Commitment Care Quality

West Hertfordshire Hospitals NHS
NHS Trust

Trust Board Meeting

07 July 2016

Title of the paper:	Update Report: Corporate Risk Register
Agenda item:	20/39
Lead Executive:	Helen Brown, Director of Strategy and Corporate Services
Author:	Jacqueline Smith, Head of Risk, Assurance and Compliance
Trust aims :	Double click on the box to mark as appropriate: ☒ To deliver the best quality care for our patients ☐ To be a great place to work and learn ☐ To improve our finances ☐ To develop a strategy for the future
Purpose:	The aim of this paper is to provide a summary update of the status of the corporate risk register and corporate risk profile of the organisation including the direction of travel for each risk score. Data for this report was extracted from Datix on 21 June 2016.
Link to Board Assurance Framework (BAF)	**PR1** Failure to provide safe, effective, high quality care (insufficiently robust and embedded quality governance and risk management)

Previously discussed:

Committee	**Date**
Integrated Risk and Governance Committee (IRGC)	Last IRGC 31 May 2016

Benefits to patients and patient safety implications
Effective risk management frameworks and reporting provides a source of assurance that identified risks to patients are being identified, assessed and mitigated.

Recommendations

For information and assurance

West Hertfordshire Hospitals NHS
NHS Trust

Agenda Item: 20/39

Trust Board meeting – 07 July 2016

Update Report: Corporate Risk Register

Presented by: Helen Brown, Director of Strategy and Corporate Services

1. Purpose

1.1 The aim of this paper is to provide a summary update of the status of the corporate risk register and corporate risk profile of the organisation including the direction of travel for each risk score.

2. Background

2.1 The corporate risk register is discussed in detail at the Integrated Risk & Governance Committee each month. The corporate risk register includes all risks scored at 15+ on the risk register.

2.2 The Integrated Risk and Governance Committee leads on the development and monitoring of integrated risk and governance arrangements across the Trust to ensure that the organisation delivers key priorities and manages risk efficiently.

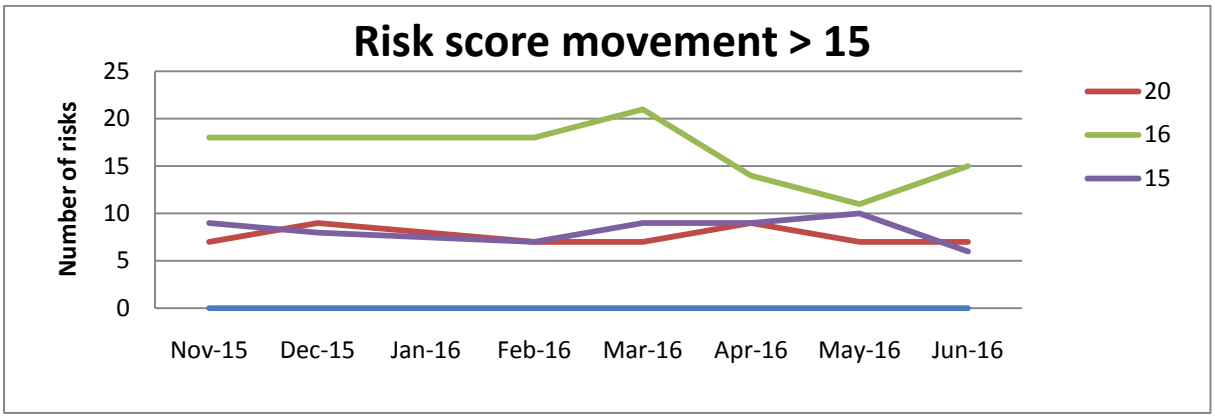
2.3 The Integrated Risk & Governance Committee meets monthly to review the overall corporate risk profile and seek assurance that risks are being appropriately identified and managed.

