

Appendix 3 - Strategic Risk Register Movement Log

Report date	16/04/2021
Prepared by	Sheridan Osbourne
Prepared for	ETM 19/04/2021

Rating
15 to 25 Extreme
8 to 12 - High
4 to 6 - Moderate
1 to 3 - Low

NEW RISKS TO STRATEGIC RISK REGISTER										
ID	Date of entry	Care Group/ Corporate Office	Description	Risk lead	Rating (initial)	Summary of mitigation	Target date for mitigation completion	Action plan lead	Current Rating	Rating (Residual)
3636	01/04/2021	Chief Nurse	There is a risk to staff and patient safety due to the Trust healthcare workers not taking the offer of a COVID vaccine and therefore putting patients and colleagues at additional risk.	Dawber, Karen	12	Improve uptake of vaccination in staff groups	30/09/2021	Campbell, Pat	12	8
3638	15/04/2021	Finance	There is a risk that the Trust has insufficient cash & liquidity resources to sustainably support the underlying Income & Expenditure run rate	Horner, Matthew	6	APR 21 - The financial regime introduced in 20/21 to manage the Covid pandemic has been rolled forward in to the first half of 21/22. The financial framework for the period 1 Apr 21 to 30 Sep 20 has been introduced that allocates a breakeven financial target at an organisational level, which is consolidated up to a place and ICS quantum. The financial planning guidance allocates a 0.28% efficiency target for the first half of 21/22, which it is anticipated will be managed through underlying run rate or non recurrent measures. The detail of the challenge is not currently known, with the work to establish the financial and activity plan underway. The systems (both at place and ICS level) have established a number of principles to support organisations/places to deliver a balanced position at the ICS level. The risk share arrangements will need to address both the cash and income and expenditure challenge should they arise. The relatively strong cash position can cover a level of deficit.	31/03/2022		6	6
3639	15/04/2021	Finance	There is a risk that the Trust Fails to maintain financial stability and sustainability in the current economic climate with the Trust facing a continued financial challenge associated with cost inflation, increased demand for services and System/Place affordability.	Horner, Matthew	6	The financial regime introduced in 20/21 to manage the Covid pandemic has been rolled forward in to the first half of 21/22. The financial framework for the period 1 Apr 21 to 30 Sep 20 allocates a breakeven financial target at an organisational level, which is consolidated up to a place and ICS quantum. The financial planning guidance allocates a 0.28% efficiency target for the first half of 21/22, which it is anticipated will be managed through underlying run rate or non recurrent measures. The detail of the challenge is not currently known, with the work to establish the financial and activity plans underway. The systems (both at place and ICS level) have established a number of principles to support organisations/places to deliver a balanced position at the ICS level. The risk share arrangements will need to address both the cash and income and expenditure challenge should they arise. The relatively strong cash position can cover a level of deficit.	31/03/2022		6	6

STRATEGIC RISKS THAT HAVE CHANGED IN SCORE										
ID	Date of entry	Care Group/ Corporate Office	Description	Risk lead	Rating (initial)	Summary of mitigation	Target date for mitigation completion	Action plan lead	Current Rating	Previous Rating
3560	09/06/2020	Human Resources	There is a risk that we will be unable to safely staff the organisation due to the impact of 'test and trace'. There is a requirement for contacts to self isolate for 14 days with no exceptions for healthcare staff. This may result in areas of the Trust having less availability of staff to deliver the Trust objectives as areas already have higher absence rates due to Covid than normal.	Campbell, Pat	12	16/3/21 - absence figures remain under review, staff continue to be encouraged to do lateral flow tests, awaiting decision re shielding and will then review risk. comms continue re PPE, social distancing etc. 05/02/21 - comms continue re need to social distance and to encourage staff to do testing, absence figures remain under close review. /01/21 - lateral flow test kits rolled out, absence figures remain under close review due to impact of shielding/school closures and national lockdown. 18/12 - absence figures remain under close review, risk likelihood retained at this level. 29/10/2020 Updated with Karen Dawber and Pat Campbell. Increasing numbers of staff impacted by test and trace. 1 x staff outbreak in Dermatology resulting in some loss of service (routine). OH report inconsistent advice through national track and trace system to staff. Risk likelihood increased to 3.	30/04/2021	Campbell, Pat	9	12

