

Executive Summary
Report to the Board of Directors
held on 31 January 2023

Subject	Corporate Risk Register Report – January 2023
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Status	For Discussion

PURPOSE OF THE REPORT

This paper presents the Corporate Risk Register Report for review, alongside the Board Assurance Framework.

KEY POINTS

- This report summarises all the open and validated Extreme Risks on the Trust Risk Register aligned to the relevant Strategic Risk, as approved by the Safety and Risk Committee. This provides a clear link between Strategic Risks recorded on the Board Assurance Framework (BAF) and the Operational Risks recorded at Directorate level.
- The Corporate Risk Register Report includes all 31 open and validated Operational Risks with a score of 15 or more (Extreme Risks) logged on the Risk Register (Datix) as of 26 January 2023.
- Each Extreme Risk is mapped to one or more Strategic Risk recorded on the BAF. As part of the operation of the BAF relevant extracts from the Corporate Risk Register Report will be considered as part of BAF Deep Dive reviews.
- To address feedback from TEG regarding the presentation of this report, Extreme Risks have been ordered by current risk score (highest to lowest). Additionally, a review of risk titles has been undertaken.
- Since the Corporate Risk Register Report was last presented to the Board in September 2022, four Extreme Risks have been added¹ to the Corporate Risk Register Report, as highlighted below.

Datix ID	Risk title	Directorate	Current risk score
795 [^]	Glaucoma service: Deterioration / loss of vision due to a delay in clinic review and/or surgery.	Ophthalmology	16
4132 [^]	Spinal injuries readmission backlogs due to lack of theatre capacity	Specialised Rehabilitation	16
5097	Ongoing ability to deliver safe cardiac surgery now and in the immediate future due to National shortages of consumables for the Terumo CD-550 real-time intraoperative blood gas monitoring equipment.	Cardiothoracic Services	16
5078	Harm to spinal patients due to reduced ability to meet patient access times	Musculoskeletal	15

- Following routine review at Directorate level, nine risks have been removed from the report since its last presentation. These include three risks which have been closed, five where the current risk score has been reduced to below 15 and one which has been removed following a review of Datix data quality (anomaly in recording). *These are noted at the end of the appended report.*

¹ Note – risks are added to the report following approval at Directorate level and validation by the Risk Validation Group (a quality assurance process undertaken centrally).

[^] Existing High level risks escalated to Extreme level to reflect current situation

- The Safety and Risk Committee is overseeing implementation of a Risk Register improvement plan to drive continuous improvement in Risk Register data quality. This includes the use of the action module on Datix® to record risks, and work has commenced with directorates and care groups to add all actions, commencing with extreme risks, onto Datix®. Information on the actions has been included on this report, but this is a new process, and all actions being undertaken are not yet recorded on this system.

IMPLICATIONS

AIM OF THE STHFT CORPORATE STRATEGY		TICK AS APPROPRIATE
1	Deliver the Best Clinical Outcomes	✓
2	Provide Patient Centred Services	✓
3	Employ Caring and Cared for Staff	✓
4	Spend Public Money Wisely	✓
5	Create a Sustainable Organisation	✓
6	Deliver Excellent Research, Education and Innovation	✓

RECOMMENDATIONS

Board is asked to:

- REVIEW the Corporate Risk Register Report and COMMENT on the report to support its future development.
- DISCUSS any emerging themes which should be referenced on the BAF.

APPROVAL PROCESS

Meeting	Date	Approved Y/N
Trust Executive Group	25/01/2023	Y
Board of Directors	31/01/2023	

Corporate Risk Register Report - All Validated* Extreme Risks as at 26 January 2023

Strategic Risk alignment	Risk ID	Risk title**	Directorate	Score (Current)	Score (Target)	Date opened	Next review date	Number of overdue/open actions
SR1	1180	Inability to provide timely and efficient care due to crowding in A&E as a result of increased waits for inpatient care	Emergency Medicine	25	15	14/05/2013	12/01/2023	0/8
SR1	3131	Delays in ambulance handover wait times due to A&E being beyond capacity (crowding) leading to patient harm	Emergency Medicine	25	15	09/01/2019	13/01/2023	0/8
SR1	2298	Potential for clinical harm / adverse outcomes due to failure to meet Cancer Waiting Times (CWT) targets	Strategy and Planning	20	8	14/12/2015	17/03/2023	0/2
SR1	3351	Delays in initial assessments on arrival to A&E due to capacity constraints leading to patient harm / negative patient experience	Emergency Medicine	20	5	30/10/2019	13/02/2023	0/7
SR1	3511	Potential harm due to impact of Covid on availability of beds/equipment for patients requiring cancer, and urgent / emergency surgery	Cardiothoracic Services	20	15	01/04/2020	20/01/2023	0/0
SR1	3515	The impact of Covid-19 pandemic on the length of time patients are waiting to access routine services provided by SYRS	Cardiothoracic Services	20	10	01/04/2020	01/02/2023	0/12
SR1	4133	Risk to young people in Mental Health Crisis due to lack of appropriate / delay in referral to mental health services / paediatric liaison service	Emergency Medicine	20	15	20/04/2021	13/02/2023	0/2
SR1	4195	Patient harm due to reduced elective activity across MSK as a result of the Covid 19 pandemic	Musculoskeletal	20	12	20/01/2021	27/01/2023	0/2
SR1 ^ NEW	795	Glaucoma Service: Deterioration/loss of vision due to a delay in clinic review and/or surgery.	Ophthalmology	16	8	23/06/2014	01/03/2023	1/1
SR1 and SR3	1977	Inability to recruit and high level of vacancies Trust-wide impacting on provision of services	Human Resources	16	12	13/01/2020	13/03/2023	0/0
SR3	2045	Staff exposure to violent and aggressive incidents in the Acute Medical Unit affecting their physical and mental wellbeing	Emergency Medicine	16	8	06/04/2015	12/02/2023	0/1

