



**GIG**  
CYMRU  
**NHS**  
WALES

Iechyd Cyhoeddus  
Cymru  
Public Health  
Wales

**Name of Meeting**  
People and Organisational  
Development Committee

**Date of Meeting**  
15<sup>th</sup> March 2023

**Agenda item:**

4

## Public Health Wales Strategic and Corporate Risk Registers

**Executive lead:** Rhiannon Beaumont-Wood, Executive Director of Quality, Nursing and Allied Health Professionals

**Author:** Beth Osborne, Risk Manager

**Approval/Scrutiny route:** Rhiannon Beaumont-Wood, Executive Director of Quality, Nursing and Allied Health Professionals, Stuart Silcox, Assistant Director Integrated Governance.

### Purpose

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

### Recommendation:

APPROVE <input type="checkbox"/>	CONSIDER <input checked="" type="checkbox"/>	RECOMMEND <input type="checkbox"/>	ADOPT <input type="checkbox"/>	ASSURANCE <input checked="" type="checkbox"/>
-------------------------------------	---	---------------------------------------	-----------------------------------	--

### Recommendation

The People and OD Committee is asked to:

- **Consider** the Strategic and Corporate Risk Register’s relevant to the Committee’s remit
- **Take assurance** that the organisation’s Strategic and Corporate risks 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

<b>Strategic Priority</b>	Choose an item.
---------------------------	-----------------

<b>Strategic Priority</b>	Choose an item.
---------------------------	-----------------

**Summary impact analysis**

<b>Equality and Health Impact Assessment</b>	No decision is required.
--	--------------------------

<b>Risk and Assurance</b>	This submission is the relevant strategic and corporate risks.
---------------------------	--

<b>Health and Care Standards</b>	This report supports and/or takes into account the <a href="#">Health and Care Standards for NHS Wales</a> Quality Themes  Governance, Leadership and Accountability
----------------------------------	--

<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>	No people implications.
----------------------------	-------------------------

## 1. Purpose / situation

This paper provides an update on the strategic and corporate risks that sit within the remit of the People and Organisational Development Committee.

The paper highlights any changes since the Committee last reviewed the risk(s) and seeks approval for them and confirmation that the Committee is 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.

## 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 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 two risks sitting within the remit of this Committee. An overview of any changes since they were last reviewed by the Committee is provided below, with the full risks provided in Appendix 1.

### 4.1. Risk 3

Risk Description						
There is a risk that we will not manage organisational change well, caused by multiple change programmes being implemented simultaneously, but in isolation, and insufficient time to effectively engage an exhausted workforce, resulting in high levels of sickness absence, vacancies, staff turnover and stress.						
Risk Appetite				Proposal for de-escalation or removal*		
Willing				Not Applicable		
Risk Scoring	Score at last Committee		Present Score			
Inherent	5	5	25	5	5	25
Current	3	5	15	3	5	15
Target	3	3	9	3	3	9
DCA at last Committee			Present Live DCA			
Amber			Amber			
Executive Sponsor Insight						
The current DCA is unchanged from last month and the planned actions are being progressed, noting the interdependencies with other functional areas across the organisation.						
Overview of changes to controls/actions (text marked in red in full risk which can be found in Appendix 1.						
Controls	No changes.					
Actions	Progression of actions have been summarised where appropriate.					
Opportunities	The Long-Term Strategy refresh and Quality as an Organisational Strategy work provide an opportunity to enable a more planned and sustainable approach to the management of change. Directorate workforce planning					

	activity will also support resourcing, which will mitigate the identified level of risk
<b>Committee consideration</b>	The Committee considers the data relating to sickness absence, vacancies and staff turnover and at each meeting through review of the Performance Assurance Dashboard.

