

 <p> GIG CYMRU NHS WALES </p> <p> Iechyd Cyhoeddus Cymru Public Health Wales </p>	<p> Name of Meeting Quality, Safety and Improvement Committee Date of Meeting 20 May 2024 Agenda item: 3.5 </p>
--	---

<h2 style="text-align: center;">Risk Assurance</h2>	
Executive lead:	Claire Birchall, Interim Executive Director of Quality, Nursing and Allied Health Professionals
Author:	Claire Birchall, Interim Executive Director of Quality, Nursing and Allied Health Professionals Executive Lead representatives, co-ordinated by Danielle Gething, Head of Risk Management
Approval/Scrutiny route:	Claire Birchall, Interim Executive Director of Quality, Nursing and Allied Health Professionals Business Executive Team 15 th May 2024

Purpose
<p>To provide assurance to the Quality Safety and Improvement Committee on the management of risk in Public Health Wales.</p> <p>To provide an update on the Strategic and Corporate Risk Registers that relate to the remit of the Quality Safety and Improvement Committee.</p>

Recommendation:				
APPROVE <input type="checkbox"/>	CONSIDER <input checked="" type="checkbox"/>	RECOMMEND <input type="checkbox"/>	ADOPT <input type="checkbox"/>	ASSURANCE <input checked="" type="checkbox"/>
<p>The Committee is asked to:</p> <ul style="list-style-type: none"> • Consider the updated Strategic Risks and take assurance on the management of Strategic Risk within their remit. • Take assurance on the updated Corporate Risk Register within their remit. • Note the combined previous risks of SRR 5 and SRR 6 to a revised SRR 5. • Note the organisational future approach in relation to governance and sources of assurance of commissioned services. • Note the closure of actions plans associated with risk SRR 5. 				



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:

Strategic Priority/Well-being Objective	All Strategic Priorities/Well-being Objectives
--	--

Summary impact analysis

Equality and Health Impact Assessment	No decision is required.
Risk and Assurance	This submission is the Strategic and Corporate Risk Register.
Health and Social Care (Quality and Engagement) (Wales) Act	The requirements of the act are reflected within the Strategic and Corporate Risk registers, including specific Corporate risk relating to failure fully implement.
Financial implications	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.
People implications	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 through the established internal control system.

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 previously endorsed seven current Strategic Risks that were approved by the Board in March 2023. These risks have been assessed as being the most significant risks that could prevent the organisation from achieving its strategic priorities and associated objectives.

This paper presents:

- An executive overview of each Strategic Risk by the Risk Owner within the remit of the Committee.
- A refreshed Strategic Risk Register within the remit of the Committee assurance.
- An overview of the refreshed Corporate Risk Register (March 2024 – last presentation to Leadership Group).
- A proposal to amalgamate the previous SRR 5 and SRR 6 to identify a new SRR 5 that allows for robust focus on addressing gaps in controls and assurances in relation to the effective management of the risk. Thereby reducing the number of risks within the remit of this Committee to 2 and the overarching number of Strategic risks to 6.

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.

4. Update Since the Last Reporting Period

Since the last reporting period, significant work has been undertaken to ensure that controls and sources of assurance in relation to the management of the Strategic risks, are effective.

In undertaking the reviews, it has been determined that 2 of the Strategic risks that are covered within the Committee's remit, should be combined to reduce any potential duplication of efforts, and ensure focus on achieving the intended outcomes of the actions associated with the management of the risks. The risks proposed to be considered as one Strategic risk going forward are SRR 5 and SRR 6. It is anticipated that the amalgamated risk will become a revised SRR 5.

Work has been undertaken to streamline and focus the controls and action plans; this has resulted in a recommendation to amalgamate the previous SRR 5 with SRR 6. On review and evaluation of the risks, it was determined that many of the controls and sources of assurance overlapped. By streamlining the risks, the organisation can focus itself on identifying and addressing the gaps in controls and assurances to ensure robust risk management actions are taken. The revised wording for the **new SRR 5** is as follows:

***"Risk of:** Failure to deliver excellent public health services on screening, infection, health protection and Emergency Planning Resilience and Response (EPRR) and comply with the Duty of Quality.*

***Due to:** Weakness in systems and processes, specialist workforce capacity and capabilities and innovative practice."*

During review and evaluation of the Strategic risks, it was clear that further controls and assurances were required in relation to oversight and contractual management of commissioned services. Through identification of this gap and in relation to the arrangements of Bowel Screening Wales, a new action has been established and will be taken forward. The Committee is asked to note that **action plans (AP) 6.8 and 6.10 in the Strategic risk register excerpt refers.**