STRATEGIC RISKS THAT HAVE BEEN REMOVED/CLOSED										
ID	Date of entry	Care Group/ Corporate Office	Description	Risk lead	Rating (initial)	Summary of mitigation	Target date for mitigation completion	Action plan lead	Current Rating	Residual Rating
3554	04/06/2020	Finance	There is a risk that the Trust has insufficient cash & liquidity resources to sustainably support the underlying Income & Expenditure run rate	Horner, Matthew	6	The COVID19 Financial Regime secures a breakeven position until at least 30.9.20, which maintains a static position with regards the Trusts Cash and Liquidity position. As such this risk is maintained at the residual level. Guidance and the financial control total relating the regime post 30.9.20 is expected which may impact on the risk rating. JAN 21- The risk level is maintained but underlying run rates indicate a greater level of confidence that the financial plan and as such the cash plan will be delivered by the year end. APR 21 - The Trusts final cash position is in excess of plan	31/03/2021	Horner, Matthew	6	6

3555	04/06/2020	Finance	There is a risk that the Trust Fails to maintain financial stability and sustainability in the current economic climate with the Trust facing a continued financial challenge associated with cost inflation, increased demand for services and System/Place affordability.	Horner, Matthew	6	The COVID19 Financial Regime secures a breakeven position until at least 30.9.20. As such this risk is maintained at the residual level. Guidance and the financial control total relating the regime post 30.9.20 is expected which may impact on the risk rating. JAN 21- The risk score remains the same. The underlying run rate and projections provide greater confidence that the financial plan will be delivered by the end of the financial year. APR 21 - The financial plan for 20/21 has been delivered	31/03/2021	Horner, Matthew	6	6
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STRATEGIC RISKS THAT HAVE PASSED THEIR REVIEW DATE										
ID	Date of entry	Care Group/ Corporate Office	Description	Risk lead	Rating (initial)	Summary of mitigation	Target date for mitigation completion	Action plan lead	Current Rating	Review Date
3627	10/02/2021	Estates and Facilities	If the Trust does not invest significant capital resources to reduce the identified backlog maintenance and critical infrastructure risk of its estate, significant business continuity impact due to failure of estates infrastructure / engineering systems / building fabric will be experienced. The Trust has identified backlog maintenance and critical risk remedial works calculated at £65m of net cost and circa £90m gross (excluding associated asbestos abatement estimated at a further £30m). Due to the limited financial capital allocations available to the Trust to support the associated risk prioritised remedial work plan, the Trust is unable to significantly reduce the business continuity risk associated with failure of the estate and its engineering system and catch up with the expedient life expiry of the estate.	Holloway, Mark	20	<ul style="list-style-type: none"> •Submission of SOC to NHSE/I to seek capital funding for new development. •Enhanced investment into Backlog Maintenance Programmes of Work to reduce Critical Infrastructure Risk (CIR) •Seek additional NHSE/I capital funding resources 	31/05/2021	Threlkeld, Iain	20	31/03/2021
3142	07/02/2017	Estates and Facilities	There is a risk to staff safety in E Block SLH, in that the upper floors are understrength for the current usage of the building. This is due to excessive loads of medical records and poor physical integrity of the building.	Holloway, Mark	15	11/2/21 - There has been a business case that has been produced and which will be presented at the next Board session on 18 March 2021. This paper will underpin the case for moving medical records off site and provide the vehicle for the physical records to be removed. This will reduce the weight load to the building.	30/04/2021	Woodman, John	10	31/03/2021
3551	19/05/2020	Chief Nurse	There is a risk that we will not be able to monitor and control infection during the COVID19 pandemic, leading to avoidable harm to patients and staff. Also see risk ID 2542 (Hand sanitizer)- closed 7/9/2020 and Risk ID 3540 (fit testing)	Dawber, Karen	20	MARCH 2021 - COMPARATIVE COVID INFECTION RATES (HOSPITAL ACQUIRED) SHOWS THAT WE ARE MANAGING AND CONTROLLING INFECTION BETTER THAN PEERS - L REDUCED TO 2 January 2021 - WE CONTINUE TO MONITOR THIS AS A SIGNIFICANT AND ONGOING INCIDENT AS PART OF OUR RESPONSE TO COVID 19 - MONTHLY REPORTING TO BOARD / REG COM VIS IPCC BAF CONTINUES, KEY ISSUES DISCUSSED AS PART OF CLINICAL REFERENCE GROUPS. ALL MITIGATION IS IN PLACE - REALISTICALLY WE WILL NOT REDUCE THIS RISK UNTIL THE CURRENT ALERT NATIONAL STATUS REDUCES SIGNIFICANTLY	30/06/2021	Chadwick, Claire	10	31/03/2021