## 4.2. Risk 4

<b>Risk Description</b>						
There is a risk that we are unable to attract and retain the required professional workforce caused by skill shortages and increased pressures on staff, which has been exacerbated by the Covid-19 pandemic, resulting in there being insufficient capability and capacity to deliver our plans						
<b>Risk Appetite</b>				<b>Proposal for de-escalation or removal*</b>		
Willing				Not Applicable		
<b>Risk Scoring</b>	<b>Score at last Committee</b>			<b>Present Score</b>		
Inherent	5	5	25	5	5	25
Current	3	5	15	3	5	15
Target	3	3	9	3	3	9
<b>DCA at last Committee</b>				<b>Present Live DCA</b>		
Amber				Amber		
<b>Executive Sponsor Insight</b>						
Work to reduce risk in this area will take time to have an impact and whilst there are things we can control and influence, external factors continue to influence the level of risk and our ability to make short term gains. Recent industrial action will have an impact re the desirability of joining the sector and pressures of working in the system may lead to increased turnover. Pay (for some disciplines), which is largely outside of our sphere of control is becoming an increasing pressure and whilst not a motivator, will lead to increasing dissatisfaction if not addressed. All of the above makes the work we are doing around culture and Employee Value Propositions even more critical.						
<b>Overview of changes to controls/actions</b>						
(text marked in red in full risk which can be found in Appendix 1.						
<b>Controls</b>	No changes.					
<b>Actions</b>	A number of focus groups have taken place throughout January, but attendance has been lower than we would have liked. When explored further, workload is being cited as a reason for non-attendance. The second phase of workforce planning is coming to a close and documents returned are now being analysed to extract key data. The data will be used to develop targeted interventions.					

<b>Opportunities</b>	Utilise existing directorate meetings to engage with Managers on Employee Value Propositions work.
<b>Committee consideration</b>	The Committee discussed the Employee Value Proposition at its last meeting in January, with a detailed look at how this was being developed in support of retaining and attracting staff.

## 5. Corporate Risk Register

Public Health Wales has six corporate risks. Two of the corporate risks remain within this Committee's remit and are presented for scrutiny. The Business Executive Team proposes that corporate risk 208, whilst sitting primarily within the remit of the Quality, Safety and Improvement Committee, should also be presented to this Committee for additional scrutiny because of the recruitment aspect. Any changes since the corporate risks were last reviewed by the Committee are summarised below, with the full risks provided in Appendix 2.

### 5.1. Risk 206

<b>Risk Description</b>						
Risk that individual and team performance and development is not aligned with the organisation's strategic and operational priorities						
<b>Risk Appetite</b>				<b>Proposal for de-escalation or removal*</b>		
Willing				Not applicable		
<b>Risk Scoring</b>	<b>Score at last Committee</b>			<b>Present Score</b>		
Inherent	4	4	16	4	4	16
Current	4	3	12	4	3	12
Target	1	3	3	1	3	3
<b>Overview of changes to controls/actions</b> (text marked in red in full risk which can be found in Appendix 2.						
<b>Controls</b>	No changes.					
<b>Actions</b>	A review of My Contribution is underway and will include a quality audit. The review of the My Contribution policy will align with other key People & OD development work/programmes, including the behavioural framework, learning and development plans and the development of training modules.					
<b>Opportunities</b>	None Identified.					

<b>Committee consideration</b>	On 15 December, the Board had a deployment session on the long term strategy and will hold a future session prior to Board approval in March.
--------------------------------	---

## 5.2. Risk 301

<b>Risk Description</b>						
There is a risk that we will not deliver our IMTP due to challenges involved in securing resources at the right time, at the right cost, with the right skills						
<b>Risk Appetite</b>				<b>Proposal for de-escalation or removal*</b>		
Willing				Not applicable		
<b>Risk Scoring</b>	<b>Score at last Committee</b>			<b>Present Score</b>		
Inherent	4	4	16	4	4	16
Current	3	4	12	3	4	12
Target	2	4	8	2	4	8
<b>Overview of changes to controls/actions</b> (text marked in red in full risk which can be found in Appendix 2.						
<b>Controls</b>	No changes.					
<b>Actions</b>	Progress against action plan for Employee Value Propositions, Workforce Planning and Job Evaluation continues.					
<b>Opportunities</b>	None identified.					
<b>Committee consideration</b>	The Committee discussed the Employee Value proposition at its last meeting in January, with a detailed look at how this was being developed in support of retaining and attracting staff.					

