



PUBLIC BOARD
Corporate Risk Register

25 May 2023

Presented for:	Assurance
Presented by:	Professor Phil Wood, Chief Executive Hamish McLure, Interim Chief Medical Officer Simon Worthington, Director of Finance Helen Christodoulides, Interim 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 6 April 2023 and 4 May 2023

Our Annual Commitments for 2023/24 are:	
Effectively develop and deploy new assets (buildings, equipment, IT)	✓
Reduce healthcare associated infections	✓
Improve staff retention	✓
Deliver the financial plan	✓
Reduce average length of stay by 0.5 days per patient	
Achieve the Access Targets for Patients	✓
Support a culture of research	✓

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		<ul style="list-style-type: none"> Business continuity 	Cautious	↔ (same)

Risk		We will develop and maintain stable and resilient services, operating to consistently high levels of performance.		
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 6 April 2023 and 4 May 2023 (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 (6 April 2023 and 4 May 2023) 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:** Combined workforce risk
- **Workforce Deployment:** (No active risks under this category)

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, insufficient DIT resources to meet demand for DIT led projects and closure of data centre in December 2023.

Clinical Risk

- **Infection Prevention & Control:** healthcare acquired infection.
- **Patient Safety & Outcomes:** 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-and 78 weeks for treatment across a range of services and patients waiting longer than 6 weeks following referral for diagnostics tests.
- **Capacity Planning:** patient flow and capacity for emergency admissions and Airedale Hospital infrastructure potential risk re transferring patients to LTHT.

Financial Risk

- **Financial Management & Waste Reduction:** delivery of financial targets in 2023/24 and impact on capital resources and reduction in operational capital allocation .

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

The Committee considered the context for reviewing the risks at the meetings in April 2023 and May 2023, noting the sustained operational pressures and the impact on the

urgent and emergency care pathways, and the delivery of planned (elective) care, including the level of risk as a consequence of this. This affected a range of established risks, these were considered in relation to the impact on patient safety, outcomes and experience and the health and wellbeing of staff who were required to provide care in a very challenging operating environment. The Committee sought assurance on the actions that were being taken in conjunction with operational teams and corporate departments to mitigate those risks discussed at the meetings in April 2023 and May 2023.

Risks reviewed at the April 2023 Risk Management Committee

CRRO1 - 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 national pandemic guidance, which was still awaited, and the Leeds pandemic outbreak plan was still to be published. This was being followed up by the Emergency Preparedness Team. The CSU business continuity plans were being updated to incorporate the specific actions related to future pandemics, to capture the learning from COVID-19. There was no proposed change to the risk score of 15.

CRR10 - Cyber-attack leading to potential loss of IT systems and/ or data.

This corporate risk had been updated by the Chief Digital and Information Officer, with an update on the additional controls that had been added. There was no proposed change to the risk score of 20.

Risks reviewed at the May 2023 Risk Management Committee

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 a review of controls and further mitigating actions, including an update on the capital contingencies to support the management of any impact resulting from delivery issues associated with non-BtLW projects. There was no proposed change to the risk score 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, including an update on the capital contingencies to support the management of any impact resulting from delivery issues associated with non-BtLW projects. 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 internal Trust business case for the Old Medical School, which would be reviewed by Trust Board in May 2023. The disposal of the old medical school remained the most significant challenge and this would continue to be progressed. There was no proposed change to the risk score of 16.

CRRC1 - Healthcare acquired infection.

This corporate risk had been updated by the Deputy Director of Infection Prevention and Control in conjunction with the Interim Chief Nurse, with an update of controls and

further mitigating actions, including an update on the development of CSU microbiologist role to include reporting of themes and trends from incident reviews to CSU clinicians, reporting to IPCT to allow Trust-wide learning. It was noted healthcare associated infections was included as a specific priority in the annual commitments for 2023/24, engaging all staff in this. Assurance on the actions being taken to mitigate the risks would continue to be provided to IPC Sub-Committee and Quality Assurance Committee. The risk score was discussed at the Committee and there was no proposed change to the risk score of 16.

CRRC12 - Airedale Hospital Infrastructure: potential risk re transferring patients to Leeds Teaching Hospitals NHS Trust

This corporate risk has been reviewed by the Head of Resilience in conjunction with the Corporate Operations Team, with an update of controls and further mitigating actions, including the West Yorkshire plan that was currently with the ICB for approval. There were no specific material changes to note at the Committee regarding the risk. There was no proposed change to the risk score of 16.

CRRF1 - Failure to deliver the financial plan 2023/24.

This corporate risk has been reviewed by the Director of Finance, with an update of controls and further mitigating actions, including an update on the detailed review of underlying cost base and associated savings plan and the proposed alternative payment mechanism submitted by Director of Finance to NHS England. The Committee agreed to the proposal to increase the risk score from 15 to 25, due to the uncertainty of funding being provided by the ICB.

Proposed New Corporate Risks

April 2023 Meeting

The Committee considered one new proposed corporate risk at the meeting.

Combining Workforce Risks

The Committee were briefed on the meetings that had been held with Executive Directors for the medical staffing and nurse staffing corporate risks. It was acknowledged that whilst these covered the specific risks related to medical and nurse staffing, there were risks related to other professional groups and support workers across the Trust that had been raised through the Committee by CSU's and Corporate teams. It was agreed that the corporate risk CRRW4 (Workforce) would be supported, with a decision to be made whether to retain separate corporate risks for nurse and medical staffing and cross-reference these risks to CRRW4, or to fully incorporate this into the newly described workforce risk.

May 2023 Meeting

The Committee considered two new proposed corporate risk at the meeting.

Combined Workforce Risks

It was proposed that the new risk workforce risk CRRW4 would replace the existing corporate risks CRRW1 and CRRW2; but would explicitly cross reference the risks in the controls and mitigating actions, whilst detailed oversight would be provided by the nursing and medical directorates respectively. It was agreed that the workforce risk would be finalised ahead of May Trust Board.

Reduction in operational capital allocation

The Committee were briefed on a new risk relating to reduction in operational capital allocation, noting that this had historically been documented as a standalone risk on the corporate risk register, but had subsequently been incorporated into the wider financial risk CRRF1. It was noted that the position had changed as a consequence of the changes to operational capital allocations across the ICB, which were not sufficient to meet the expected programme plan for 2023/24 and future years. The Committee supported the proposal for this to be added to the corporate risk register as a specific risk related to operational capital allocations.

Closure of data centre in December 2023

The Committee were briefed on this new risk at the April 2023 meeting and it was further discussed at the May 2023 meeting. The Committee agreed to support the proposal to add this corporate risk register.

Horizon Scan - New Risks

At the May meeting the Committee were briefed on an emerging risk related to the national food chain, which would impact all Trusts. The Committee noted that this risk was currently being reviewed, and at present it was not considered that there were significant risks to those patients requiring special foods and diets, this related mainly to the general food supply. It was also noted that there were robust business continuity plans in place and regular dialogue was being held with NHS England. An update would be provided at the next Risk Management Committee if the risk materialised and required consideration 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 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 2023