<p>Risk 3</p>	<p>Risk of: The organisation failing to effectively engage with the public in relation to their health and wellbeing. Due to: Failure to build relationships with stakeholders, communities and our service users; not having or utilising tools and resources to support engagement; a lack of workforce commitment, skills and capacity; and failure to monitor and evaluate the impact of engagement.</p> <p>Key Strategic Objectives contributing to mitigating the risk and agreed risk appetite level:</p> <ol style="list-style-type: none"> 1) Influencing the wider determinants of health (Keen) 2) Promoting mental and social well-being (Willing) 3) Promoting healthy behaviours (Willing) 4) Supporting the development of a sustainable health and care system focused on prevention and early intervention (willing) 5) Delivering excellent public health services to protect the public and maximise population health outcomes (accepting)
<p>Risk Owner's Delivery Confidence assessment</p>	<p>Engaging with our population is central to better understanding health needs and empowering people to co-design public health solutions and become partners in their health and well-being. However, with significant impacts on the conditions for health resulting from the pandemic and more recently, the cost of living crisis, empowering our population becomes even more challenging and there is a risk of widening health inequalities unless actions taken involve working with our communities and stakeholders and using a proportionate universalism approach.</p> <p>Actions are underway across organisational programmes, and all strategic priority areas, to understand the experiences of our population (including young people) around factors that determine their health and wellbeing and proactively seek and act on feedback from people we work with and for.</p> <p>Strategic opportunities to strengthen our response include the refresh of 'Our Approach to Engagement' which will be developed through consultation and engagement with staff, key stakeholders and our communities and includes strengthening our Young Ambassadors Programme; and our organisational approach to strategic partnerships.</p> <p>There is ongoing positive progress on our actions to progress this agenda. Many of the actions to address gaps in our controls for 2023-24 have been incorporated into our strategic plan for 2024-27.</p> <p>Cross reference to SRR 5</p>

Exec Sponsor	Sumina Azam, National Director Policy and International Health			Exec Contributors	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
Assurance Group	Quality, Safety and Improvement Committee				
Risk Score	Likelihood	Impact	Total risk score	Expected timescale for movement in risk score (likelihood and/or impact)	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.
Inherent	4	5	20		
Current	3	4	12		
Target	2	3	6	Risk Decision	Treat
Key changes from last report	<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>				
Link to Strategic Priorities and relevant strategic programmes	<ul style="list-style-type: none"> • 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. • Promoting healthy behaviours • Promoting mental and social wellbeing • Delivering excellent public health services – actions people can take to support their health includes taking up the offer of vaccination and screening. 				

	<ul style="list-style-type: none"> • Supporting a sustainable health and care system – the health and care system cannot be sustainable unless there is population-wide engagement in health. • Tackling the public health effects of climate change – actions to improve health will also benefit the climate <p>The Diabetes programme includes engaging with our population so that they adopt behaviours to prevent diabetes or prevent its complications</p>
<p>Corporate Risks relating to this Strategic Risk</p>	<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>

<p>Risk 5</p>	<p>Amalgamation of previously referenced SRR5 and SRR6 Risk of: Failure to deliver excellent public health services on screening, infection, health protection and Emergency Planning Resilience and Response (EPRR) and comply with the Duty of Quality Due to: Weakness in systems and processes, specialist workforce capacity and capabilities and innovative practice.</p> <p>Key Strategic Objectives contributing to mitigating the risk and agreed risk appetite level: 4) Supporting the development of a sustainable health and care system focused on prevention and early intervention (willing) 5) Delivering excellent public health services to protect the public and maximise population health outcomes (accepting)</p>
<p>Risk Owner's Delivery Confidence assessment</p>	<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; 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 and strengthening governance arrangements to ensure excellent service delivery in HPSS through implementation of the long-term strategy. Each of the three divisions in HPSS directorate five functions reviewed in this strategic risk are likely to score differently if reviewed independently and this will be reflected in divisional and directorate risk registers. The number of ongoing health protection threats remain stable, enabling health protection services 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. 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. Although there are specific aspects where the risk is higher, such as for Diabetic eye 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> <p>Action required to reduce the impact of external threats, through developing an understanding of 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. The learning from COVID response is not yet complete and the Public Inquiry is</p>

	<p>underway. These will provide more information to improve response to external threats. Action is also required to join up the horizon-scanning efforts across the organisation.</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. Both have been tested recently in tabletop exercise, with good engagement sform the system. PHW is preparing to learn from the outcome of the COVID Inquiry on Emergency Planning (Module 1) and the planned conclusion of the PHW debrief on operational readiness.</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>			
Exec Sponsor	Meng Khaw, National Director of Health Protection and Screening Services		Exec Contributors	Sumina Azam, Director of Policy and International Health / WHOCC Claire Birchall, Director of Quality, Nursing and Allied Health Professionals.
Assurance Group	Quality, Safety and Improvement Committee			
Risk Score	Likelihood	Impact	Total risk score	Expected timescale for movement in risk score (likelihood and/or impact) Although the current risk score remains unchanged, progress continues as planned to mitigate the likelihood and impact of this 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
Inherent	3	4	12	
Current	3	3	9	