## 5.3. Risk 208

<b>Risk Description</b>						
There is a risk that Health Protection and Screening Services will not be able to deliver high quality services in North Wales Infection division as they are struggling to recruit and retain sufficient medical and clinical staff.						
<b>Risk Appetite</b>				<b>Proposal for de-escalation or removal*</b>		
Cautious				Not applicable		
<b>Risk Scoring</b>	<b>Score at last Committee</b>			<b>Present Score</b>		
Inherent				4	4	16
Current				4	4	16
Target				2	2	4

<b>Overview of changes to controls/actions</b> (text marked in red in full risk which can be found in Appendix 2.	
<b>Controls</b>	Maintain minimum staffing levels using agency and locum resources. Working with Workforce and Organisational Development to redevelop the Workforce Plan and undertake proactive recruitment.
<b>Actions</b>	Approval of funding to continue for the two Agency Consultants in North Wales for 2022/23.
<b>Opportunities</b>	Taking the opportunity to revisit approach and agree the strategic direction.
<b>Committee consideration</b>	The Committee discussed the Employee Value proposition at its last meeting in January, with a detailed look at how this was being developed in support of retaining and attracting staff.  Focus for next years work plan is the outcome of the Workforce planning exercise.

## 6. Additional Considerations

The following section details any additional considerations for this Committee.

### 6.1. New Risks

The following risk whilst not new to the Corporate Risk Register, is proposed to fall under the remit of this Committee:-

- Risk 208 - There is a risk that Health Protection and Screening Services will not be able to deliver high quality services in North Wales Infection division as they are struggling to recruit and retain sufficient medical and clinical staff.

### 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.

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

No decision required.

### Recommendation

The Committee is asked to:

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

\*For any risks proposed to be escalated or de-escalated, the completed form with rationale is provided in Appendix 3.

# Strategic Risk Register

<b>Risk 3</b>	There is a risk that we will not manage organisational change well, caused by multiple change programmes being implemented simultaneously, but in isolation, and insufficient time to effectively engage an exhausted workforce, resulting in high levels of sickness absence, vacancies, staff turnover and stress.
---------------	--

Sponsor and Assurance Group	
<b>Executive Sponsor</b>	Director of People and Organisational Development
<b>Assuring Group</b>	People and Organisational Development Committee

Inherent Risk							
<b>Date</b>	11/05/2022 & reviewed 31/01/2023	<b>Likelihood:</b>	5	<b>Impact:</b>	5	<b>Score:</b>	25

Risk Score			Risk Decision			Delivery Confidence Assessment	
<b>Current Risk</b>		15	<b>Target risk</b>		9	<b>Treat</b>	<b>Amber</b>
<b>Likelihood</b>	<b>Impact</b>		<b>Likelihood</b>	<b>Impact</b>			
3	5		3	3			

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

## Risk Owner's Overview Assessment Status

It is recognised that a number of functions play a material role in the effective management of change. People & OD have a key role, together with Strategy & Planning; in addition to the critical role of line managers in leading and handling change effectively.

There are a large number of change programmes currently planned and already underway within the organisation.

Although there are many measures already in place in relation to managing sickness, staff well-being, as well as the OCP process, it is recognised that until we move to a more controlled system for the commissioning and monitoring of change programmes, there will continue to be some risk that we will not be able to manage organisational change as well as we would like, due to over commitment.

