

Trust Board – 26 July 2022

Organisational Risk Register

Purpose of the report

The Organisational Risk Register (ORR) contains strategic risks that may prevent us from achieving our objectives. It is presented as part of a continuing risk review process.

Analysis of the issue

There are currently 23 risks on the ORR, of which, one is presented for closure. Of the 23 risks, eight (35%) have a high current risk score.

ORR risks (July 2022)

| No. | Title   | SU2G           | Initial risk | Current risk | Residual Risk | Tolerance |
|-----|---|----------------|--------------|--------------|---------------|-----------|
| 57  | The lack of an embedded clinical and quality governance infrastructure may result in insufficient or inconsistent application of systems and processes, resulting in poor quality care and patient harm.  | High Standards | 12           | 8            | 8             | 16-20     |
| 58  | Insufficient Safeguarding competency may result in limitations on service provision, which may result in poor quality care and patient harm.  | High Standards | 12           | 12           | 8             | 16-20     |
| 59  | Lack of staff capacity in causing delays in the incident management process, including the review and closure of a backlog of reported incidents, the investigation and report writing of SIs and the closure of resulting actions. This will result in delays in learning and could lead to poor quality care and patient harm as well as reputational damage. | High Standards | 12           | 16           | 12            | 16-20     |
| 60  | A high vacancy rate for registered nurses, AHPs, HCSWs and medical staff, is leading to high agency staff usage, which may result in poor quality care and patient harm.  | High Standards | 16           | 20           | 16            | 16-20     |
| 61  | A lack of staff with appropriate skills will not be able to safely meet patient care needs, which may lead to poor patient outcomes and experience.   | High Standards | 16           | 16           | 12            | 16-20     |
| 62  | Insufficient understanding and oversight of regulatory standards and key lines of enquiry may result in non-compliance and/or insufficient improvement in priority areas, leading to sub-standard care.   | High Standards | 12           | 12           | 8             | 9-11      |
| 64  | If we do not retain existing and/or develop new business opportunities, we will have less financial sustainability and infrastructure resulting in a loss of income and influence within the LLR system.  | Transformation | 12           | 12           | 9             | 9-11      |
| 65  | The present FM provision does not meet our quality standards or requirements, leading to the inability to provide the full hard and soft Facilities Management and maintenance service within LPT. This impacts compliance, timeliness of maintenance responses and quality of services for patients, staff and visitors.                                       | Environments   | 16           | 16           | 12            | 16-20     |
| 66  | The lack of detail around accommodation requirements in strategic business planning, means that the Estates Strategy cannot adequately plan for potential building solutions, leading to an estate configuration which is not fit to deliver high quality healthcare.   | Environments   | 12           | 12           | 8             | 16-20     |
| 67  | The Trust does not have a Green Plan or identified resource for the green agenda, leading to non-compliance with the NHS commitment to NHS Carbon Zero.   | Environments   | 12           | 12           | 9             | 9-11      |
| 68  | A lack of accessibility and reliability of data reporting and analysis  | Well Governed  | 16           | 16           | 8             | 9-11      |

