

 <p>GIG CYMRU NHS WALES</p> <p>Iechyd Cyhoeddus Cymru Public Health Wales</p>	<p>Name of Meeting Quality, Safety and Improvement Committee</p> <p>Date of Meeting 19 August 2021</p> <p>Agenda item: 3.3</p>
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<h2>Public Health Wales Corporate Risk Register</h2>				
Executive lead:	Rhiannon Beaumont-Wood, Executive Director of Quality, Nursing and Allied Health Professionals			
Author:	John Lawson, Chief Risk Officer			
Approval/Scrutiny route:	N/A			
Purpose				
Receive the Corporate Risk Register for the purpose of scrutiny and challenge				
Recommendation:				
APPROVE <input checked="" type="checkbox"/>	CONSIDER <input checked="" type="checkbox"/>	RECOMMEND <input type="checkbox"/>	ADOPT <input type="checkbox"/>	ASSURANCE <input type="checkbox"/>
The Committee is asked to: <ul style="list-style-type: none"> • Receive the corporate risk register for the purpose of scrutiny and assurance 				

Link to Public Health Wales [Strategic Plan](#)

Public Health Wales has an agreed strategic plan, which has identified seven strategic priorities.

This report contributes to all Strategic Priorities

Strategic Priority	Choose an item.
Strategic Priority	Choose an item.

Summary impact analysis

Equality and Health Impact Assessment	No decision is required.
Risk and Assurance	This submission is the Corporate Risk Register.
Health and Care Standards	This report supports and/or takes into account the Health and Care Standards for NHS Wales Quality Themes Governance, Leadership and Accountability
Financial implications	The financial implications of failing to manage corporate risk effectively are significant, both in terms of the potential for loss and also the failure to capitalise on opportunities.
People implications	No people implications.

1. Purpose / situation

This paper introduces the Corporate Risk Register and highlights any areas of concern that may require further discussion. This paper must be read in conjunction with the full Corporate Risk Register. The Corporate Risk Register includes seven risks specifically related to the COVID-19 pandemic.

2. Horizon Scanning

The development of a three year Risk Management Development Plan is being progressed and will be presented to BET by late summer 2021. A review has been undertaken of the strategic risks, and work continues now to review and further develop the controls and the action plans. This work should complete by September 2021. Following this, there will be a need for the Corporate Risk Register to be reviewed to ensure that the identified risks remain current, and to identify any new or emerging risks that need greater visibility.

3. Analysis

The Corporate Risk Register currently represents the 14 operational risks that are deemed to require management at Executive level. Seven of these risks are related directly to the Covid19 response, and the remaining seven are risks that were identified pre-Covid19, but remain a concern to the Executive. These are the Corporate Risks.

A summary of the Corporate Risks can be found in Appendix A.

For the risk management system to work effectively, the Corporate Risks need to address the threats that the organisation currently faces and need to align to the five strategic risks that the Board has set out.

Appendix B shows the 14 Corporate Risks on the left, and how they are mapped to the 5 strategic risks on the right.

The Strategic Risk with the highest number of corresponding Corporate Risks (8) is SR2 (Fail to re-activate, innovate and improve).

The Strategic Risk with the fewest number of corresponding Corporate Risks (0) is SR3 (Population Health)

Currently there are 3 Corporate Risks that do not obviously link to any of the Strategic risks and these are shown in the Appendix. This will be addressed in the review of Corporate Risks outlined in paragraph 2 above.

Actions and updates

Ten risks remain with outstanding actions.

All risks have been updated to some level since the start of the year.

- Three risks have been updated within the past month
- Ten risks have been updated within the past 3 months

A summary of actions and updates can be found in Appendix C

Risk movements this period

Risks added since the previous month

None

Risks to be considered for escalation (Separate escalation form required)

None

Risks to be considered for de-escalation or removal

None

Risks increasing in severity score since the previous month

None

Risks decreasing in severity score since the previous month

None

Further work recommended or ongoing

Work is ongoing to develop further the strategic risks. As part of this work, corporate risks will be examined to ensure that they align appropriately with strategic risks and that they are being managed at an appropriate level. Meetings are planned with all Strategic Risk owners through July and August.

A gap in the system at this time is the lack of a review of the organisation's risk appetite to ensure that it remains relevant and an accurate reflexion of the Board's view on risk. Failure to understand and articulate risk appetite is a risk in itself as the potential is to accept risks which are beyond the capacity of the organisation, or to over control risks thus failing to capitalise on the opportunities that a risk presents. This work is being planned in as part of the review of the organisational strategy towards the end of 2021.

