

 <p> <b>GIG</b>          CYMRU  <b>NHS</b>          WALES       </p>	Iechyd Cyhoeddus Cymru Public Health Wales	<b>Name of Meeting</b> Quality, Safety and Improvement Committee <b>Date of Meeting</b> 21 February 2024 <b>Agenda item:</b> 3.3
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Risk Assurance	
<b>Executive lead:</b>	Claire Birchall, Interim Executive Director of Quality, Nursing and Allied Health Professionals
<b>Author:</b>	Claire Birchall, Interim Executive Director of Quality, Nursing and Allied Health Professionals Executive Lead representatives, co-ordinated by Eleanor Higgins, Integrated Governance Manager

<b>Approval/Scrutiny route:</b>	Claire Birchall, Interim Executive Director of Quality, Nursing and Allied Health Professionals Business Executive Team 17 January 2024 Board 25 January 2024
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<b>Purpose</b>
To provide assurance to the Board and Board Committees on the management of risk in Public Health Wales.
To provide an update on the Strategic and Corporate Risk Registers.

<b>Recommendation:</b>				
APPROVE <input type="checkbox"/>	CONSIDER <input checked="" type="checkbox"/>	RECOMMEND <input type="checkbox"/>	ADOPT <input type="checkbox"/>	ASSURANCE <input checked="" type="checkbox"/>
The Committee is asked to: <ul style="list-style-type: none"> <li>• <b>Consider</b> the updated Strategic Risks and take <b>assurance</b> on the management of Strategic Risk within their remit.</li> <li>• <b>Note</b> that the Board approved the change to assuring Board Committee for Strategic Risk 1 and 2 (from the Quality, Safety and Improvement Committee to the Knowledge, Research and Information Committee) at its meeting on 25 January 2024.</li> <li>• <b>Note</b> the changes to the mechanism and frequency of reporting of the Corporate Risk Register to the Committee.</li> <li>• Take <b>assurance</b> on the updated Corporate Risk Register.</li> </ul>				

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

Public Health Wales has an agreed strategic plan, which has identified seven strategic priorities and well-being objectives.

This report contributes to the following:

<b>Strategic Priority/Well-being Objective</b>	All Strategic Priorities/Well-being Objectives
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**Summary impact analysis**

<b>Equality and Health Impact Assessment</b>	No decision is required.
<b>Risk and Assurance</b>	This submission is the Strategic and Corporate Risk Register.
<b>Health and Social Care (Quality and Engagement) (Wales) Act</b>	The requirements of the act are reflected within the Strategic and Corporate Risk registers, including specific Corporate risk relating to failure fully implement.
<b>Financial implications</b>	The financial implications of failing to manage risk effectively are significant, both in terms of the potential for loss and also the failure to capitalise on opportunities.
<b>People implications</b>	There is a both a Corporate and Strategic Risk relating to the workforce.

## **1. Purpose / situation**

This paper provides the Quality, Safety and Improvement Committee with assurance on how risk is managed in Public Health Wales.

The Strategic Risk Register (SRR) is the vehicle through which the Board and Committees takes assurance that it has a clear understanding of the strategic risk facing the organisation in the delivery of its strategic objectives, together with an understanding of the likelihood and the impacts if the risks are realised. In addition, it provides assurance that any necessary actions required to mitigate those risks have been identified and are being suitably managed. A Delivery Confidence Assessment is allocated to each risk, along with an overview assessment from the risk owner which provides a progress narrative updates at every review .

The Strategic Risk Register details the seven current Strategic Risks that were approved by the Board in March 2023. These are the highest-level risks that could prevent the organisation from delivering on its strategic priorities

The Board considered an updated Strategic Risk Register and Corporate Risk Register at its meeting on 25 January 2024. The Board went on to approve the change to assuring Board Committee for Strategic Risk 1 and 2 (from the Quality, Safety and Improvement Committee to the Knowledge, Research and Information Committee) at its meeting on 25 January 2024.

This paper presents:

- An executive overview of each Strategic Risk by the Risk Owner within the remit of the Committee.
- An update to the reporting schedule to Board and Committees, including changes to assuring Committees.
- A fully refreshed Strategic Risk Register within the remit of the Committee assurance.
- An overview of the refreshed Corporate Risk Register.

## **2. Delivery Confidence Assessment**

All strategic risks carry a delivery confidence assessment assigned by the Executive Sponsor. This was previously assessed in a subjective way, allocating a RAG status. After feedback from Board members, this has now been incorporated into a broader Risk Owner's Delivery Confidence assessment, which is a more detailed narrative assessment update.

### 3. Strategic Risks

There are now three strategic risks within the remit of the Committee, which are listed below, with an executive overview of each risk. A full assessment is provided in the attached Strategic Risk Register.

