



ASSURANCE FRAMEWORK

Principal Risks and Controls Document 2021/22

November 2021

PRINCIPAL OBJECTIVES

The NHSCT Corporate Plan outlines the Trust’s Principal objectives as follows:

Objective 1: Build Northern Partnerships and Integrate Care.

Objective 2: Continue to Improve Outcomes and Experience.

Objective 3: Deliver Value by Optimising Resources.

Objective 4: Nurture Our People, enable our talent and build our Teams.

Objective 5: Improve population health and address health and social care inequalities.

Movement since previous Principal Risk Document (PRD)

Item	Principal Risk	Movement since previous PRD August 2021	
		Changes to Risk Rating	
		Previous Risk Rating	New Risk Rating

Principal Risk Document - Summary Report

Red Risks added from last Principal Risk Document

Blue Risks to be de-escalated/removed from Principal Risk Document

Item	ID	Lead Division	Risk Title	Untreated Risk Rating	Rating (current)	Risk level (current)	Rating (Target)	Risk Level (Target)	Months Since Rating Changed	Opened	Date of Last Review
1	952	Surgery & Clinical Services	Access to Planned Care/Procedures	25	20	EXTREME	16	HIGH	3	21/11/2017	02/12/2021
2	324	Corporate Support Services & Nursing	Healthcare Associated Infections	25	16	HIGH	12	HIGH	20	15/03/2011	01/12/2021
3	1049	Mental Health, Learning Disability & Community Wellbeing	Mental Capacity Act	25	16	HIGH	12	HIGH	20	28/08/2019	02/11/2021
4	780	Corporate Support Services & Nursing	Nursing Vacancies	25	16	HIGH	12	HIGH	22	16/01/2015	01/12/2021
5	905	Medicine & Emergency Medicine	Unscheduled Care Demand	25	16	HIGH	8	HIGH	16	26/06/2017	20/09/2021
6	67	Strategic Development & Business Services	Information Governance	20	16	HIGH	9	MEDIUM	27	31/05/2008	04/11/2021
7	851	Corporate Support Services & Nursing	Dysphagia	20	16	HIGH	10	HIGH	32	19/05/2016	01/12/2021
8	1080	Finance	COVID-19	25	15	EXTREME	8	MEDIUM	15	03/03/2020	02/12/2021
9	28	Finance	Failure to Breakeven	25	15	EXTREME	10	HIGH	15	20/02/2008	02/12/2021
10	1000	Finance	EU Exit	15	15	EXTREME	6	LOW	4	09/07/2018	15/11/2021

10 Principal Risks

ID	Opened	Lead Division	Description	Consequence (current)	Likelihood (current)	Rating (current)	Risk level (current)	Principal Objectives	New and Existing Controls	Assurances Internal (I) External (E)	Gaps in controls and / or assurances	Actions to Close Gaps	Consequence (Target)	Likelihood (Target)	Rating (Target)	Risk level (Target)	Date of Last Review
324	15/03/2011	Corporate Support Services & Nursing	There is a risk of an outbreak of healthcare acquired organisms which has the potential to disrupt services and cause an adverse outcome for patients and staff. In addition WHO declared a Public Health Emergency on 30/01/2020 and declared the novel coronavirus (COVID19) outbreak as a global pandemic on 11/03/2020. The first presumptive case was confirmed in Northern Ireland on 27/02/2020. Sustained community transmission has continued from the 10th April 2020 and has remained in place to present (Dec 2021)	Major (4)	Likely (4)	16	HIGH	1	<p>Application of policies and procedures - National IPC guidance implemented (including testing guidance)</p> <ul style="list-style-type: none"> Increased observation of clinical practices Acute IPC forum held 6-weekly to monitor performance Each Directorate presents IPC plan at IPECH Revised schedule of Post Infection Reviews at strategic level agreed. CDI and Antimicrobial Stewardship wardrounds in Causeway Site and Antrim site Antimicrobial stewardship improvement project to be implemented Review of policies, procedures and plans:- Infection Prevention Control (IPC) Corporate Strategy reviewed 2021-2024 including IPC reporting structure with additional Bronze reporting structure for Covid 19 daily meetings Trust Cleaning Manual of cleaning procedures and advice on levels of cleaning required. Access to Regional Infection Control Manual via Staffnet. IPC Training Strategy and Delivery Plans for each Directorate / Division. Regional Visiting Policy restricting visiting for End of Life only from January 15th 2021. DOH Gold/PHA Silver/Trust Bronze has been established in response to Covid 19 management. Safer working group established and chaired by Director of Nursing/Infection Prevention and Control. Observational visit to ward areas by IPC team. Outbreak control meetings chaired by IPCD co-ordinated when required. Use of 'Fast Fact' information sheets for staff Safety Huddles. Nosocomial death review panel established and chaired by Medical Director; IPC Lead Nurse attends to provide information on covid status throughout patient journey <p>On-call IPC and microbiology rota (24 hour) 7 day week/24 hour microbiology laboratory service. IPCN increased on site presence across Trust 6/7 days and enhanced on call service for Antrim and Causeway localities.</p> <p>Intensive cleaning programme by Rapid Response Teams in Acute and Community facilities. Level 2 cleaning team in AAH developed during winter pressures has been maintained.</p> <p>IPC Link Nurse and Link Worker system Trust-wide. New training dates scheduled for May and September 2021</p> <p>IPC involvement and guidance in new builds and refurbishments. Weekly communication bulletin with other NI Trusts and PHA on regional IPC alerts and incidents. IRAT admission and assessment tool for patients at risk of infection. Twice daily attendance at site HUB by IPC Nursing team to advice on safe patient placement</p> <p>Post Infection Review Process for all Staph Aureus bacteraemia and C diff.</p> <p>Communication/education to staff and visitors regarding risk of Norovirus, Influenza and Covid 19.</p> <p>Water testing for Legionella and Pseudomonas as per Water Safety Plan/Policy.</p>	<p>Rolling audit / feedback programme of compliance with hand hygiene and clinical practice care bundles including Antiseptic Non Touch Technique (ANTT) using regional audit tools (I).</p> <p>Rolling programme using Regional Cleanliness audit tools for Environmental Cleanliness and Clinical Practices including augmented care (I). Validation audits of self-assessment audits for Augmented Care areas - NNU, ICU (Antrim and Causeway), and additionally for C7, Macmillan Unit, A4 Renal in-patient area, Renal Unit.</p> <p>CAS January 2020 score for IPC 98% (Replacement for these standards remains under review with the DoH) (I).</p> <p>Electronic Laboratory and Antimicrobial Surveillance (LAMPS) systems to monitor alert organisms / antibiotic stewardship and compliance reporting (I).</p> <p>Daily monitoring and reporting of confirmed HCAI cases (I).</p> <p>Monitoring of compliance with Antimicrobial Policy and stewardship rounds. ARK Project commenced November 2018 (I).</p> <p>Audit of CDI Management and Ribotyping of CDI (I).</p> <p>Highly visible IPC Nurse presence in all in-patient clinical settings, auditing, monitoring and challenging any poor practice (I).</p> <p>Results of water testing (I).</p> <p>Mandatory reporting to PHA of C-Diff, MRSA Bacteraemia and Gram Negative Bacteraemia and monitoring against annual (PFA) reduction targets (E).</p> <p>Participation in Regional Surveillance programmes for C Section wounds and Device- associated Infection Surveillance in Critical Care Units (E). Regional Point Prevalence Survey (PPS) HCAI and antimicrobial use (E).</p> <p>Joint Food Hygiene Standards and Kitchen inspections with Environmental Health Officers. This is now conducted virtually. (E).</p> <p>Regular meeting of Trust Bronze and Bronze planning group. Regular reporting to Exec team/SMT. PPE group meets weekly to review supply and to update on FIT testing compliance levels and any variances identified in Trust.</p> <p>IPCHEC membership and terms of reference is currently under review by exec team to provide assurance that IPC leadership in key operational areas is evident.</p> <p>Incident Management Teams to help assess actions and learning acquired from outbreaks. Outbreak Management meetings led by IPC Doctor and Senior Nurse.</p>	<p>1. Bed capacity reduced from april 2021 due to relocation of ICU and refurbishment of C6. Delays in patient path ways due to need for COVID19 testing and results or availability of appropriate beds and isolation/cohort depending on IPC requirements. Safe Placement of augmented care patients is still an issue on Antrim site; inappropriate number of augmented care rooms.</p> <p>2. The current reliance on locum and agency medical and nursing staff presents a level of risk with regard to assurances in maintaining IPC standards and compliance with IPC policies.</p> <p>3. Second stage Post Infection Reviews Have had to be paused due to pressures arising from Covid-19. 4. Regional Point Prevalence Survey – Results of PPS indicate concerns regarding antimicrobial prescribing and inappropriate use of antibiotics in relation to the rest of the NI region. Clinical concern around the over prescription of Tazocin.</p> <p>5. Operational pathways to manage positive results of COVID19 adjusted according to surge phase and number of patients presenting.</p> <p>6. The Trust is working with BSO Pals to ensure there is a stable supply of masks and PPE. 7. Supply chain availability of FFP3 Masks dictates recurrent FIT testing requirements based on supply of mask type 8. A programme of leadership walkabouts to identify and address estates and cleaning issues have been suspended within acute sites during the Covid management period 9. 6 weekly IPC Environmental Hygiene Performance and Assurance Committee (reports into Trust Assurance Framework) (I). 10. IPC Nursing workforce under pressure to sustain the increased presence and response to Trust acute and community facilities/teams and Independent Sector care homes. Awaiting confirmation of business case approval for additional resource to extend to a 7 day service</p> <p>11. Surveillance system required for Covid-19 awaiting regional agreed position and procurement. 12. There may be cases where children are admitted to hospital due to being very ill with Covid-19. In these cases the parents are either also positive or are contacts. Parents will want to stay or visit their child; IPC risk assessments on individual cases need to be made to reduce risk of spread of covid 19 where there are gaps in the national guidance for carers or parents who are contacts/positive.</p>	1	Major (4)	Possible (3)	12	HIGH	01/12/2021