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|----|--|---|----|----|----|-------|
|    | will impact on the Trust's ability to use information for decision making, which may impact on the quality of care provided.   |   |    |    |    |       |
| 69 | If we do not appropriately manage performance, it will impact on the Trust's ability to effectively deliver services, which could lead to poor quality care and poor patient experience.   | Well Governed                                     | 8  | 8  | 4  | 9-11  |
| 71 | <i>If we do not have a sufficiently detailed financial plan for 2022/23, the Trust will not have clarity over the actions required to deliver the plan, resulting in a plan which is not fit for purpose for the Trust or LLR.</i>   | <i>Well Governed</i>                              | 15 | 10 | 10 | 9-11  |
| 72 | If we do not have the capacity and commitment to proactively reach out, we will not fully address health inequalities which will impact on outcomes within our community.  | Reaching Out                                      | 16 | 12 | 8  | 16-20 |
| 73 | If we don't create an inclusive culture, it will affect staff and patient experience, which may lead to poorer quality and safety outcomes.  | Equality, Leadership and Culture                  | 12 | 12 | 9  | 16-20 |
| 74 | As a result of covid 19, winter pressure, service recovery and workforce restoration there is a risk that our staff's health and wellbeing will be compromised, leading to increased sickness levels.  | Equality, Leadership and Culture                  | 9  | 9  | 6  | 16-20 |
| 75 | Increasing numbers of patients on waiting lists and increasing lengths of delay in accessing services will mean that patients may not be able to access the right care at the right time and may lead to poor experience and harm.   | Access to Services                                | 16 | 16 | 8  | 16-20 |
| 77 | Without the appropriate level of focus, resource and preparation, the Trust cannot adequately support the National Public Inquiry into the Covid Pandemic, leading to a lack of lessons learned, inability to respond effectively to future situations and major incidents, a failure to comply with the Public Inquiry statute and reputational damage. | Well Governed                                     | 12 | 12 | 8  | 9-11  |
| 78 | Inability to sustain the level of cleanliness required within the National Cleanliness Standards and Hygiene Code  | Environment / High Standards                      | 12 | 12 | 8  | 9-11  |
| 79 | The Cyber threat landscape is currently considered significant due to the geopolitical conflicts, high prevalence of cyber-attack vectors, increase in published vulnerabilities, etc which could lead to a significant impact on IT systems that support patient services and potential data breaches   | Well Governed                                     | 16 | 12 | 8  | 16-20 |
| 80 | If staff are not vaccinated against influenza, they pose a risk to the health and wellbeing of themselves, colleagues, patients and the wider community. This would adversely impact on Public Health, potentially leading to increased hospitalisation, increased staff sickness levels and staffing challenges and a risk to those who are vulnerable. | High Standards / Equality, Leadership and Culture | 20 | 12 | 8  | 16-20 |
| 81 | Inadequate control, reporting and management of the Trust's 2022/23 financial position could mean we are unable to deliver our financial plan and adequately contribute to the LLR system plan, resulting in a breach of LPT's statutory duties and financial strategy (including LLR strategy)  | Well Governed                                     | 15 | 15 | 10 | 9-11  |
| 82 | The loss of the 11+ healthy together contract will mean a change in delivery for this service from LPT to the LA, impacting on Trust staff and income, and continuity of care for secondary school aged children.  | High Standards                                    | 16 | 16 | 12 | 16-20 |

## Proposal

### Closures

- **Risk 71** If we do not have a sufficiently detailed financial plan for 2022/23, the Trust will not have clarity over the actions required to deliver the plan, resulting in a plan which is not fit for purpose for the Trust or LLR.

We are proposing the closure of this risk now that the final financial plan has been submitted. The one outstanding action around ICS capital strategy development is incorporated into the delivery of the in-year plan (Risk 81).

## Decision required

- Closure of risk 71

## Governance Table

|  |   |     |
|--|---|-----|
| <b>For Board and Board Committees:</b>   | Trust Board 26 July 2022                          |     |
| <b>Paper sponsored by:</b>   | Chris Oakes, Director of Governance and Risk      |     |
| <b>Paper authored by:</b>  | Kate Dyer, Deputy Director of Governance and Risk |     |
| <b>Date submitted:</b>   | 18 July 2022                                      |     |
| <b>State which Board Committee or other forum within the Trust's governance structure, if any, have previously considered the report/this issue and the date of the relevant meeting(s):</b> | None  |     |
| <b>If considered elsewhere, state the level of assurance gained by the Board Committee or other forum i.e. assured/ partially assured / not assured:</b>                                     |   |     |
| <b>State whether this is a 'one off' report or, if not, when an update report will be provided for the purposes of corporate Agenda planning</b>   | Regular   |     |
| <b>STEP up to GREAT strategic alignment*:</b>  | High Standards                                    | Yes |
|  | Transformation                                    | Yes |
|  | Environments                                      | Yes |
|  | Patient Involvement                               | Yes |
|  | Well Governed                                     | Yes |
|  | Reaching Out                                      | Yes |
|  | Equality, Leadership, Culture                     | Yes |
|  | Access to Services                                | Yes |
|  | Trust wide Quality Improvement                    | Yes |
|  | All   | Yes |
| <b>Organisational Risk Register considerations:</b>  | All   |     |
| <b>Is the decision required consistent with LPT's risk appetite:</b>   | Yes   |     |
| <b>False and misleading information (FOMI) considerations:</b>   | None  |     |
| <b>Positive confirmation that the content does not risk the safety of patients or the public</b>   | Confirmed   |     |
| <b>Equality considerations:</b>  | None  |     |