					<p>impact score is expected to reduce by Q2 of 2024/25.</p> <p>During the first six months of 2024/25, there will be more clarity around the implementation of diabetic 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.</p> <p>Impact reduced by workforce planning and development.</p>
Target	3	2	6	Risk Decision	Treat
Key changes from last report	<p>A number of key controls and sources of assurance have been mapped across the previous SRR 5 and SRR 6 to encompass the revised SRR5.</p> <p>A number of actions that were completed on the previous iteration of the report have been removed as they have now become risk management controls.</p> <p>2 new action plans have been identified (AP 5.9, 5.10)</p> <p>Elements of actions have requests to close as action plans have been completed (AP 5.6, 5.14, 5.15)</p>				
Link to Strategic Priorities and relevant strategic programmes	Excellent Public Health services				
Corporate Risks relating to this Strategic Risk	<p>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).</p> <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.</p> <p>Diabetic Eye Screening – corporate risk is likely to be returned as a divisional risk.</p> <p>North Wales microbiology – likely to be logged as an issue and not a risk.</p>				

5. Corporate Risk Register

For the Committee’s awareness and to demonstrate alignment between the Corporate Risk Register and the Strategic Risk Register, an update in relation to Corporate Risk is included in this report.

In March 2024, the Leadership Team reviewed the Corporate Risk Register, and the table below outlines the details of the changes. The new reporting template for Strategic Risk now identifies the relationship between Corporate Risks and Strategic Risks. The register is available at **Appendix 2**.

Strategic Risks	Corporate Risks	Progress Update
SRR 3	1593 – There is a risk that we are unable to demonstrate that the quality standards and the Duty of Quality are in embedded in all aspects of PHW business caused by organisational capacity and capability to operationalise and embed due to competing priorities.	This risk previously covered both the DoQ and DoC but the DoC element was closed as all actions in place prior to the Duty going live so the risk only covers DoQ now. Executive Sponsor has now changed from Improvement Cymru to QNAHP’s.
SRR 5	1554 – There is a risk arising from an ISSUE that changes to alerting processes will mean that PHW stop receiving emergency and major incident (E or MI) alerts caused by new systems being utilised by WAST and other partners that are not compatible with the current PHW arrangements to receive E or MI alerts.	This risk was closed on the 10 th April with the following rationale: “System tested extensively, SOP for response amended to reflect the change in alerting process. Changes communicated to HP staff, the wider PHW audience and partners. System went 'Live' on 01/04/24. Risk Mitigated.”
SRR 6 *now SRR 5*	1593 – There is a risk that we are unable to demonstrate that the quality standards and the Duty of Quality are in embedded in all aspects of PHW business caused by organisational capacity and capability to operationalise and embed due to competing priorities.	This risk previously covered both the DoQ and DoC but the DoC element was closed as all actions in place prior to the Duty going live so the risk only covers DoQ now. Executive Sponsor has changed from Improvement Cymru to QNAHP’s.

Leadership Team also endorsed the following additional corporate risks:

- **1531** - There is a risk that we will fail to exploit data to inform and direct public health action and interventions caused by data being held in silos, difficulty accessing the data and inability to access to provide the impact on public health.
- **1533** - There is a risk of failure to effectively implement the HIA statutory regulations that form part of the Public Health (Wales) Act caused by a lack of capacity in the WHIASU team and limited knowledge, skills and capacity across PHW.
- **1541** - There is a risk that organisational DBS checks do not prevent unsuitable people from working with vulnerable groups caused by DBS checks on individuals only being performed on the commencement of employment and are not renewed thereafter.
- **1641** - There is a risk that PHW cannot take assurance that NHS Executive are carrying out its functions in accordance with legal and statutory obligations caused by the PHW's Assurance Framework currently being in draft form, not yet approved and implemented.

A progress update on the above additional Corporate Risks through a Quality and Safety aspect will be presented to the Committee at its next meeting, in conjunction with the Strategic Risk report.

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

No decision required.

7. Recommendation

The Committee is asked to:

- **Consider** the updated Strategic Risks and take **assurance** on the management of Strategic Risk within their remit.
- Take **assurance** on the updated Corporate Risk Register within their remit.
- **Note** the combined previous risks of SRR 5 and SRR 6 to a revised SRR 5.
- **Note** the organisational future approach in relation to governance and sources of assurance of commissioned services.
- **Note** the closure of actions plans associated with risk SRR 5.