The Queen Elizabeth Hospital King's Lynn
NHS Foundation Trust

Meeting:	Board of Directors (in Public)		
Meeting Date:	1 September 2020	**Agenda item:**	14
Report Title:	Report on Significant Risks contained within the Trust's Risk Register (All risks with a current score of 15 or more)		
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Implications					
Link to key strategic objectives *[highlight which KKSO(s) this recommendation aims to support]*					
KSO1	**KSO2**	KSO3	KSO4	KSO5	KSO6
Safe and compassionate care	***Modernise hospital and estate***	*Staff engagement*	*Partnership working, clinical and financial sustainability*	*Healthy lives staff and patients*	*Investing in our staff*

Board assurance framework	KS01 KS02	
Significant risk register	All Significant Risks – Report attached	
	Y/N	If Yes state impact/ implications and mitigation
Quality	Y	
Legal and regulatory	Y	
Financial	Y	

Assurance route	
Previously considered by:	Assurance and Risk Executive Group (A&REG) Board Sub – Committees

Executive summary					
Action required: *[highlight **one** only]*	Approval	Information	Discussion	**Assurance**	Review
Purpose of the report:	This report is intended to provide the Trust Board with assurance regarding the management of all risks classified as 'Significant' (Risks rated 15 and above) currently contained on the Trust's Risk Register.				
Summary of Key issues:	In accordance with the 2019 - 2022 Risk Strategy approved by the Board, this report contains information relating to the management of all risks classified as 'Significant' (risks rated 15 and above) on the Trust's Risk Register.				

	Divisional Leadership Teams (DLTs) are responsible for reviewing moderate risks (those graded at 8-12). DLTs also review any Significant Risks relevant to their division prior to review at the Trust's Assurance & Risk Executive Group. All Significant Risks also have nominated Executive leads who approve the risk review each month. There are currently (at 20 August 2020) 13 approved Significant Risks included on the Trust's Risk Register as follows: • 1 risk scoring 20+ • 7 risks scoring 16 • 5 risks scoring 15 Significant Risks are aligned to the Trust's Key Strategic Objectives and Principal Risks as included in the Board Assurance Framework (BAF). A summary of the Key Strategic Objectives and alignment of existing Significant Risks is attached as Appendix 1. Principal Risks for each of the Key Strategic Objectives have been approved as part of the implementation of the BAF. Since the last report received by the Trust Board in August 2020 no changes have been made to the rating of existing Significant Risks. One new risk has been approved by the Assurance & Risk Executive Group and has been added to the Significant Risk Register rated 15; Risk ID 2762: There is a risk that a patient may come to significant harm while receiving NIV in a Side Room. The risk is that the patient could remove the mask for NIV whilst the nurse is out of the side room. A detailed report of all Risk Register entries as at 20 August 2020 currently scoring 15+ is attached as an annex to this report.
Recommendation:	The Trust Board is invited to: • Note the contents of the report • Receive assurance relating to the management of existing Significant Risks
Acronyms	BAF – Board Assurance Framework DLT - Divisional Leadership Teams

1. Introduction

Divisions review their Significant (15 and above) risks on a monthly basis and their Moderate (8-12) risks at least every three months as part of their Divisional Board meetings. The Assurance & Risk Executive Group (A&REG) receives a report from each Division detailing the review undertaken and the current position for all Significant and Moderate Risks. A separate report detailing all Significant Risks across the Trust is also received.

Significant Risks are aligned to the Trust's Key Strategic Objectives as detailed in the BAF for 2020 / 21. All Significant Risks are aligned to the six Key Strategic Objectives as shown below, along with responsible committees and lead Executive Directors. This alignment is shown in full in **Appendix 1**.

BAF ALIGNMENT	NUMBER
KSO1 QUALITY - Safe & Compassionate Care	9 (including principal risk)
KSO2 QUALITY - Estate & Infrastructure	4 (including principal risk)
KSO3 ENGAGEMENT – Staff Engagement & Culture	0
KSO4 ENGAGEMENT – Patient Pathways & Sustainability	0
KSO5 HEALTHY LIVES – Patient Outcomes	0
KSO6 HEALTHY LIVES – Maximising Staff Potential	0

2. Summary position Significant Risks

There are currently **13** significant risks on the Risk Register. Since the last report received by the Trust Board in August 2020, no changes have been made to the rating of existing Significant Risks.

One new risk has been approved by the Assurance & Risk Executive Group and has been added to the Significant Risk Register rated 15;

Risk ID 2762: There is a risk that a patient may come to significant harm while receiving NIV in a Side Room. The risk is that the patient could remove the mask for NIV whilst the nurse is out of the side room.

