



 <p>GIG CYMRU NHS WALES   Iechyd Cyhoeddus Cymru Public Health Wales</p>	<p><b>Name of Meeting</b> Quality, Safety and Improvement Committee</p>
	<p><b>Date of Meeting</b> 02/06/2025</p> <p><b>Agenda item:</b> 5.3</p>

<b>Corporate Risk Register</b>	
<b>Executive lead:</b>	Claire Birchall, Nursing, Quality and Integrated Governance
<b>Author:</b>	Bethan Osborne, Risk Manager

<b>Approval/Scrutiny route:</b>	Corporate Risks are scrutinised and updated by the relevant Directorate Senior Leadership Teams. All Executives have had sight of the Corporate Risk Register via BET (21.05.25).
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<b>Purpose</b>
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 from Leadership Team to provide assurance to the Business Executive Team and Quality, Safety and Improvement Committee.

<b>Recommendation:</b>				
APPROVE <input type="checkbox"/>	CONSIDER <input type="checkbox"/>	RECOMMEND <input type="checkbox"/>	ADOPT <input type="checkbox"/>	ASSURANCE <input checked="" type="checkbox"/>
The Quality, Safety and Improvement Committee is asked to:				
<ul style="list-style-type: none"> <li>• <b>Take assurance</b> of the management of the 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 required.
<b>Risk and Assurance</b>	This submission is the Corporate Risk Register.
<b>Health and Social Care (Quality and Engagement) (Wales) Act</b>	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. They relate to all the Health and Care Quality Standards.
<b>Financial implications</b>	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.
<b>People implications</b>	There are associated risks on the CRR related to DBS and resources to deliver the Strategic Plan.



## 1. Purpose / situation

This paper presents the organisation's corporate risks highlighting any significant updates that required 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.

## 2. Background

The accompanying Corporate Risk Register was submitted and approved at Leadership Team on the 30<sup>th</sup> April. There are 11 risks on the Corporate Risk Register.

## 3. Description/Assessment

The following significant points were noted.

### Current Risks on the Corporate Risk Register

- **1533** - There is a risk of reputational damage and failure to effectively implement the Health Impact Assessment statutory regulations that form part of the Public Health (Wales) Act which requires Public Health Wales to give assistance to other public bodies carrying out health impact assessments.

This is 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.

This would result in PHW not being 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.



Inherent Risk Rating	Residual Risk Rating	Target Risk Rating
16	9	4

### Next Steps

- A comprehensive workplan has been drawn up. A paper has been shared with BET for assurance.
  - Welsh Government has established a HIA Project Board with PHW as the key partner. Capacity and timeframes will be discussed as part of the ongoing meetings.
  - Planning continues including finalising the new guidance, capacity building in the system and updating training materials in line with the new regulations.
- **1541** - There is a risk of harm to service users and employees within PHW, specifically in relation to vulnerable groups such as children and adults, due to the absence of regular disclosure and barring service checks.

This is caused by the organisation not carrying out disclosure and barring service renewal checks in addition to the initial check that is undertaken at recruitment (whilst this is not a legal requirement it is best practice).

This would result in the potential misuse of position of trust, resulting in abuse of service users and potentially employees. Detrimental and adverse impact on levels of public confidence and credibility. Financial implications relating to claims made against the organisation.

Inherent Risk Rating	Residual Risk Rating	Target Risk Rating
15	10	5

### Next Steps

- Publish 'warm up' staff communications and guidance on the new DBS Update Service process (before initialising DBS re-checks and Update Service subscriptions).
  - A supporting DBS policy has been drafted in partnership with TUs, and a DPIA is currently underway. Policy will be issued for Consultation once IG guidance is available on the DPIA.
  - Additional information on the DBS Update Service requirements will be added to the existing Safeguarding Policy.
- **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.

This is caused by organisational capacity and capability to operationalise and embed due to competing priorities.



This will result in 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.

Inherent Risk Rating	Residual Risk Rating	Target Risk Rating
9	6	2

### Next Steps

- The current actions are on schedule for completion. These actions are substantial and once completed will reduce the risk. As such a review of the risk will take place following completion of the actions to ascertain whether it still exists or can be tolerated by the organisation.
- 1596** - There is a risk that the organisation may not have the capacity or resources necessary to effectively deliver the long-term strategic plan.

This is caused by 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

This would result in the inability to deliver the long-term strategy due to absence of strategic workforce planning.

Inherent Risk Rating	Residual Risk Rating	Target Risk Rating
16	12	8

### Next Steps

- Once the current actions have been completed, it is anticipated that the risk can be closed.
- A deep dive is scheduled at Leadership Team in July to confirm whether the risk still exists and if it does, a review of the risk scoring and appropriate action plan.
- 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.

This is caused by the PHW's Assurance Framework currently being in draft form and not yet approved and implemented. The new assurance framework from April will mitigate the risk.



This will result in sanctions imposed in accordance with Legislative/Regulatory Compliance, Reputational damage, Financial implications and data security vulnerabilities.

