



PUBLIC BOARD

25 November 2021

Corporate Risk Register

Presented for:	Assurance
Presented by:	Julian Hartley, Chief Executive Phil Wood, Chief Medical Officer Simon Worthington, Director of Finance Lisa Grant, Chief Nurse Jenny Lewis, Director of Human Resources and Organisational Development Paul Jones - Chief Digital and Information Officer Clare Smith - Chief Operating Officer Craig Richardson - Director of Estates and Facilities
Author	Craig Brigg, Director of Quality
Previous Committees	Risk Management Committee 7 October 2021 and 4 November 2021

Trust Goals	
The best for patient safety, quality and experience	✓
The best place to work	✓
A centre for excellence for research, education and innovation	✓
Seamless integrated care across organisational boundaries	✓
Financial sustainability	✓

Trust Risks (Type & Category)				
Level 1 Risk	(✓)	Level 2 Risks	(Risk Appetite Scale)	Risk
Workforce Risk		<ul style="list-style-type: none"> Workforce supply We will deliver safe and effective patient care through having adequate systems and processes in place to ensure the Trust has access to appropriate levels of workforce supply. 	Cautious	↔ (same)
Operational Risk		<ul style="list-style-type: none"> Business continuity We will develop and maintain stable and resilient services, operating to consistently high levels of performance. 	Cautious	↔ (same)

Clinical Risk	<ul style="list-style-type: none"> • Capacity planning We will ensure that capacity is planned to meet the demand for elective and no-elective (acute) admissions to our hospitals, managing this risk to provide safe treatment and care to our patients. • Infection prevention and control We will manage the risks related to infection prevention and control to reduce the transmission of infection in our hospitals. • Patient safety and outcomes We will provide high quality services to patients and manage risks that could limit the ability to achieve safe and effective care for our patients. 	Minimal	↔ (same)
Financial Risk	<ul style="list-style-type: none"> • Financial management and waste reduction We will deliver sound financial management and reporting for the Trust with no material misstatements or variances to forecast. 	Cautious	↔ (same)
External Risk	<ul style="list-style-type: none"> • Regulatory risk We will comply with or exceed all regulations, retain its CQC registration and always operate within the law. 	Averse	↔ (same)

Key points	
1. There are currently 23 material risks included in the Corporate Risk Register for the Board's consideration and oversight.	Information
2. Members of the Board of Directors are invited to: <ul style="list-style-type: none"> (i) consider, challenge and confirm the correct strategy has been adopted to ensure potentially significant risks are kept under prudent control (ii) consider and approve the changes to significant risks following the meetings of the Risk Management Committees held on 7 October 2021 and 4 November 2021 (iii) advise on any further risk treatment required. 	Discussion

1. Summary

- 1.1 The significant risk profile provides Directors with details of all identified significant risk exposures throughout Leeds Teaching Hospitals NHS Trust. These risks are currently subject to monthly review and have been reviewed by the Risk Management Committee on two occasions (7 October 2021 and 4 November 2021) since the last meeting of the Board. This report has been updated to summarise the decisions made by the Risk Management Committee.
- 1.2 The Trust has identified a range of significant risks, which are currently being mitigated, whose impact could have a direct bearing on requirements within the NHS Improvement Accountability Framework, CQC registration or the achievement of Trust aims and objectives should the mitigation plans be ineffective. Currently, the significant risks relate to the following areas:

Workforce Risk

- **Workforce Supply:** nurse staffing levels and medical staffing including doctors in training
- **Workforce Deployment:** Leeds vaccination programme

Operational Risk

- **Business Continuity:** viral pandemic and power failure/lack of IPS/UPS resilience due to the electrical infrastructure and
- **Health & Safety:** harm due to clinically related behaviours that challenge linked to organic, mental health or other reasons and staff health, safety and wellbeing during the COVID-19 pandemic.
- **Information Technology:** -
- **Change:** delivery of the refurbishment of the Generating Station Complex at LGI, risks associated with Building the Leeds Way – hospital of the future project, pathology project and LGI Site development project.

