

Board of Directors

25 March 2021

Paper title:	Corporate Risk Register	Agenda item 16
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Purpose of the report		
The purpose of this paper is to present the progress with the mitigation of the Trust's 'live' corporate risks and to inform the Board of any red risks across the organisation as at March 2021.	For approval	
	For discussion	X
	For information	

Executive summary		
There have been four corporate risk score changes, two risks archived, and one new corporate risk added since the last paper in November 2020.		
There are currently 13 organisational red risks (other than those that appear on the CRR). Details regarding these can be seen at section 3 and appendix 2.		
Do the recommendations in this paper have any impact upon the requirements of the protected groups identified by the Equality Act?	State below 'Yes' or 'No' No	If yes please set out what action has been taken to address this in your paper

Recommendations
The Board is asked to: <ul style="list-style-type: none"> Agree the level of assurance is adequate for the CRR or identifies any further assurances required Agree on the changes of the identified corporate risks for the reasons identified

Strategic vision				
Please mark those that apply with an X				
Providing excellent quality services and seamless access	Creating the best place to work	Supporting people to live to their fullest potential	Financial sustainability growth and innovation	Governance and well-led
X	X	X	X	X

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Care Quality Commission domains				
Please mark those that apply with an X				
Safe	Effective	Responsive	Caring	Well Led
X				X

Relationship to the Board Assurance Framework (BAF)	<p>The work contained with this report links to the following strategic risk(s) as identified in the BAF:</p> <ul style="list-style-type: none"> • Most Corporate risks are linked to BAF risks, therefore this paper links closely with all BAF risks
Links to the Corporate Risk Register (CRR)	<p>The work contained with this report links to the following corporate risk(s) as identified in the CRR:</p> <ul style="list-style-type: none"> • All
Compliance and regulatory implications	<p>The following compliance and regulatory implications have been identified as a result of the work outlined in this report:</p> <ul style="list-style-type: none"> • None

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Corporate Risk Register (CRR) and red rated risks

1 Process

The CRR and red risks not on the CRR are presented to Board bi-monthly to ensure that risks are being adequately managed and mitigated and note any current threats to the delivery of the Trust’s strategic objectives.

The table below provides an overview of the live risks and current position of the CRR as at 16th March 2021. It is important to note that the position is highly likely to change between the time of writing and being presented at Board.

Total CRR risks	13
Red rated risks (15+)	10
Amber rated risks (8-12)	3
Risks with controls in place	13
Red rated risks with controls in place	10
Amber rated risks with controls in place	3
Risks overdue review	3
Total number of actions assigned	67
Actions closed	48
Overdue actions	2
Actions within target date	17
Risks without assigned actions	0

ASSURANCES

2. Corporate Risk Register content including changes since November 2020

The following information summarises the content and changes made since the last report to Board.

2.1 New or escalated risks

2.1.1 New risks

There has been one new risk added to the corporate risk register since November 2020;

Risk 2484 - Delivery of a successful vaccination Programme to the residents and staff of Bradford, Airedale and Craven District and shortages of vaccine supply and take up of vaccine offer.
This was inputted on the 2/2/21 and is currently scored at 8.

2.1.2 Escalated risks

There have been no risks escalated to the corporate risk register since November 2020.

2.2 Risks closed, archived, or de-escalated

There have been two risks archived from the corporate risk register since November 2020;

Risk 1831 – If the Trust fails to recruit, retain and engage a diverse workforce in the right numbers with the right skills, behaviours and experience to innovate in delivering holistic models of care. The Trust will be unable to meet the needs of services users, carers and commissioners in terms of delivering high quality, safe, outcome based, patient focused care and support.

This was archived on 27/11/20 as the risk was discussed at Board and agreed that as this risk linked to BAF risks 2296, 2298 and 2299 the CRR risk could be archived as all actions are reflected in the BAF risks.

Risk 2266 - Physical assault of inpatient ward staff by service users. 97% of physical assault incidents take place on inpatient wards.

This was archived on 27/11/20 as the risk was discussed at Board and it was agreed that this is an inherent risk and will always be present due to the nature of the services we provide. There are controls in place to manage the risk and the Internal Audit carried out in response to the recent HSE improvement notice also recognises that this risk is being well managed.

2.3 Risk score changes

There have been four risk score changes since November 2020.

Risk 1825 - If current volatility in the care home sector and LA budget reductions continue to reduce care packages and support to individuals, then demands on the Trust's community services will become unsustainable with potential to impair quality, safety or performance and / or require additional Trust resourcing.

This has decreased from 15 to 9.

Risk 2151 – Sudden 'no deal' Brexit from the EU.

This has increased from 8 to 12.

Risk 2370 - Covid-19. Impact of Covid-19 on the Trust's ability to operate and maintain safe, high quality services during the pandemic period. Reduction in staff availability/skill this will be based on a 50% then 75% reduction in staffing. Individual services will be greatly reduced and some services cease. Closure of wards due to an outbreak of Covid-19.

This has decreased from 25 to 16.

Risk 2417 - Potential for adverse publicity on the back of findings from CQC investigations. Risk of financial penalty or breach of license.