Current Significant Risk scoring profile:

Score	January Board Report	Feb Board Report	March Board Report	April Board Report	May Board Report	June Board Report	July Board Report	August Board Report	Current position
20	**1**	**1**	**1**	**2**	**3**	**1**	**1**	**1**	**1**
16	**7**	**7**	**7**	**6**	**6**	**6**	**7**	**7**	**7**
15	**4**	**2**	**2**	**2**	**3**	**4**	**4**	**4**	**5**
Total	**12**	**10**	**10**	**10**	**12**	**11**	**12**	**12**	**13**

3. New principal risks affecting delivery of Key Strategic Objectives

One new risk has been approved by the Assurance & Risk Executive Group and has been added to the Significant Risk Register rated 15;

Risk ID 2762: There is a risk that a patient may come to significant harm while receiving Non Invasive Ventilation (NIV) in a Side Room. The risk is that the patient could remove the mask for NIV whilst the nurse is out of the side room.

4. Significant Risks aligned to KSO1

Risk ID	Summary description	Executive Oversight	Previous Score (CxL)	Current Score (CxL)	Target Score (CxL)	Commentary
2592	**KSO1 – Principal Risk** There is a risk that patients may receive sub-optimal care / treatment, with failures in: - Outcomes - Safety - Experience	Medical Director	Major (4) x Likely (4) **= 16**	Major (4) x Likely (4) **= 16**	Major (4) x Rare (1) **= 4**	Reviewed at A&REG on 18 August 2020. Risk reviewed by Deputy Medical Director on 5 August 2020. There is a new structure in place as well as new sub division and leadership. Risk to remain as graded.
2643	There is a risk that patients are unable to access safe and effective diagnostic imaging at the trust to service level standards, which may affect their clinical care, due to insufficient staff in diagnostic imaging.	Medical Director	Major (4) x Likely (4) **= 16**	Major (4) x Likely (4) **= 16**	Moderate (3) x Rare (1) **= 3**	Reviewed at A&REG on 18 August 2020. Reviewed by Deputy Medical Director on 5 August 2020 - risk to remain as graded. Reviewed by Radiology Manager - 1. Radiology Manager is in post. 2. Band 5/6 vacancies out currently on NHS Jobs 3. The Consultant posts still have not been advertised 4. Radiology Manager is currently writing a business case for an Ultrasound re-shuffle to include chaperones, two band 8As and a Band 8C 5. Radiology Manager is currently writing a business case to expand the CT/MRI establishment for safe working levels

2634	There is a significant risk that patients will not receive timely cancer treatment in line with the 62 day referral to cancer waiting time standards.	Chief Operating Officer	Major (4) x Likely (4) **= 16**	Major (4) x Likely (4) **= 16**	Minor (2) x Possible (3) **= 6**	Reviewed at A&REG on 18 August 2020. Reviewed by COO on 5 August 2020 - risk to remain as graded. 30 July 2020 - Elective activity has restarted and currently operating at 50% of pre COVID activity level, plans are in place to restart Day Surgery Unit which will increase elective activity. Intensive Support Team (IST) have re-commenced work in colorectal, gynaecology and endoscopy, teams have mapped out clinical pathway milestone and will be starting to populate IST model from 3rd August 2020.
2679	There is a risk that patients reaching the end of their life do not have an Individualised Plan Of Care (IPOC). This is a 'must do' recommendation from the CQC	Chief Nurse	Major (4) x (Likely) 4 **= 16**	Major (4) x (Likely) 4 **= 16**	Moderate (3) x Possible (3) **= 9**	Reviewed at A&REG on 18 August 2020. Reviewed by Chief Nurse on 5 August 2020 - risk to remain as graded. 28 July 2020 - The numbers of IPOCs have dropped but relative to the drop in numbers of deaths in June Focused work continues with training and early identification of patients in last days/ weeks/ months

