

Report Title	Monthly Risk Register Report		
Sponsoring Executive	Kathleen French, Chief Nurse		
Report Author	Sindeep Chatha, Head of Patient Safety and Risk		
Meeting	Trust Board (Public)	Date	1 st October 2020

1. Suggested discussion points *[two or three issues you consider the Trust Board should focus on]*

There are 13 risks overseen by the Board with upcoming action deadlines, of those 4 risks have been updated since the last meeting with recommendations put forward on how these could be managed moving forward.

The Board to note the following concerns have been discussed at RMC and CLE:

- There is no Trust-wide Covid 19 risks on the Trust Risk Register
- No clear process on how risks are being managed by the Organisation
- Ophthalmology backlog of outpatients' appointment is increasing to 22,000.

There continues to be incidents over 3 weeks old which are not managed within the agreed timeframes.

There is a slight improvement in the number of incidents in the 'saved for later'.

2. Alignment to 2020 Vision *[indicate with an 'X' which Plan this paper supports]*

Safety Plan	X	Public Health Plan		People Plan & Education Plan	X
Quality Plan	X	Research and Development		Estates Plan	
Financial Plan	X	Digital Plan	X	Other <i>[specify in the paper]</i>	X

3. Previous consideration *[where has this paper been previously discussed?]*

Risk Management Committee, 14th September 2020, CLE, 22nd September 2020

4. Recommendation(s)

The Trust Board is asked to:

- NOTE** the update for each risk
- NOTE** the concerns raised at RMC and CLE

5. Impact *[indicate with an 'X' which governance initiatives this matter relates to and where shown elaborate]*

Trust Risk Register	x	Risk Number(s):				
Board Assurance Framework	x	Risk Number(s):				
Equality Impact Assessment	Is this required?	Y		N	x	If 'Y' date completed
Quality Impact Assessment	Is this required?	Y		N	x	If 'Y' date completed

SANDWELL AND WEST BIRMINGHAM HOSPITALS NHS TRUST

Report to the Trust Board: 1st October 2020

Monthly Risk Register Report

1.0 INTRODUCTION

1.1 This report provides the Trust Board with an update on the risks it has oversight on, held within the Trust's risk register. The report outlines progress in improving the robustness of the Trust's risk management arrangements with a review of the Risk Register entries.

1.2 The Trust has identified a range of significant risks that are currently being mitigated, whose impact could have a direct bearing on the achievement of Trust Plans and priorities and requirements within the NHSI Accountability Framework or CQC registration, should the mitigation plans be ineffective.

1.3 A summary of the main controls and mitigating actions for the significant risks currently identified in each Clinical Group and Corporate Directorate monitored by the Trust Board are available in **Appendix A**.

2.0 NEW RISKS ADDED LAST MONTH

2.1 19 new risks have been added on to the Risk register by the Groups and are presented in Appendix B. These risks were reviewed by RMC but the committee understood these risks to be issues and incidents and it was difficult to ascertain what the risk was. This has highlighted some Trust-wide training needs on risk identification and statement writing.

3.0 GROUP COVID 19 RELATED RISKS

3.1 At June RMC the Groups presented their Covid 19 related risks specific to their areas. An update on each of these was presented at September's RMC. Since some of the services have resumed to some extent some of these risks have been mitigated and put forward for annual review. RMC did identify although the risk register has Group level risks; there is no Covid 19 Risk for Trust Board oversight. RMC is reviewing this and will propose a new risk to be added onto the Board Risk Register. This will be presented at October CLE and November Board for approval.

4.0 RISK REGISTER REVIEW

4.1 In August 2020 the Board agreed to extend the deadline for risk 214 (Lack of assurance of the 18 week data quality pathway). The new deadline is 28th February 2021.

4.2 In August 2020 the Board agreed to extend the deadline for risk 3212 (BMEC hard drives). The new deadline is December 2020.

- 4.3** In August 2020 the Board agreed to accept risk 4164 (Endorsements of results) to be added on the Trust Board risk register.
- 4.4** No further update to risk 2642 (Radiology Results), risk 3693 (reduce amenable mortality) and risk 3212 (standalone hard drives) is required since these risks are currently on track for achieving the target rating by the deadline.
- 5.0** Since the last Board meeting the following updates have been received and recommendations have been put forward for the Board to consider and discuss.

