 <p>GIG CYMRU NHS WALES</p> <p>Iechyd Cyhoeddus Cymru Public Health Wales</p>	<p>Name of Meeting Quality, Safety and Improvement Committee</p> <p>Date of Meeting 18 July 2023</p> <p>Agenda item: 5.4.1</p>
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Managing Risk	
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"/>

Recommendation
<p>The Committee is asked to:</p> <ul style="list-style-type: none"> • Consider the Strategic Risk Register relevant to the Committee's remit • 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.

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 2022/23 strategic risk that potentially has relevance to the remit of the Quality, Safety and Improvement 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.

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 is 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 relevant 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, five 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

Two risks from the 2022/23 Strategic Risk Register sit within the remit of this Committee. A full copy of the risk is provided at Appendix 1.

4.1. Risk 1

Risk 1	There is a risk that Public Health Wales will not be sufficiently focused, agile and responsive in discharging our functions, caused by the unpredictable and changing nature of the current and emerging geopolitical, socio-economic and health threats, resulting in an inability to tackle the population health challenges in a sustainable way.
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Sponsor and Assurance Group	
Executive Sponsor	Tracey Cooper
Assuring Group	Quality, Safety and Improvement Committee

Outstanding actions as of 1 May 2023					
	Gaps in control	Action	Responsible Exec	Status update 01.05.23	Assessment of action:
AP 1.3		International Horizon Scanning reports to consider new and emerging global public health threats no less than twice a year	Director of Policy and International Health	Cost of living horizon scanning report completed in August 2022. This is an ongoing and proactive series as issues and concerns arise Update 15/6/23 International Horizon Scanning reports will be produced on a regular basis during 2023/24, focusing on identifying learning from global responses to risks and opportunities to health and wellbeing.	Transferred to new SRR through SR1.3, SR5.1, AP5.7

4.2. Risk 2

Risk 2	There is a risk that Public Health Wales will not deliver its plans for delivering excellent services for population screening, health protection and infection caused by uncertainty of the impact of current and future health threats and lack of specialist workforce, resulting in inability to prioritise service delivery and transform models of care
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Sponsor and Assurance Group	
Executive Sponsor	National Director Health Protection and Screening Services, and Medical Director
Assuring Group	Quality, Safety and Improvement Committee

Outstanding actions as of 1 May 2023					
	Gaps in control	Action	Responsible Exec	Status update 01.05.23	Assessment of action:
AP 2.3	NHAIS is being decommissioned by England and we currently rely on NHAIS to select breast screening cohort. Reliant on one member of staff who has detailed knowledge of NHAIS	Implementation of BSS select for Breast Screening Programme to maintain cohort selection for breast screening. Working group with NHS England colleagues to progress this change	National Director Health Protection and Screening Services, and Medical Director	19/04/23 - Meetings continue to progress this work with NHS England colleagues. This has been highlighted as a key issue to resolve as part of the screening information discovery work with proposed solution that develop in house solution. This is being explored further with inclusion within investment bids.	Transferred to new SRR as AP 6.1

AP 2.4	Recovery of the Breast Screening Programme is impacted by difficulty in recruiting specialist clinical staff to undertake reading of mammograms and assessment clinics.	Recruitment processes underway for breast clinician role in North Wales. Planned recruitment in Southeast Wales for radiologist working closely with Health Boards. Planned retirement in 2023 will increase issue in North Wales and working with HB to explore potential ways forward.	National Director Health Protection and Screening Services, and Medical Director National Director Health Protection and Screening Services, and Medical Director	19/04/23 - Trainee breast clinician role is being progressed, business case approved and now on TRAC for North Wales. Exploring other opportunities with BCU on other potential sessions with joint roles. New substantive consultant appointed in South East started role in April 2023.	Transferred to new SRR as AP 6.2
AP 2.5	Sustainable provision of clinical infection services	Continue to recruit to consultant posts; Deliver changes that will make the service more attractive including recruitment of Specialty and Specialist Doctors as well as Physician Associates, Clinical Scientists and Specialist Nurses. Proposal to convert non-pay Transformation funds to pay to increase number of	National Director Health Protection and Screening Services, and Medical Director	Remote consultant support is being trialled and has proven to be beneficial and extended to end of financial year. Service continues to search for additional workforce opportunities. 12/04/23 - Establishment baseline to be signed off 20 April 2023. Change points to be confirmed and	Transferred to new SRR as AP 6.3

		clinical staff (Scientists and Specialist Nursing)		submitted in proposal subsequently.	
AP 2.7	Resilient Out of Hours Acute Health Protection Service	Reviewing the model of service delivery to test resilience and sustainability	National Director Health Protection and Screening Services, and Medical Director	April 23 – Outcome letters issued to all staff, further staff side feedback being considered. In preparation, division standing up an Implementation group to oversee and report progress into existing governance.	Transferred to new SRR as AP 6.4
AP 2.8	Surge Plan for Acute Health Protection	Agreed oversight and surge plan for Acute Health Protection	National Director Health Protection and Screening Services, and Medical Director	April 23 – no major updates Mar 23 – AJ/HW/GS met in February and AJ updated GS that review of the PHW EP is underway and that with the completion date of May 2023. Work will commence to review and align HP divisional surge plan subsequently with a view to completing it by Sept 2023	Transferred to new SRR as AP 6.5

