



PUBLIC BOARD
Corporate Risk Register

30 November 2023

Presented for:	Assurance
Presented by:	Professor Phil Wood, Chief Executive Magnus Harrison, Chief Medical Officer Simon Worthington, Director of Finance Jackie Murphy, 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
Author	Craig Brigg, Director of Quality
Previous Committees	Risk Management Committee 5 October 2023 and 2 November 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 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 October 2023 and 2 November 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 (5 October 2023 and 2 November 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 and insufficient DIT resources to meet demand for DIT led projects.

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 on 5 October 2023 and 2 November 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 October 2023 and November 2023.

Risks reviewed at the October 2023 Risk Management Committee

CRRW4 - Insufficient staff to provide treatment, care and services to patients.

JL was called away from the meeting to deal with an urgent matter with MH (CMO), it was agreed that this corporate risk review would be deferred to the November meeting but will now be presented to the December meeting.

CRRO1 - Risk of a viral pandemic.

This corporate risk had been reviewed by the Head of Resilience, with an update on controls and further mitigating actions, including the pandemic plan consultation, which had concluded and a live version had been circulated. There was no proposed change to the risk score of 15.

CRRO10 - Cyber-attack leading to potential loss of IT systems and/ or data.

This corporate risk had been reviewed by the Chief Digital and Information Officer, with an update on controls and further mitigating actions, including business continuity plans. There was no proposed change to the risk score of 20.

CRRC1 - Healthcare associated infection.

This corporate risk had been reviewed by the Deputy Director of Infection Prevention and Control, with an update on controls and further mitigating actions, including side room (isolation) capacity and the plans for live PPM side room bed state with a test phase to take place in October 2023. The Committee noted that this would be the focused annual commitment in November, to support further improvements and reductions in healthcare associated infections. There was no proposed change to the risk score of 16.

Risks reviewed at the November 2023 Risk Management Committee

CRRO7 - Risk of failure to deliver the hospital of the future project.

This corporate risk had been reviewed by the Building the Leeds Way Programme manager, with an update on controls and further mitigating actions, including continued work with the NHP to support and influence the design and development of the Hospital 2.0 Model, and undertaking informal market engagement where appropriate to inform the design solution. There was no proposed change to the risk score of 20.

CRRO8 - Risk of failure to deliver the pathology project.

This corporate risk had been reviewed by the Building the Leeds Way Programme manager, with an update on controls and further mitigating actions, including the MSC contract, which has now been awarded to Siemens. The Programme Board recommended reducing the risk score from 16 to 12. The Committee advised whilst there was evidence of significant progress being made in relation to delivery of the pathology project, there remained risks and uncertainty related to full completion and It

was agreed that the risk score would remain 16 and this would remain on the corporate risk register.

CRRO9 - Risk of failure to deliver the LGI Site Development Project.

This corporate risk had been reviewed by the Building the Leeds Way Programme manager, with an update on controls and further mitigating actions, including Leeds City Council and the University working in conjunction with the Trust to develop a proposal to apply for investment zone (IZ) funding, which would offer financial support for the re-development of the Old Medical School (OMS). There was no proposed change to the risk score of 16.

CRRC12 - Airedale Hospital Infrastructure: potential risk re transferring patients to LTHT.

This corporate risk had been reviewed by the Head of Resilience in conjunction with the Corporate Operations Team, with an update on controls and further mitigating actions, including the recent request to re-review RAAC and the plans for a West Yorkshire exercise to test the response, which was currently being planned and the learning identified would be incorporated into West Yorkshire and LTHT plans. There was no proposed change to the risk score of 16.

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

CRRF2 - Reduction in operational capital allocation.

The Associate Director Finance outlined the significant challenges related to delivering the financial plan, which was discussed with Trust leaders at Team Brief on 1 November 2023. There was no proposed change to the risk scores.

Proposed New Corporate Risks

October and November 2023 Meeting

There were no new proposed corporate risks identified by the Committee.

Horizon Scan - New Risks

At the October 2023 meeting the Committee were briefed on the on-going risks related to industrial action that had been raised by clinical leads through the industrial action planning group. This related to patients waiting longer for surgery as a consequence of cancellation due to industrial action. The Committee acknowledged that this applied to those corporate risks related to waiting times. Clare Smith agreed to discuss this with the Corporate Operations Team at the weekly meeting on 10 October 2023 and to arrange for the risks to be reviewed and refreshed.

At the November 2023 meeting the Committee considered the emerging risk related to an unexpected increase in data storage use across the Trust over the last 6 months. Paul Jones commented that DIT were reviewing the source of the additional data requirements. The initial proposal was that the risk score would be 16, which would mean that this would be added to the corporate risk register. It was agreed that DIT would further develop the risk including the risk description, controls, mitigating actions and risk score would be presented to Risk Management Committee in December 2023.

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 October and November 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.

Professor Phil Wood

Chief Executive

Chair Risk Management Committee

November 2023