2640	Risk to the trust's ability to provide required capacity for transfusion services due to the depleted transfusion team staff.	Chief Nurse	Major (4) x Likely (4) **= 16**	Major (4) x Likely (4) **= 16**	Major (4) x Rare (1) **= 4**	Reviewed at A&REG on 18 August 2020. Reviewed by Chief Nurse on 5 August 2020 - risk to remain as graded. Reviewed by Head of AHP on 4 August 2020.
2699	There is a risk that a Covid-19 pandemic will result in the trust being overwhelmed with an increase in infectious patients experiencing acute respiratory symptoms and requiring admission and/or intensive care. There is also a risk that a significant proportion of staff will experience sickness or be required to self -isolate or commence social distancing and be away from work. This could result in the hospital being unable to safely and effectively manage or isolate infectious patients and deliver it's normal services or standards of care.	Chief Operating Officer	Catastrophic (5)) x Possible (3) = **15**	Catastrophic (5) x Possible (3) = **15**	Catastrophic (5) x Rare (1) **= 5**	Reviewed at A&REG on 18 August 2020. Reviewed by Chief Nurse on 5 August 2020 - risk to remain as graded. The pandemic Flu plan is out for consultation. Phase 3 of the NHS response is effective from 01 August the focus is: A. Accelerating the return to near-normal levels of non-Covid health services, making full use of the capacity available in the 'window of opportunity' between now and winter B. Preparation for winter demand pressures, alongside continuing vigilance in the light of further probable Covid spikes locally and possibly nationally. C. Doing the above in a way that takes account of lessons learned during the first Covid peak; locks in beneficial changes; and explicitly tackles fundamental challenges including: support for our staff, and action on inequalities and prevention.. ICT are now meeting once a week with Comms updates being issued after the meeting.

2703	**Medicine division – COVID 19** There is a risk that a significant proportion of staff will experience sickness or be required to self-isolate or commence social distancing and be away from work. This could result in the division's ability to treat patients safely and effectively being compromised.	Chief Operating Officer	Catastrophic (5) x Possible (3) = **15**	Catastrophic (5) x Possible (3) = **15**	Catastrophic (5) x Rare (1) = **5**	Reviewed at A&REG on 18 August 2020. Reviewed by COO on 5 August 2020 - risk to remain as graded. Reviewed by HON on 29 July 2020 - This risk rating remains currently due to the ongoing risk assessments underway for shielded staff and the additional Government restrictions in place around foreign travel having an unplanned impact on some staffing numbers/skill mix.
2199	There is a risk that patient care and treatment could be delayed in the A&E department due to a number of factors linked to capacity and demand. There is also an impact on patient experience in the department and the Trust's ability to achieve it's 4 hour waiting time target.	Chief Operating Officer	Moderate (3) x Almost Certain (5) = **15**	Moderate (3) x Almost Certain (5) = **15**	Moderate (3) x Possible (3) = **9**	Reviewed at A&REG on 18 August 2020. Reviewed by COO on 5 August 2020 - risk to remain as graded. Reviewed by the HON on 29 July 2020 - The risk rating remains the same performance remains inconsistent with activity increased to pre-covid numbers and FCP in past week. Actions in place to support flow including a bed modelling review, introduction of senior nursing support to the discharge team (out to advert) and ward level discharge initiatives.
2762	There is a risk that a patient may come to significant harm while receiving NIV in a Side Room. The risk is that the patient could remove the mask for NIV whilst the nurse is out of the side room.	Chief Nurse	Catastrophic (5) x Possible (3) = 15	Catastrophic (5) x Possible (3) = 15	Catastrophic (5) x Rare (1) = 5	Approved as a Significant Risk at A&REG on 18 August 2020. Approved as a Significant Risk by Chief Nurse on 22 July 2020.

Significant Risks aligned to KSO2

Risk ID	Summary description	Executive Oversight	Previous Score (CxL)	Current Score (CxL)	Target Score (CxL)	Commentary
2757	**KSO2 – Principal Risk** There is a risk that patients may receive sub-optimal care / treatment, with failures associated with: • Estate • Digital Infrastructure • Medical equipment	COO	Major (4) x Almost certain (5) = **20**	Major (4) x Likely (4) = **16**	Major (4) x Unlikely (2) = **8**	Reviewed at A&REG on 18 August 2020. Reviewed by COO on 5 August 2020. No further updates - risk to remain as graded.
392	There is a direct risk to life and safety of patients, visitors and staff due to the potential of catastrophic failure of the roof structure due to structural deficiencies.	Chief Operating Officer	Catastrophic (5) x Likely (4) = **20**	Catastrophic (5) x Likely (4) = **20**	Major (4) x Rare (1) = **4**	Reviewed at A&REG on 18 August 2020. Risk reviewed by Deputy Director of Finance on 3 August 2020. Inspection report was received on 3 July 2020 and there were 7 recommendations. Actions are being implemented and led by the Interim Associate Director of Estates. An update will be provided to Board in September 2020. Risk to remain as graded.