5. Refreshed Strategic Risks relevant to Committee

Five risks 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 1

Risk Description						
There is a risk of worsening health in the population of Wales, particularly among vulnerable populations. Caused by the cumulative effects of current socio-economic, environmental and wider public health challenges and failure to influence the embedding of health in all policies. Resulting in a widening gap in healthy life expectancy						
Risk Appetite				Proposal for de-escalation or removal*		
Treat				Not Applicable		
Risk Scoring	Score at last Committee			Present Score		
Inherent	N/A	N/A	N/A	5	5	25
Current	N/A	N/A	N/A	4	5	20
Target	N/A	N/A	N/A	3	3	9
DCA at last Committee				Present Live DCA		
N/A				Amber		
Executive Sponsor Insight						
Prior to the pandemic the gap in healthy life expectancy between the most and least deprived populations of Wales was widening. The consequences of the pandemic in terms of access to preventative and healthcare services and the impact on mental and emotional well-being is likely to have exacerbated this. Together with the health impacts of the ongoing Cost of Living Crisis there is a high risk that the health of the population will worsen, particularly for vulnerable populations. This is likely to increase the gap in healthy life expectancy among our vulnerable, more deprived populations compared to more affluent populations in Wales.						
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 /	First time Committee is receiving this risk.					

links to the workplan	
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5.2. Risk 2

Risk Description						
There is a risk of ineffective system-wide efforts to improve health and wellbeing by organisations across public, private and third sectors. Caused by misaligned system-wide efforts and leadership, and weaknesses in partnership working. Resulting in worsening health outcomes and suboptimal use of limited public resources.						
Risk Appetite				Proposal for de-escalation or removal*		
Treat				Not Applicable		
Risk Scoring	Score at last Committee			Present Score		
Inherent	N/A	N/A	N/A	4	4	16
Current	N/A	N/A	N/A	4	4	16
Target	N/A	N/A	N/A	3	2	6
DCA at last Committee			Present Live DCA			
N/A			Amber			
Executive Sponsor Insight						
There is a risk that the specialist public health system in Wales will fragment further following the transfer of the Local Public Health Teams to the Health Boards. Work is underway to develop a Memorandum of Understanding with Welsh Government, Public Health Wales, Health Boards and Local Authorities to agree the principles and mechanisms of effective systems and an agreed system population health work plan.						
There is not yet sufficient strategic agreement to align collective efforts between the third sector and Public Health Wales. Discussion has commenced with WCVA which needs to translate into a meaningful collaboration with an underpinning MOU to reflect the intention of better alignment and partnership working.						
Cross reference with risk 6						
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	First time Committee is receiving this risk.					

of this risk / links to the workplan	
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5.3. Risk 3

Risk Description						
There is a risk that people in Wales are insufficiently engaged and enabled on action they can take to improve their health and wellbeing. Caused by failure to provide people with sufficient quality information, motivation, choice and access to timely advice and services. Resulting in people feeling they are limited in exercising control over their health and wellbeing and avoidable poor health outcomes.						
Risk Appetite				Proposal for de-escalation or removal*		
Treat				Not Applicable		
Risk Scoring	Score at last Committee			Present Score		
Inherent	N/A	N/A	N/A	4	5	20
Current	N/A	N/A	N/A	3	4	12
Target	N/A	N/A	N/A	2	3	6
DCA at last Committee				Present Live DCA		
N/A				Amber		
Executive Sponsor Insight						
Engaging with our population is central to better understanding health needs and empowering people to co-design public health solutions and become partners in their health and well-being. However, with significant impacts on the conditions for health resulting from the pandemic and more recently, the cost of living crisis, empowering our population becomes even more challenging and there is a risk of widening health inequalities unless actions taken involves working with our communities and using a proportionate universalism approach.						
Actions are underway across organisational programmes, and all organisational strategic priority areas, to understand the views of our population (including young people) around factors that determine their health, and obtain proactive feedback from people we work with and for. Cross reference to Risk 6						
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.
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5.4. Risk 5

Risk Description						
There is a risk that we insufficiently prevent, plan for and respond to emerging external threats to public health. Caused by insufficient horizon scanning, forecasting, use of data/digital tools and planning/training/exercising for response. Resulting in suboptimal responses to near-term incidents (including but not limited to infectious disease) and longer-term emerging risks to public health.						
Risk Appetite				Proposal for de-escalation or removal*		
Treat				Not Applicable		
Risk Scoring	Score at last Committee			Present Score		
Inherent	N/A	N/A	N/A	3	4	12
Current	N/A	N/A	N/A	3	4	12
Target	N/A	N/A	N/A	3	2	6
DCA at last Committee				Present Live DCA		
N/A				Amber		
Executive Sponsor Insight						
The current risk score is at the inherent risk level.						
There are existing controls relating to: Emergency planning and learning from incidents and outbreaks, including the COVID pandemic; workforce planning and development for response; training and exercising; and horizon-scanning activities.						
However, there is more action required to reduce the impact of external threats, through developing an understanding of roles and responsibilities of each component of the response architecture and the health protection competencies that need to be held in reserve for surge response. The learning from COVID response is not yet complete and the Public Inquiry is underway. These will provide more information to improve response to external threats. Action is also required to join up the horizon-scanning efforts across the organisation.						
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.