# Strategic Risk Register

EXISTING CONTROLS			SOURCES OF ASSURANCE	Level at which the Assurance is provided to				
No.	Control	Exec Owner		Team / Division / Project / Programme	Directorate Team / Exec Lead	Business Exec Team / Sub Groups	Committee / Sub group	Board
SR 3.1	Partnership working with Trade Union's to engage at informal and formal stages of change and working with change leads to support initiatives	Director of People and Organisational Development	Appointment of 2 dedicated change Trade Union representatives to support change initiatives	X				
			Organisational Change Policy provides a framework to undertake change including staff engagement	X	X			
			Papers and Minutes to demonstrate the provision of updates to Local Partnership Forum, Joint Medical & Dental Negotiating Committee, Business Executive Team and People & Organisational Development Committee			X	X	
SR 3.2	Strategic Priorities in relation to planned change have been identified in the Integrated Medium-Term Plan (IMTP)	All Executive Directors	Papers and Minutes to demonstrate regular review via Project Boards to monitor progress and impact on workforce	X	X	X	X	
		Deputy Chief Executive and Director of Operations & Finance	Minutes of monthly meetings to review IMTP progress		X			
SR 3.3	A People & Organisational Development Organisational Change Policy change tracker in place to identify changes as they are initially discussed in order to identify planning and resourcing implications	Director of People and Organisational Development	Monthly meeting to demonstrate change initiatives discussed and monitored regularly with Partners and Trade Union Change Leads		X			
			Local Partnership Forum quarterly				X	
SR 3.4	Provision of change master classes to managers by external provider	All Executive Directors	Provision of change master classes to managers	X	X			
			Change toolkit available to support managers	X	X			
SR 3.5	Managing Attendance at Work proactively supported by People & Organisational Development Advisor team	All Executive Directors	Managing Attendance at Work Policy provides framework to support sickness absence management	X	X			
			Mandated manager training delivered locally	X	X			
			Directorate and Divisional Assurance Dashboards provide key insights to be acted upon by line managers with advice and support from People & Organisational Development.	X	X	X		
SR 3.6	Wellbeing provision in support of staff experiencing anxiety of change	Director of People and Organisational Development	Employee Assistance Programme	X	X			
			Occupational Health Provision	X	X			
			Minutes demonstrating directorate action plans monitored at Health & Safety Meetings	X	X			
			Staff wellbeing survey	X	X	X	X	

# Strategic Risk Register

Action Plan No.	Gaps in controls	Action Plan	Exec Director	Due Date	Progress
AP 3.1	No clear picture or process of measuring / controlling the amount of change planned across the wider organisation and the impact this has for People &OD	Work being undertaken by Strategic Planning and Performance teams will allow greater understanding of planned changes and its impact	Deputy CEO and Director of Operations and Finance	Completed	September 2022 – Action completed
		Oversight and informed decision making on proposed future change programmes	All Executive Directors	31/03/2023	Update 31/01/2023 - Further workshops for enablers to discuss the future scoping and commissioning of change programmes TBA by Strategic Planning, confirmed to be following the LTS refresh
		Ensure the People & OD section of the IMTP fully reflects the change priorities for the period of the IMPT	Director of People and OD	31/03/2023	Update 01/12/2022 -Workforce planning and IMTP activity currently underway in Directorates and on track Update 31/01/2023 – IMTP activity underway and on track
AP 3.2	Expertise and understanding of how to lead change, whilst minimising the negative impact on staff	Development and delivery of a ‘Managing Change Effectively’ programme, targeting People Managers) to increase their capability in change management skills in support of organisational change	Director of People and OD	31/03/2023	Update 23/12/22 - Linked to IMTPM-317 and on track Update 31/01/23 Improving capability is part of the task and finish group activity that is on track
AP 3.3	Incomplete Directorate workforce plans	Develop and deliver training and support to build the skills of managers in planning, predicting and identifying workforce supply and demand.	Director of People and OD	Completed	Update 23/12/2022 - Linked to IMTPM_320. Initial sessions delivered to Directorate SMT’s by Strategic Workforce Planning and Resourcing Manager. All Directorates have now completed the first phase of workforce planning.
		Integration of change management requirements in Directorate and Divisional Workforce Plans	All Executive Directors	31/03/2023	Update 23/12/2022 - Linked to above action as well as Long Term Strategy refresh and Quality as a Strategy work, which is on track. Update 31/01/2023 –Directorate workforce information submitted and received and analysis being undertaken of these initial returns
AP 3.4	Lack of agreed organisation design principles and process for commissioning and resourcing of organisational change work	Develop an agreed approach to organisation design, commissioning and resourcing of organisational change work for subsequent implementation	Director of People and OD	31/03/2023	31/01/2023 Outputs from both workshops being analysed and commissioning approach work is on track Update 23/12/2022 - The organisational design part of this deliverable has been