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1049	28/08/2019	Mental Health, Learning Disability & Community Wellbeing	The Department of Health, requires H&SC Trusts to proceed with a partial implementation of the Mental Capacity Act (NI) 2016 (MCA) for the purpose of providing a statutory framework for the Deprivation of Liberty from the 02nd December 2019 with full implementation by December 2020. Failure in these arrangements would impact adversely on performance and consequently patient safety and care. The additional processes required in relation to the Act may also adversely impact patient safety and care. There is a further financial risk given the gap between the funding identified for this regionally and the Trust's preliminary cost estimates and a further risk in relation to the impact of the additional processes on patient care and on care management reviews within the Permanent Placement Team. The Trust has established structures and arrangements to ensure compliance with the MCA however the requirements of the Attorney General's Office and the Mental Health Review Tribunal are more onerous than anticipated. The additional work involved is placing considerable work burden on stretched staff resources and systems and further could potentially compromise the Trust's ability to complete the required assessments / court reports under the Act. The offence of unlawful detention will come into force on 31st May 2021.	Major (4)	Likely (4)	16	HIGH	1, 2, 3, 4 & 5	<p>Programme Management arrangements have been established to include a Programme Board and Project Implementation Team with established Terms of Reference and Chairs. Assistant Director Learning Disability Mental Health / Professional Social Work Lead, Professional ASW MCA Coordinator, MCA Office Manager and Administrative Assistant have been appointed permanently at risk.</p> <p>ASWs have been identified to chair the panels and Nurses / AHPs, and Medics have been identified as the second and third panel members.</p> <p>A small number of staff including senior management are working at weekends in order to complete assessments.</p> <p>An additional Hospital Social Worker and staff member to complete capacity assessments have been recruited to assist with MCA in the acute setting.</p> <p>Implementation Leads for MCA in Mental Health Older People, Community Care Division and in Acute Hospitals have been appointed.</p>	<p>The Trust is engaging with regional arrangements established to share practice and develop agreed solutions to the implementation of the MCA both short term and medium term. These include:</p> <ul style="list-style-type: none"> • an overall regional group comprising the director leads identified in each Trust, an Information T&F group, a Business Case T&F group and HR T&F group. • NHSCT co-chairs a Regional Multi-Agency MCA Implementation Group with the Office of the Attorney General NI (NIOAG), Membership includes NIOAG, The Review Tribunal (RT), DoH, DLS, all Trusts and RQIA. • The Trust led Regional Workshops along with DoH, with representation from other Trusts and other agencies / stakeholders to share and agree a consistent approach / processes. <p>The Trust achieved full compliance with the completion of DoLs for all identified legacy cases by 31 May 2021. Learning continues to be shared throughout the process.</p> <p>The RQIA have advised the Trust of their intention to undertake a monitoring role during implementation to assure that robust arrangements are in place for the MCA implementation. Training is monitored and reviewed by Service Managers. Plan are in place for the completion of extensions- this will be monitored on a monthly basis – there have been no breaches to date and the staff will continue to work to maintain this level of compliance.</p>	<p>Criminal liability offences within section 269 came into force on 31 May 2021. Trusts could be facing corporate liability proceedings and Trust staff at various levels could be facing criminal proceedings for any service user deprived of their liberty who is not detained in accordance with the MCA or other relevant statute. A scoping of all day care facilities has commenced. There is significant number of DoLs required.</p> <p>A ruling in a recent appeal case from the Special Educational Needs & Disability Tribunal (SENDIST) to the High Court stated that Trusts are responsible for the completion of DoLs for young people attending educational settings where they are deprived of their Liberty. This will have a significant impact on Children's Services. The time required to complete the forms / provide further information including a Statement under Rule 6 as directed by the RT is much greater than initially anticipated. The requirement for staff to provide a Statement under Rule 6 for every hearing and to attend RT if required is having a major impact operationally.</p> <p>There may not be a sufficient ASW / Medical resource to complete the required extension authorisations over the coming months. One of the Sessional Medical Practitioners has not been available to work since September 2020 with other sessional medical practitioners not available to work during the summer months. Three of the other Trusts are now recruiting medical staff at the higher tariff rate than regionally agreed £200. This will challenge the NHSCT medical supply. Extension authorisations will be prioritised over the coming months and therefore there will be a delay in completion of medical reports for new applications.</p> <p>The current 4th surge of the Covid pandemic is having a major impact operationally and is further reducing the capacity to complete MCA assessments / reports. There is an increased shortage of staff, particularly nursing and social work staff, across all divisions. Staff are required to provide operational cover across services for staff absences due to Covid.</p>	<p>The Trust achieved full compliance with the completion of DoLs for all identified legacy cases by 31 May 2021. However the current surge of COVID-19 is having a major impact on the workforce's ability to carry out new assessments for trust panel applications, short term detentions, extension authorisations and reports for the Review Tribunal will be closely monitored. Additional hours are offered and bank staff are used where possible however uptake has decreased.</p> <p>Criminal liability offences within section 269 came into force On 31 May 2021. Trusts could be facing corporate liability proceedings and Trust staff at various levels could be facing criminal proceedings for any service user deprived of their liberty who is not detained in accordance with the MCA or other relevant statute. Ensuring that applications / emergency provisions are considered and commenced if necessary immediately a DoL occurs will protect staff / the Trust from liability. Correspondence to staff and documentation for care homes was agreed and disseminated regionally. Trade unions have been engaged in discussions. A Regional Training sub-group has been established to consolidate training and to consider further training requirements. ELearning modules have been revised and submitted to DoH for approval. Trust leads are considering best ways to advertise training and make it available to both the Trust and private sector staff. Additional funding has been provided by DoH to use for training purposes by March 2022.</p>	Major (4)	Possible (3)	12	HIGH	02/11/2021
			<p>0.6wte Medical Practitioner has commenced secondment as clinical lead to complete medical assessments for cases that are not open to a consultant.</p> <p>2 additional Sessional Medical Practitioners have been engaged and are each working 1 day/week (7 in total working either 1 or 2 days / week)</p> <p>Staff training is available via ELearning to ensure practitioners across teams and services complete requisite training to level 4a. Bespoke in-house training has also been delivered within services. A sufficient number of trust staff have completed the training to carry out the required duties under the Act. Regional and Trust Training working groups have been established. Initial scoping exercise has been updated to identify the numbers of service users subjected to DoLs who need to be presented to panel, as well as a projection of new applications per year.</p>					<p>Governance arrangements have been developed to inform decisions and recording processes.</p> <p>Action plans have been developed for all relevant Divisions.</p> <p>Trust Operational Guidance has been developed for use in draft form to be finalised.</p> <p>Virtual assessments are being undertaken by the majority of staff involved to reduce the footfall as far as possible into the care homes during pandemic.</p> <p>Where it is not practicably possible to complete a full DoL authorisation, cases are managed under the emergency provisions of the Act. Correspondence to staff and documentation for care homes has been agreed and disseminated regionally.</p>	<p>A Local Enhanced Service arrangement (LES) with GPs has been offered by HSCB to be put in place with Trusts seeking this option. Response to date indicates that only 2 GP practices within NHSCT area are prepared to take up the LES and neither of these practices have complete the required training</p> <p>There is a significant disparity in the number of cases estimated by the DoH and the number of cases estimated by the Trust (and evidenced throughout the test period and initial months of implementation) that will require referral to the Review Tribunal (RT) via the Attorney General's Office. The default position of the RT will be to hear cases on paper; however it is possible that they may require an oral hearing following a review of the papers. There are currently approximately 35-40 Statements under Rule 6 required in a monthly period.</p> <p>The Trust has been unable to permanently recruit additional staff to undertake the assessments and complete applications because the funding is not yet recurrent.</p> <p>There is a gap between funding available and the full costs required to cover activity.</p> <p>An increasing number of care management reviews are out of date as staff resources are being prioritised to support the Covid outbreaks in care homes and working to achieve compliance with MCA.</p>	<p>Following the implementation of offences there has been a noted increase in the number of referrals to the facilities for DoL applications for residents who were not scoped initially as requiring a DoL but whose situation has changed and they now meet the criteria for a DoL – these will be treated as new cases. A register detailing all residents currently under a DoL and referral letter have been agreed regionally will be sent to each care home facility.</p> <p>The Trust will work with DoH to challenge decision that Trusts are responsible for the completion of DoLs for young people attending educational settings where they are deprived of their Liberty and place responsibility on Education Authorities and add to Regionals Strategic Advisory Group agenda to obtain support in finding resolution.</p> <p>There may not be a sufficient ASW / Medical resource to complete the required extension authorisations over the coming months. Three of the other Trusts are now recruiting medical staff at the higher tariff rate than regionally agreed £200. This will challenge the NHSCT medical supply. A letter will be sent out to recent retirees inviting them to complete an expression of interest for Sessional Medical Practitioner Post. Extension authorisations will be prioritised over the coming months and therefore there will be a delay in completion of medical reports for new applications. There are currently approximately 80 cases, currently managed under the emergency provisions of the Act, awaiting completion of a Form 6. Two permanent additional social work resources have been recruited to support the Permanent Placement Team.</p> <p>Plans are in place for the completion of extensions – this will be monitored on a monthly basis – there has been one breach to date as service user was a close contact of Covid-19 and was unable to be assessed within the timeframe and where possible staff will continue to work to maintain this level of compliance.</p> <p>Scoping of the requirement for DoLs for those service users in day care facilities has commenced however it has not been possible to progress assessments due to current the lack of resources. The position will be reviewed at end November 2021. Those cases scoped will be managed under the emergency provisions of the Act pending full authorisation.</p> <p>There are currently approximately 35-40 cases listed for hearing by the Review Tribunal in a monthly period requiring a Statement under Rule 6. This new activity has been considered within the IPT. Bank staff who were previously completing these statements are now required to complete extension authorisations and therefore these are currently being completed by the services. A Band 7 Solicitor has been appointed via DLS to work with the Trust on a full-time basis for 1 year to assist in the management of Statements under Rule 6 and other Review Tribunal directions.</p> <p>Band 8a Leads to Manage MCA within the division / service are now in place within Acute, Community Care and Mental Health and Older People Services. EOI has closed for MCA lead within Learning Disability.</p> <p>Virtual assessments continue to be undertaken by the majority of staff involved to reduce the footfall as far as possible into the care homes during pandemic</p> <p>The IPT has been revised for 2021/22 based on last years' activity. There is a gap between funding available and the full costs required to cover activity. This will require further refinement for 22/23.</p> <p>An increasing number of care management reviews are out of date as staff resources are being prioritised to support the Covid outbreaks in care homes and working to achieve compliance with MCA. Capacity within MHLDCW and Community Care continues to be challenging.</p> <p>The Trust's Business Intelligence team are currently developing a database to manage the information capture and reporting required by the MCA Service. This is at testing / final refinement stage.</p> <p>There are significant pressures on MCA Service with increased numbers of extensions and the requirement for Statements under Rule 6. Assistant Director MCA / Professional Social Work Lead and Professional ASW MCA Coordinator posts have been recruited permanently, applications have closed for the permanent MCA Implementation Officer post and an EOI has closed for an additional MCA Lead. An EOI was disseminated for 2 x Band 3 administrative assistants however no applications were received.</p>							