2483	There is a risk of reputational damage to the trust if regulatory notices from the CQC (Section 31 and Section 29A notices) are not removed or acted on effectively.	Medical Director	Major (4) x Likely (4) **= 16**	Major (4) x Likely (4) **= 16**	Major (4) x Rare (1) **= 4**	Reviewed at A&REG on 18 August 2020. Risk reviewed by Deputy Medical Director on 4 August 2020. No further updates - risk to remain as graded. Risk reviewed by Associate Director of Quality Improvement on 29 July 2020, 38 of the 43 conditions have now been completed and signed off by the Evidence Assurance Group in line with planned trajectory. Awaiting outcome of the CQCs final review of evidence of the 5 S31 Conditions for Maternity following the Trust's application to have these conditions lifted. Whilst progress against conditions continues, no significant change to risk rating which remains at 16. On-site CQC inspection delayed due to COVID-19 when current risk can be reviewed based on the outcome of the CQC findings.
2343	Risk of disruption to the delivery of services, loss of confidential information, detrimental effect on the Trust's reputation, financial impact due to a cyber-crime attack.	Chief Operating Officer	Catastrophic (5) x Possible (3) **= 15**	Catastrophic (5) x Possible (3) **= 15**	Major (4) x Unlikely (2) **= 8**	Reviewed at A&REG on 18 August 2020. Reviewed by Deputy CEO on 5 August 2020. No further updates and risk to remain as graded. Reviewed by the Director of Strategy on 22 July 2020. The Cyber Manager post has been approved and will be going out to advert in August 2020. The Trust continues to work with Sapphire who are supporting to develop a detailed action plan to manage the cyber risk.

5. Summary and further actions

This report, and the accompanying annex from the Risk Register, summarise all Significant Risks currently contained on the Risk Register (as at 20 August 2020). All risks have been reviewed by the relevant Executive Director during the last month and also at the previous Assurance & Risk Executive Group meeting in August 2020. The report and annex describe any changes which have been undertaken during the risk reviews and also details progress in mitigating risks towards target levels.

The Trust Board are invited to:

- Note the contents of the report
- Receive assurance relating to the management of Significant Risks

Key Strategic Objective	Principal Risk	Lead Exec	Monitoring Committee	Aligned significant risks
QUALITY 1: To consistently provide safe and compassionate care for our **patients** and their families	**2592 - current rating 4 x 4 = 16** There is a risk that patients may receive sub-optimal care/treatment, with failures associated with: • Outcomes • Safety • Experience	Chief Nurse Medical Director	Quality Committee	2699 - COVID-19 (Trust) 2703 – COVID (Medicine) 2199 – A&E performance 2634 – cancer waiting times 2679 – End of Life Care 2643 – Diagnostic Imaging 2640 – Transfusion service staffing
QUALITY 2: To modernise our **hospital** (estate, digital infrastructure and medical equipment) to support the delivery of optimal care	**2757 – current rating 4 x 4 = 16** There is a risk that patients may receive sub-optimal care/treatment, with failures associated with: • Estate • Digital Infrastructure • Medical equipment	Chief Operating Officer	Finance & Activity Committee	392 – Roof 2343 – Cyber crime 2483 – Reputational damage / CQC regulatory notices
ENGAGEMENT 3. To strengthen staff engagement to create an open culture with trust at its centre	**2758 - current rating 4 x 3 = 12** There is a risk that Trust leaders may be unable to strengthen staff engagement and trust impacting on the development of an open culture at the Trust.	Deputy CEO	People Committee	No significant risks aligned
ENGAGEMENT 4. To work with **patients** and **system partners** to improve patient pathways and ensure clinical and financial sustainability	**2759 - current rating 4 x 3 = 12** There is a risk that the Trust is unable to work effectively with patients and system partners to improve patient pathways. This could impact the Trust's ability to ensure clinical and financial sustainability.	Finance Director	Finance & Activity Committee	No significant risks aligned
HEALTHY LIVES 5. To support our **patients** to improve health and clinical outcomes	**2760 - current rating 4 x 3 = 12** There is a risk that the Trust is unable to adequately support our patients to improve their health and clinical outcomes	Medical Director	Quality Committee	No significant risks aligned
HEALTHY LIVES 6. To maximise opportunities for our **staff** to achieve their true potential so that we deliver outstanding care	**2761 - current rating 4 x 3 = 12** There is a risk that Trust leaders are unable to maximise opportunities for staff which could impact on the ability of staff to deliver outstanding care	HR Director	People Committee	No significant risks aligned