



 <p>GIG CYMRU NHS WALES Iechyd Cyhoeddus Cymru Public Health Wales</p>	<p>Name of Meeting Quality, Safety and Improvement Committee Date of Meeting 24 July 2024 Agenda item: 4.2</p>
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Corporate Risk Register	
Executive lead:	Claire Birchall, Director of Nursing and Allied Health Professionals
Author:	Bethan Osborne, Risk Manager

Approval/Scrutiny route:	Corporate Risks have been scrutinised and updated by the relevant Directorate Senior Leadership Teams.
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Purpose
The Leadership Team have delegated responsibility to scrutinise the Corporate Risk Register on behalf of the Business Executive Team and ensure the ongoing management of corporate risks. This paper provides the corporate risks and any notable updates.

Recommendation:				
APPROVE <input checked="" type="checkbox"/>	CONSIDER <input type="checkbox"/>	RECOMMEND <input type="checkbox"/>	ADOPT <input type="checkbox"/>	ASSURANCE <input type="checkbox"/>
The Leadership Team is asked to: <ul style="list-style-type: none"> Approve the Corporate Risk Register. 				



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

Summary impact analysis

Equality and Health Impact Assessment	No decision required.
Risk and Assurance	This submission is the Corporate Risk Register.
Health and Social Care (Quality and Engagement) (Wales) Act	This report supports the implementation of the Health and Social Care (Quality and Engagement) (Wales) Act, in relation to the Duty of Quality and Candour by ensuring that the organisations most significant risks are being managed appropriately.
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 presents the organisation’s corporate risks highlighting any significant updates that may require further discussion and any proposals for the escalation/de-escalation of risks from or onto the Corporate Risk Register.

The Corporate Risk Register details the highest-level operational risks that are being managed on a day-to-day basis by relevant Directorate Senior Leadership Teams and their associated Executives. Leadership Team consideration provides assurance to the relevant Committees and the Board that corporate risks are being effectively identified and managed.

The Corporate Risk Register at **Appendix 1** provides a high-level overview of the risks currently captured. As with all risk registers, this should be read and understood through a real-time perspective and the Committee should note that this will be subject to change on daily basis.

2. Background

The Corporate Risk Register is submitted to the Leadership Team to ensure compliance with the organisation’s Risk policy and procedure. The Leadership Team last considered the Corporate Risk Register on the 18th July 2024.

3. Description/Assessment

The following significant points have been noted to support the consideration of the Corporate Risk Register.

New Risk accepted onto the Corporate Risk Register

- None.

Existing Risks escalated onto the Corporate Risk Register

- **ID 1648** - 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 between June and November 2024. The loss of Audit Plus without a replacement equivalent service would lead to PHW being unable to meet its statutory responsibilities.

Inherent Risk Rating	Residual Risk Rating	Target Risk Rating
20	9	6



Rationale for escalation - This risk affects teams and business across directorates within the organisation and will have major negative consequences for the whole of Public Health Wales if it is not mitigated. The mitigations may be different in different parts of the organisation, and the only controls in place are currently external to PHW.

- **ID 1541** - 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. This is caused by DBS checks on individuals only being performed on the commencement of employment in PHW and are not renewed thereafter. In addition, employees may not have an appropriate level of DBS check for their role or activity within PHW. This could mean that vulnerable people accessing and receiving PHW services, may be cared for by an employee or volunteer who is deemed unsuitable by the DBS to work with vulnerable groups.

A Cause-and-Effect analysis was carried out and submitted to Leadership Team for consideration. It was agreed that the existing risk record would be archived but the risk would be disaggregated into three separate risks and accepted onto the Corporate Risk Register. These three risks are:

- ID1654 - 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.
- ID 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. Caused by unsubstantiated individuals in positions of trust, interacting with vulnerable groups of population.
- ID 1655 - 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. Caused by significant or harmful event resulting in serious injury or death, committed by a member of staff without relevant DBS check in place or reviewed.

Internal controls and actions will be updated in due course.

Risk proposed to the de-escalated

- None

Changes to Current Risk Scores

- 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.

The current risk score has reduced from 12 to 6. A number of actions have been completed including the ongoing development of a Quality Oversight Group to advise BET, the first Annual Quality Plan and the key lines of enquiry being explored under the Health and Care Quality standards. As such, significant progress to address this risk is anticipated.

- 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 with 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 risk has been fully assessed with controls, actions and risk decision identified. The current risk score has been indicated to be 6.

Addition information included in the Corporate Risk Register

Risk Handlers populate the corporate risk records on Datix with a brief progress note relating to the risk overall when they have been reviewed within their area (i.e. a Directorate SMT) and/or at an Organisational Wide Group (i.e. Safeguarding Group). This information is now provided in the Corporate Risk Register.

3.1 Well-being of Future Generations (Wales) Act 2015

This work has been put together following the five ways of working, as defined within the sustainable development principle in the Act, in the following ways:



The effective management of corporate risks supports the longevity of the organisation



The effective management of corporate risks reduces the likelihood or consequence of harm being realised.



The identification and management of risks are integrated into decision making activities.



Owners of corporate risks collaborate within their areas and any relevant Directorates to manage risks effectively.



Senior Managers engage with relevant colleagues to ensure staff are empowered to raise risks.

4. Recommendation

Leadership Team is recommended to scrutinise the Corporate Risk Register and approve suitability of the ongoing management of the corporate risks.

The Leadership Team is asked to:

- **Approve** the Corporate Risk Register