Clinical Risk

- **Infection Prevention & Control:** healthcare acquired infection.
- **Patient Safety & Outcomes:** re-commencing normal activity levels due to reduced capacity (COVID-19), patient harm related to falls and hospital acquired pressure ulcers (COVID-19), achieving the Emergency Care Standard, 18-week RTT target, 62-day cancer target, 28-day cancelled operation target, patients waiting 52-week+ in spinal injuries and colorectal services and patients waiting longer than 6 weeks following referral for diagnostics tests.
- **Capacity Planning:** patient flow and capacity for emergency admissions and levels of medical outliers.

Financial Risk

- **Financial Management & Waste Reduction:** delivery of financial targets in 2021/22 and impact on capital resources.

A summary of the main controls and mitigating actions for the significant risks in each area is available in Appendix A.

1.3 Significant Risks

Risks reviewed at the October 2021 Risk Management Committee

CRRW2 - Insufficient Medical Staff to deliver service

The Medical Director for Workforce provided an update on this corporate risk, with an update of controls and further mitigating actions, including an update on the PA undergraduate placement program at the Trust which was being overseen by the Deputy DME, supported by the HEE funded training recovery fund to provide additional resources to support departments, noting the impact of the coronavirus pandemic. The Committee noted the specific risk related to general internal medicine, including on call/rota requirements to support general medicine. It was recommended that this was added to the corporate risk, including the further mitigating actions. There was no proposed change to the risk score of 16.

CRRW3 - Delivering (COVID-19) Vaccination programme

This corporate risk had been updated by the General Manager for the Leeds COVID Vaccination Programme to reflect the risk description, controls and further mitigating actions in response to the delivery of the West Yorkshire Vaccination programme, including an update on the staff booster programme due to commence on 29 September 2021. There was no proposed change to the risk score of 16.

CRRO4 - Staff health, safety and wellbeing during the COVID-19 pandemic

This corporate risk was developed, guided by the national Publication Working Safely during Covid-19 and has been reviewed. The Committee noted that the flu programme was due to commence in October and would be delivered through a peer vaccinator framework. There was no proposed change to the risk score of 20.

CRRO5 - Failure or complete outage of the Patient Administration System

This corporate risk had been reviewed by the Chief Digital & Information Officer, with an update of controls and further mitigating actions, including an update on the successful replacement of PAS hardware, which had been completed in July and was now stable. It was recommended to the Committee that the risk score was reduced from 15 to 12 and overseen by the Digital and Information Team through their local risk register. This was supported by the Committee.

CRRC2 - Risk of re-commencing normal activity levels due to reduced (COVID-19)

This corporate risk had been updated by the Corporate Operations Team, with an update of controls and further mitigating actions, including an update on the clinically led weekly planning in place for critical care and theatre activity, with daily confirmation meetings taking place to maintain focus on cancer/ P2 activity. There was no proposed change to the risk score of 20.

CRRC6 - 62-day cancer target

This corporate risk had been updated by the Corporate Operations Team, with an update of controls and further mitigating actions, including an update on the routine root cause analysis processes which would be re-introduced for key non performing pathways on rotation during 2021/22 and a weekly cancer team review of all patients on the two week wait, 31 day and 62 day cancer pathways had been introduced. There was no proposed change to the risk score of 16.

CRRC8 - 52-week RTT target non-compliance in spinal and colorectal surgery

This corporate risk had been updated by the Corporate Operations Team, with an update of controls and further mitigating actions, including an update on the adult spines elective lists which will begin to be delivered at CHOC by Quarter 4 of 2021/22.

A working group had also been established to explore the possibility of additional off-site outpatient capacity being delivered. There was no proposed change to the risk score of 16.

CRR11 - Levels of medical outliers

This corporate risk had been updated by the Corporate Operations Team, with an update of controls and further mitigating actions, including an update on the development of a new medical model for general medicine to support consultant cover and leadership for the medicine specialty, referencing the corporate risk related to medical staffing (CRRW2). There was no proposed change to the risk score of 15.