Return to PRD Summary Report

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780	16/01/2015	Corporate Support Services & Nursing	<p>There is a risk of non-compliance with regional guidance of safe nurse staffing levels in accordance with Delivering Care Policy. There is a national shortage of registrants leading to vacancies both temporary and permanent. This consequently leads to the increased use of bank/agency nurses with associated increased cost and reduced continuity of care.</p> <p>Covid pressures have impacted on demand for nursing workforce and requirement to redeploy to meet emerging needs. Increased ICU bed numbers in surge planning has also placed increased demands on the workforce and has impacted a number of clinical areas due to redeployment of staff.</p>	Major (4)	Likely (4)	16	HIGH	1, 2 & 3	<p>New and Existing Controls</p> <ul style="list-style-type: none"> Robust targeted recruitment programme of registered nurses and non-registered staff is ongoing with prioritisation of frontline staff. Trust internal processes streamlined to expedite vacant nursing posts to Shared Services Open file for Band 5 Staff Nurses with face to face interviews being held with immediate job offers made All recruitment opportunities exploited such as local and national University Liaison, OU roadshows planned. Students placed in Northern Trust as final years have been allocated permanent posts on completion of registration and have been invited to join nursing bank. Regional initiative to recruit International nurses has been impacted by travel restrictions – awaiting sign off regionally of the new business case however international nurses in country are now being supported to undertake Osce. Managed Quarantine provided Training induction programmes for registered nurses and HCA staff developed by PEF team Expedited processes exist within the Trust to process without delay front line nursing posts. Temporary banding increase for band 5 ICU/respiratory nurses to band 6 where they are managing increased complexity extended <p>Plan developed with Regional Workforce ADs, RCN and CNO colleagues to uplift Critical Care and Respiratory Nurses from band 5 to 6 in line with set criteria extended</p> <ul style="list-style-type: none"> Over recruitment of staff in high turnover areas to meet demand Give me five campaign launched to support registrants to undertake additional shifts <p>Development / Retention of Staff</p> <ul style="list-style-type: none"> Promotion of Secondments through virtual roadshows to encourage application to the Open University (OU) Nursing programme for Band 3 staff. Preceptorship model continued for new registrants in their first 6 months. Internal Transfer policy operational to facilitate / enable the retention of Nursing staff. Successful implementation of a Transformation Project to uplift 41.75 Band 5 nurses to Band 6 Clinical Sister/Charge Nurse to promote retention. Future Nurse / Future Midwife implementation plan on track. 5 Nurses/Midwives have completed Global Leadership development programme. 20 Frontline Nurses and Midwives supported to take part in the Nightingale challenge programme. Consultant and Advanced Nurse Practitioner roles promoted and supported through delivering care funding Post Reg Training and Development Commissioning plan for September 2021 is submitted with named nurses committed to modules, short courses and specialist practice qualifications. <p>Nurse Bank / Agency Staff</p> <ul style="list-style-type: none"> Block booking of agency staff stabilise teams is on-going. <p>Delivering care safe staffing</p> <p>Funding provided for uplift in 57.6 wte staff 21/22 year – implementation group established to monitor and drive compliance with recruitment processes to maximise in year spend</p>	<p>Monthly monitoring of staffing levels against agreed levels (I).</p> <p>Monitoring of recruitment timeline from e-requisition raised to appointment of staff member (I).</p> <p>Nursing workforce AD is a member of the BSO Customer Service Liaison group (E).</p> <p>Nursing workforce lead is member of regional nurse retention taskforce (E)</p> <p>Triangulation and close monitoring of trends / concerns in relation to clinical incidents / Key Performance Indicators (KPIs) with staffing / vacancies (I).</p> <p>Monitoring of block booking deployments within Nursing Governance (I).</p> <p>Daily Monitoring of bank/agency fill rates (I)</p> <p>Fortnightly reporting of current vacancies and stage of recruitment of staff progressing from conditional offers (I)</p> <p>Monitoring of regional allocation of international nurses and arrivals (I)</p> <p>Work ongoing to review safe staffing levels using workforce tools (I)</p>	<p>Recruitment / Development / Retention of Staff</p> <ul style="list-style-type: none"> There has been little significant Capital investment in phase 1 nursing within the NHST resulting in additional agency revenue spend to improve staffing levels. There is a low level of specialist ward areas within both acute sites resulting in 1:1.3 nurse:bed ratio only in the majority of areas. There is a national shortage of nurses. <p>Agency Staff</p> <ul style="list-style-type: none"> The continued number of Nurse vacancies will result in the use of expensive non-contract agencies which contributes to an increase in transient workforce. Agency invoices have backlogged due to no permanent funding to meet this increased demand, redeployed staff assisting – contract out to BSO planned for invoicing validation from August 21 <p>Trust PEF team requires development and resourcing to manage the Induction of Band 2/3 and clinical support of new graduates band 5 coupled with increased student allocations.</p>	<p>Recruitment</p> <ul style="list-style-type: none"> Use of Data to inform the targeting of recruitment and to monitor the level of substantive Nurse hours in each division Rolling and bespoke recruitment ongoing Robust on-boarding of new recruits with regular contact from operational teams to prevent attrition. Considerable work has taken place to improve processes and interface with BSO use of regional dashboard Processes improved and applied to validate the Current Band 5 waiting lists within the Trust and maximise recruitment. Agency and bank staff supplementing core staffing to manage winter pressures <p>Safe staffing Safety Briefings including staffing situation at ward and site level daily. Strengthening clinical leadership with the uplift of nursing staff from Band 5 to Band 6 in key areas. Ward Quality Indicator Nursing Toolkit ensuring daily reporting of staffing levels in site co-ordination report.</p> <p>Twice weekly staffing reports to outline unfilled shifts and monitor skill mix Delivering care 21/22 investment in new posts managed and monitored</p>	Major (4)	Possible (3)	12	HIGH	01/12/2021

