

# Strategic Risk Register

<b>Risk 1</b>	There is a risk that Public Health Wales will be unable to sustain the Health Protection response (for COVID 19 and other infectious disease / environmental hazards) for the ongoing progression of the pandemic. This will be caused by an inability to mobilise sufficient numbers of trained staff resulting in harm.
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Sponsor and Assurance Group	
<b>Executive Sponsor</b>	Executive Director, Health Protection and Screening Services
<b>Assuring Group</b>	Quality, Safety and Improvement Committee

Inherent Risk							
<b>Date</b>		<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>		16	<b>Target risk</b>		8	<b>TREAT</b>	<b>Amber</b>
<b>Likelihood</b>	<b>Impact</b>		<b>Likelihood</b>	<b>Impact</b>			
4	4	4	2				

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

There now exists a greater understanding of the response requirements for the pandemic than was previously held. Public Health Wales is engaged in regular strategic discussions with Welsh Government. Twice weekly meetings of Covid Co-ordination Group (CCG) and a regular rhythm of Directorate Leadership Team meetings, led by National Director. There is currently a major health protection recruitment campaign underway and as a result, recruitment to newly created vacancies is ongoing. There remain workforce challenges in the medical microbiology workforce. Additionally, regular horizon scanning exercises and public health surveillance are now incorporating Covid 19. Internally, there is also comprehensive staff sickness monitoring to maintain an overview of resources available. Omicron variant has increased UK alert level from 3 to 4 **due to pressure on NHS services. UK and WG IMTs now stood down as Omicron has become dominant variant with increased information available on transmissibility, severity and vaccine efficacy. Incidence level has reduced over last 2 weeks from peak (although complexity of cases requiring PHW support remains). WG NPIs put in place from end December now under ongoing review with some NPIs already relaxed. Business continuity plans reviewed. Some continuing but reduced risk of staff absenteeism, additional deployment of volunteer staff to response continuing until mid-February.**

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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 1.1	Policies and Procedures * (document development, review and approval)  * including Standard Operating Procedures	Executive Director, Health Protection and Screening Services	Corporate Policy and Control Document Reviews – corporate register update reports	X	X	X	X	X
			Health Protection Division – Standard Operating Procedures (document development, review and approval)	X	X			
			Microbiology Division – Standard Operating Procedures (document development, review and approval)	X	X			
SR 1.2	UK Accreditation Service (UKAS) - Accreditation	Executive Director, Health Protection and Screening Services	Reports to Quality, Safety and Improvement Committee		X	X	X	
			Action Plan and Reports – Divisional Senior Management Teams	X				
SR 1.3	Professional Regulation – Medical, Nursing and Multi-Disciplinary Staff	Executive Director, Health Protection and Screening Services & Executive Director Quality, Nursing and Allied Health Professionals	Medical, Nursing and Multi-Disciplinary Staff Revalidation - Annual Report to People and Organisational Development Committee / Quality, Safety and Improvement Committee				X	
			Quality review visit by Medical and Multi-Disciplinary Revalidation support unit			X	X	
			Monitor registered and revalidation		X			
			Medical, Nursing and Multi-Disciplinary Appraisal Process – Quality Indicator			X	X	X
			Medical Job Planning Process – Quality Indicator			X		X
SR 1.4	Business Continuity Arrangements (for Public Health Services)	Executive Director, Health Protection and Screening Services	Business Continuity Action Plans (Public Health Services)	X	X	X		
			Emergency Planning and Business Continuity Group Meeting minutes		X			
			Learning and Development Prospectus for Business – Training and Exercise reports to Emergency Planning and Business Continuity Group		X			
			Emergency Planning and Business Continuity Report - Audit and Corporate Governance Committee	X			X	
SR 1.5	National Health Protection Service (NHPS) Transformation Programme (including Microbiology Stabilisation)	Executive Director, Health Protection and Screening Services	National Health Protection Service Transformation Programme Plan(s)	X	X	X		
			Microbiology Stabilisation Plan	X	X	X		
			Stabilisation/Transformation Reports to QSI Committee and Board			X	X	X
			Health Protection Business Case SRO Group, meetings and minutes	X	X	X		
			Divisional Assurance Reports to DLT (inform Executive Director Reports – see 3.7)	X	X			
SR 1.6	Directorate Business and Financial Management Systems and Processes	Executive Director, Health Protection and Screening Services	Reports provided to SMTs and DLT	X	X			
			Public Health Services Directorate Leadership Team (DLT) meeting minutes and papers (bi-monthly)	X	X			
			Senior Management Team (SMT) Meeting minutes and papers (monthly)	X				