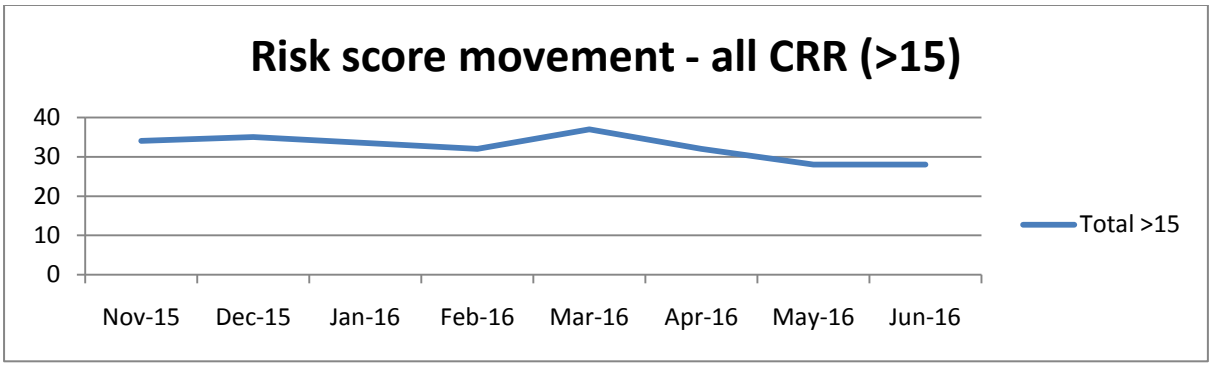
3. Analysis/Discussion

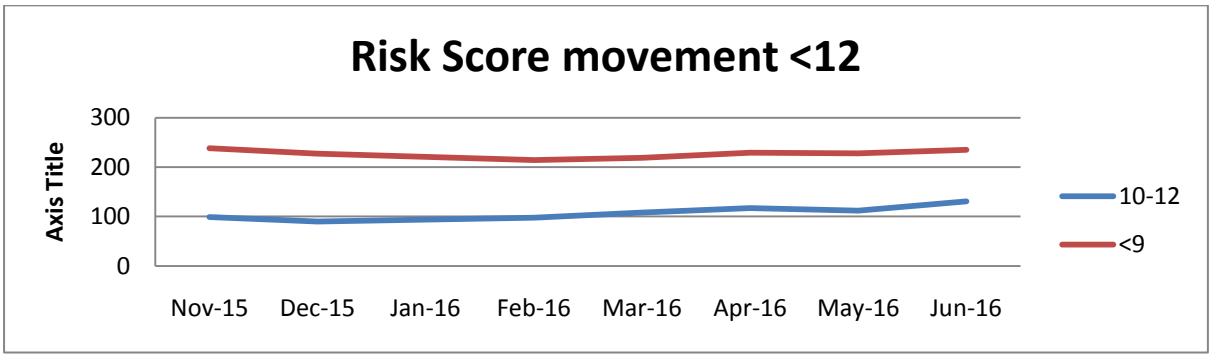
3.1 The risk register is a live document recorded on Datix and risk leads regularly review and update entries. The Risk Review Group reviews all changes to risk scores for corporate risk entries including risks escalated to 15 or above and risks that are recommended for de-escalation due to effective mitigation or changes in circumstances.

3.2 Data for this report was extracted from Datix on 21 June 2016. At this date 28 risks were recorded on the corporate risk register with a current score of 15 or more.

3.3 The charts below demonstrate the risk score movement on the corporate risk register from November 2015. From November 2015 to June 2016 there is an overall decrease of 6 risks on the corporate risk register.







3.4 The table below includes an overview of the organisation's comprehensive review and strengthening of risk management processes, which has resulted in a much clearer focus of key corporate risks. For ease of comparison the data relates to March 2015 and 2016 and is also published in the Trust Quality account. The data indicates a decrease in the total numbers of risks on the risk register including a decrease in the number of corporate risks and corporate risks as a percentage of all risks on the risk register. A contributory factor of this relates to the scrutiny of risk and check and challenge of risks on the risk register by Divisions, Risk Review Group and the Integrated Risk & Governance Committee.

	Number of risks on organisational risk register	Number of risks on the corporate risk register with a risk score of 15 and above
March 2015	565	183 (32%)
March 2016	378	32 (8%)

3.5 The table below provides a summary of risks on the corporate risk register indicating risk score travel for each risk where applicable. It should be noted that escalated risks included in the table below are not yet fully validated and following further review some of the escalated risks may not be accepted onto the corporate risk register as they may be assessed at a lower level.

