



PUBLIC BOARD

30 September 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
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Previous Committees	Risk Management Committee 5 August 2021 and 2 September 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 	Minimal	↔ (same)

		<p>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.</p> <ul style="list-style-type: none"> • 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. 		
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 5 August 2021 and 2 September 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 (5 August 2021 and 2 September 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:

- **Safety and Quality:** nurse staffing levels, medical staffing, including doctors in training, healthcare acquired infection, violence due to organic, mental health or behavioural reasons, viral pandemic, power failure/lack of IPS/UPS resilience due to the electrical infrastructure, capacity to treat patient due to COVID-19, staff health, safety and wellbeing due to COVID-19, Patient Administration System, delivery of the Leeds & West Yorkshire Vaccination Programme and patient harm related to falls and hospital acquired pressure ulcers (COVID-19).
- **Performance and Regulation:** achieving the Emergency Care Standard, 18-week RTT target, 62-day cancer target, 28-day cancelled operation target, patient flow and capacity for emergency admissions, levels of medical outliers, patients waiting 52-week+ in spinal injuries and colorectal services, patients waiting longer than 6 weeks following referral for diagnostics tests.

Finance: delivery of financial targets in 2021/22, capital resources and delays in completing capital programmes, 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.

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 August 2021 Risk Management Committee

CRRS1 Inadequate nurse staffing levels

The Deputy Chief Nurse provided an update on this corporate risk, with an update of controls and further mitigating actions, including an update on international recruitment and roster management master classes that had been arranged for ward leaders and matrons to commence September 2021 to improve roster governance. There was no proposed change to the risk score of 16.

CRRS3 - Healthcare acquired infection

The Deputy Chief Nurse provided an update on this corporate risk, with an update of controls and further mitigating actions, including an update on the implementation of phase 1 lab package and phase 2 surgical model. In addition review of all water outlets and design within the haematology and BMTU specialty was completed by the Trust Water Safety Committee and the Trust authorised person for water in July and August 2021. There was no proposed change to the risk score of 16.

CRRS16 Risk of re-commencing normal activity levels due to reduced capacity (COVID-19)

This corporate risk had been updated by the Chief Operating Officer, noting that there were no significant material changes since the last month's review. An additional risk had emerged in July related to changes to the community reablement model. There was no proposed change to the risk score of 20.

CRRS17 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; the Committee were briefed on the continued programme of work to support staff health and wellbeing, including an update on the exemption plans for staff following national restrictions being lifted on 19 July. It was agreed by the Committee that the risk score would increase from 16 to 20.

CRRS20 - 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. The Committee noted that there were no significant changes since this was last discussed at the Committee in July. There was no proposed change to the risk score of 16.

Risks reviewed at the September 2021 Risk Management Committee

CRRS6 - Risk of a viral pandemic

This corporate risk had been updated by the Head of Resilience, with an update of controls and further mitigating actions, including an update on the new business continuity strategy which had been approved by the Emergency Preparedness Co-ordinating Group and an audit of CSU business continuity plans would be undertaken in November 2021. There was no proposed change to the risk score of 15.

CRRP4 - Failure to achieve 28 day cancelled operations 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 re-launch of 6-4-2 process and expectations for surgical and theatres CSUs. There was no proposed change to the risk score of 16.

CRRS16 - Risk of re-commencing normal activity levels due to reduced capacity (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 PAS system to include the recording of P status within the patients' waiting list entry. There was no proposed change to the risk score of 20.

CRRS17 - Staff Health, Safety and Wellbeing during the COVID-19 Pandemic

This risk had been reviewed by the Director of Human Resources and continued to be reviewed regularly and overseen by the HR team and Workforce Committee. The additional controls related to staff health and wellbeing and metrics related to staff vaccine uptake. There was no proposed change to the score of 20.

CRRS20 - Delivering (COVID-19) 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. There is a proposal to change to the risk score from 16 to 12, to reflect the controls and mitigating actions. This has been reviewed by the Chief Medical Officer and it was agreed that the risk score would remain 16 whilst Leeds Teaching Hospitals NHS Trust remained the West Yorkshire lead provider.

CRRS21 - Patient harm – falls and hospital acquired pressure ulcers (COVID-19)

This corporate risk had been reviewed by the Deputy Chief Nurse with an update of controls and further mitigating actions, including an update on the working group established to progress the digitalisation of nursing documents, which reports into the Joint Strategic Clinical Nursing Documentation Group. There was no proposed change to the risk score of 16.

Proposed new Corporate Risks

There were no new corporate risks approved at the meeting, however the Committee were briefed on the recent correspondence from NHSE/I regarding the supply of Becton Dickinson blood tubes, which had been disrupted as a consequence of a shortage of plastic components. Meetings have been held with clinical leaders and pathology to implement the actions set out in the alert that had been issued, to prioritise specimens in line with specific guidance that had been provided. The position at Leeds Teaching Hospitals was stable at the current time as the run rate had reduced as a consequence of implementing the action in collaboration with GPs in Primary Care. This risk affected NHS services across the system, and all other organisations who provided healthcare. The Trust supplies team were working in conjunction with clinical teams and pathology and confirmed that there was currently a 3-4 weeks stock available, this would continue to be reviewed by the group overseeing the plan.

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 August and September 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
September 2021