SR1	4020	Negative impact on patient care due to reduction across Specialised Cancer Services consultant workforce	Oncology	16	6	01/02/2021	22/11/2022	1/3
SR1 ^ NEW	4132	Spinal Injuries re-admission backlog due to lack of theatre capacity	Specialised Rehabilitation	16	4	14/04/2021	17/05/2023	0/5
SR1	4555	Inability to manage clinical correspondence within Specialised Cancer Services due to reduced A&C staffing and changes in patient pathways	Oncology	16	4	20/12/2021	30/09/2022	3/3
SR1	4784	Inability to deliver a safe, effective and sustainable Paediatric Radiotherapy Service due to inadequate medical staffing levels	Oncology	16	4	26/05/2022	29/12/2022	3/3
SR1	4744	Inability to respond effectively to a global pandemic impacts the delivery of Trust services	Chief Operating Officer	16	12	05/05/2022	03/08/2023	0/4
SR1 and SR5	4957	No Maternity specific Electronic Patient Record (EPR) impacting on patient safety and quality	Obstetrics, Gynaecology, Neonatology	16	4	02/09/2022	31/12/2022	2/2
SR1 NEW	5097	Ongoing ability to deliver safe cardiac surgery now and in the immediate future due to National shortages of consumables for the Terumo CD-550 real-time intraoperative blood gas monitoring equipment.	Cardiothoracic Services	16	4	13/12/2022	28/02/2023	0/0
SR1	458	Increased incidence of healthcare associated infection due to failure to implement or lack of adherence to IPC measures	Central Nursing	15	10	18/12/2006	08/05/2023	1/1
SR1	769	Failure to safeguard patients in mental health crisis within A&E and provide care in an appropriate / safe environment	Emergency Medicine	15	10	08/12/2009	13/11/2022	6/6
SR1 and SR3	800	Violence and Aggression in A&E	Emergency Medicine	15	6	05/05/2010	02/06/2023	0/11
SR1	2035	Cancelled or delayed chemotherapy due to increased demand and staffing shortages	Pharmacy	15	2	15/06/2015	31/01/2023	0/5
SR5	2168	Patient and Staff experience compromised due to physical ward environment on Firth 7	Cardiothoracic Services	15	2	23/10/2015	31/05/2023	0/1

SR1	3042	Unavailability or shortages in the medicine supply chain leading to patient harm and/or cost increases	Pharmacy	15	15	03/10/2018	31/03/2023	0/2
SR1	3074	Patient harm due to incompatible transfusion associated with wrong blood in tube (WBIT) samples	Laboratory Medicine	15	5	14/11/2018	30/06/2023	0/0
SR1	3260	Patient harm due to ligature risks within AEM environment	Emergency Medicine	15	10	11/07/2019	15/12/2022	0/4
SR5	3827	Cyber Security Attack causes significant disruption to the delivery of Trust services	Informatics	15	12	07/09/2020	08/02/2023	0/4
SR1	3968	Unable to provide an effective GP collaborative service due to a disparity between GP capacity and increased patient demand	Integrated Community Care	15	4	23/11/2020	28/02/2023	2/2
SR1	4395	Staff not following the framework of the Mental Capacity Act when making decisions regarding a patient who lacks mental capacity	Central Nursing	15	12	10/09/2021	10/03/2022	2/2
SR1 NEW	5078	Harm to spinal patients due to reduced ability to meet patient access times	Musculoskeletal	15	6	25/11/2022	27/01/2023	0/1

Strategic Risk Key

SR1	Quality of Care	SR5	Infrastructure
SR2	Partnership and Engagement	SR6	Sustainability
SR3	Workforce	SR7	Research, Education and Innovation
SR4	Finance	SR8	Well-led

Risks Removed from Corporate Risk Register Report

Strategic Risk alignment	Risk ID	Risk title**	Directorate	Datix Change
SR1	3782	Inability to deliver safe and effective care to both acute admissions and specialist elective patients due to insufficient D&E consultant capacity	Diabetes/Endocrinology	<i>Risk score lowered from 20 to 12</i>
SR1	1999	Failure to provide care in an appropriate environment due to need to place Geriatric Medicine patients on non-GSM wards	Integrated Geriatric and Stroke Medicine	<i>Risk score lowered from 16 to 12</i>
SR1	3780	Disruption to core activity across Gastro / Hepatology services due to Covid-19 delays patient care and results in failure of national targets	Gastroenterology / Hepatology	<i>Risk score lowered from 16 to 12</i>
SR5	2538	Patient harm due to interruption of cardiac monitoring caused by temporary loss of power supply on Critical Care Unit / Firth 7 during Generator testing	Cardiothoracic Services	<i>Risk score lowered from 15 to 3</i>
SR1	4105	Recognition of suspicious or pathological Intrapartum CTG (fetal heart rate pattern)	Obstetrics, Gynaecology, Neonatology	<i>Risk score lowered from 15 to 12</i>
SR1	2212	Negative impact on patient experience within Cardiology due to Chesterman 2 being used for Trust surge capacity	Cardiothoracic Services	<i>Risk closed</i>
SR1	4281	Unprecedented reduction in available midwifery staffing levels impacting of the provision of care to women and babies.	Obstetrics, Gynaecology, Neonatology	<i>Risk closed</i>
SR5	4035	Connectivity to STH IT Systems for Oncology Clinicians working from non-STH sites across the Cancer Alliance	Oncology	<i>Risk closed</i>
SR1	4304	Serious Incidents not investigated and reported on in a timely manner in line with the Incident Management Policy – Parent Risk	Patient and Healthcare Governance	<i>Risk closed</i>