This has decreased from 16 to 12.

2.4 Current risks on the CRR

There are 13 live risks on the CRR;

Risk number	Detail	Date first entered	Next review
1821	If the Trust fails to accurately forecast and fully mitigate in-year pressures to deliver key business and finance milestones. Then it may not secure Provider Sustainability Funding that is linked to delivering an internal Trust surplus and may fail to achieve the composite control total agreed with NHSI and planned UoR metric and may ultimately face regulatory intervention.	3/8/16	1/05/21
1825	If current volatility in the care home sector and LA budget reductions continue to reduce care packages and support to individuals. Then demands on the Trust's community services will become unsustainable with potential to impair quality, safety or performance and / or require additional Trust resourcing.	3/8/16	24/06/21
1826	If the Trust (and WY STP) does not present a convincing case for investment in Mental Health that demonstrates whole systems benefits and is clearly referenced in the Bradford and Airedale MH Strategy (and WY STP). Then CCGs, NHSE (and DH) may not prioritise revenue and capital investment in these areas due to other competing funding pressures meaning that Mental Health investment and service developments cannot be progressed	3/8/16	31/3/21
2046	Organizational / individual practice not consistent with good information governance. Breaches of information governance law (DPA / GDPR) resulting in significant financial penalties and / or reputational damage	20/6/18	18/05/21

2102	Risks associated with bedroom doors and windows within inpatient settings that had been identified as high risk, utilising the trust ligature risk assessment framework. Risk of service user harm through ligature.	15/5/18	19/12/20
2151	<p>Sudden 'no deal' Brexit from the EU in March 2019. NHSE has identified risks as follows: Workforce: 5% of NHS workforce (not including primary care) and 7% of social care workforce may be affected. However, UK government has committed to allow EU citizens already in the UK to settle here, which should offset majority of this. Supply Chain: 83% of medical products are imported to the UK from (or through) other EU countries, including medical devices & clinical consumables. 45% of medicines used in the UK are imported from the EU. Tariffs, trade changes and customs delays could all affect supply. Research and innovation: Risks to reduced collaboration with EU (including clinical trials), divergence on regulations, access to innovative treatments and income (including funding for clinical research staff). Reciprocal Healthcare. Some UK residents who are currently living in EU may wish to return home with the majority of those assessed as being elderly, which may potentially cause increased load on UK healthcare in general. Also risk to more complicated cost recovery processes for EU nationals receiving treatment from UK facilities. Operations: System readiness and access to services across borders. EPRR and pandemic planning: A risk to information sharing and systems across borders. Potential loss of shared intelligence and early warning systems from European Centre for Disease Prevention and Control (ECDC). Procurement & competition: risk to disruption to new contracts. Data & IG: Risks to longer term alignment and implications for services across borders (EU regulation and GDPR collaboration). Medicines & devices regulation: risks to disruption and delays in access to new products in the UK. At the request of UK government manufacturers have assured that they will hold at least 6 weeks supply to cover the period immediately after Brexit. Health organisations are not to stockpile drugs and medicines. Public health: maintaining public health standards in UK legislation</p>	7/9/18	28/12/20

2207	IT / Clinical systems affected by a cyber incident, originated from within or from outside the organisation. Critical impact on IT and clinical system access, impacting on clinical and administrative activities	9/1/19	5/05/21
2342	Medical devices not receiving planned maintenance at the appropriate frequency (current Trustwide compliance for annual planned maintenance as of Dec-20 is 90% for inpatient areas and 83% for community areas. This includes all devices across Trust services (overall compliance = 84%). Impact on patient care due to malfunctioning medical device, based on the device not having received planned maintenance at the appropriate frequency. There is a risk that a number of the devices listed as 'archived' in the inventory are still in use and are not in date for planned maintenance and calibration. If devices are not maintained or calibrated at the appropriate frequency there is an increased risk of failure which can impact on diagnosis or patient care.	21/11/19	31/03/21
2370	Covid-19 sustained pandemic. Inability to sustain service delivery through the waves of the pandemic which will include safe working staffing levels as a result of increased demand on services	20/3/20	8/04/21
2416	Virgin Media's basis for arguing that the minimum spend commitment should commence from tariff implementation, rather than actual contract start, is unclear. Virgin Media are challenging the minimum contract spend associated with the new tariffs that were agreed contractually in November 2019. Virgin Media have indicated that the new tariff arrangements implemented in May 2020 should run for a 12-month term which would take the term up to May 2021, which is beyond the end of the formal contract end date. If this challenge was upheld costs of up to £100k would be incurred.	11/9/20	17/3/21
2417	Potential for adverse publicity on the back of findings from CQC investigations. Risk of financial penalty or breach of license.	15/9/20	8/05/21
2418	Potential that 0-19 contract is under resourced due to financial settlement, which may impact on quality of services. Potential that staff are unable to fulfil the full requirements of the contract due to financial shortfall i.e. £800K of £1m reduction committed by LA non-recurrently (80%). Although discussions are underway with regards to extending this to March 2022, with shortfall addressed through budget slippage, there remains a risk that this is not	15/9/20	14/12/20

	supported by BDCFT. Potential that new model implemented in September fails to address system early help agenda, which recurrent additional funding would be predicated upon.		
2484	Delivery of a successful vaccination Programme to the residents and staff of Bradford, Airedale and Craven District and shortages of vaccine supply and take up of vaccine offer	02/02/21	08/04/21

The position for each of these risks is provided from the risk register system at appendix 1.