Risks for Escalation:

ID	The Risk	Executive Risk Lead	Principal Risk: Primary	Current risk score
3503	Hardware support for Mckessons Systems	Chief Information Officer	PR3	16
3514	Clinical and financial risk due to high midwifery vacancies across bands 5&6&7	Director of HR and Organisational Development	PR2	16
3728	Failure to meet financial plan due to poor performance in achieving agreed CQUIN standards	Chief Financial Officer	PR5	16
3734	New ADT card swipe system - intermittent faults	Director of Environment	PR3	16
3739	General failure of basic financial controls risking failure to meet financial plan.	Chief Financial Officer	PR7	16
3740	Risk of failure to meet financial plan due to poor controls over temporary and permanent staff deployment	Chief Financial Officer	PR7	16
3742	Failure to achieve sufficient efficiencies to support Annual and longer term plans	Chief Financial Officer	PR7	20
3744	Inability to secure sufficient capital funds to meet investment plans in the annual and strategic plans.	Chief Financial Officer	PR7	16
3745	General risk of insufficient cash availability	Chief Financial Officer	PR7	16
3750	IT access in OPD Rehab Unit	Director of Environment	PR7	15
3754	Review of clinical decision making for Category 1 Caesarean Section when a 2nd and 3rd Theatre is required (in and out)	Medical Director	PR1	16

ID	The Risk	Executive Risk Lead	Principal Risk: Primary	Initial risk score pre-mitigation	Current risk score
17 Risks agreed on Corporate Risk Register					
3689	Emergency care pathway / failure to meet emergency care standards	Medical Director	PR5	25	20
3458	Failure of the “Make IT Happen” ICT transformation programme to de-risk IT business continuity & realise key benefits	Chief Information Officer	PR4	20	20
3627	Outlying / surge patients causing increase to LOS & patient safety risk	Medical Director	PR5	16	20
3651	Outpatients capacity and the long waits in clinic for new patients and follow-up	Interim Chief Operating Officer	PR1	20	20
3120	Patient medical notes missing, delayed or poor condition.	Chief Information Officer	PR4	20	20
3422	Workforce engagement within the Trust	Director of HR & Organisational Development	PR2	20	20
3538	Inadequate staffing for paediatric oncology service	Medical Director	PR1	16	16
2883	Legionella management and control	Chief Nurse and	PR3	16	16

ID	The Risk	Executive Risk Lead	Principal Risk: Primary	Initial risk score pre-mitigation	Current risk score
	of water systems	Director of IPC			
3501	Non-Compliance with HTM 00 - Provision of a Safe System of Work	Director of Environment	PR3	20	16
3144	Working environment - Occupational Health, Watford	Director of Environment	PR3	20	16
3480	A&E estates	Director of Strategy & Corporate Services	PR3	20	16
2795	Control of asbestos containing materials (ACMs)	Director of Environment	PR3	15	15
3249	Issues with typing and administration in cardiology	Interim Chief Operating Officer	PR5	15	15
3658	IT infrastructure-NBOCAP audit submission	Chief Information Officer	PR4	15	15
3633	Only one consultant ward round occurring on Simpson ward per week and only GP cover out of hours	Medical Director	PR1	15	15
3631	Out of hours access to emergency theatres	Medical Director	PR1	12	15
3713	Gap in the Statutory framework for DoLs	Chief Nurse and Director of IPC	PR1	16	16

3.6 Next steps:

It is agreed with Board that the Non-Executive Directors will carry out detailed assurance reviews of risks on the corporate risk register. These assurance reviews are underway and the first update report is to be submitted to IRGC in July 2016.

To agree at the Risk Register Review Group and Integrated Risk & Governance Committee the process for the inclusion of target dates for de-escalation for each risk on the corporate risk register.

4. Risks

4.1 The corporate risk register is an integral part of Trust risk management arrangements.

5. Recommendation

The Board is therefore asked to receive this report for noting and feedback;

Helen Brown
Director of Strategy and Corporate Services
Date 28 June 2016