

# Corporate Risk Register ACGC Update

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# Overview

There are 9 risks currently on the Corporate Risk Register. They were formally approved in Leadership Team on the 18<sup>th</sup> July 2024. An interim update has been provided on progress since this date.

Risk ID	Description	Inherent Score	Residual Score	Target Score
1533	There is a risk of reputational damage and failure to effectively implement the HIA statutory regulations that form part of the Public Health (Wales) Act which requires the Public Health Wales to give assistance to other public bodies carrying out health impact assessments	16	16	4
1593	There is a risk that we are unable to demonstrate that the quality standards and the Duty of Quality are embedded in all aspects of PHW business.	12	6	2
1596	There is a risk that the organisation may not have the capacity or resources necessary to effectively deliver the long-term strategic plan	16	12	8
1614	There is a risk that PHW Board and Committees cannot take sufficient assurance that the NHS Wales Executive is carrying out its functions in accordance within the governance framework of PHW. The current hosting agreement provides for an annual accountability report and for RO / AO meetings which may not provide sufficient assurance across the year	9	6	6
1648	There is a risk that Public Health Wales will lose access to Primary Care data.	20	9	6
1654	Risk of inadequate follow up DBS checks undertaken by PHW following the initial DBS check at the recruitment/onboarding stage.	20		
1655	Risk of harm to the population, specifically in relation to vulnerable groups such as children and elderly people, due to inappropriate appointments made to positions of trust.	20		
1656	Risk of significant damage to the reputation of the organisation should a member of staff be inappropriately appointed into a position of trust and an incident occur.	20		
1531	There is a risk that we will fail to exploit data to inform and direct public health action and interventions.	20	20	12

# Risk 1533

Executive Sponsor	Description	Cause	Impact	Inherent Score	Residual Score	Target Score
Director of Policy & International Health, WHO CC	There is a risk of reputational damage and failure to effectively implement the HIA statutory regulations that form part of the Public Health (Wales) Act which requires the Public Health Wales to give assistance to other public bodies carrying out health impact assessments	This will be caused by a lack of capacity in the WHIASU team and limited knowledge, skills and capacity across PHW, outside of WHIASU, to meet the anticipated high volume of requests for assistance, guidance and training from Welsh Government, internally in PHW and externally from public bodies. The WHIASU team consists of 3.3 WTE and a Consultant providing strategic leadership.	The effect will be that PHW will not be able to fulfil its statutory duties either as a public body carrying out HIAs nor as a body which is required to provide assistance to other public bodies, as well as ineffective implementation of the regulations leading to missed opportunities to reduce inequalities and improve and protect public health in Wales.	16	16	4

Interim Update: The risk continues to be well managed. While there is no substantial update since Leadership Team approval in July, activities and mitigations continue against the action plan.

# Risk 1593

Executive Sponsor	Description	Cause	Impact	Inherent Score	Residual Score	Target Score
Executive Director of Quality, Nursing and AHPs	There is a risk that we are unable to demonstrate that the quality standards and the Duty of Quality are embedded in all aspects of PHW business.	This will be caused by organisational capacity and capability to operationalise and embed due to competing priorities.	The impact will be noncompliance with the legislative requirements, and a lack of progress in strengthening quality improvement and governance in the delivery of safe services, programmes and functions.	12	6	2

Interim Update: A new Quality Oversight Group has been established and will manage the actions to address the risk. Several controls are no longer in place and have been removed but this has not affected the residual risk score.

# Risk 1596

Executive Sponsor	Description	Cause	Impact	Inherent Score	Residual Score	Target Score
Director of People and Organisational Development	There is a risk that the organisation may not have the capacity or resources necessary to effectively deliver the long-term strategic plan	This risk arises from a challenging political and financial landscape, which includes staff time being redirected to contribute to the (Covid) public enquiry and an unstable industrial relations climate	Inability to deliver the long term strategy due to absence of strategic workforce planning	16	12	8

Interim Update: There has been no update since it's last submission however the action plan remains on target to be completed.