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905	26/06/2017	Medicine & Emergency Medicine	<p>Unscheduled care is facing significant demands with increasing ED attendances, patient acuity and significant limitations in hospital flow. The situation is further impacted by a general reduction in system capacity which is resulting in unacceptable delays in the ED departments. This is exacerbated with the continued pressures of managing within COVID -19 guidelines and restrictions mainly in relation to Infection Prevention and Control which has led to reduced capacity within the acute, community and independent sectors further reducing bed and service availability.</p> <p>The delays seen in the ED departments are related to system wide issues across the whole patient journey, through the secondary care system and in managing safe, effective discharge particularly for those who require onward care arrangements. Whilst this issue is not unique to NHSCT, changes made in other Trusts or services in response to pandemic management has also impacted on NHSCT demand.</p>	Major (4)	Likely (4)	16	HIGH	1	<p>The controls described below reflect a part of the normal operational management of hospital and community services:</p> <p>Site co-ordination model in place on both sites to maximise flow of patients.</p> <p>Winter and Easter resilience planning processes in place.</p> <p>Active recruitment for medical and nursing vacancies.</p> <p>Regional Group looking at incentivization for bank staff and use of non-contracted agency</p> <p>Regional task and finish group established to develop strategic commissioning direction across all Trusts for neurology services. COVID Surge plans</p>	<p>Hospital Early Warning Score text and email alerts as required in response to site escalation (AAH only) (I).</p> <p>Attainment of 48 hour complex discharge target (I).</p> <p>Daily report from Site Co-ordination Model (AAH and CAU) (I).</p>	<p>1 - Recognised deficit in bed capacity on the AAH site. This has been compounded by COVID 19 infection control processes and protocols making placement of patients more complex and in addition to this is the reconfiguration of ICU beds to A1 location. Other limiting factors are the requirement for a respiratory and non-respiratory ED and requirement for patient Covid 19 swabbing and associated time-lag for receipt of results which limits ability for decision making of bed placement</p>	<p>1 - 24 bedded unit for Antrim Area Hospital operational. EAU now B5 and functioning. Development of medical model and ambulatory pathways. Ongoing communication with laboratory services to ensure rapid processing of COVID 19 swabs relating to admission and discharge of patients. Wards reprofiled following COVID 19 surge to manage COVID and Non-COVID patients. Rapid testing now in place ED, not yet 24hrs which still causes delays</p> <p>72 bedded Business Case with the HSCB for consideration. Letter of support in principle received from the Director of Commissioning, HSCB. Business currently being reviewed by DOH</p> <p>Developing and strengthening Ambulatory Care opportunities across both sites with the development of Direct Assessment Unit (DAU) in Causeway and programmed treatment unit AAH. Acute Assessment unit / Acute led medical model commenced late September, initially using 10 beds, expanded to 22 beds in January 2020. Aim to manage medical take and invoke ambulatory pathways where possible. May 21 review of all ambulatory pathways /Frailty/cardiology/surgery ED interfaces. The revised medical model, whilst initially very productive has been impacted by the management of COVID patients. May 21 Model reset and meeting with key stakeholders Focused medical model with emphasis on senior decision making.</p> <p>No more silos phone first working with Dalriada Urgent Care to promote patients ringing for advice / direction before attending ED. Effort to reduce ED crowding. Right place right treatment first time. Medical beds will be impacted between April and August with ongoing works to create ICU in C6. Final net loss from September 21 reduction of 8 beds across medicine and 12 beds surgical. Cross divisional mitigation group in place</p> <p>Already net loss of 3 beds to accommodate isolation in ward a3</p> <p>Update 03.11.21 - currently MEM running 6 additional beds in gynae and 6 additional beds in discharge lounge. Discharge lounge remains displaced and not able to manage patients who are assistance of one.</p> <p>Discharge lounge capacity also reduced due to social distancing requirements.</p>	Major (4)	Unlikely (2)	8	HIGH	20/09/2021
											<p>2- Over dependence on locums and agency staff. Additional ED consultants have been approved for Antrim. (please refer to principle risk 2 regarding nursing workforce</p>	<p>2 - Proactive medical and nursing recruitment ongoing regionally, nationally and internationally. Focused recruitment for nursing vacancies being planned. Will see impact by year end. medical efforts continue around recruitment, consultant posts readvertised. Focus required on remaining locum posts. Specific focus on Causeway - workstream established under renewing our vision.</p>					
											<p>3- Reduction in the allocation of F1s and F2s to NHSCT. Ongoing recruitment for junior medical staff continue however with winter and COVID pressure this is an ongoing situation with recruitment issues.</p>	<p>3- F1 mitigation plan in place, proposal to extend Hospital at Night sitewide to be progressed by Director of Nursing. Doctors in training steering group convened with Divisional Subgroups</p>					
											<p>4- Reduction in the attainment of the 48 hour discharge target. Our efficiency with this target is compounded with COVID swabbing for a number of patient groups and this is impacted on wait for swab result. Further impacted by complexity of community placement which is dependent on patient or main care giver COVID status</p>	<p>4 - Trust Discharge Group jointly chaired by MEM and CC revisiting workstreams and agreeing revised workplan to improve discharge planning and in line with no more Silos priorities.</p>					
											<p>5- Absence of ACAH (Acute Care at Home) outreach model in the NHSCT area. Ongoing efforts made through anticipatory care to create additional support to nursing homes. This is a community led workstream</p>	<p>6 - Anticipatory Care Model developed in the CAU Locality to support Care Homes, expanding from 4 homes to 10 by the end of March 2020. East Antrim LES in place as part of ICP workstreams. Initial reports evidence both models are reducing reliance on urgent care. This initiative has been impacted through COVID pandemic and revised model to be developed. This is a community led workstream. Community working on developing COVID pathways and Non-COVID pathways in private sector / primary care community hospitals</p>					
											<p>6- Reduction in the number of nursing home placements across the NHSCT area. This issue has again be further exacerbated by COVID 19 complexities of patient placement. This is a community led workstream</p>	<p>7 - Procure additional rapid response domiciliary care to cover all localities. Continue to work with all providers to maintain current capacity within the Independent Sector. This is community led.</p>					
											<p>7 - Inability to sufficiently expand Domiciliary Care. This is a community workstream.</p>	<p>9- Director MEM contributing to Regional Working Group, regional escalation policy revised and disseminated mid December 2019. Daily regional calls in place December to end of February. HEWS operational in all 5 Trusts. Director MEM continuing to influence a Regional Escalation approach. Director MEM and Director Operations involved</p>					
											<p>8 - Non availability of HALO over 7 day period. Additional HALO gives 16hrs per day although reduced during periods of leave</p>	<p>10 - Negotiations ongoing with commissioners in relation to neurology services. As anticipated a neurology advice line commenced from the 1st July 2020, giving consultants in the Northern Trust direct access to BHSC neurologist for advice on inpatient admissions, with a direct admission and repatriation process. Business governance arrangement being finalised for start date in early September. First joint appointment has been made (BHSC & NHSCT) with the successful candidate commencing in February 2021. This will provide 3-4 clinical sessions per week into Antrim Hospital. Interim position will cover - : Triage of referrals / Two clinics per week / 2 x 2 hour ward rounds per week / Reinstatement of GP email query pathway. Specialist neurologist appointed. Locum visiting consultant for limited sessions to screen urgent referrals and triage remaining referrals.</p>					