## Strategic Risk Register

						<p>agreed and moved into the new financial year, aligned to the LTS refresh.</p> <p>Update 01/12/2022 - First workshop held during November 2022 to co-create a common understanding &amp; approach in POD to commissioning (internal and external), that will also support our planning and resourcing for initiatives as a Directorate going forward. Second workshop scheduled for January 2023.</p>
AP 3.5	Varied levels of staff engagement and involvement in change processes		Proactively involve staff in informal engagement and co-creation of change as an essential part of OCP activity for all new change initiatives	All Executive Directors	Ongoing	In progress being developed initiative and initiative
AP 3.6	Varied levels of engagement with TU colleagues at national level		Continue to strengthen relationships with national TUs to improve the culture of partnership working in PHW	Director of People and OD	Ongoing	In progress strengthening TU and POD working relationships in support of organisational change; building upon what has already started through dedicated Lead Change TU reps.

# Strategic Risk Register

<b>Risk 4</b>	There is a risk that we are unable to attract and retain the required professional workforce caused by skill shortages and increased pressures on staff, which has been exacerbated by the Covid-19 pandemic, resulting in there being insufficient capability and capacity to deliver our plans
---------------	--

Sponsor and Assurance Group	
<b>Executive Sponsor</b>	Director of People and Organisational Development
<b>Assuring Group</b>	People and Organisational Development Committee

Inherent Risk							
<b>Date</b>	11/05/22	<b>Likelihood:</b>	<b>5</b>	<b>Impact:</b>	<b>5</b>	<b>Score:</b>	<b>25</b>

Risk Score			Risk Decision			Delivery Confidence Assessment			
<b>Current Risk</b>			<b>Target risk</b>			<b>Treat</b>	<b>Amber</b>		
<b>Likelihood</b>	<b>Impact</b>		<b>Likelihood</b>	<b>Impact</b>					
3	5	15	3	3	9				

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

## Risk Owner's Overview Assessment Status

The implementation of our People Strategy as well as our Strategic Equality Plan remain crucial to our ability to manage this strategic risk. With data insights taken from recruiting, leavers (exiting), movers (internal) and promotions, etc. there will be a continuous view of the current position.

Our divisional / directorate workforce plans must be robust ensuring we understand our current talent, i.e. those in place to deliver now and what our future internal talent looks like. Where future talent does not exist within the organisation, there will need to be strategies to ensure gaps do not open up and leave the organisation vulnerable to failing to deliver.

# Strategic Risk Register

EXISTING CONTROLS			SOURCES OF ASSURANCE	Level at which the Assurance is provided to				
No.	Control	Exec Owner		Team / Division / Project / Programme	Directorate Team / Exec Lead	Business Exec Team / Sub Groups	Committee / Sub group	Board
SR 4.1	People Strategy	Director of People and Organisational Development	Bi annual progress reports to BET and PODCOM			X	X	
SR 4.2	Directorate and Divisional Workforce Plans supported by P&OD BPs	All Executives	Workforce challenges and related workforce plans to address workforce issues are set out in IMTP narrative and workforce planning returns	X	X	X		
			Regular reporting and review, e.g. quarterly, is encouraged via Senior Management Team / Directorate Leadership Team / directorate performance reviews	X	X			
			Annual update via IMTP cycle			X	X	
SR 4.3	My Contribution/ Career development and Performance Check-ins	All Executives	Quarterly and monthly organisational and directorate level reporting and Performance Assurance Dashboard		X	X	X	
SR 4.4	Directorate and Divisional Assurance Dashboards providing key insights to be acted upon linked to workforce plans	All Executives	Directorate performance reviews	X	X			
			Active use of recruitment data	X	X			
			Analysis of Starter and Leaver data	X	X			

