



PUBLIC BOARD

31 March 2022

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 3 February 2022 and 3 March 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 24 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 3 February 2022 and 3 March 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 (3 February 2022 and 3 March 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.
- **Information Technology:** - None at present
- **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, 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 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 February 2022 Risk Management Committee

CRRW3 - 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. It was noted that the plan was to close the Elland Road facility at the end of March 2022, the longer term plan was being developed by KPMG who will present this to the Executive Lead. It is expected that Leeds Teaching Hospitals will no longer be the lead provider, however this is likely to be the case for the next few months until the longer term plan was agreed and finalised. 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 and revised. The Committee noted that the most significant risk related to vaccination as a condition of employment. The Committee acknowledged the recent national decision to pause the plan for all healthcare staff working in the provision of regulated activities in patient facing roles to be vaccinated as a condition of employment, which would be subject to a 2-week consultation before a decision was made related to legislation. 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 were advised that the key controls and mitigating actions described in this risk were increasingly being incorporated into the existing risk related to constitutional standards. There was no proposed change to the risk score of 20.

CRRW1 - Inadequate nurse staffing levels

The Chief Nurse and Deputy Chief Nurse provided an update on this risk, noting that there had been a detailed discussion at Quality Assurance Committee (QAC) on 3 February 2022, setting out the key actions that had been taken related to safe staffing. The Committee were advised of the findings of the PwC internal audit review of roster management that had not identified any critical or high-risk findings. It was also noted that the safe care system had now been fully implemented and rolled out across the Trust. Safe care KPI's would be reported to the nursing, AHP Workforce Group from March 2022. There was no proposed change to the risk score of 16.

CRRC1 - Healthcare acquired infection

This corporate risk had been reviewed by the Deputy Director of Infection Prevention and Control in conjunction with the Deputy Chief Nurse to reflect the risk description, controls and further mitigating actions, including an update on the revised IPC Board Assurance Framework (IPC BAF - Blue Box item 10.1(i) Public Board) that had been updated to incorporate the new national guidance, including the hierarchy of controls. Further updates had been added to the mitigating actions, including the Trust Wide Ventilation Safety Group that had been established from September 2021 to provide monitoring, oversight and assurance on current ventilation and new technologies.

Further mitigating actions had also been added related to the pseudomonas outbreak in oncology. There was no proposed change to the risk score of 16.

Risks reviewed at the March 2022 Risk Management Committee

CRRW3 - Delivery of the Leeds & West Yorkshire Vaccination programme

This corporate risk had been reviewed by the Director of Operations and it was confirmed that there were no further amendments to the controls and further mitigating actions in response to the delivery of the West Yorkshire Vaccination programme. The Committee noted that it had been agreed that the Elland Road facility would close at the end of March 2022 and would be fully decommissioned by 18 April 2022. 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, including an update on the plans for the 2022 flu vaccination programme, which was underway. The Committee were advised that the most significant emerging material risk related to staff safety, health and wellbeing related to the continued plans for remote working. 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 has been reviewed by the Corporate Operations Team to reflect the risk description, controls and further mitigating actions, including an update on the specific additions related to the description of the recovery groups that had been established in relation to the Build Back Better Programme. This risk will be reviewed with the Chief Operating Officer and the Corporate Operations team at a meeting in March 2022, with a view to incorporating the controls and mitigating actions into the related Corporate Risks. There was no proposed change to the risk score of 20.

CRRO1 - Risk of a viral pandemic

This corporate risk has been reviewed by the Head of Resilience and it was confirmed that there were no further amendments to the controls and further mitigating actions. Further national guidance was awaited; following which the risk controls would be reviewed. There was no proposed change to the risk score of 15.

CRRC7 - Failure to achieve 28 day cancelled operations target

This corporate risk has been reviewed by the Corporate Operations Team to reflect the risk description, controls and further mitigating actions, including an update on the implementation of CSU led reset groups at St James's and LGI locations to return to pre-COVID-19 levels, together with the surgical hubs that had been established at Wharfedale and Chapel Allerton Hospitals. There was no proposed change to the risk score of 16.

CRRC3 - Patient harm – falls and hospital acquired pressure ulcers (COVID-19)

This corporate risk has been reviewed by the Deputy Chief Nurse to reflect the risk description, controls and further mitigating actions, including an update on the Trusts plan to procure a digital care plan solution. The planned roll out was due to take place in Q3/Q4 of 2022/23. The Committee were advised of the external reviews that had been undertaken before the pandemic related to both falls and pressure ulcer prevention and interventions. The external reviewers would be invited back in to the

Trust to provide further advice, using national benchmarking to inform further interventions to improve patient safety. There was no proposed change to the risk score of 16.

Proposed new Corporate Risks

The Committee were informed of progress related to the two proposed corporate risks that were discussed at the January and February Risk Management Committee meetings. The Committee were advised that a decision had been made by NHSE/I to decommission the Nightingale Surge Hub as this was not required to manage patients with COVID-19. The decommissioning arrangements were acknowledged, noting that this would be completed by end of March 2022. It was agreed that these risks would not be added to the corporate risk register for the reasons described.

- **Nightingale Surge Hub (Quality & Safety)**
- **Nightingale Surge Hub (Staffing)**

Horizon scan - New risks

There were two new emerging risks considered by the Committee at the February meeting and two at the March meeting.

February 2022 Meeting

Risk log4

The Committee discussed the global announcement related to the risk log4j at the March Committee, which related to vulnerability in software products that may have a potential impact on the risk connected to a cyber-attack. The Chief Digital and Information officer commented that this risk had been considered by the DIT Committee at the February meeting and would be monitored by this Committee.

Inflation and increase in cost of energy

The Committee acknowledged the risk related to inflation and the significant increase to the cost of energy. The Director of Finance noted that this would be considered at Finance and performance Committee and incorporated into the controls and mitigating actions in the finance risk on the corporate risk register (CRRF1).

March 2022 Meeting

Remote Working

The Committee discussed the emerging risk related to remote working, which aligned to corporate risk CRRO4, acknowledging that this would be extended beyond the impact of the coronavirus pandemic as a model of rotational remote working was implemented in the medium to longer term.

Ukraine/Increase in cost of energy

The Committee noted the situation in Ukraine, notably the predicted further rise in energy costs as a consequence of changes to gas supply. The procurement team were currently working through the supply chain to identify potential risks that may arise.

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 February and March 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
March 2022