There have been a number of revisions to the template illustrating the architecture for each risk. This has been in response to feedback from Board members, Risk owners, and the Leadership Team. These include:

New/Amended section	Information provided
Risk Owner's Delivery Confidence assessment	Revised from previous template. This section brings together the Risk Owner's overview assessment status from the Strategic Risk Register, the Delivery Confidence Assessment and the Executive overview.
Expected timescale for movement in risk score (likelihood and/or impact)	New section added to provide clarification on when risk scores are likely to change. Narrative will explain whether the risk will see short-term or long-term change and the interdependencies for this change.
Key changes from last report	Revised from previous template to give a summary of changes from last report including changes to sources of assurance, controls, actions and current risk scores.
Link to Strategic Priorities and relevant strategic programme	New section added to show clear link to Strategic Priorities or strategic programmes.
Corporate Risks relating to this Strategic Risk	New section added to indicate relationship with Corporate Risks to allow more visibility for risk assurance. Not all Strategic Risks will have a direct relationship with a Corporate Risk and some Corporate Risks may relate to more than one Strategic Risk.

<b>Risk 3</b>	There is a risk that people in Wales are insufficiently engaged and enabled on action they can take to improve their health and wellbeing, caused by failure to provide people with sufficient information, choice and access to timely advice and services, resulting in people feeling they are limited in exercising control over their health and wellbeing and avoidable poor health outcomes				
<b>Risk Owner's Delivery Confidence assessment</b>	<p>Whilst existing controls are progressing and further actions are being taken to enable PHW to better engage with our population, there has been no change in the likelihood of the risk (and therefore the risk scoring) and the DCA due to the scale of change required (which will also need to be with and through our communities and stakeholders).</p> <p>There is currently an opportunity to ensure that addressing this risk fully informs our IMTP planning for 2024-27, so that our organisational actions have a demonstrable impact – whether it is through informing, advocating, mobilising or delivering services. For example, evaluating ‘Our Approach to Engagement’ provides an opportunity to identify impact to date and identify actions that will effect change. The significant scale of the challenge and actions to address this risk will mean that we need to reflect our organisational role and unique contribution.</p> <p>The risk descriptor will be reviewed to focus on areas that we can influence and demonstrate impact. Alongside this, there will be a review of the target risk, to account for how much of the risk can be mitigated by PHW alone.</p>				
<b>Exec Sponsor</b>	Sumina Azam, National Director Policy and International Health		<b>Exec Contributors</b>	Iain Bell, Director of Knowledge and Research Meng Khaw, National Director of Health Protection and Screening Services Claire Birchall, Interim Exec Dir Quality, Nursing and Allied Health Professionals Huw George, Deputy Chief Executive and Executive Director of Operations and Finance	
<b>Assurance Group</b>	Quality, Safety and Improvement Committee				
<b>Risk Score</b>	Likelihood	Impact	Total risk score	<b>Expected timescale for movement in risk score (likelihood and/or impact)</b>	Further work is required to refine the risk descriptor to clarify which part of the risk Public Health Wales has direct influence over and which part requires partnership working to achieve. This work is to commence shortly as part of the review of the SRR.
<b>Inherent</b>	4	5	20		
<b>Current</b>	3	4	12		
<b>Target</b>	2	3	6	<b>Risk Decision</b>	Treat

<b>Key changes from last report</b>	<p>Actions are being progressed to mitigate this risk. Of note: Action 3.1 (a refreshed approach to service user engagement through Civica) is in development, and a survey is currently being procured.</p> <p>A number of actions are being considered in the IMTP 2024-27, which provide opportunity to accelerate progress.</p> <p>For example, <i>Our Approach to Engagement</i> was produced in 2021 to ensure that our population's views are at the centre of what we do and how we work. The implementation plan will be reviewed in 2024-25 and will include engaging with our partners and third sector. Other options being explored include embedding consistent methodologies in Civica to fully capture user experience and developing a user experience framework.</p>
<b>Link to Strategic Priorities and relevant strategic programmes</b>	<ul style="list-style-type: none"> <li>• Influencing wider determinants of health – the context of people's lives (their community, work, experiences of deprivation, the homes they live in) affects their ability to engage in health promoting behaviours.</li> <li>• Promoting healthy behaviours</li> <li>• Promoting mental and social wellbeing</li> <li>• Delivering excellent public health services – actions people can take to support their health includes taking up the offer of vaccination and screening.</li> <li>• Supporting a sustainable health and care system – the health and care system cannot be sustainable unless there is population-wide engagement in health.</li> <li>• Tackling the public health effects of climate change – actions to improve health will also benefit the climate</li> </ul> <p>The Diabetes programme includes engaging with our population so that they adopt behaviours to prevent diabetes or prevent its complications</p>
<b>Corporate Risks relating to this Strategic Risk</b>	<p>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. Resulting in the inability to deliver the long term strategy due to absence of strategic workforce planning.</p> <p>There is a risk that Public Health Wales will fail to meet the requirements of The Health and Social Care (Quality and Engagement) (Wales) Act (2020).</p>