# Strategic Risk Register

Action Plan No.	Gaps in controls	Action Plan	Exec Director	Due Date	Progress
AP 4.1	Develop robust workforce plans	Establish succession plans throughout the organisation for key roles	Director of People & OD	30/12/2022	Updated 24/1/23 The update remains the same as last month. <b>Updated 1/12/22</b> The update remains the same as last month
		Establish more detail of the workforce required to deliver our refreshed long-term strategic plan, including role mix, grade mix, skill mix, and placement of roles in the wider Public Health system	Director of People & OD	30/12/2022	21/1/23 The update remains the same as last month <b>Updated 1/12/22</b> Data is currently being gathered as part of the Workforce Planning exercise and the LTS is moving closer to being finalised.
		Develop clear plans for addressing scarce and emerging skills in line with local and national shortage specialities and forecast gaps between skills supply and demand	Director of People & OD	31/03/2023	21/1/23 The update remains the same as last month <b>Updated 1/12/22</b> The update remains the same as last month
		Work with our partners to raise awareness of and widen access to careers in Public Health, e.g. through advanced apprenticeships or other non-graduate routes (to expand our supply of suitably experienced candidates and increase participation and progression from under-represented groups).	Director of People & OD	31/03/2023	21/1/23 A paper will be presented to BET on the 20 <sup>th</sup> Feb to seek provision of funding to support entry level roles which support longer term succession planning <b>Updated 1/12/22</b> - Work continues in line with November update
		Increase the number of placements, secondments, honorary contracts and joint posts spanning organisation boundaries, increasing skills transfer in both directions	Director of People & OD	31/03/2022	21/1/23 This needs to be targeted and will be shaped by information provided via the workforce planning process. <b>Updated 1/12/22</b> - As Above
AP 4.2	Ensure PHW's employment offer helps retain top performers and attract the best external talent.	Develop a compelling employee value proposition and employer brand for social media and recruitment advertising whilst ensuring the lived experience matches the promise.	Director of People & OD	31/03/2023	21/1/23 Project aims and objectives presented to PODCOM in Jan 23. Positive feedback received. Focus group sessions taking place throughout January. Plan is on track. <b>Updated 1/12/22</b> High level of engagement achieved with key stakeholders. The project is on plan and progressing well.

