewed When a young person presents in a mental health crisis OOH the WTCAMHS/AMHS OOH protocol adhered and followed. No MH Adolescent, No AMHS, No Medical paediatric wards CAMHS will attempt to work intensively with YP and family notwithstanding capacity and resource issues Task and finish group to support unmet needs re training /risks identified and policy regarding YP requiring MH admission Inappropriately placed on medical wards. Daily contact with Beechcroft re bed availability and hospital to hospital tx asap 1:1 Nursing on ward to support YP and support system provided through agency cover when possible to secure CAMHS continue to hold clinical responsibility for these young people In situation of no available bed CAMHS seek AMHS inpatient bed (SAE). When YP presents as requiring inpatient mental health assessment	31/03/2023 31/03/2023 31/03/2023 31/03/2023 31/03/2023 31/03/2023 31/03/2023 31/03/2023 31/03/2023 31/03/2023		

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1334	28/10/2021	20	EXTREM	20	EXTREM	8	HIGH	Director of Acute Hospital Services	Acute Hospital Services	Ensuring Stability of Our Services Improving the Health of Our People Improving the Quality and Experience of Care	Sustainability of surgical services in Southern Sector of Trust due to recruitment & retention difficulties at Consultant and MI	Inability to recruit and retain permanent general surgical staff particularly at Consultant and middle tier level in South West Acute. <input type="checkbox"/> This is threatening the ability to deliver 24/7 emergency service and the range of commissioned elective activity. <input type="checkbox"/> There has been a high turn-over of locum consultant surgeons who have been appointed to cover gaps, leading to gaps and concerns about continuity of care. <input type="checkbox"/> It has been highlighted that emergency surgical services are at risk within the next 4 months due to inability to sustain a Surgeon of the Week and On-call emergency rota at consultant level <input type="checkbox"/>	Trust have authorised a Sustainable Surgical Services project to examine surgical services pan-Trust wef 18/10/21 Recruitment campaign is continuous at Specialty Dr and trainee level. Funded establishment should be 6.5 wte consultant Surgeons - current baseline is 3.0 wte with 3.5 wte gap Specialty Drs funded for 8.0 wte, 5.0 in place 2 of whom are locums and one acting up. Ongoing use of locums from within the Trust to sustain the rota at South West Acute. Newly appointed Consultant taking up post 25/10/21 Ongoing efforts to recruit - Interviews planned for 2.0 wte Consultants late October 2021 (now currently deferred pending Royal College approval)	Reluctance from other surgeons across NI to participate in providing locum cover due to the generality of surgical cover required. Difficulties recruiting and retaining at locum and permanent level as above. Difficulty securing Royal College approval for general surgical posts.	Continuing support from Altnagevlin Surgical body to provide locum cover for rota gaps. Programme Board will have fortnightly oversight of all of the actions within the Review Programme. Senior clinical support to project identified and in place. Project lead has been seconded full time to Project team. Project Lead currently briefs CMT twice weekly This will be taken over by Programme Board with fortnightly oversight from 01/11/2021 CMT will continue to support service and project	A Proposal for Sustainable Surgical Services will be developed by end January 2022 to address the most emergent issue eg emergency surgical services in the Southern Sector of the Trust.	31/01/2023		
1338	08/11/2021	20	EXTREM	20	EXTREM	6	MEDIUM	Director of Women & Children's Services	Women & Children's Services	Ensuring Stability of Our Services Improving the Health of Our People Improving the Quality and Experience of Care Supporting and Empowering Staff	Risk to Provision of Neonatal Care in SWAH due to staffing shortages particularly staff qualified in speciality.	Lack of senior staff, particularly those QIS (qualified in speciality) has resulted in difficulty staffing the NICU safely and effectively and has resulted in cot closures (locally and regionally); inadequately covered shifts; high stress and low morale within nursing; difficulty in planning and may result in unit closure. NICU closure would subsequently destabilise maternity services as babies cannot be delivered at SWAH without access to neonatal services.	Staff working additional hours/bank/overtime. Acting Manager and Head of Service covering clinical shifts when he number is inadequate or when there isn't enough QIS available. WhatsApp group set up and urgent messages sent when staffing is depleted at short notice. Cot closures after consultation with medical staff and Neonatal Network of NI Contingency plan drawn up	Due to the reduced number of QIS nurses who cover additional shifts, there are occasions when no additional staff can be sourced. This is particularly relevant when there is unpredicted staff absences at short notice. This may result in cot closures/ transfers and in SWAH the local contingency plans will be implemented. Inability to transfer antenatal patients or neonates further adds to this safety issue as these babies will have to either be stabilised for transfer or remain locally. Unpredicted emergencies in both units, with babies requiring high dependency or intensive care- some of which can take a prolonged period of stabilisation.	Cot closures monitored regionally There may be a lack of regional cots and neonatal transfer services which results in babies having to stay in the neonatal unit for longer than expected, thus putting more pressure on an already depleted team and increasing the safety risk.	Review of Staffing Contingency Plan Rotation between Paeds and NICU Bid for staff to backfill training Close cots as necessary Inform Commissioners and NNNI Monitor clinical incidents	30/09/2022 31/03/2022 13/10/2022 13/10/2021 30/10/2021 30/09/2022	29/07/2022 01/04/2022 13/10/2021 01/04/2022 13/10/2021 29/10/2021 29/07/2022	
1375	15/03/2022	16	HIGH	16	HIGH	6	LOW	Director of Acute Hospital Services	Acute Hospital Services	Ensuring Stability of Our Services Improving the Health of Our People Improving the Quality and Experience of Care	Consultants Cover in Cardiology	Due to challenges regionally in relation to securing substantive positions and the limited availability of locum resources, a 6 person on call rota has been depleted by 50% leading to potential gaps in the rota.	Working with International Recruitment team to expedite a new appointment. Working through current job plans to identify monies to increase the Consultant complement. -Secured short term locum Middle Grade Doctor to support Ward based work on a short to medium term basis. Worked with Medical HR to secure short to medium term locums (starting 27th February). Link with regional pPCI network to seek support for any gaps in rota. Linkage with RCM to ensure sign off of job plans and job descriptions. -A review of current workload and a short term reduction in outpatient work to facilitate redistribution.	Locum resources has limited availability. Challenges regionally in relation to securing substantive positions.	Medical HR working collaboratively on recruitment. Clinical Lead has oversight of the rota Business continuity arrangements are in place should there be an unplanned rota gap.	Locum resources has limited availability. Challenges regionally in relation to securing substantive positions.	Recruitment has commenced to fill vacant posts.	31/01/2023	