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											<p>9 - Lack of regional approach to escalation.</p> <p>10 - Current permanent consultant neurologist retired from service on 30th June 2020. Locum visiting consultant for limited sessions to screen urgent referrals and triage remaining referrals. We continue to work in partnership with Belfast and potential for neurologist to commence Feb 21. Locum continues, new post commences Feb 21</p>	<p>Neurology liaison nurse started at the end of January and is receiving induction now complete. This nurse will coordinate Neurology inpatient demand in Northern Trust and work directly with the new consultant who is commencing post at the start of March 2021.</p> <p>Arrangements remain in place with BHSCT to support unscheduled care which will continue even after new consultant takes up post. The previously agreed triage process is also still in place though this function (and review of diagnostic results) will transfer to new consultant once they commence in post.</p> <p>The Trust is actively working with HSCB and BHSCT to try to develop attractive joint posts for Trainees due to CCT this year and next year. And is also seeking to secure a locum (with clinical governance support from BHSCT) to help support the new consultant until further joint posts are secured with BHSCT. This work remains in progress.</p>					

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67	31/05/2008	Strategic Development & Business Services	The Trust has challenges in achieving the required levels of Information Governance (IG). There is a risk to the safe protection of service user information and the Trust's reputation. There is a secondary risk of regulatory action by the Information Commissioner's Office (ICO).	Major (4)	Likely (4)	16	HIGH	1 & 3	<p>1. Information Governance Management Framework in place (Information Governance Forum, Senior Information Risk Officer, Personal Data Guardian, Assurance policies, structures and an IG Action Plan).</p> <p>2. Processing Personal Information Policy and Procedures, supported by departmental procedures as required.</p> <p>3. Mandatory Training at various levels.</p> <p>4. Underachievement of IG and POPI mandatory training is escalated to and reviewed at Accountability meetings.</p> <p>5. Awareness materials for public and staff.</p> <p>6. High level of expertise and robust processes in IG Department.</p> <p>7. Divisional Action Plans are a standing agenda item on Directorate Accountability meetings and IG figures are included in the Divisional Scorecards to monitor compliance.</p> <p>8. IG Action Plan developed for 2020/22 with key priorities for the IG work programme.</p>	<p>1. Quarterly senior team monitoring of IG, POPI and ICT security training compliance and it is raised at Divisional Accountability Reviews and forms part of the Performance Report at Trust Board (I).</p> <p>2. Incidents and complaints are reviewed routinely at IG Forum (I).</p> <p>3. Th Information Management Assurance Checklist (IMAC) has been completed for 2019/20, with all areas compliant (E).</p> <p>4. Internal Audit carried out a recent IG audit in June 2021. The draft audit report has been issued with a 'Satisfactory' assurance.</p> <p>5. The Trust's Learning Alerts System is in place to share learning from incidents (I).</p>	<p>1. Compliance with mandatory training for Trust staff as at 30th September 2021, was 84% for IG Awareness and 82% for POPI. Cyber Security compliance was 73%. A Senior Executive Team target of 85% remains in place.</p> <p>2. The number of IG incidents reported during the quarter ended September 2021 was 40. There have been no incidents notified to the ICO during the last quarter and they are currently no incidents open to the ICO.</p> <p>3. Learning from IG incidents continues to be identified and shared but there is a continuing requirement to further embed this practice and evidence the actions taken.</p> <p>4. There were 7 IG related complaints received during the quarter ended 30th September 2021.</p> <p>5. All assets in the Information Asset Register have had a risk assessment completed (590 assets recorded).</p>	<p>1. The IG Department is providing regular reports to Divisional IAOs on IG incidents which identify incident hot spots / trends and any learning or actions that can be shared. A quarterly IG Incident Analysis Report is tabled for review at IG Forum meetings and corporate actions agreed to minimise or mitigate IG related risk.</p> <p>2. Outstanding Risk Assessments have now been completed. There are 590 assets on the Information Asset Register.</p> <p>3. Progress in respect of the Trust's IG Improvement Plan for the period 20/21-21/22 is monitored and reviewed by IG Forum.</p> <p>4. Work is ongoing on developing a Records Management strategy, which will identify a number of mid to long-term actions to be undertaken within the Trust. This work is being undertaken within the auspices of the Health & Social Care Records Committee. A short-term Records Management Action Plan has been developed which will deliver on a number of tasks by October 2021.</p> <p>5. A review of the DPA / FOI request process was carried out which identified the need for temporary additional resource to support this function. Temporary additional resource is now in place which is resulting in a gradual increase in compliance. An interim target of 75% compliance was in place for 2019, with a 95%+ target to be achieved by 31st March 2020. The 95% target has not yet been achieved but current compliance as at 30th September 2021 is 72% for DPA and FOI 80%. Services are under pressure to respond to requests for personal information due to competing priorities and service delivery. A further review of Divisional compliance is to be undertaken to identify particular areas of concern.</p> <p>6. The Trust is working with DLS and regional colleagues to progress appropriate contractual clauses and procurement exercises. The IG Department is supporting Divisions through the tendering process by undertaking data flow mapping exercises which inform the tender specifications & future contracts. A briefing paper identifying the challenges and a Trust action plan has been prepared to take the Trust to a state of compliance with GDPR contractual requirements. A funded resource has been recruited to lead and support work in</p>	Moderate (3)	Possible (3)	9	MEDIUM	04/11/2021

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											<p>6. There is a need for the Trust to set out Strategic Plan for Records Management. Investment may be required to support this plan including undertaking a review of paper records storage. This will enable the Trust to verify the accuracy of the Information Asset Register, update Risk Assessments and devise a Risk Management Plan. A short-term Records Management Action Plan has been developed which will deliver on a number of areas - timescales for this have extended from March to October 2021 - progress will be monitored via the HSCRC.</p> <p>7. Current compliance with requests for information under DPA and FOI legislation are 72% and 80% respectively as at quarter end September 2021 (previously 76% and 90% at quarter end June 2021).</p> <p>8. GDPR came into force on 25 May 2018 along with the new Data Protection Act 2018. A GDPR Implementation Action Plan was prepared and all actions have been addressed; however the work in relation to contracts is ongoing. This piece of work is significant and an additional resource has been identified to lead on this. This remains a priority for the Trust, and is included within the Trust's IG Action Plan.</p> <p>9. Progress against the Trust's IG Improvement Plan 20/21-21/22 is monitored and reviewed by Information Governance Forum.</p>	<p>7. A number of information governance policies have been reviewed and updated and are going through the Policy Framework process.</p> <p>8. The increase in the number of staff Homeworking due to the current climate has been identified as an additional risk factor. The Trust has put in place a number of measures to reduce this e.g. Trust Policy on Flexible Working, Guidelines on Homeworking, IG Newsletter with a Homeworking section and a Broadcast email highlighting the outlining the key IG considerations when required to undertake Homeworking.</p> <p>9. A communication plan to raise awareness with staff and highlight good information governance practice has been put in place, which will consist of targeted messages via Broadcast emails, IG Newsletters, Screensavers, content in Core Brief, with the objective of reducing IG incidents.</p> <p>10. The recent cyber incidents in HSC partner organisations, have highlighted the need to develop a Regional IG Cyber Incident Response Plan and undertake work within Trusts to ensure that all partner organisations information sharing arrangements are adequate and meet the legislative requirements under GDPR. Regional temporary funding has been sought to resource both a temporary Regional Central Project Team and local HSC Project Managers to take forward this work.</p> <p>11. The recent audit by Internal Audit has provided an outcome of 'Satisfactory' Assurance with 8 priority recommendations (5 P2s and 3 P3s). Management responses are currently being drafted.</p>					

