



PUBLIC BOARD

26 May 2022

Corporate Risk Register

Presented for:	Assurance
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Previous Committees	Risk Management Committee 7 April 2022 and 5 May 2022

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 25 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 April 2022 and 5 May 2022 (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 April 2022 and 5 May 2022) 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.
- **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.
- **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.
- **Information Technology:** - Cyber-attack leading to potential loss of IT systems and/ or data.

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, levels of medical outliers and Airedale Hospital infrastructure potential risk re transferring patients to LTHT.

Financial Risk

- **Financial Management & Waste Reduction:** delivery of financial targets in 2022/23 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 April 2022 Risk Management Committee

CRRW2 - Insufficient Medical Staff to deliver service

This corporate risk had been reviewed by the Medical Directorate General Manager to reflect the risk description, controls and further mitigating actions, including an update on the recruitment plans to fill gaps in services and improve the experience of trainees and students on placements to aid recruitment in hard-to-fill specialties. The Trust had also improved rest facilities for trainees following funding from the BMA, and for the third year running had appointed a number of Wellbeing Champions. There was no proposed change to the risk score of 16.

CRRW3 - Delivering (COVID-19) Vaccination programme

This corporate risk had been reviewed by the Chief Medical Officer to reflect the description, controls and further mitigating actions in response to the delivery of the West Yorkshire Vaccination programme. It was noted that there were no significant material changes to the risk other than the vaccination programme was to transfer to Leeds Community Healthcare Trust (LCH), however a date for the transfer had yet to be agreed following closure of the Elland Road vaccination site at the end of March. The responsibility for delivery of the West Yorkshire vaccination programme was now with primary care, the service was therefore undergoing a period of transition in order to establish the longer term model, which would address the future demand, including the autumn booster programme. 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 and guided by the national publication *Working Safely during Covid-19* and had been reviewed and revised. The Committee noted that the risk assessment framework for staff had been revised and updated in line with the most recent national guidance and this had been supported and noted at Clinical Advisory Group (CAG). The Committee also noted the significant pressures that had been experienced in clinical services as a consequence of staff absences due to the recent spike in COVID-19 cases and the improvement plans that had been agreed to increase access to occupational health services, including an online referral process to support triage. There was no proposed change to the risk score of 20.

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

This corporate risk had been reviewed by the Corporate Operations Team and it was confirmed that there were no further amendments to the controls and further mitigating actions. The Committee recommended a specific risk related to recommencing normal activity remained on the corporate risk register to be kept under review for the next three months, acknowledging the rapidly changing situation related to restrictions to the public and the impact this would have in healthcare settings. There was no proposed change to the risk score of 20.

CRRC11 - Unsustainable levels of medical outliers and patients waiting in non-designated areas

This corporate risk had been reviewed by the Corporate Operations Team to reflect the risk description, controls and further mitigating actions, including an update on the Multi

Agency Day Event (MADE) that took place on 29 March 2022 to support the reduction in the number of patients in hospital with no reason to reside. In addition, further actions were added related to the development of the of Urology Same Day Emergency Care (SDEC) pathway that was being developed, building on the SDEC model that had been established in the hospital. It was recommended to review the risk description to clarify that the risk to patient safety related to patients being cared for outside the specialty bed base, which applied to a number of clinical areas, in addition to medical specialties, recognising this still represented the majority of outliers. There was no proposed change to the risk score of 15.

Risks reviewed at the May 2022 Risk Management Committee

CRRW3 - Delivery of the Leeds & West Yorkshire Vaccination programme

Oversight for the vaccination programme is to transfer to Leeds Community Healthcare following which this risk will be removed from the Corporate Risk Register. It was not yet clear whether a further vaccination programme would be implemented in autumn, by which time the service would be delivered and overseen by LCH. It was agreed that whilst the plans were finalised this would remain on the corporate risk register. 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 and guided by the national publication 'Working Safely during Covid-19' and has been reviewed to reflect the risk description, controls and further mitigating actions. The Committee noted that a key risk continued to be considered related to supporting staff who were continuing to work remotely to ensure that the related health and wellbeing needs were being met. 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 national ambition to develop new hospital services. This had a potential impact on the capital funding available for this longer term project and the plans to manage the completion of the design. There was no proposed change to the risk of 16.

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 a review of controls and further mitigating actions. An update on the funding shortfall which was identified in the Pathology scheme's OBC has been formally addressed through NHSE/1's approval of the use of the hospital of the future contingency provision for this purpose. There was no proposed change to the risk score of 16.

CRRO9 - Risk of failure to deliver the LGI Site Development 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 stakeholder engagement plan, which was finalised and approved at the December 2021 LDS Project Board meeting. There was no proposed change to the risk score of 16.

CRRF1 - Failure to deliver the financial plan 2022/23

This corporate risk had been updated by the Associate Director of Finance, with an update of controls and further mitigating actions, including an update on the balanced financial plan that had been submitted for the Leeds Place in the ICS. There was an urgent need to agree plans to manage the rise in inflation, which exceeded current financial forecast, noting that the on-going impact of COVID-19 was also not yet known. The proposal to increase the risk score from 15 to 20 was supported by the Committee.

CRRC1 - Healthcare acquired infection

This corporate risk had been updated by the Infection Prevention and Control Team in conjunction with the Deputy Chief Nurse, including an update on the trial of the new CPE guidance which is underway to establish the impact of the new screening requirements. In addition the medical workforce redesign and nursing workforce review and recruitment strategy were completed. There was no proposed change to the risk score of 16.

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

This corporate risk had been reviewed by the Corporate Operations Team and it was confirmed that there were no further amendments to the controls and further mitigating actions. The Committee noted the impact of the IPC guidance that had been published in April, supporting Trusts to return to pre-COVID-19 levels of activity. With this in mind it was proposed that the risk description, controls and mitigating actions would be subject to a comprehensive review due to the very significant changes as a consequence of the national IPC guidance. There was no proposed change to the risk score of 20.

Proposed new Corporate Risks

Cyber-attack leading to potential loss of IT systems and/ or data

This proposed new corporate risk had been developed by the Chief Digital and Information Officer and DIT following recommendation at the April Risk Management Committee meeting. The Committee supported the proposal for this to be added to the corporate risk register.

Horizon scan - New risks

There were no new emerging risks raised at the meetings.

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 April and May 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
May 2022