Risk Identifier				Risk Description			Risk Scoring				Risk Action Plan												
Risk ID	Domain	Date	Lead Executive	Responsible Committee	Directorate (if applicable)	Risk Description (There is a risk that...)	Cause (This will be caused by...)	Effect (The impact will be...)	Inherent Risk			Current Risk			Risk Decision	Action Plan	Due date	Status of Action	Target Risk				
									Likelihood	Impact	Risk level	Likelihood	Impact	Risk level					Trend	Likelihood	Impact	Risk level	
286	Safety / Legislative	17/07/2015	Director of People and Organisational Development	People and Organisational Development Committee	Workforce and Organisational Development Directorate Wide	Risk that individual and team performance and development is not aligned with the organisation's strategic and operational priorities	Appraisal processes (MYC and Job Planning) not being sufficiently embedded and strategic development needs not being adequately addressed (e.g. through workforce planning and education commissioning).	Non-delivery of long-term strategy.	4	4	16	4	3	12	→	Treat	Continuous and improved monthly and quarterly reporting to BET collectively and individual directors, with the addition of ESR drop in sessions for the areas with the largest compliance deficit		Completed	1	3	3	
																						Update 01/02/23 as per 01/12/22 Update 01/12/22 - as per update of 02/11/22 The 12-month rolling compliance for My Contribution appraisals is currently at 66.7% against the Welsh Government target of 85%. Since April 2022, we have seen a nearly 10% increase in Appraisal Compliance, from a figure of 57.7% at the start of the financial year. With pay progression coming into force in October 2022, part of the criteria to be put forward for an increase is staff needing to have an appraisal date entered into ESR within the last 12 months, which has had a positive impact on appraisal compliance figures. To support the introduction of pay progression a communications plan was developed that included direct emails to those immediately affected. In addition, a suite of resources to support staff and Line managers were made available and drop-in sessions were undertaken to provide advice and guidance. This has resulted in pay progression meetings being recorded in ESR for all staff who are due a Pay-step in October. Update 02/11/22 Update 01/02/23 as per 01/12/22 Update 01/01/23 - Review of the MYC process is still underway and will be further informed by the launch of our new behavioural framework (Being our Best) and work planned for embedding the framework. Review of the MYC process is underway to include a quality audit Update 10/08/22 - a review of My Contribution is underway and will include a quality audit by 31/12/22.	
301		07/05/2022	Director of People and Organisational Development	People and Organisational Development Committee	People and Organisation Development	There is a risk that we will not deliver our IMTP due to challenges involved in securing resources at the right time, at the right cost, with the right skills	Tight labour market conditions. Challenges of establishing meaningful workforce plans across all directorates. Systems and processes which are inefficient and cumbersome. Lack of investment in digital capability and complexity of all Wales projects impacting/feeding into this work	Inability to deliver on our IMTP objectives. Increased pressure on existing resources. Increased turnover and sickness levels. Inability to attract staff to PHW as not perceived as a great place to work.	4	4	16	3	4	12		Treat	Key processes triggering changes to establishment have now been mapped. Further discussion planned with key stakeholders to sign off early September	30/09/2022	Completed				Update 01/02/23 - The outcomes from the workshop are being worked through Dec 22 Update A workshop was held with Finance and POD partners to outline key processes which trigger changes to establishment. Key processes were have been signed off and an electronic workflow has been developed to support the agreed processes. The electronic workflow and accompanying form and guidelines is being presented to the BIP Board in Feb 23 along with proposed pilot and roll our plan. Update 01/02/23 The rollout for the new All Wales JD templates and guidance has been delayed until March 2023 as discussion continue a the All Wales JE Working Group Update 01/01/23 - JE training has now taken place, we now have 5 more staff side and Management side reps. We have dedicate support for JE reviewing and updating processes and training that will support the roll out of the new All Wales JD template in January along with training and SharePoint pages Update - 01/12/22 - JE training has now taken place, we now have 5 more staff side and Management side reps. We have dedicate support for JE reviewing and updating processes and training that will support the roll out of the new All Wales JD template in January
																						Update 01/02/23 an update on EVP was presented to PODCOM on the 12 January, all actions being delivered to plan. Update 01/01/23 - all actions being delivered to plan. A number of focus groups will take place throughout January across a wide range of demographic groups. The employee survey has now closed and results of the survey and focus groups will be analysed early February. Themes and findings will be shared with BET and Leadership team in February. Update - 01/12/22 - Dragonfish met with the Exec Team and Senior Managers on 21 November. Dragonfish have also met with the People & OD Directorate and TU colleagues. Update 01/02/23 directorate sessions are scheduled for late February to discuss how we can develop interventions from the analysed data and deliver plans on how we will identify the right workforce Update 01/01/23 Workforce plans needs to be reviewed in January 2023, with follow up directorate sessions in late February to discuss how we can develop interventions from the analysed data and deliver plans on how we will identify the right workforce Update 01/12/22 - workshop sessions on approach to WFP continue and will conclude 05/12/22. Workforce needs to be reviewed in January 2023, with follow up directorate sessions in late February to discuss how we can develop interventions from the analysed data and deliver plans on how we will identify the right workforce.	
288	Safety / Continuity / Staffing	16/01/2017	Executive Director for Health Protection and Screening Services	Quality, Safety and Improvement Committee	Health Protection and Screening Services (Microbiology)	There is a risk that Health Protection and Screening Services will not be able to deliver high quality services in North Wales infection division as they are struggling to recruit and retain sufficient medical and clinical staff.	Long term changes to the specialty training of medical microbiology / infectious disease medicine; UK wide competition with more attraction at larger metropolitan centres. There is a further challenge in North Wales linked to ongoing health challenges of both substantive and non-substantive workforce. This leaves the North Wales service particularly vulnerable.	The impact will be potential avoidable infection prevention / control failures and suboptimal antimicrobial stewardship and treatment due to the absence of consistent clinical oversight and input, service delivery would have to be severely restricted. The effects would include L increased potential risk of harm to patients, ii. loss of confidence in PHW services and reputational damage to PHW, iii. potential derailment of strategic ambitions for an All Wales service and increased revenue spend to bolster the service through agency staff	4	4	16	4	4	16	→	Treat	Approval is awarded annually but currently posts were approved for 2020 and 2021. Funding to continue the two Agency Consultants in North Wales has also been provided for 2022/23	31/10/2024	Ongoing				Update 12/22 - Unchanged.
																						Update 12/22 - Unchanged.	
																						Update 12/22 - Unchanged. Authorisation and on-call work to start in January 2023.	
																						Update 12/22 - Proposal to January 2023 SMT and DMT.	