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851	19/05/2016	Corporate Support Services & Nursing	There is a risk of choking on food by patients / clients diagnosed with dysphagia or with suspected dysphagia. (There are also risks re deteriorating health eg due to aspiration pneumonia / malnutrition or dehydration)	Major (4)	Likely (4)	16	HIGH	1 & 3	<p>Assessment</p> <p>Waiting list times for SLT assessment / review are monitored. HSCB have previously completed capacity demand analysis which indicates a capacity shortfall of 4 band 6 SLTs to meet ongoing demand. These posts will be advertised as band 5/6 training posts to try to attract applicants.</p> <p>Implementation of the Dysphagia Management and Choking Reduction Policy (Adults) which has been revised and reissued to strengthen the recommendations in the SQR/SAI/2021/075. Development of Trust Dysphagia Policy for Children has been completed Nov 2019.</p> <p>A range of new NHSCT resources (developed by the Dysphagia Support Team in conjunction with the Trust Dysphagia Group) have been rolled out across divisions and have been shared with agencies in November 2021. These resources include a staff booklet, posters and A5 swallow aware 'fast facts' card which highlight the key recommendations from SQR-SAI-2021-075 and learning from local incidents to support staff. New, visual IDDSI food / fluid level posters</p> <p>PHA has established the Regional Multi-disciplinary and Multi-agency Adult Dysphagia Group (Dysphagia NI) to action the recommendations of the PHA Thematic Review of Choking on Food. A sub group of this working group has guided the introduction of standardised International Dysphagia Diet Descriptors initiative (IDDSI).</p> <p>Risk Management checklist for patients / clients who do not wish to eat commercially prepared texture modified meals to enable provision of alternative texture modified meal.</p> <p>Snack lists for hospital and community agreed and available on Staffnet at different IDDSI levels.</p> <p>A learning letter (including a complaints template) has been shared through divisions re the process for raising concerns regarding the consistency of the ready-prepared meals for special texture modified diets.</p> <p>Staff are aware that where there are any issues in mapping previous UK Descriptors to IDDSI descriptors, the case must be referred to SLT. All Trust systems have switched from NPSA to IDDSI. NHSCT are compliant with the direction to use of IDDSI across all care settings and on all systems</p> <p>The lead for Domiciliary Care is now a Dysphagia Champion.</p> <p>A Trust Dysphagia Support Team. 3.0 WTE now funded of the original 5.0WTE included in the RCB</p> <p>A cross divisional Trust Dysphagia Group is well established and recommend bi-monthly meetings and a cross divisional action plan.</p> <p>Staff Training Programme</p> <p>The DOH/PHA led Dysphagia NI has endorsed a regional PHE ELearning programme which is available on the HSC learning platform to HSC staff and to staff in independent care sector</p> <p>Trust Exec team have endorsed that dysphagia training will be mandatory</p> <p>The Trust Dysphagia Group has developed a training matrix including mandatory dysphagia awareness training for defined staff groups</p> <p>SLT are continuing to provide monthly zoom training sessions to NHSCT and IS staff</p> <p>In the last reporting period 2,642 Northern Trust staff from catering, social care and nursing have accessed some form of training in Dysphagia awareness. In addition Approximately 1,400 Trust staff attended IDDSI training in October / November 2018. 22 ALD staff trained Oct – Dec 2020 with 333 trained Jan – Sept 2020 75 nurses/health care workers trained Oct-Dec 2020.</p> <p>Between August 2021 - October 2021 the Dysphagia Support Team delivered dysphagia awareness training to a further 146 NHSCT staff, 56 Independent Sector Care Home staff and 15 dietetic students. In the last 12 months (October 2020 - October 2021) 630 NHSCT staff have completed the regionally endorsed dysphagia e-learning modules, hosted on the HSC learning platform.</p> <p>Homecare - 831 Homecare Workers have received training in Dysphagia Awareness. This is approximately 81.5% of the staff.</p> <p>Homecare staff are not permitted to assist with the feeding of newly referred clients with a SLT care plan until trained.</p> <p>Dysphagia Information Awareness Leaflet issued to home care and community staff which was revised in March 2018 to include IDDSI and redistributed March 2019.</p> <p>Training of Homecare workers to be kept under review by relevant managers.</p>	<p>Incident reporting policy (I). Investigation of incidents and dissemination of learning across Trust (I).</p> <p>There is a NHSCT Trigger list to support incident reporting (now adopted regionally)</p> <p>Re-audit of practice within hospital sites commenced January – April 2018 and a further audit completed in November 2019.</p> <p>An action plan has been agreed by the Trust Dysphagia Group to address recommendations from this audit</p>	<p>Assessment</p> <p>1.Waiting times for SLT assessment continues to exceed 560 days. Clients may experience harm (malnutrition, chest infection, aspiration pneumonia, choking) while waiting for assessment.</p>	<p>Assessment</p> <p>1.Working towards reducing waiting time to Ministerial target of 13 weeks by July 2020. However capacity shortfall of 4.0WTE Band 6 posts has been identified to meet ongoing demand. SLT service improvement plan in place to reduce DNA rate; to target admin support; to develop individual work plans for staff; to move towards partial booking all of those continuing. Paper presented to SMT in February 2020 and agreement to submit IPT to fund staffing from demography money. Recruitment is progressing.</p>	Catastrophic (5)	Unlikely (2)	10	HIGH	01/12/2021
									<p>NHSCT representatives nominated to Regional Group to consider recommendations from regional Thematic review At August 2021, RQIA are currently undertaking a review of the implementation of recommendations to prevent choking incidents across NI. NHSCT are working with RQIA to progress this review.</p>	<p>Risk Management</p> <p>1. No effective system to have complete assurance about:</p> <p>a. The traceability of meals – functionality of menu tablets has improved but not fully to achieve IA recommendations</p> <p>b. Recent Audit in Antrim and Whiteabbey Hospitals has demonstrated that there is not full compliance with safe storage of thickeners. Secure storage of thickeners to prevent unauthorised access Inconsistent reporting across division of incidents relating to dysphagia management.</p> <p>2. A dysphagia bundle, based on the six recommendations of the safety and quality alert is to be developed, and identifying audit tools to be used.</p>	<p>Risk Management</p> <p>1a. Meetings held with Catering / IT User Group to escalate concerns in relation to functionality of the Menu tablet and WiFi connection. A software update to the Trust catering management system, due towards the end of the year, will enable the use of alternative, updated, tablets which will improve functionality.</p> <p>b. Regional patient safety alert HSC (SQSD) 6/15 Risk of Death from asphyxiation by accidental ingestion of fluid/food thickening powder has been disseminated on 3 occasions (Dec 2015, Aug 2016 & Dec 2016) however assurance cannot be obtained regarding the safe storage of thickeners. Consideration to be given to including availability/storage of thickening powders as a possible audit for the assurance audit programme.</p> <p>2. Dysphagia support team lead and SLT lead analysis quarterly incident reports for discussion at the Trust dysphagia group to agree actions. A trust wide trigger list to support incident reporting on datax has been developed and distributed</p> <p>Regional work is also ongoing to standardise the reporting of incidents. The Trust Dysphagia Group continues to meet to agree priorities associated with the updated Dysphagia Management and Choking Reduction Policy (Adults) which has been approved by CSCPG and is available on Staffnet from July 2019. The policy has been updated to strengthen the recommendations in the SQR letter. Final report and recommendations provided in January 2020 to Executive Director of Nursing. Action plan has been agreed by Trust dysphagia steering group and shared with exec team.</p>						
									<p>3. Further progress and roll out of safety pauses at meal times and auditing of same has been tested and roll out planned and does not comply fully with SQR.</p>	<p>3. Dysphagia Support Team (Transformation Project). The support will progress the recommendations from the Regional Dysphagia Steering Group and the Thematic Review. This team is funded through transformation monies and funding has been extended until March 2022. This team in liaison with SLT team is redrafting the training matrix to include induction checklist and mandatory dysphagia awareness training for defined staff groups. This will include proposals to capture training on HRPTS to provide training reports to divisions. A range of new NHSCT resources (developed by the Dysphagia Support Team in conjunction with the Trust Dysphagia Group) have been rolled out across divisions and have been shared with agencies in November 2021. These resources include a staff booklet, posters and A5 swallow aware 'fast facts' card which highlight the key recommendations from SQR-SAI-2021-075 and learning from local incidents to support staff. New, visual IDDSI food / fluid level posters.</p>							
									<p>4. The Regional Dysphagia Steering group has not yet provided an action plan to Trusts regarding standardisation of dysphagia care training to specific staff groups therefore NHSCT have proceeded with a Trust Plan but have been unable to fully mandate training by staff recruited through agencies.</p>	<p>4. A letter has been drafted for issue to the PHA raising concerns about the use of outdated terminology by a neighbouring Trust and in Paediatrics. A response was received from DON (PHA) the regional implementation group has been recalled to consider the issues raised. Regional group has been recalled to consider the issues raised. Regional group has progressed this and agreed pilot of IDDSI descriptors with infants. This will have to be resumed post COVID. This is resolved now.</p>							
									<p>5. Regional work on the reporting of dysphagia-related incidents and a pilot IQI project to improve reporting is currently on hold due to covid-19 but will be resumed during phase 3 of reset plans.</p>	<p>5. A further audit of dysphagia practice against the July 19 policy has been carried out in November 2019 in selection of facilities from all programmes of care.</p>							
									<p>6. Task and Finish Group to be established to consider Trust compliance with recommendations set out in The NCEPOD report: 'Hard to Swallow?' for patients diagnosed with Parkinsons.</p>	<p>6. Recommendations from audit have been discussed at Trust dysphagia group and action plan has been agreed</p>							

