



PUBLIC BOARD

30 July 2020

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
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Previous Committees	Risk Management Committees 4 June and 2 July 2020

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	✓

Key points	
1. There are currently 26 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 meeting of the Risk Management Committees held on 4 June and 2 July 2020 (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 (June and July 2020) 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 policies, aims and objectives should the mitigation plans be ineffective. Currently, the significant risks relate to the following areas:
- **Safety and Quality** Nurse staffing levels, reducing supply of doctors in training; C.difficile and MRSA targets; violence due to organic, mental health or behavioural reasons; inability to deliver a cardiac surgery service; the potential for an influenza or corona virus pandemic; planned services recovery following a pandemic; staff health, safety and wellbeing during a pandemic; risks arising from Britain's withdrawal from the EU; power failure/lack of IPS/UPS resilience due to the electrical infrastructure; inability to provide a safe and reliable cardiac laboratory service; risk of not being able to provide radiology images due to failure of the PACS system.
 - **Performance and Regulation** Failure to achieve the Emergent Care Standard; non-compliance with the RTT target; 62 day cancer target; 28 day cancelled operation target; patient flow and capacity for emergency admissions; unsustainable levels of medical outliers; 52 week RTT target in spinal injuries and colorectal services and patients waiting longer than 6 weeks for following referral for diagnostic tests.
 - **Finance** Failure to deliver financial targets in 2020/21; insufficient capital resources; Generating Station Complex at LGI and risks associated with the 3 main projects of Building the Leeds Way.

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

Risk reviewed at the June 2020 Risk Management Committee

CRRS 2 – Insufficient Medical staff to deliver services. This corporate risk had been reviewed and updated to reflect the actions that had been taken to train and deploy medical staff to support the COVID-19 response. This was noted by the Committee and **it was agreed that the risk score would remain 16.**

CRRS3 – Healthcare acquired infection This corporate risk had been refreshed to reflect the changes that had been made in response to COVID-19, including the routine activities that had been temporarily suspended so that the infection prevention and control team could focus their resources on the operational response. This would continue to be reviewed at the Infection Prevention and Control Committee as routine

services were re-established as part of the phase two recovery plan and **it was agreed that the risk score would remain 16.**

CRRS8 – Risks arising from Britain’s withdrawal from the EU. It was noted that the February guidance that was to be published regarding the trade deal had not come through and this had been replaced by the national focus on the coronavirus pandemic response and **it was agreed that the risk score would remain 16.**

CRRS 12 Pensions Regulations – Following changes announced in the national budget it was agreed to remove this risk from the Corporate Risk Register.

CRRS6 - Risk of a viral pandemic (COVID-19) The Committee noted that this risk had been discussed in detail at the meetings in April and May and this had continued to be regularly reviewed (V1.8 presented to the Committee). Additional corporate risks had been developed relating to the recovery plan and staff health, safety and wellbeing and it was noted that these had been cross referenced and CRRS6. **It was agreed that the risk score would remain 25.**

CRRS16 – Risk of secondary harm due to reduced capacity. This risk had been developed separately from the main pandemic corporate risk to reflect the risks relating to recovering from the COVID-19 outbreak. The controls and further mitigating actions had been reviewed and described in the corporate risk, acknowledging that this was a rapidly developing situation and would need consistent oversight, in line with the approach that was taken to corporate risk CRRS6. **It was agreed that the risk score was 20 and that this new risk would be added to the Corporate Risk Register.**

CRRS 17 Staff health, safety and wellbeing during the pandemic. The risk had been developed using the Government publication working safely during COVID-19 framework and had been developed by the HR team, in conjunction with the Risk Support Manager and Head of Health and Safety. The risk was endorsed and commended at the July Workforce Committee. **It was agreed that the risk score was 20 and that this new risk would be added to the Corporate Risk Register.**

Risks reviewed at the July 2020 Risk Management Committee

CRRS 11 – Power failure/lack of IPS/UPS resilience due to electrical infrastructure. The progress that had been made, including the installation of UPS in theatres 3 and 4 at Chapel Allerton Hospital, UPS/IPS in theatres 5, 6, 7 and 8 in Geoffrey Giles theatres and also a plan to install this in the catheter labs was noted. This work was not yet complete across the Trust. **It was agreed that the risk score would remain 16.**

CRRF3 - Risk relating to delivering the refurbishment of the Generating Station Complex (GSC) at LGI. The Committee noted the progress on this commercially sensitive risk.

CRRS6 - Risk of a viral pandemic (COVID-19) This had been reviewed at the Risk Management Committee in May and June and this had been further updated, reviewing the further mitigating actions which had now been moved to the controls section. **The**

Committee reviewed the risk score noting that this was a maximum 25 and it was agreed that this should be maintained in light of the continued pressures and concerns regarding viral transmission, noting the recent reports relating to increased admission numbers at Bradford Teaching Hospitals FT and increasing numbers of positive cases identified.

CRRS16 - Risk of secondary harms due to reduced capacity (COVID-19)

The Committee noted that the phase two recovery plan continued to be developed in conjunction with clinical teams and CSU's. The committee were advised that this was discussed at Quality Assurance Committee earlier that day, including the specific service level risk assessments that have been undertaken to inform the plan for re-establishing services within the available capacity that came online. It was agreed to update the risk for the specific impacts on patients and the controls which had been implemented to address this. **It was agreed that the risk score would remain 20.**

CRRS17 - Staff Health, Safety and Wellbeing During the COVID-19 Pandemic. The Committee noted that this had been further updated by the lead managers for each of the 8 sections and would be discussed at the Workforce Committee in July. The updated corporate risk would be reviewed again at the Risk Management Committee in August. **It was agreed that the risk score would remain 20.**

The full Corporate Risk Register is attached at appendix A.

2. Financial Implications and Risk

See specific risks for details (where applicable).

3. 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.

4. Equality Analysis

No adverse implications identified under equality and diversity legislation.

5. Publication Under Freedom of Information Act

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

6. 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.

7. Supporting Information

Corporate Risk Register - Appendix A.

Craig Brigg
Director of Quality
July 2020