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

### Next Steps

- It was agreed as part of the Addendum to Hosting Agreement that an Assurance Schedule would be agreed and put in place by the end of May 2024. An advanced draft schedule and template reports have been prepared. These have been considered by BET. Work continues to agree the Schedule with the next meeting with NHS Exec on 23rd May 2024. Whilst it is unlikely the Schedule will be agreed by the end of May, the Hosting Agreement does however provide that the Responsible Officer for the NHS Exec will provide assurance reporting as requested. We will therefore request reports in accordance with the current version of the Schedule whilst we fine tune and finally agree a working version.
- 1648** - There is a risk that Public Health Wales will lose access to Primary Care data.

This is caused by Audit+ (the current tool) used to gather primary care data is being discontinued in July 2024 and there will be no further support of Audit+ from March 2026.

This would result in the loss of Audit+ 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	12	2

### Next Steps

- Engagement with NDR Team has now commenced. New requirements have risen from Lung Screening and Tackling Diabetes Together programmes. There is a need to document all data required to feed into NDR team.
- 1677** - There is a risk that the integrity of the data for recording risks to evidence robust risk management will be compromised.

This is caused by less functionality in Datix Cloud in comparison to Datix Web. In addition, Datix Cloud does not include PHW/NHSWE specific requirements.



This would result in a failure to effectively manage risks resulting in inability to achieve strategic objectives.

Inherent Risk Rating	Residual Risk Rating	Target Risk Rating
9	9	4

**Next Steps**

- An options appraisal was carried out by the Risk Team and the Risk Assurance Network in Q1 2024 with the outcome detailed in a Options Appraisal document and submitted to senior management in NQIG. A recent request has been made by the Head of Risk Management to table the document at the next Leadership Team for consideration and agreement in order to progress a suitable replacement for Datix Web when it is decommissioned in November 2027.
- **1678** - There is a risk that the organisation will fail to provide sufficient assurance that it is identifying and managing risks effectively through the endorsed Risk Management Procedure and failing to identify themes and trends.

This is caused by inconsistencies of appropriate utilisation of Datix across the organisation, contrary to the approved process.

This would result in a loss in Board confidence and omission of reportable risks at all levels. In addition, a failure to instigate improvement projects resulting in potential harm to service users, reputational damage and financial implications.

Inherent Risk Rating	Residual Risk Rating	Target Risk Rating
15	15	4

**Next Steps**

- A draft revised policy and procedure will be going out to consultation in line with due organisational process. With a view to getting the revised versions formally endorsed and approved by end of Q3.

**Risks added to the Corporate Risk Register**

The following risks were approved to be escalated onto the Corporate Risk Register.

- **1758** - There is a risk of further service disruption due to excessive dust damaging the detectors of the mammography units on the Mobile Breast Screening Units. 1 mobile unit is currently out of service due to this issue. 9 other units could potentially be at risk of failure.



This is caused by dust entering the casing containing the image detector potentially damaging the detector, rendering the machine inoperable.

This would result in delayed and cancelled breast screening appointments. >36 month round length screening time, reputational risk and financial implications (detector costs circa 62k).

Inherent Risk Rating	Residual Risk Rating	Target Risk Rating
16	16	2

**Next Steps**

- Full IMT in place to address this issue, chaired by Medical Director.
- **1779** - There is a risk that PHW will lose our ability to monitor its impact due to declining survey response rates across many sources of official statistics including the National Survey for Wales, the Annual Population Survey and the Labour Force Survey.

This is caused by declining survey response rates across multiple sources of official statistics.

This would result in the inability to monitor our impact and losing the oversight to be able to manage our resources effectively and be able to make evidence informed decisions about managing our services.

Inherent Risk Rating	Residual Risk Rating	Target Risk Rating
15	12	6

**Next Steps**

- Work is well underway at Welsh Government and the Office for National Statistics to improve the survey quality. We continue to work closely with both to understand progress and milestones. In the meantime, we will explore proxies and modelling where appropriate.
- **1780** - There is a risk that PHW are unable to deliver our digital agenda due to dependencies on national programmes, DHCW and Welsh Government.

This is caused by a lack of governance, programme management, visibility, prioritisation, effective working practices and inconsistency within its partner organisations.

This will result in failure to deliver PHW programmes as our dependencies are not delivered by our partners.

Inherent Risk Rating	Residual Risk Rating	Target Risk Rating
16	16	6

### Next Steps

- We have strengthened our representation on the National Data Resource Programme boards, and continue to work closely with stakeholders to understand and influence their governance and prioritisation processes.

### Risks transferred from the Corporate Risk Register to the Strategic Risk Register

- **1531** - 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 (across NHS Wales), difficulty accessing the data and inability to access to provide the impact on public health. This will result in a failure to optimise the use of data and drive improvements in Public Health outcomes in Wales and increased information governance risk (due to the methods in which data is shared) within Public Health Wales.

Inherent Risk Rating	Residual Risk Rating	Target Risk Rating
20	16	12

**Leadership Team Update** – Leadership Team approved the transfer to the risk onto the Strategic Risk Register, where further control and mitigating actions can be viewed.

### Risks de-escalated from the Corporate Risk Register

- None

### 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

The Quality, Safety and Improvement Committee is asked to:

- **Take assurance** that the Corporate Risk Register is being appropriately managed.