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1080	03/03/2020	Department of Finance and Operations	Risk to the provision of Trust services during the response to the COVID-19 pandemic, including post surge, reset and planning for potential future surge. There remains a risk around the potential shortage globally of appropriate PPE. The rebuilding of services/capacity presents challenges to maintain safe and effective care and the ongoing COVID-19 restrictions.	Catastrophic (5)	Possible (3)	15	Extreme	1 & 3	A Trust COVID-19 Bronze command and control structure has been established and remains in place. The frequency of meetings were increased to daily (7 days per week) over the build up to and over the Surge 3 period. Bronze meetings have now been stepped back to weekly, but remain responsive to increasing should this be required. Daily SIT reports remain in place. Bronze meetings considers Situation Reports from Acute Sites, Community Divisions including updates on issues such as Oxygen & ICU Capacity, with specific reports on ICU capacity. The Bronze group also consider various workstreams, including Testing, Safe Working, PPE, Workforce and Communications. Any regional correspondence is also considered by the Group, and where necessary, issues are raised in the daily report to Regional Silver.	Daily Bronze meeting where any COVID-19 issues can be escalated.	Plans ongoing to meet requirements of Rebuilding Helath and Social Care in a continued COVID compliant manner, and monitoring against Pre-COVID capacity. This is monitored and reported via Project Reset Service Delivery group. This impact on service capacity as a result of the requirement to rebuild in a COVID compliant manner has had significant impact across a wide range of services including Elective and Unscheduled Hospital services as well as Community Health and Social Care settings.	A regional template to be agreed and adopted to inform decision making over resumption of services. Trust delivery of services following resumption continues to be closely monitored. Robust internal monitoring systems in place to quantify service impacts.	Minor (2)	Likely (4)	9	MEDIUM	02/12/2021	
										Subsequent surges in COVID activity and associated impact on flexing ICU beds regionally will further impact ability to deliver elective services	The Trust has also been managing a range of Outbreaks across various work settings resulting in the loss of staff in line with COVID guidance and Self Isolation requirements. This has resulted in some reduction of service but priority and critical services have been maintained.	Each Outbreak is closely monitored for the duration of the isolation period, invoking Director level oversight where appropriate. This process includes regular review of impact on service and assurance that essential services and critical needs are maintained.						
										Recognised deficit in bed capacity on the AAH site has been compounded by COVID 19 infection control processes and protocols making placement of patients more complex other limiting factors are the requirement to maintain a lower risk pathway for elective cancer and urgent surgical patients, a respiratory and non-respiratory ED and requirement for patient Covid 19 swabbing and associated time-lag for receipt of results which limits ability for decision making of bed placement	Bed utilisation closely coordinated to manage risks between ED and Ward levels, taking account of the shortage of side rooms on the Antrim site. The Trust continues work to reduce the placement delays arising from the patient Covid 19 swabbing and processing of results processes. Additional side room capacity being created within the Antrim Site to enhance flows. The Trust has contributed to the Regional Surge Planning in respect of ICU and Respiratory capacity at Director level	Regional consideration is being given to the development of a similar model to oversee Unscheduled Care Pressures.						
										A significant proportion of the Trust's planned activity was stood down/scaled back/changed during the first, second and third Coronavirus surges. This has resulted in a risk that some patients and service users are waiting longer to access services, and this delay could in some cases result in harm.	Further temporary reduction in beds on the Antrim Site to complete ICU refurbishment	Rebuild plans are now in process of being re-established in response to reduction in COVID-19 demand. Progress monitoring in place.						
										The Trust has recently been asked to put in place arrangements, in line with regional requirements, to implement the COVID 19 Vaccination Programme, including securing a suitable location, establishing appropriate vaccine storage & distribution arrangements, identifying the required workforce (Pharmacy, Vaccinators, Admin Support, Management and Medical support) and put in place appropriate governance and monitoring arrangements.	COVID compliance practices has resulted in the inability for Critical Care Services on the Antrim Site to be provided out of their original footprint resulting in an urgent need to relocate CC services. Reprovision of CC will result in a further unavoidable reduction of beds on the Antrim Site. The works required to achieve this move will significantly impact on the site over a 17 week period	Mitigation plan in place internally and regionally and daily monitoring of flow in place ICU successfully relocated to C6 early October. Completion of remaining minor works ongoing and due for completion by end of November to release the site formally into revised footprint	A Director Level Oversight group has been established to coordinate the required response, chaired by the Deputy Chief Executive. This group has put in place appropriate Project Management and Clinical leadership supported by Work streams on Accommodation, Operations, Primary Care, Governance/Information and Communications					
												The Trust has also now commenced the COVID Booster Programme in early October, to include the annual Flu programme. The target group for the Trusts is in two categories. 1. Mobile Teams; meeting the Booster requirements for Care Homes, Housebound, Supported Living and Schools; 2. Mass Vaccination Centre; providing Third Doses to identified Immunosuppressed patient and meeting the Booster needs for all Front Line Staff, and Non-Front Line staff aged over 50. During November the requirement of the MVC was expanded, following JCVI advice, to include Second Doses for 12/17 year olds as well as Booster Doses for over 18s with a minimum 12 week gap since second dose. Delivery of this ask will be delivered by age group, starting at over 50s, and then moving to over 40s and so on. It is expected that this aspect of the Vaccination Programme will last into March 2022. This requirement presents the Trust with significant logistical challenges in meeting the requirements of the various streams and securing staffing to deliver. DoH will also soon be engaging with Trusts and other partners to scope the requirements for a commissioned Vaccination programme from April 2022 onward.						

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ID	Opened	Lead Division	Description	Consequence (current)	Likelihood (current)	Rating (current)	Risk level (current)	Principal Objectives	New and Existing Controls	Assurances Internal (I) External (E)	Gaps in controls and / or assurances	Actions to Close Gaps	Consequence (Target)	Likelihood (Target)	Rating (Target)	Risk level (Target)	Date of Last Review
28	20/02/2008	Finance	Failure to achieve statutory break even position.	Catastrophic (5)	Possibly (3)	15	Extreme	2, 3 & 5	<p>Financial Accountability arrangements. Process for monitoring budget and formulation of corrective action plans. Robust monitoring and forecasting. Income agreed with Commissioners and monthly meetings with HSCB Finance colleagues to discuss cost pressures. Process for budget setting. Recurrent savings proposals identified by directorates and monitored monthly. Implementation of contingency arrangements, with appropriate approvals, if required to secure a breakeven position. Monitoring of Savings plans if required. Confidence and Supply planning and slippage review</p> <p>The Trust has maintained financial control internally through ongoing budget management processes, along with RAMP and project management arrangements (I). Director accountability arrangements (I). Monthly Director accountability meetings with Director of Finance and Deputy Chief Executive (I).</p> <p>A new finance/performance accountability forum has been established which will commence in Sept 2019. A medical Scrutiny Committee has also been established which will examine the utilisation of locums and recruitment of a range of vacant posts. The Trust has submitted a draft high level financial plan for 2019/20 which is indicating a £13.7m deficit in year. This includes a shortfall against the cost controls/savings targets of £9.058m that have been given to the Trust by the HSCB. Consideration is being given to high impact proposals to address the 2019/20 savings shortfall. Discussions continue with HSCB and DoH representatives.</p> <p>Trust Board receive regular Financial Performance Report setting out progress against the Financial Plan (I). Monthly and Annual financial reporting and external audit (E).</p>	<p>The Trust has maintained financial control internally through ongoing budget management processes, along with RAMP and project management arrangements (I). Director accountability arrangements (I). BI-Monthly Director accountability meetings with Director of Finance and Deputy Chief Executive (I). The finance/performance accountability forum was established in Sept 2019 which meets quarterly and is chaired by a non executive director. A range of topics are reviewed. The medical Scrutiny Committee examines the utilisation of locums and recruitment of a range of vacant posts by Directorate. A nursing review group has been tasked with assessing the impact of nurse agency costs by service provision. The Trust submitted a draft high level financial plan for 2020/21 indicating a £8.8m deficit in year. Due to the impact of Covid 19, a number of core services were stood down and a range of costs avoided. The downturn in these "business as usual" services have been offset against the Trust's projected deficit and continue to be kept under review. The Trust is recording all expenditure associated with Covid 19, and details are recorded on the monthly monitoring return for review by HSCB and DoH. It is assumed that all costs associated with Covid 19 will be fully funded. Discussions continue with HSCB and DoH representatives.</p> <p>The Trust has reported a small Surplus Position (£84k) for the year to 31 March 2021, with further underpends in COVID (£244k) and Transformation (£5k)Earmarked Funds.</p> <p>Trust Board receive regular Financial Performance Report setting out progress against the Financial Plan (I). Monthly and Annual financial reporting and external audit (E).</p>	<p>As in previous years, the Trust continues to take forward a significant range of projects in support of Transformation which was funded in recent years via the regional Confidence and Supply Funding. This has been instructed by DoH to continue for 20/21. The only schemes funded recurrently has been the Mental Health projects. The Trust has been non-recurrently fully funded 2020/21 or the other schemes progressing. It has been informed that there is no funding continuing for these schemes beyond 31/03/2021. The Trust therefore is carrying financial risk until such time as funding is secured or a decision is made to stand down projects. The Trust has commenced 2021/22 Financial Planning, in conjunction, with DOH and HSCB colleagues and currently projects a significant deficit for Core services, with further commitments arising in 2021/22 due to pressures such as COVID Response, Whiteabbey Nightingale , No More Silos in addition to Transformation schemes.</p>	<p>The Trust continues to closely monitor the recurrent financial position with regard to Transformation Projects. These projects continue to be funded on a non-recurrent basis, although a significant number have been tagged "Assumed Recurrent" by HSCB & DoH indicating an intention to fund recurrently from April 2022.</p> <p>The Trust continues engagement with DoH/HSCB with regard to scale of the financial pressures facing the Trust in the current financial year. The Trust received indicative allocations for 2021/22 financial year on 13 May and was required to submit a financial projection by 31 May. This submission set out a potential £68m financial gap in year made up of Core Service Pressures (£19.8), Undelivered Savings Targets (£13.0m), COVID response/Rebuild (£17.7m), Whiteabbey Nightingale (£4.3m), No More Silos Proposals (£7.0m) and Transformation Shortfalls (£5.9m). There has been ongoing engagement between the Finance Team and colleagues within HSCB and DOH to inform Financial Planning and Monitoring Round Bids. This will be further developed during September and October. As of 17 November, it is currently anticipated that the Trust will arrive at an agreed Break even projection subject to continued detailed monitoring of the various funding streams outlined above. It should be noted that there remains a significant Recurrent Financial Deficit of @ £135m, including Core, COVID, Nightingale, No More Silos and Transformation</p>	Catastrophic (5)	Unlikely (2)	10	HIGH	02/12/2021