# Risk 1614

Executive Sponsor	Description	Cause	Impact	Inherent Score	Residual Score	Target Score
Board Secretary	There is a risk that PHW Board and Committees cannot take sufficient assurance that the NHS Wales Executive is carrying out its functions in accordance within the governance framework of PHW. The current hosting agreement provides for an annual accountability report and for RO / AO meetings which may not provide sufficient assurance across the year	The cause is that PHW's Assurance Framework is currently in draft form, not yet approved and implemented. The new assurance framework from April will plug the risk.	Sanctions imposed in accordance with Legislative/Regulatory Compliance, Reputational damage, Financial implications and data security vulnerabilities	9	6	6

Interim Update: The Assurance map is yet to be formally agreed, however the reporting to the Committees and BET has commenced in line with the schedule, pending further finalisation. Reports to ACGC in May, and QSIC in July are completed/scheduled. Regular meetings between Chief Executive and NHSE continue.

# Risk 1648

Executive Sponsor	Description	Cause	Impact	Inherent Score	Residual Score	Target Score
Director of Knowledge	There is a risk that Public Health Wales will lose access to Primary Care data.	This is due to Audit+ which is the tool to gather primary care data is being shut down.	The loss of Audit Plus without a replacement equivalent service would lead to PHW being unable to meet its statutory responsibilities.	20	9	6

Interim Update: - The target score has been reduced to 4. An impact assessment had been updated with the Antimicrobial Resistance Team and “handed in”. DHCW were of the opinion that PHW’s use of Audit+ was a byproduct of the original contract. They had proposed a three-part solution: the first to replace the GP functions; the second to replace the secondary use of personal data; and the third to replace the operational data being flu and covid vaccines. Work remains to identify a useful solution taking into consideration immediate costs and future affordability.

# Risk 1654

Executive Sponsor	Description	Cause	Impact	Inherent Score	Residual Score	Target Score
Director of People and Organisational Development	Risk of inadequate follow up DBS checks undertaken by PHW following the initial DBS check at the recruitment/onboarding stage.	Shortcomings in the process following initial recruitment, out of line with best practice and guidance.	Inappropriate appointments made to positions of trust, lack of due diligence.	20		

Interim Update: This risk was escalated onto the Corporate Risk Register in July 2024. DBS Compliance Officer will commence in role on 2nd September 2024 and an audit will be completed by 31 March 2025. Results will be reported to the Safeguarding Group.



# Risk 1655

Executive Sponsor	Description	Cause	Impact	Inherent Score	Residual Score	Target Score
Executive Director of Quality, Nursing and AHPs	Risk of harm to the population, specifically in relation to vulnerable groups such as children and elderly people, due to inappropriate appointments made to positions of trust.	Unsubstantiated individuals in positions of trust, interacting with vulnerable groups of population.	Potential abuse of position and exploitation of vulnerable members of the population. This would be measured through reported incidents or complaints, however, does not take into consideration unknown harm.	20		

Interim Update: This risk was escalated onto the Corporate Risk Register in July 2024. A residual score of 9 and target score of 6 has since been indicated.

# Risk 1656

Executive Sponsor	Description	Cause	Impact	Inherent Score	Residual Score	Target Score
Board Secretary	Risk of significant damage to the reputation of the organisation should a member of staff be inappropriately appointed into a position of trust and an incident occur.	Significant or harmful event resulting in serious injury or death, committed by a member of staff without relevant DBS check in place or reviewed.	Detrimental and adverse impact on levels of public confidence and credibility. Potential impact on ability to administer advice and guidance for any future critical incident or event. Lack of credibility of the Board	20		

Interim Update: This risk was escalated onto the Corporate Risk Register in July 2024. A residual score of 9 and target score of 6 has since been indicated.

# Risk 1531

Executive Sponsor	Description	Cause	Impact	Inherent Score	Residual Score	Target Score
Director of Knowledge	There is a risk that we will fail to exploit data to inform and direct public health action and interventions.	This will be caused by data being held in silos, difficulty accessing the data and inability to access to provide the impact on public health.	This will result in worse public health outcomes in Wales and increased information governance risk within Public Health Wales.	20	20	12

Interim Update: The risk is being actively managed led by Head of Data. Significant mitigation was carried out in August by DHCW who are assessing 3 possible replacement options. A further briefing from DHCW is due on 16 September 2024 regarding the replacement. The risk will be reviewed again on 2nd September 2024 by the DDDA for all members to cascade and update their Directorates on progress.