3. Red risks not on the CRR

3.1 Red risks closed, archived or downgraded since November 2020

There have been two red risks archived since November 2020;

Risk 2176 - Unavailability of HR systems.

This was archived on 15th December 2020.

Risk 2345 - Temporary Access Cards being used without entry into a TAC Log and/or S1 entry not updated with username.

This was archived on 1st March 2021.

3.2 New red risks added since November 2020

There have been seven red risks added that remain live, since November 2020;

Risk 2441 – Potential staffing issue by end of January 2021 as 2 qualified, full time staff pregnant and, as current guidance stands, will have to shield from 28 weeks. Meaning non patient facing role until mat leave starts. Currently also 2 staff on LT sick with no return date as yet. Potential for not being able to meet patient demand due to staffing level being below safe levels.

This was added to the Hillside Bridge District Nursing team register on 2nd December 2020.

Risk 2451 - In community settings almost all psychological therapy services are stretched in terms of their capacity and safe governance. Rates of referral and demand far outweigh resource and capacity.

This was added to the Airewharfe CMH Psychological Services register on 30th December 2020.

Risk 2455 - Low referrals and access during the incident. Risk of adverse service user outcomes and experience.

This was added to the Covid-19 incident control room risk register on 11th January 2021.

Risk 2457 - Relaxation of lockdown restrictions before sufficient immunity has been established within the population. Potential for there to be a further increase in the incidences of COVID-19 infections in the community. This may result in a further spike of clinical activity.

This was added to the Covid-19 incident control room risk register on 11th January 2021.

Risk 2458 - Trust failures to safeguard the workforce from covid-19 e.g. inadequate or defective PPE. Risk of staff harm should staff be infected as a result of trust failures.

This was added to the Covid-19 incident control room risk register on 11th January 2021.

Risk 2485 - Reduced staffing levels within the core paediatric service due to vacancies.

This was added to the Speech and Language Therapy team register on 10th March 2021.

Risk 2486 - Increased requirement for pharmacy staffing across the system due to Covid-19 vaccination clinics and two members of the team of 7 pharmacists leaving. Reduced visits to wards leading to reduced oversight of medicines management on the wards-risk of poor compliance with CQC standards
Reduced capacity to answer medication queries in a timely fashion leading to delays in optimisation of medicines and potential for poor outcomes for patients
Lack of pharmacy staff to discuss medicines with patients leading to patients having less opportunities to discuss their medicines with an expert
Reduced capacity of Chief Pharmacist to attend local and regional meetings-risk of national alerts, guidance not being acted on a timely manner which could lead to patient safety issues. Lack of input around medication related issues at all internal meetings such as QUOPs which may affect patient care.

This was added to the LMH Pharmacy register on 11th March 2021.

3.3 Current red risks (excluding new risks listed in 3.2)

- **Risk 2197:** Ofsted have rated the Local Authority Children's Social Care services as inadequate. *This was first entered onto the system in December 2018.*
- **Risk 2323** – Cyber security risk: Sharepoint servers have active database vulnerabilities and are not going to be fixed. *This was upgraded to a red risk on 12th December 2019.*
- **Risk 2347** - Delivery of the 0-19 contract is dependent on having a strong digital offer that includes E-forms. FX and SX. Working digitally is reliant on having

consistent IT connectivity and reliable access to S1 when working across the District. *This was added as a red risk on 5th December 2019*

- **Risk 2359** - Loss of connectivity across the Bradford and Keighley area resulting in many hours of lost working time for all bandings of staff. *This was added to the School Nursing Special Needs Team register on 7th February 2020*
- **Risk 2383** – Risk that our financial sustainability will be impacted if we are not able to deliver/restore financial control and meet Financial Improvement Trajectory, especially if incident extends beyond 31.7.20 COVID-19 cost recovery period. *This was added to the Finance and Contracting Care Group risk register on 19th April 2020*
- **Risk 2437** - Increased staffing pressures in district nursing as a result the current pandemic increased levels of staffing having self-isolate or absent from work with Covid or symptoms of Covid, there are increased demands with the requirement to undertake flu vaccinations to housebound patients in a timely manner to reduce the risk of flu to service users. *This was added to the North District Nursing register on 30th October 2020.*

The position for each of these risks is provided from the risk register system at appendix 2.

4. Financial Implications

There are no specific financial implications to highlight.

5. Risk Implications

There are no specific risk implications to highlight.

6. Monitoring and review

The Board will next receive a report in May 2021; ongoing monitoring of the risk registers will continue local governance arrangements.

7. Recommendations

It is recommended that the Board

- Agrees the level of governance on the CRR
- Identifies any areas requiring further action; and
- Agrees on the changes of the identified corporate risks for the reasons identified