Indicator	Key
↔	Current score remains unchanged
↓	Reduction in score since last update
↑	Increase in score since last update

Risk ID	Executive Risk Lead	Title	Current rating	Target rating	Change
2784	Chief Executive	MMH Funding for compensation scheme	5x5=25	4x5 =20	↔
Update	<p>The Board has agreed to tolerate this risk but there is one overdue action which requires an update:</p> <p>1: Conclude design validation of MEP (Target date: 01/09/2020)</p> <p>Following discussion at RMC the committee agreed this risk is better managed by the Director for ServiceTransformation.</p>				
Recommendation	For information				

Risk ID	Executive Risk Lead	Title	Current rating	Target rating	Change
3689	Chief Finance Officer	Trust not achieving best integrated care due to mechanism of contracting	4x4=20	4x4 =20	↔
Update	<p>The Board has agreed to tolerate this risk but there is one overdue action and two due at the end of September.</p> <p>Since RMC, this risk has been updated and the current actions remain relevant and all actions are up to date and remain robust to manage this risk.</p>				
Recommendation	For information				

Risk ID	Executive Risk Lead	Title	Current rating	Target rating	Change
325	Chief Informatics Officer	Cyber Attack	4x4=16	4x4 =16	↔
Update	<p>This risk has three outstanding actions and two upcoming actions.</p> <p>At RMC the risk owner reassured the committee this risk is on track and the overdue actions will be achieved in October. A paper to DMPA is being presented this month and the plan to roll out windows 10 as well as 3PAR will be completed by end of</p>				

	October. This will reduce the risk of cyber-attack. 1.
Recommendation	RMC will review this risk again in November once the actions have been completed.

Risk ID	Executive Risk Lead	Title	Current rating	Target rating	Change
3110	Chief Informatics Officer	Technical Infrastructure	4x4=16	4x4 =16	↔
Update	<p>This risk has two outstanding actions and two upcoming actions but these will be achieved in October.</p> <p>The current update is that CB is working on an Infrastructure strategy. In addition a new storage is in place, new backups are in place and IT has started the journey to cloud computer. Telephony is being looked at as a result of the City decomm, older switches are being replaced. DC's and UPS remain a concern.</p>				
Recommendation	RMC will review this risk again in November once the actions have been completed.				

Risk ID	Executive Risk Lead	Title	Current rating	Target rating	Change
3109	Chief Operating Officer	IT Infrastructure	4x5=20	2x4 =8	↔
Update	<p>This risk has one outstanding action but this will be achieved in October.</p> <p>Servers are being migrated to Vmware from Hyper-V and these will be backed up to Veeam. The issue with DPM is not so much what was or was not being backed up but the length of time it would take to restore.</p> <p>Additionally. New lead for the team is in place, however there are still vacancies relating to 4 other posts. An advert has gone out to attempt to mitigate these 4 posts. If these interviews are successful the risk will be reduced.</p>				
Recommendation	RMC will review this risk again in November once the actions have been completed.				

Risk ID	Executive Risk Lead	Title	Current rating	Target rating	Change
1762	Chief Operating Officer	Backlog of Outpatient appointment	5x3=15	2x3=6	↔
Update	<p>Ophthalmology backlog of outpatients' appointment is increasing to 22,000. A paper highlighting this issue will be presented at October Board.</p>				
Recommendation	RMC to review this risk at October RMC				

3.0 WEB HOLDING INCIDENTS

- 3.1. There were 130 incidents, which is a decrease compared to last month (172) waiting to be managed which have been in web holding for 21 days or more. RMC identified further work needs to be done to reduce these incidents. The Risk team is currently reviewing how incidents are being managed as well as offering training to Groups on how to manage the incidents; including timeframes for each investigation stage.

Group/Directorate	Feb 20	Mar 20	Apr 20	May 20	Jun 20	Jul 20	Aug 20
Corporate Operations	25	37	21	16	18	11	10
Corporate Nursing	1	1	6	1	2	4	3
Estates and New Hospital / System Transformation	1	12	8	2	7	2	0
Finance	2	0	2	2	2	1	2
Imaging	10	23	44	32	33	3	9
Medicine & Emergency care	19	37	70	48	50	78	63
Medical Directors Office			3	1	2	4	0
People & Organisation Development	3	0	3	5	6	7	14
Primary Care, Community & Therapies	0	4	27	7	2	4	3
Surgery	3	16	90	18	25	11	18
Women & Child Health	2	8	2	11	11	35	5
Strategy and Governance	0	3	1	1	3	1	0

4.0 SAVED FOR LATER INCIDENTS

- 4.1 Currently there are 54 'saved for later' incidents; this is a significant decrease due to a number of the incidents being batch deleted pre April 2020. Weekly reminder emails continue to be sent to the reporter to either submit or request deletion of the incident.

4.0 RECOMMENDATIONS

Trust Board is asked to:

- a) **NOTE** the updates for each risk.
- b) **NOTE** the concerns raised at RMC and CLE

Sindeep Chatha
Head of Patient Safety and Risk

24th September 2020