5.5. Risk 6

Risk Description						
There is a risk that we fail to deliver excellent public health services, including on screening, infection and health protection. Caused by weakness in clinical and health protection processes, specialist workforce capacity and capabilities, innovation and/or capital investment. Resulting in inadequate provision, responsiveness or uptake of services, poor individual patient and population outcomes and failure to meet quality standards.						
Risk Appetite				Proposal for de-escalation or removal*		
Treat				Not Applicable		
Risk Scoring	Score at last Committee			Present Score		
Inherent	N/A	N/A	N/A	3	3	9
Current	N/A	N/A	N/A	3	3	9
Target	N/A	N/A	N/A	3	2	6
DCA at last Committee				Present Live DCA		
N/A				Green		
Executive Sponsor Insight						
<p>The current risk score is at the inherent risk level. However, over the past year, this had the potential to be higher resulting from a number of significant health protection incidents had increased (such as monkeypox, the exceedance of STEC and group A streptococcal infections), but those threats have now stabilised.</p> <p>There are existing controls relating to: workforce planning and development; mitigation of impacts of unexpected health threats through the establishment of effective systems and processes; and strengthening governance arrangements to ensure excellent service delivery in HPSS through implementation of the long-term strategy.</p> <p>Each of the three divisions in HPSS directorate are likely to score differently if reviewed independently and this will be reflected in divisional and directorate risk registers.</p> <p>This is a known dynamic risk and as such will be actively monitored and managed in HPSS at both division and directorate levels. As we look to the</p>						

2023 / 24 planning cycle this risk is likely to endure and the action plans during this months review reflect dates into next year.

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 four 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 203

Risk Description						
DESW is unable to provide an accurate and quality-assured programme to the diabetic population of Wales, and to transform the service to provide a quality-assured programme for the increasing diabetic population.						
Risk Appetite				Proposal for de-escalation or removal*		
Cautious				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

Overview of changes to controls/actions (text marked in red in full risk which can be found in Appendix 2.	
Controls	No changes.
Actions	Progress has been made for some elements of the action but delays have been incurred due to time needed to resolve issue with an IT upgrade.
Opportunities	Opportunities of the directorate underspend were exploited and plans are being refocused as part of the new financial and performance year.

6.2. Risk 207

Risk Description						
There is a risk that Public Health Wales will fail to meet the requirements of The Health and Social Care (Quality and Engagement) (Wales) Act (2020)						
Risk Appetite				Proposal for de-escalation or removal*		
Willing				Not applicable		
Risk Scoring	Score at last BET			Present Score		
Inherent	5	4	20	5	4	20
Current	5	4	20	4	4	16
Target	3	4	12	3	4	12
Overview of changes to controls/actions (text marked in red in full risk, which can be found in Appendix 3.						
Controls	An additional control has been implemented by the Duty of Candour Implementation Group being set up					
Actions	Progress for a number of actions has been achieved including PHW's response to the Welsh Government draft consultation document on the duty of candour. An organisational project plan to implement Duty of Candour is in place and on track. A Duty of Candour implementation group is in place and meet fortnightly.					
Opportunities	Contribution to Welsh Risk Pool Network and Subgroups and influencing the materials produced.					

6.3. Risk 208

Risk Description						
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.						
Risk Appetite				Proposal for de-escalation or removal*		
Cautious				Not applicable		
Risk Scoring	Score at last BET			Present Score		

Inherent	4	4	16	4	4	16
Current	4	4	16	4	4	16
Target	2	2	4	2	2	4
Overview of changes to controls/actions (text marked in red in full risk which can be found in Appendix 3.)						
Controls	No changes.					
Actions	Progress has been provided which indicate that activities are scheduled. In February - BET received paper and supported recommendations. The division is continuing with blended service delivery and recruitment strategy.					
Opportunities	None identified					

6.4. Risk 303

Risk Description						
There is a risk that the LINC process will not allow us to develop a product that meets our needs and is an improvement on the system currently in place. There is also a chance that the LINC programme will not be able to deliver and a Plan B will need to be put in place.						
This is a risk for both screening and microbiology.						
Risk Appetite				Proposal for de-escalation or removal*		
Cautious				Not applicable		
Risk Scoring	Score at last BET			Present Score		
Inherent	3	4	12	3	4	12
Current	5	4	20	5	4	20
Target	3	2	6	3	2	6
Overview of changes to controls/actions (text marked in red in full risk which can be found in Appendix 3.)						
Controls	HPSS Directorate meeting identifies and escalates issues to LINC Programme Board. DHCW have procured, developed and implemented a LIMS.					
Actions	Communication with LINC colleagues and at screening LDP. Issues and risks documented and escalated within LINC and to DLT. Complete tasks assigned to us and engage with the process.					
Opportunities	None identified					

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 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.