 GIG CYMRU NHS WALES Iechyd Cyhoeddus Cymru Public Health Wales	Name of Meeting People and Organisational Development Committee Date of Meeting 19 July 2023 Agenda item: 3.7
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Public Health Wales Strategic and Corporate Risk Registers

Executive lead:	Rhiannon Beaumont-Wood, Executive Director of Quality, Nursing and Allied Health Professionals
Author:	Eleanor Higgins, Integrated Governance Manager
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 <input type="checkbox"/>	CONSIDER <input checked="" type="checkbox"/>	RECOMMEND <input type="checkbox"/>	ADOPT <input type="checkbox"/>	ASSURANCE <input checked="" type="checkbox"/>
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Recommendation

The People and OD Committee is asked to:

- **Consider** the Strategic Risk Register relevant to the Committee's remit
- **Take assurance** that a governance process has been completed to close down the previous 2022/23 Strategic Risk associated with this Committee.
- **Consider** the refreshed Strategic Risks identified with relevance to this Committee's remit.
- **Take assurance** that a process is underway to review the Corporate Risks against the refreshed Strategic Risk Register.

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

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 also the failure to capitalise on opportunities.
People implications	No people implications.

1. Purpose / situation

This paper presents the 2022/23 strategic risks that are relevant to the remit of the People and Organisational Development Committee.

The paper highlights any changes since the Committee last reviewed the risks. This paper seeks approval from the Committee for any changes and confirmation that the Committee are assured that the risks 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.

The Committee will be aware that the Strategic Risks have been re-freshed and approved by the Board on 25 May 2023. This is the last time the Committee will receive the 2022/23 strategic risks. The 2022/23 Strategic Risk Register and the refreshed risk register are being cross referenced by the Risk Owners and any outstanding actions are being transferred across, closed down, or de-escalated to the Corporate Risk Register. This will be reported to the Board on 27 July 2023 and brought back to the next Committee meeting for consideration and assurance.

The Committee is receiving the refreshed Strategic Risk Register for the first time.

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 2022/23 Register which has been closed down contained six risks, two of which has this Committee as the assuring group and is detailed in appendix 1. An overview of the closedown activity for these risks is included at section 4.

The 2023/24 refreshed Strategic Risk Register contains seven risks, one of which has this Committee as the assuring group and is detailed in section 5, with the full risks detailed at Appendix 2.

3. Risk Appetite

The strategic themes for 2022/23 were 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

The Executive Team and Board are currently refreshing the Risk Appetite for the revised Long Term Strategy and refreshed Strategic Risks. This will be reported to Board on 27 July 2023.

4. Strategic Risks 2022/23 Close Down

4.1. Risk 3

Risk 3	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.
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Sponsor and Assurance Group	
Executive Sponsor	Director of People and Organisational Development
Assuring Group	People and Organisational Development Committee

Outstanding actions as of 1 May 2023					
	Gaps in control	Action	Responsible Exec	Status update 01.05.23	Assessment of action:
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	Oversight and informed decision making on proposed future change programmes	All Executive Directors	Update 28/04/23 Strategic Planning colleagues will be taking forward work to support capacity planning as a follow on from the LTS strategy completion and aligned to objectives as set out in IMTP deliverables	
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	Update 24/03/23 Due date amended to reflect alignment to leadership and management provision work that is scheduled for 2023-24 as below Update 14/06/23 Throughout 2022-23 we worked with an external training provider to review the existing Managing Change Masterclass and adapt the course to better suit virtual delivery. Pre-course material was developed allowing the focus of	Can be closed down as this is linked to planned activity (see previous column) and will be monitored through that work