ID	Opened	Lead Division	Description	Consequence (current)	Likelihood (current)	Rating (current)	Risk level (current)	Principal Objectives	New and Existing Controls	Assurances Internal (I) External (E)	Gaps in controls and / or assurances	Actions to Close Gaps	Consequence (Target)	Likelihood (Target)	Rating (Target)	Risk level (Target)	Date of Last Review
1000	09/07/2018	Finance	The UK left the EU on 31 January 2020 and entered a transition period, as set out in the withdrawal agreement, which ended on 31 December 2020. The Northern Ireland Protocol came into effect following the end of Transition Period on 31 December 2020. Under the terms of the protocol, Northern Ireland remains in the EU single market for goods. There remains a risk of disruption to the supply chain following the end of the transition period, affecting key stocks and supplies and impacting on service delivery and patient care. Under the NI Protocol, NI will continue to follow EU rules and regulations for medicines and medical devices, whereas GB will not. This has implications for both the supply and regulation of medicines in NI.	Catastrophic (5)	Possible (3)	15	EXTREME	1, 2 & 3	<p>The NHSCT has 3 representatives on the regionally-led DoH EU Exit Group for ALBs, including a Business Continuity and Emergency Planning representative at both the DoH ALBs group meeting and also the DoH Emergency Planning leads group. In addition, there are Assistant Directors representing on the Finance and HR Working Groups in relation to assessing and determining potential impacts. These representatives continue to work with regional colleagues to understand and respond to the risks. These meetings are now only occurring when required. To agree the requirements for the planning and strengthening of business continuity arrangements within the NHSCT, there has been an Internal Working Group established for EU Exit with membership including divisional representation across the Trust. This group continues to meet when required and communicates all emerging issues as and when arising. The NHSCT will continue to work closely with DoH and other HSC bodies to address any potential risks. EU Exit briefing sessions delivered to all Trust divisional management teams. Assurance Statements previously forwarded from the Chief Executive to the Permanent Secretary to confirm Trust planning.</p> <p>BSO PaLS has implemented contingency arrangements and increased warehouse supplies by approximately 6 weeks' worth on top of their normal stock levels. Local divisional confirmation of contingency stocks for non-stock items.</p> <p>Medicines/Pharmacy supplies are also being dealt with outside of Trusts, at a national and regional level.</p> <p>Up-stocking of essential supplies had taken place for 29 March 2019 leave date, but is also now being maintained and rotated by divisions and managers as in line with regional instructions to approach and manage shelf life issues where applicable. Additional storage had been secured by Estates to meet any additional requirements and this is continuing at present and will remain in place for the 31/01/20 date.</p> <p>Regular meetings of the Trust EU Exit Working Group which includes representation from Divisions, Finance, Governance (Emergency Planning) Estates, HR, Catering are continuing to meet following the end of transition period.</p> <p>EU Exit Strategic and Operational Business Continuity Plans have been reviewed and updated (these remain live documents).</p> <p>Trust leads are planning for the local issues particularly working with the region in relation to stocks and supplies impacts and planning contingency measures. Stocks are being kept under review following the end of transition period. The Head of Pharmacy participates in the weekly Pharmacy Leaders Forum and the bi-monthly NI EU Exit / NI protocol programme board recently convened and chaired by the chief pharmaceutical officer</p>	<p>A Business Impact Analysis has been undertaken and Business Continuity Plans developed on the basis of risks identified (I). This continues to be monitored and updated for any emergent issues.</p> <p>Trust EU Exit Lead and Emergency Planning Lead attended Executive Team on 14 February 2019 to provide update on contingency arrangements in place (I).</p> <p>Key staff, including roles of Divisional Directors and Divisional EU Exit Leads took part in a table-top exercise on 5 March 2019 to ensure all are aware of their responsibilities and action to be taken in respect of any EU Exit related issues, including arrangements for SITREPs (I).</p> <p>The Trust has also established planning arrangements to support the DoH C3 structure. The Trust has tested and has in place processes to discharge duties in the event of a stand up of these regional reporting structures (I).</p> <p>Trust Emergency Planning Lead attended a table-top exercise with DoH EP Branch for EP leads and continues to link with regional colleagues (E).</p> <p>The Trust has also established planning arrangements to support the DoH C3 structure. The Trust has tested and has in place processes to discharge duties in the event of a stand up of these regional reporting structures (E).</p> <p>Bronze arrangements for COVID-19 are being used for the escalation of any EU Exit related issues.</p>	<p>None further identified at this stage. The Trust continues to participate and respond to regional work in this area. Assurance was updated regarding Data transfers at request of DoH 31/07/2020 and Trust Information Governance provided the renewed assurance. Assurance re-sought December 2020 from divisions of having contingency stocks in place and 100% assurance achieved.</p> <p>There are a few areas being kept under review and these relate to primarily;</p> <ul style="list-style-type: none"> - Dual Registration - Supplies, including Pharmacy - Cost implications <p>Negotiations on medicine regulation and supply chain continue between DHSC and the EU</p>	<p>Trust leads are planning for the local issues particularly working with the region in relation to stocks and supplies impacts and planning contingency measures. The Trust had put in place contingency local stocks for 29 March 2019 leave date.</p> <p>These contingency plans remain in place, with the Trust and HSC bodies now refining their plans following the end of transition period.</p> <p>The current position is that following the End of Transition Period on 31 December 2020 the Northern Ireland Protocol came into effect. Under the terms of the protocol, Northern Ireland remains in the EU single market for goods. Northern Ireland will also apply EU customs rules at its ports, even though it is still part of the UK customs territory.</p> <p>DoH has reconvened their ALBs EU Exit Planning Working Group with latest meeting being Friday 03/02/2021. Next meeting planned for 17/02/2021. Trust group most recently met on Monday 19/01/2021 and Divisions reviewing key risk area of local stocks and BIAs. DoH has issued the updated Draft Operational Readiness Plan to update guidance for Trusts. Service leads/divisions have updated their Business Impact Analysis (BIAs). Trust has updated the EU Exit Business Contingency Plan to reflect the Operational Readiness Plan and BIAs</p> <p>Arrangements are in place for escalation of any EU Exit related issues via existing Bronze arrangements for COVID-19. Transition period has passed and contingency arrangements remain in place. Some small issues have been dealt with but nothing significant or causing impact to service delivery. Issues log set up.</p> <p>There are derogations regarding food and parcels currently and these have been extended. There is potential for impact when these may end in October 2021 and this situation is being monitored by the regional EU Exit response and planning.</p> <p>Pharmaceuticals are being monitored regionally also. A Regional EU Exit / NI Protocol programme Board has been established in July 2021 with a focus on medicines and medical devices.</p> <p>The trust has communicated with staff on a number of occasions with the latest being 25/05/2021 regarding the EU Settlement Scheme and the deadline for applying being 30/06/2021.</p> <p>The Trust has also scoped the risk around the dual registration issue and is taking action where required in mitigating any risk that may result from this matter.</p>	Minor (2)	Possible (3)	Low	6	15/11/2021