<b>Risk 5</b>	There is a risk that we insufficiently prevent, plan for and respond to emerging external threats to public health, caused by insufficient horizon scanning, forecasting, use of data/digital tools and planning/training/exercising for response, resulting in suboptimal responses to near-term incidents (including but not limited to infectious disease) and longer-term emerging risks to public health.				
<b>Risk Owner's Delivery Confidence assessment</b>	<p>The current risk score is at the inherent risk level.</p> <p>There are existing controls relating to: Emergency planning and learning from incidents and outbreaks, including the COVID pandemic; workforce planning and development for response; training and exercising; and horizon-scanning activities.</p> <p>Good progress has been made on clarifying roles and responsibilities for health protection in Wales, through the publication of the All Wales Communicable Disease Outbreak Plan and in PHW, with the approval of the PHW Emergency Response Plan. In conjunction with the learning from the COVID Inquiry on Emergency Planning and the planned conclusion of the PHW debrief on operational readiness, the impact is very likely to reduce over the coming months.</p> <p>Additional action is still required to reduce the impact of external threats, through developing an understanding the demands on and the roles and responsibilities of each component of the response architecture and the health protection competencies that need to be held in reserve for surge response. Further Learning Events for the Early Phases of COVID-19 Response are being arranged and evidence from the Public Inquiry continues to emerge. More specific actions will be determined as recommendations emerge from the COVID Public Inquiry. There will be a focus on addressing health inequalities through emergency planning and response.</p> <p>Action is also required to join up the horizon-scanning efforts across the organisation.</p>				
<b>Exec Sponsor</b>	Meng Khaw, National Director of Health Protection and Screening Services			<b>Exec Contributors</b>	Sumina Azam, Director of Policy and International Health / WHOCC
<b>Assurance Group</b>	Quality, Safety and Improvement Committee				
<b>Risk Score</b>	Likelihood	Impact	Total risk score	<b>Expected timescale for movement in risk</b>	Although the current risk score remains unchanged, progress continues as planned to mitigate the likelihood and impact of this
<b>Inherent</b>	3	4	12		

<b>Current</b>	3	4	12	<b>score (likelihood and/or impact)</b>	strategic risk. Additional sources of assurance have been identified against control 5.4. There is progress made on clarifying roles and responsibilities for key actors in the health protection system and over the coming months there will be opportunities for exercising the new arrangements and response plans, as well as learning from the COVID response. The impact score is expected to reduce by Q2 of 2024/25.
<b>Target</b>	3	2	6	<b>Risk Decision</b>	Treat
<b>Key changes from last report</b>	<p>Additional sources of assurance and activity relating to EPRR lessons identified from major incidents and specifically from C19 detailed in the Strategic Risk Register</p> <p>Additions made to Control 5.4.</p> <p>An additional control 5.7 relating to operational financial planning added.</p> <p>Additional actions included relating to ensuring lessons are identified and shared from incidents and outbreaks.</p> <p>New actions added to AP 5.6.</p> <p>New action 5.9 added to mitigate gaps in control 5.7 – operational financial planning.</p> <p>Elements of the actions have requests for due date changes (AP 5.4, 5.6)</p> <p>Elements of actions have request to complete (AP5.1, AP5.3, 5.4)</p>				
<b>Link to Strategic Priorities and relevant strategic programmes</b>	Excellent Public Health services				
<b>Corporate Risks relating to this Strategic Risk</b>	There is a risk arising from an ISSUE that changes to alerting processes will mean that PHW stop receiving alerts for emergencies and major incidents (E or MI).				