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No.	Control	Exec Owner		Team / Division / Project / Programme	Directorate Team / Exec Lead	Business Exec Team / Sub Groups	Committee / Sub group	Board
			Directorate Leadership Team Finance Sub-Group meeting minutes and papers (monthly)		X			
			Divisional Assurance Reports to DLT (inform Executive Director Reports)	X	X	X		
			Executive Director Reports (to Executive and Board)			X		X
			Mid and End of Year Review Reports (Executive scrutiny)		X	X		
SR 1.7	Incident Reporting Management System	Executive Director, Health Protection and Screening Services & Executive Director Quality, Nursing and Allied Health Professionals	Putting Things Right - Annual Report			X	X	
			Putting Things Right - Quarterly Alert Exception Report (Quality, Safety and Improvement Committee)			X	X	
			Serious Incident Reporting (Quarterly) to Quality, Safety and Improvement Committee			X	X	
SR 1.8	Failsafe Systems	Executive Director, Health Protection and Screening Services	Defined failsafe task and finish groups to review screening programmes against policy	X	X	X	X	
			Review of serious incidents to determine if further failsafe required (Microbiology and Screening)	X	X	X		
			Microbiology Division – Standard Operating Procedures (document development, review and approval)	X	X			
			Health Protection Division – Standard Operating Procedures (document development, review and approval)	X	X			
SR 1.9	Infection, Prevention and Control Systems	Executive Director, Health Protection and Screening Services	Health Protection Situational Awareness Reports – (monthly report to Executive)	X	X	X		
			Agreed criteria for escalation (reviewed on an annual basis)	X	X	X		
SR1.10	Workforce/Recruitment Planning	Executive Director, Health Protection and Screening Services	Reports of progress against Workforce Plans	X	X	X		
			Reports to the People and Organisational Development Committee (part of annual Integrated Medium Term Plan planning cycle)			X	X	
			Health Protection and Microbiology Workforce subcommittees minutes and papers (report to Senior Managements Teams)	X				
			SRO Group/DLT focus on business case and wider workforce recruitment	X	X	X		

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Action Plan No.	Gaps in controls	Action Plan	Exec Director	Due Date	Progress
AP 1.1	Staff vacancies	Recruit to all new posts created by the Health Protection Business case phase 1 funding	Executive Director, Health Protection and Screening Services	Completed	Closure report completed 16/12/2021
		Recruitment to substantive health protection and microbiology posts including active workforce capacity management, business continuity planning including use of non-recurrent funding for fixed term/ agency recruitment	Executive Director, Health Protection and Screening Services	31/3/2022	Ongoing active advertisement for vacancies in Health Protection. Review of recruitment programme commenced. BET approval of use of underspend and recruitment for interim positions until 31 March 2022 being undertaken.
		Recruit to position of Assistant Director of Operations	Executive Director, Health Protection and Screening Services	31/02/2022	Recruitment process commenced with further review underway. Part time interim support secured via agency until 31 March 2022
AP 1.2	Business Continuity including workforce mobilisation plan	Covid-19 response surge plan approved by CCG, DLT and BET	Executive Director, Health Protection and Screening Services	Completed	Completed – Covid HP Operating Model / Surge plan approved by BET 7/12/21
		Strengthen arrangements for approval of Business Continuity Plans and assurance reporting	Executive Director, Health Protection and Screening Services	31/12/2021	No further progress has been made on this action plan due to the health protection and microbiology ongoing response to the COVID-19 pandemic.
		Delivery of Estates Action Plan and Health / Safety Action Plan	Deputy Chief Executive / Executive Director of Finance and Operations	TBC	Ongoing delivery of estate / Health and Safety action plan in relation to Microbiology Laboratory estate. All actions in relation to HSE Improvement notices are complete and notices removed.
		Develop and agree action plan to ensure PHE led activities that impact on Wales can continue to be delivered.	Executive Director, Health Protection and Screening Services	31/03/2022	Ongoing engagement with PHE/UK HSA
AP 1.3	Policy and wider workforce planning	Workshop and subsequent establishment of Task and Finish Group with Local Authorities for building resilience for health protection response	Executive Director, Health Protection and Screening Services	31/03/2022	Workshop held on 24 <sup>th</sup> August. Summary report circulated w/c 29 November 2021. Task and Finish group to be established shortly.
		Phase 2 of Health Protection expansion plan to be delivered	Executive Director, Health Protection and Screening Services	31/03/2022	Discussion with Chief Medical Officer commenced and ongoing.
		Incorporate key measures to monitor the effectiveness of our work across the work streams in the Implementation Plan for Test, Trace and Protect.	Executive Director, Health Protection and Screening Services	31/03/2022	Attendance at relevant TTP Programme Boards
AP 1.4	Gap in policy	Participation in Welsh Government Winter Planning meetings and events	Executive Director, Health Protection and Screening Services	Completed	Complete - Business continuity plans (notably staffing) being reviewed w/c 20/12
		Review ( with partners) of current COVID response model ( 5 July 2021)	Executive Director, Health Protection and Screening Services	30/10/2021	Complete. Review commenced week commencing 20 <sup>th</sup> Sept and ongoing, combined with implementation of revised

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					response model. Series of regional meetings DPPW/DPH put in place during November. New Standard Operating procedure for Care Homes response agreed and implemented.
		PHW to be represented at UK wide pandemic summit	Executive Director, Health Protection and Screening Services	31/03/2021	Awaiting date from UK partners – Change to target date requested
		Workforce programme objective included in 4 Nation Health protection committee priorities. Task and Finish Group to be established	Executive Director, Health Protection and Screening Services	31/03/2022	On agenda inaugural Health protection committee for 12/10/2021 and approved a part of 4 Nation work programme.
		Periodic review of the CCG Terms of Reference	Executive Director, Health Protection and Screening Services	31/12/2021	CCG ToR approved in September 2021. Ongoing review.
AP 1.5	Resilience of business management systems and processes	Public Health Services Directorate Governance Review: Action Plan	Executive Director, Health Protection and Screening Services	TBC	Response to the COVID-19 pandemic is the priority for the Directorate. As a consequence no further progress has been made with regard to this action plan.