Managing Risk

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Approval/Scrutiny route:	Rhiannon Beaumont-Wood, Executive Director of Quality, Nursing and Allied Health Professionals Business Executive Team

Purpose

Receive strategic and corporate risks for the purpose of scrutiny and challenge and approve any changes within the Committee's remit.

Recommendation:

APPROVE ☐	CONSIDER ☒	RECOMMEND ☐	ADOPT ☐	ASSURANCE ☒

Recommendation

The Committee is asked to:

- **Consider** the Strategic Risk Register relevant to the Committee's remit
- **Take assurance** that the organisation's Strategic risks within the remit of the Committee are being managed appropriately

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 relevant strategic and corporate risks.
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 failure to capitalise on opportunities.
People implications	No people implications.

1.   Purpose/situation

This paper presents the strategic and corporate risks that potentially have relevance to the remit of the Knowledge, Research and Information Committee.

The paper highlights any changes since the Committee last reviewed the risk(s). This paper seeks approval from the Committee for any changes and confirmation that the Committee are assured that the risk(s) are being managed appropriately.

The Strategic Risk Register details the highest-level risks that could prevent the organisation from delivering on its strategic priorities.

The Corporate Risk Register details the highest-level operational risks that are being managed on a day-to-day basis by Executive Directors.

2. Delivery Confidence Assessment

All strategic risks carry a delivery confidence assessment assigned by the Executive Sponsor. The table below demonstrates the RAG status.

DCA RAG	DCA Description
	High degree of confidence exists that the controls and actions identified will mitigate the risk to the required level.
	It is feasible that the controls and actions identified will mitigate the risk to the required level but issues remain outstanding that require addressing.
	There is little confidence that the controls and actions identified will mitigate the risk to the required level.

The Register now contains six risks, one of which has this Committee as the assuring group and is detailed in section 4.

3. Risk Appetite

The strategic themes have been assessed with a risk appetite being approved for each. All strategic and corporate risks have been assessed against the risk appetite. The table below demonstrates the risk appetite by strategic theme.

Strategic Theme	Appetite Descriptor
Enabling better population health and reducing health inequalities through preventative and sustainable measures	Willing
Delivering excellent services for population screening programmes, health protection and infection	Cautious

Supporting improvements in the quality and safety of health and care services	Keen
Maximising the use of digital, data and evidence to improve population health	Willing
Enabling the successful delivery of the plan	Willing

4. Strategic Risks

The Strategic Risk Register (SRR) is the vehicle through which the Board takes assurance that it has a clear understanding of the strategic risks facing the organisation in the delivery of its strategic objectives, together with the severity and the impacts if the risks are realised.

Public Health Wales has six strategic risks with one risk sitting within the remit of this Committee. A full copy of the risk is provided in Appendix 1.

4.1. Risk 5

The current risk score remains the same with actions continuing to progress.

Risk Description						
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, difficulty accessing the data and inability to access to provide the impact on public health. This will result in worse public health outcomes in Wales and increased information governance risk within Public Health Wales.						
Risk Appetite			**Proposal for de-escalation or removal***			
Willing			Not Applicable			
Risk Scoring	**Score at last Committee**			**Present Score**		
Inherent	5	4	20	5	4	20
Current	5	4	20	5	4	20
Target	3	4	12	3	4	12
DCA at last Committee			**Present Live DCA**			
Amber			Amber			
Executive Sponsor Insight						
Progress continues across all actions with significant development regarding discovery and alpha phases that have now commenced. This includes: Discovery Phase – Single Disease Register, Screening IT, Web estate and Alpha Phase for Diabetic Eye Screening. We remain at the early stages of developing into digital and data. We are entering a number of discoveries and are developing the strategies necessary						

to mitigate this risk and need to gain cross-organisation momentum, which will in the future, help lower the risk rating but these are at early stages. In addition, we are identifying how the directorate can collaborate with other directorate in regards to IMTP deliverables. Early engagement with the directorate is essential to understand fully the scope of the requirements.

Overview of changes to controls/actions (text marked in red in appendix 1).	
Controls	No changes.
Actions	- Discovery phases out to tender for; - non-communicable registry, - Screening Services Information System. - Alpha Phase for Diabetic Eye Screening to commence in January 2023. - User Centric key hires commencing in January 2023.
Opportunities	None identified.
Committee consideration of this risk / links to the workplan	The Committee has regular updates on the development of both the Research and Evaluation Strategy, and the Digital and Data Strategy and are a key focus for the Committee in this year's work plan. **Digital and Data Strategy**: The Committee had a detailed discussion at its last meeting on 6 December 2022 including the emerging themes raised by the Committee, such as the ambition of linked ecosystems and removal of barriers needed. The next steps; the feedback from the Committee would feed into the development of a series of principles, from which the strategy would be developed to align with the Organisation's Long-Term Strategy. The outline Strategy would be presented to this Committee in March 2023. **Research and Evaluation Strategy**: The Committee took assurance from an update on progress for this strategy at its last meeting on 6 December 2022, and a verbal update on progress with the development of standards to collect equality information which aligned with census data. **Other consideration:** At its meeting on 26 January 2023, the Board considered a demonstration of the Public Health Dashboard which had been developed. This included consideration of the range of information available to inform the management of inequalities and the wider determinants of health, with a focus on the Cost of Living Crisis. This included the

	establishment of Rapid Indicator monitoring and the Public Health Wales' response to the Cost of Living Crisis; it involved engagement with the Third Sector and the development of a strong evidence base. This also demonstrated how the evidence collated from a range of sources enabled the drilling down into granular level information.