Risks reviewed at the November 2021 Risk Management Committee

CRRW3 - Delivery of the Leeds & West Yorkshire Vaccination programme

This corporate risk had been reviewed by the General Manager for the Leeds COVID Vaccination Programme to reflect the risk description, controls and further mitigating actions in response to the delivery of the West Yorkshire Vaccination programme. It was noted that 12-15 year olds were invited for vaccination at the Elland Road vaccination centre during the half-term holiday in October, following instructions from NHSE/I. There was no proposed change to the risk score of 16.

CRRO4 - Staff health, safety and wellbeing during the COVID-19 pandemic

This corporate risk was developed, guided by the national Publication Working Safely during Covid-19 and has been reviewed. The Director of Human Resources & Organisational Development provided an update on this risk, noting that this had been subject to a complete review and refresh, proposing to re-describe the risk. The Committee noted that this would bring this risk in line with the HSE framework for managing safely at work. There was no proposed change to the risk score of 20.

CRR2 - Risk of re-commencing normal activity levels due to reduced capacity (COVID-19)

This corporate risk had been updated by the Corporate Operations Team. The Committee were advised that the Corporate Operations Team would undertake a full review of this risk to incorporate the related risk described into the operational risks (constitutional standards) that were described in the corporate risk register. There was no proposed change to the risk score of 20.

CRRO7 - Risk of failure to deliver the hospital of the future project

This corporate risk had been updated by the Building the Leeds Way (BtLW) Programme Manager, with an update of controls and further mitigating actions, including an update on the Building the Leeds Way Programme Team undertaking a full assessment of the RIBA stage 2 design response and design recommendations against the project design briefing documentation. There was a recommendation to increase the risk score from 16 to 20. This was supported by the Committee

CRRO8 - Risk of failure to deliver the pathology project

This corporate risk had been updated by the Building the Leeds Way (BtLW) Programme Manager, with an update of controls and further mitigating actions, including an update on newly established value engineering options register and the outline business case was on track for approval and delivery. There was no proposed change to the risk score of 16.

CRRF1 - Failure to deliver the financial plan 2021/22

This corporate risk had been updated by the Director of Finance, with an update of controls and further mitigating actions, including an update on the requirement for additional capital expenditure. It was noted that the H2 funding clarification had come through and there was more confidence regarding delivery. There was a recommendation to reduce the risk score from 20 to 15 and this was supported by the Committee.

Proposed new Corporate Risks

There was one new proposed corporate risk reviewed and supported by the Committee.

LGI Site Development Project

The Committee noted that risk relating to LGI Site Development project had previously been recorded on the corporate risk register (CRRF6). The risk score was reduced following review at the Risk Management Committee in November 2020. The Committee were advised that the total costs had risen and there was some uncertainty regarding funding approval for parts of the programme, together with delays approving outline business cases. With this in mind it was proposed that the risk score was increased to 16 and this was added back to the corporate risk register. This was supported by the Committee.

2. Risk

The Risk Management Committee provides Executive oversight of the Trust's most significant risks, which cover the level 1 risk categories (see summary on front sheet). Following discussion at the October and November Committee meetings there were no material changes to the risk appetite statements related to the level 2 risk categories and the Trust continues to operate within the risk appetite for the level 1 risk categories set by the Board.

3. Financial Implications and Risk

See specific risks for details (where applicable).

4. Communication and Involvement

The Corporate Risk Register is made available for review to executive directors, corporate teams and CSUs at the monthly Risk Management Committee.

5. Equality Analysis

No adverse implications identified under equality and diversity legislation.

6. Publication Under Freedom of Information Act

This paper is made available under the Freedom of Information Act 2000.

7. Recommendations

Members of the Trust Board are invited to:

- consider, challenge and confirm the correct strategy has been adopted to keep potential significant risk under prudent control.

- consider and approve the changes to significant risks following the meeting of the Risk Management Committee; and
- advise on any further risk treatment required.

8. Supporting Information

Corporate Risk Register - Appendix A.

Craig Brigg
Director of Quality
November 2021