4. Well-being of Future Generations (Wales) Act 2015

No decision required.

5. Recommendation

The Committee is asked to:

- **Receive** the corporate risk register for the purpose of scrutiny and assurance

References

Fraser J, & Simpkins, B (Eds). (2010) *Enterprise Risk Management* (pp171-188) New Jersey: John Wiley and Sons

Public Health Wales (2020). *Risk Management Policy and Procedure*. Cardiff: PHW

Appendix A – Summary of Corporate Risks by rating, decision & Executive lead

Total number of Corporate Risks relating to COVID-19		7	
Total number of Corporate Risks not related to COVID-19		7	
No. of Risks by severity (residual score)	Extreme	7	
	High	6	
	Moderate	0	
	Low	1	
No. of risks by Decision	Terminate	0	
	Transfer	0	
	Treat	11	
	Tolerate	3	
No. of risks by Exec Lead		COVID-19 Related	Not COVID-19 Related
	Chief Executive	0	0
	Executive Director Finance	0	1
	Executive Director PHS	2	2
	Executive Director QNAHPs	1	1
	Director of POD	3	3
	Transition Director of H&W	0	0
	Director of Knowledge	0	0
	Director of WHO Collaborating Centre	0	0
	Director of Improvement Cymru	0	0
	Board Secretary	1	0
	Not assigned	0	0
No. of risks with overdue actions (see 'Key points')			10

Appendix B – Corporate Risks mapped to Strategic Risks

Corporate Risk		Strategic Risk
Ref	Headline Description	Reference
001	Pausing of screening programmes	2
002	Unrecognised non-Covid infections	1,2
004	Insufficient staff to deliver the operational plan	1,2
005	Adverse impact on staff of new working arrangements	5
006	Ability to respond to the pandemic	1,5
007	Fail to deliver high quality services	2
008	Fail to comply with WG reporting requirements	2
100	Fail to develop staff in line with our strategy	None
101	Fail to manage change in the new strategy	None
102	Fail to recruit and retain medical microbiologists	1,2
103	Suffer unacceptable IT failures	4
104	Failure in service delivery in Diabetic Eye Screening	2
105	Fail to comply with the requirements of the Welsh Language Act	None
106	Fail to effectively manage concerns and redress	2

Strategic Risk Headlines

- SR1 Inability to sustain the Health Protection response (for COVID 19 and other infectious disease / environmental hazards) for the ongoing progression of the pandemic.
- SR2 Failure to sufficiently reactivate, innovate and improve (where appropriate) statutory and core public health functions to meet the needs of the population.
- SR3 Failure to mobilise sufficiently qualified staff and deliver effective and timely system leadership and manage expectations in order to tackle the broader population health harms in Wales
- SR4 Vulnerability to cyber attack
- SR5 Failure to sufficiently and effectively support and protect the health, well-being, welfare and resilience of our staff.

Appendix C – Summary of Corporate Risks by Action and Update status

Ref	Headline	Exec Owner	Actions status	Last updated	Comments
001	Pausing of Screening Programmes	FMK		May 21	
002	Unrecognised non-Covid infections	FMK		May 21	
004	Insufficient staff to deliver the operational plan	NL		Apr 21	
005	Adverse impact on staff of new working arrangements	NL		Apr 21	
006	Ability to respond to the pandemic	NL		Apr 21	
007	Fail to deliver high quality services	RBW		Jun 21	One new action date proposed
008	Fail to comply with WG reporting requirements	HB		July 21	
100	Fail to develop staff in line with our strategy	NL		Apr 21	
101	Fail to manage change in the new strategy	FMK		Apr 21	
102	Fail to recruit and retain medical microbiologists	FMK		May 21	
103	Suffer unacceptable IT failures	HG		Jan 21	
104	Failure in service delivery in Diabetic Eye Screening	FMK		May 21	
105	Fail to comply with the requirements of the Welsh Language Act	NL		May 21	
106	Fail to effectively manage concerns and redress	RBW		Jun 21	

Notes

Numbering convention.

Risks in the series 00x relate to Covid19 risks

Risks in the series 10x relate to risks that pre-date Covid19

Once a risk is removed from the CRR, for clarity the number is removed with it and is not re-used – hence there is no Risk 003 as the risk itself was removed in April.

Key

Action status	
	Actions overdue or no actions present
	All actions on track or risk marked as Tolerate
Update status	
	No update provided in previous 3 months
	No update provided in the past month
	Risk updated within the past month