				the virtual session to be interactive and participative. 11 courses were delivered throughout the year (with up to 20 managers attending each session). The masterclass is well evaluated. Further improvement activity has been identified as part of wider Managing Change Project work with plans in place for ongoing provision of the masterclass throughout 2023-24 to increase capability and target areas impacted by planned change programmes.	
AP 3.3	Incomplete Directorate workforce plans	Integration of change management requirements in Directorate and Divisional Workforce Plans	All Executive Directors	Update 24/03/23 Workforce Planning activity across the organisation represents <i>work in progress</i> and the due date has been amended to reflect strategic risk 4 as well and the development of current strategic risks under BET consideration for 2023-4	Transferred as part of new strategic risk 4 AP 4.6
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	Update 24/03/23 On track Update 28/02/23 Following as assessment of the work required to enable appropriate commissioning, the deliverable has been agreed and moved to the new financial year	Can be closed as part of IMTP deliverable SO7.2 2023-4 and will be monitored through that route (IMTPM 207 and 208)
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	Update 24/03/23 On track Update 28/02/23 The people aspects of change are being incorporated into the resources that are currently being developed in partnership with TU colleagues	Can be closed down as this is now being incorporated as BAU on an ongoing basis. Updated resources being socialised during

				to support managers capability in leading change	this month and next and will be live by the end of July 2023. Staff experience and evaluation has been built into 2023 through to 2025 through a working group including TU colleagues
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	Update 24/03/23 On track Update 28/02/23 Work in progress through LPF and JMDNC	Can be closed as part of BAU

4.2. Risk 4

Risk 4	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
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Sponsor and Assurance Group	
Executive Sponsor	Director of People and Organisational Development
Assuring Group	People and Organisational Development Committee

Outstanding actions as of 1 May 2023					
	Gaps in control	Action	Responsible Exec	Status update 01.05.23	Assessment of action:
AP 4.1	Develop robust workforce plans	Establish succession plans throughout the organisation for key roles	Director of People and OD	27/4/23 Update unchanged from previous month – work ongoing Updated 1.3.23 A review of data submitted from directorates as part of the initial phase of workforce planning has been completed. A dashboard has been developed and will summarise where are our critical posts are. From this we will work with directorates to build succession plans for critical roles identified and identify key interventions required. (Data quality needs further attention)	This action can be closed down in terms of inclusion here as it is part of our IMTP deliverables which are reported on monthly. as part of workforce planning deliverables
		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		27/4/23 Update unchanged from previous month – work ongoing Updated 1/3/23 Baseline data to support this action has now been established. The data is currently being reviewed with Directorates and skill /role mix requirement will	This action can be closed down in terms of inclusion here as it is part of our IMTP deliverables which are reported on monthly as part of

				continue to be considered in line with LTS which is yet to be finalised.	workforce planning deliverables
		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		27/4/23 Update unchanged from previous month – work ongoing Updated 1/3/23 This is ongoing as part of the workforce planning discussions being help with Directorates.	This action can be closed down in terms of inclusion here as it is part of our IMTP deliverables which are reported on monthly as part of workforce planning deliverables
		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).		Updated 27/4/23 Investment Bid was successful. Work will now progress in line with plan. Updated 1.4.23 Investment Bid funding has been requested to support the widening of access via entry level roles	This action can be closed down in terms of inclusion here as it is part of our IMTP deliverables which are reported on monthly as part of workforce planning deliverables
		Increase the number of placements, secondments, honorary contracts and joint posts spanning organisation boundaries, increasing skills transfer in both directions		27/4/23 Update unchanged from previous month – work ongoing 21/1/23 This needs to be targeted and will be shaped by information provided via the workforce planning process.	This can be closed down. There is evidence that this is happening and that our approach is now embedded.

5. Refreshed Strategic Risks relevant to Committee

One risk from the Refreshed Strategic Risk Register sit within the remit of this Committee. A full copy of the risk is provided at Appendix 2.