<b>Risk 6</b>	There is a risk that we fail to deliver excellent public health services, including on screening, infection and health protection, caused by weakness in clinical and health protection processes, specialist workforce capacity and capabilities, innovation and/or capital investment, resulting in inadequate provision, responsiveness or uptake of services, poor individual patient and population outcomes and failure to meet quality standards.				
<b>Risk Owner's Delivery Confidence assessment</b>	<p>The current risk score is at the inherent risk level.</p> <p>There are existing controls relating to: workforce planning and development; mitigation of impacts of unexpected health threats through the establishment of effective systems and processes; and strengthening governance arrangements to ensure excellent service delivery in HPSS through implementation of the long-term strategy.</p> <p>Each of the three divisions in HPSS directorate are likely to score differently if reviewed independently and this will be reflected in divisional and directorate risk registers.</p> <p>The number of ongoing health protection threats remain stable, enabling health protection services to return to focus on pro-active work, such as for Blood-borne viruses, sexually transmitted infections and Tuberculosis.</p> <p>Diagnostic testing for COVID continues to be reduced in intensity as a result of the changes to the testing strategy implemented in 2023. Work is ongoing to build excellent services for infection through workforce planning and development.</p> <p>Screening recovery is progressing well for Breast Test Wales, but the risk around the clinical workforce capacity remains. Confirmation from WG that funding for screening recovery is approved for the year 2023/24. A transformation programme has been agreed to improve the Diabetic Eye Screening programme.</p> <p>Although there are specific aspects where the risk is higher, such as for Diabetic eye and Breast screening, overall, across the Directorate, the current risk is at the inherent risk. There is an opportunity to review the inherent risk score as the context has changed since the Strategic risk was conceived.</p>				
<b>Exec Sponsor</b>	Meng Khaw, National Director of Health Protection and Screening Services		<b>Exec Contributors</b>	Claire Birchall, Interim Exec Dir Quality, Nursing and Allied Health Professionals	
<b>Assurance Group</b>	Quality, Safety and Improvement Committee				
<b>Risk Score</b>	Likelihood	Impact	Total risk score	<b>Expected timescale for</b>	During the first six months of 2024/25, there will be more clarity around the implementation of diabetic

<b>Inherent</b>	3	3	9	<b>movement in risk score (likelihood and/or impact)</b>	eye transformation and progress with Breast Test Wales. Also, further stabilisation of the workforce in Infection division will help with service delivery for microbiology labs.  Impact reduced by workforce planning and development.
<b>Current</b>	3	3	9		
<b>Target</b>	3	2	6	<b>Risk Decision</b>	Treat
<b>Key changes from last report</b>	Additional action 6.8 added relating to excellent operations to support the delivery of excellent public health services. Elements of the actions have requests for due date changes (AP 6.3, AP 6.4, AP 6.5) Elements of the actions have requests to complete (AP 6.3)				
<b>Link to Strategic Priorities and relevant strategic programmes</b>	Excellent Public Health Services				
<b>Corporate Risks relating to this Strategic Risk</b>	<p>There is a risk arising from an ISSUE that the current cameras and IT equipment being used for clinical work in the Diabetic Eye Screening Wales Programme will fail due to asset age and insufficient stock available as back-up equipment.</p> <p>Diabetic Eye Screening – corporate risk is likely to be returned as a divisional risk. Diabetic Eye Screening – corporate risk is likely to be returned as a divisional risk. North Wales microbiology – likely to be logged as an issue and not a risk.</p>				

#### 4. Corporate Risk Register

The Leadership Team has reviewed and refreshed the Corporate Risk Register and has agreed six Corporate Risks. This includes two existing risks and four new risks. As part of this process, the Leadership Team agreed to archive two risks from the Corporate Risk Register and to de-escalate two risks from the Corporate Risk Register to their corresponding Directorate Risk Register. The new reporting template for Strategic Risk now identifies the relationship between Corporate Risks and Strategic Risks. The register is available at appendix 2.

Risk Description	Lead Executive	Current Risk Score	Risk Decision	Relationship with Strategic Risk
There is a risk that Public Health Wales will fail to meet the requirements of The Health and Social Care (Quality and Engagement) (Wales) Act (2020)	Director for NHS Quality Improvement and Patient Safety, Improvement Cymru	L4xI4=16	Treat	SR 3 SR 4
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. Resulting in the inability to deliver the long term strategy due to absence of strategic workforce planning.	Director of People and Organisational Development	L3xI4=12	Treat	SR 3 SR 4 SR 7
There is a safeguarding risk that organizational DBS checks do not prevent unsuitable people from working with vulnerable groups, including children, therefore placing them at risk of harm, abuse and neglect.	Director of People and Organisational Development	L2xI3=6	Tolerate	SR 4
There is a risk arising from an ISSUE that changes to alerting processes will mean that PHW	Executive Director for Health	L4xI4=16	Treat	SR 5

stop receiving alerts for emergencies and major incidents (E or MI).	Protection and Screening Services			
There is a risk arising from an ISSUE that the current cameras and IT equipment being used for clinical work in the Diabetic Eye Screening Wales Programme will fail due to asset age and insufficient stock available as back-up equipment.	Executive Director for Health Protection and Screening Services	L5xI4=20	Treat	SR 6

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

No decision required.

## 6. Recommendation

The Committee is asked to:

- **Consider** the updated Strategic Risks and take **assurance** on the management of Strategic Risk within their remit
- **Note** that the Board approved the change to assuring Board Committee for Strategic Risk 1 and 2 from the Quality, Safety and Improvement Committee to the Knowledge, Research and Information Committee at its meeting on 25 January 2024.
- **Note** the changes to the mechanism and frequency of reporting of the Corporate Risk Register to the Committee.
- Take **assurance** on the updated Corporate Risk Register within their remit