5. Corporate Risk Register (CRR)

Public Health Wales has seven corporate risks. Currently, there are no identified corporate risks that require scrutiny at this Committee.

6. Additional Considerations

The following section details any additional considerations for this Committee.

6.1.   New Risks
There have been no new risks identified since the last Committee that are proposed to fall under the remit of the Committee.

6.2.   Risks proposed to the escalated or de-escalated*
There have been no new risks identified since the last Committee for consideration to be escalated or de-escalated between the Directorate or Organisational wide registers to the Strategic or Corporate Risk Register that fall under the remit of the Committee.

*For any risks proposed to be escalated or de-escalated, the completed form with rationale would be provided in Appendix 2.

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

No decision required.

Recommendation

The Committee is asked to:

- **Consider** the Strategic Risk Register relevant to the Committee's remit
- **Take assurance** that the organisation's Strategic risks within the remit of the Committee are being managed appropriately

Strategic Risk Register

Risk 5	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, difficulty accessing the data and inability to access to provide the impact on public health. This will result in worse public health outcomes in Wales and increased information governance risk within Public Health Wales.

Sponsor and Assurance Group

Executive Sponsor	Executive National Director of Data, Knowledge and Research
Assuring Group	Knowledge, Research and Information Committee

Inherent Risk

Date	25/11/2021	Likelihood:	5	Impact:	4	Score:	20

Risk Score						Risk Decision	Delivery Confidence Assessment
Current Risk			**Target risk**				
Likelihood	Impact	20	Likelihood	Impact	12	Treat	**Amber**
5	4		3	4			

Risk Owner's Overview Assessment Status

Successful delivery against the objective appears feasible, however, there are significant dependencies/actions, including:

- recruitment and onboarding of key hires, which have now been completed. These hires are now in post and embedding to PHW.
- acquiring of new skills and ways of working,
- building of relationships to establish robust and ongoing collaboration within the directorate, across the organisation and wider partners to ensure we maximise the benefit across all data sources including surveillance, screening, non-communicable disease and wider determinants of health.
- Establishment of the Business Design Authority with delegate responsibility being fully operational.
- Funding to take the various discovery phases through into alpha/beta and live.

We will continue to develop actions based on user insights and engagement.

DCA RAG	DCA Description
Green	High degree of confidence exists that the controls and actions identified will mitigate the risk to the required level.
Amber	It is feasible that the controls and actions identified will mitigate the risk to the required level but issues remain outstanding that require addressing.
Red	There is little confidence that the controls and actions identified will mitigate the risk to the required level.

Strategic Risk Register

No.	Control	Exec Owner	SOURCES OF ASSURANCE	Team / Division / Project /Programme	Directorate Team / Exec Lead	Business Exec Team / Sub Groups	Committee / Sub group	Board
	KEY CONTROLS			**Level at which the Assurance is provided to**				
SR 5.1	Development of research & evaluation and digital & data strategies for Public Health Wales to take drive forward our needs on this area.	Director of Data, Knowledge and Research	KRIC on behalf of the Board			✕	✕	✕
SR 5.2	Developing our data storage, access and linking as part of the Local Data Resource and contributing/interacting with DHCW for other data needs in Health Care.	Director of Data, Knowledge and Research	Internal audit in Q4	✕	✕			
SR 5.3	Recruitment into new investment posts progressing quickly to bring in additional skills	Director of Data, Knowledge and Research	Management control	✕	✕	✕		
SR 5.4	Ensure we maximise exploitation of our data and information	Director of Data, Knowledge and Research	KRIC on behalf of the Board	✕	✕	✕	✕	✕

Strategic Risk Register

Action Plan No.	Gaps in controls		Action Plan	Exec Director	Due Date	Progress
AP 5.1	Data standards and validation		To have all our data accessible through one place	Director of Data, Knowledge and Research	31/03/2023	January 2023 Alpha phase for DESU commenced. January 2023 Discovery phase for our web estate commenced. January 2023 Supplier appointed for the Discovery phase for screening IT systems to commence in February 2023
AP 5.2	Lack of near real-time data to support decision-making		Develop a Public Health overview dashboard	Director of Data, Knowledge and Research	Complete	
AP 5.3	Lack of appropriate skills to meet the challenges we face		Recruitment of key personal to fill gaps in skills and knowledge	Director of Data, Knowledge and Research	Complete	
AP 5.4	Strategic framework to progress		Develop and agree a research and evaluation strategy and a digital and data strategy	Director of Data, Knowledge and Research	Complete	
AP 5.5	Not developing appropriate user-focused solutions		Move from discovery phase into alpha phase for diabetic eye screening and begin to implement service improvements	Director of Data, Knowledge and Research	Complete	
AP 5.6	Lack of comprehensive over-arching evidence base/understanding of user-needs		Undertake a discovery phase into a single register of non-communicable and communicable diseases	Director of Data, Knowledge and Research	31/03/2023	January 2023 A discovery phase on a single disease registry now commenced.
AP 5.7	Assurance for maximising exploitation of our data and information		Develop research and evaluation strategy and Digital and Data strategy in support of the long-term strategy	Director of Data, Knowledge and Research	28/02/2023	21.12.22 Research & evaluation strategy high-level principles agreed and digital and data strategy work commenced. These will be completed to support long-term strategy
			Five data sciences projects to be agreed	Director of Data, Knowledge and Research	28/02/2023	21.12.22 Delayed due to new hires not in post. Date moved.