5.1. Risk 4

Risk Description			
There is a risk of weakness in our organisational health, including our culture, capacity, capabilities and governance, caused by sub-optimal leadership, management and engagement, resulting in low staff wellbeing and morale, failure to recruit and retain our staff and ineffective performance across one or more of our strategic priorities.			
Risk Appetite		Proposal for de-escalation or removal*	
Treat		N/A	
Risk Scoring (5x5 scoring)			
Inherent	5	5	25
Current	4	4	16
Target	3	2	6
Link to other risk		N/A	
DCA at last Committee		Present Live DCA	
N/A		Amber	
Executive Sponsor Insight			
<p>The organisation is implementing QOS incorporating governance system mapping and controls and has actions in place to mitigate the risk and close the gaps in assurance.</p> <p>POD have clear actions in the IMTP which relate directly to this risk, i.e., Work to understand current v desired culture, launching and embedding our 'Being Our Best' framework and a road map to deliver the people promise. Workforce planning is also part of the IMTP deliverables and a critical component in addressing this risk.</p> <p>Collaborative working between Planning, POD and Communication functions will contribute to improved methods to launch, land and embed related products/messaging. A Leadership and Management Development Academy has also been launched, which together with the actions outlined in this plan, will support improved leadership, Management and engagement.</p> <p>Our Board and Committees are constituted in accordance with our Standing Orders and Scheme of Delegations. The functions of the Board are delivered in line with the Board Etiquette Protocol with external assurance from Audit Wales on performance.</p>			
Overview of changes to controls/actions			

(text marked in red in full risk which can be found in Appendix 2)	
Controls	N/A
Actions	N/A
Opportunities	N/A
Committee consideration of this risk / links to the workplan	First time Committee is receiving this risk.

6. Corporate Risk Register (CRR)

The Corporate Risk Register has six corporate risks which were approved at Business Executive Team. There are two risks on the 2022/23 Corporate Risk Register that have relevance to the remit of this Committee. The full risks are detailed at appendix 3.

The Leadership Team is reviewing the 2022/23 Corporate Risk Register against the revised Strategic Risk Register. Updates to the CRR are, therefore, on hold. Leadership Team will confirm whether the risks remain current, or whether they require amendment or updating in light of the revised Strategic Risk Register and make recommendations to the Business Executive Team. The agreed recommendations will be received at the next Committee meeting for assurance.

6.1. Risk 206

Risk Description						
Risk that individual and team performance and development is not aligned with the organisation's strategic and operational priorities						
Risk Appetite				Proposal for de-escalation or removal*		
Willing				Not applicable		
Risk Scoring	Score at last BET			Present Score		
Inherent	4	4	16	4	4	16
Current	4	3	12	4	3	12
Target	1	3	3	1	3	3
Overview of changes to controls/actions						
(text marked in red in full risk which can be found in Appendix 3.						
Controls	No Changes					

Actions	BET approval to embed the WHIWB principles in policy was achieved in February and the MYC policy will now be reviewed as part of this work
Opportunities	None Identified

6.2. Risk 301

Risk Description						
There is a risk that we will not deliver our IMTP (Integrated Medium Term Plan) due to challenges involved in securing resources at the right time, at the right cost, with the right skills						
Risk Appetite				Proposal for de-escalation or removal*		
Willing				Not applicable		
Risk Scoring	Score at last BET			Present Score		
Inherent	4	4	16	4	4	16
Current	3	4	12	3	4	12
Target	2	4	8	2	4	8
Overview of changes to controls/actions (text marked in red in full risk which can be found in Appendix 3.						
Controls	No Changes					
Actions	Development of a compelling Employee Value Proposition People Promise has been completed, Workforce Planning and Job Evaluation continues. The job market continues to be tight and good candidates are difficult to source when there is such turbulence and industrial unrest.					
Opportunities	None identified					

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

No decision required.

8. Recommendation

- **Take assurance** that a governance process is now completed to close down the previous 2022/23 Strategic Risk associated with this Committee.
- **Consider** the refreshed Strategic Risks identified with relevance to this Committee's remit.
- **Take assurance** that a process is underway to review the Corporate Risks against the refreshed Strategic Risk Register.

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