		Name of Meeting
		Board
		Date of Meeting
		28 May 2020
		Agenda item:
		4.4.1.280520

Strategic Risk Register
(previously called the Board Assurance Framework)

Executive lead:	Rhiannon Beaumont-Wood, Executive Director Quality, Nursing and Allied Health Professionals
Author:	Helen Bushell, Board Secretary and Head of Board Business Unit

Approval/Scrutiny route:	Strategic Officers Group

Purpose
The purpose of this report is to provide the Board with an update to the COVID-19 strategic risks contained in the Strategic Risk Register (previously called the BAF) and the actions being taken to manage the risk.

Recommendation:				
APPROVE ☒	CONSIDER ☒	RECOMMEND ☐	ADOPT ☐	ASSURANCE ☐

The Board is asked to:

- **Consider** and **approve** the strategic risk description and scores relating to COVID-19;
- **Consider** the sources of assurance and action plan **noting** both are work in progress and will be further developed.

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 of the Strategic Priorities

Summary impact analysis	
Equality and Health Impact Assessment	No decision is required
Risk and Assurance	This is the Board Assurance Framework
Health and Care Standard	This report supports and/or takes into account the Health and Care Standards for NHS Wales Quality Themes Governance, Leadership and Accountability
Financial implications	No financial implications
People implications	No people implications

1.   Purpose / situation

The Board is responsible for setting the strategic risk appetite and ensuring an appropriate risk management strategy is in place. The Strategic Risk Register plays a key role in providing assurance to the Board and supporting the oversight of strategic risks. The Board also seeks assurance about the management of corporate level risk via the presentation of the corporate risk register (CRR).

2.   Background

The Strategic Risk Register (SRR) describes how Public Health Wales is provided with assurances on the delivery of its core purpose of "working to achieve a healthier future for Wales" supported by its seven strategic priorities outlined within the Integrated Medium Plan 2018/19 – 2020/21, and through robust risk management processes. The organisation's seven strategic priorities are:

Number	Strategic Priority
1	Influencing the wider determinants of health
2	Improving mental wellbeing and building resilience
3	Promoting healthy behaviours

4	Securing a healthy future for the next generation through a focus on early years
5	Protecting the public from infection and environmental threats to health
6	Supporting the development of a sustainable health and care system focused on prevention and early intervention
7	Building and mobilising knowledge and skills to improve health and wellbeing across Wales

3.   Description/Assessment

At the April 2002 Board meeting, updates were provided for strategic risks 1-8. The Board noted the updates provided, and subsequently both the Audit and Corporate Governance Committee and the Quality, Safety and Improvement Committee have considered the strategic risks falling under the remit of each committee.

A full update of all 9 risks contained within the Strategic Risk Register will be provided to the Board in June 2020.

Strategic risk in relation to COVID-19

A strategic risk has been developed in relation to COVID-19 and is described as follows:

There is a risk that Public Health Wales will fail to effectively discharge its statutory responsibilities in protecting the public during the COVID-19 pandemic and also ensure the organisation has an effective plan for recovery as the pandemic recedes.

The strategic risk has been considered by the Gold group and is presented as appendix one for consideration by the Board. The Board will receive monthly updates against progress.

Board Committees

Both the Audit and Corporate Governance and the Quality, Safety and Improvement Committees will have a role in seeking assurance about the COVID-19 strategic risk and will actively consider the risk in more detail at their next Committee meetings.

The Audit and Corporate Governance Committee will be undertaking a specific session into risk management, including COVID-19 at its next meeting in June.

4.   Recommendation

The Board is asked to:

- **Consider** and **approve** the strategic risk relating to COVID-19;
- **Consider** the sources of assurance and action plan **noting** both are work in progress and will be further developed.

		Applicable Strategic Priorities	
COVID-19 Risk 1 ☒ ☒	There is a risk that Public Health Wales will fail to effectively discharge its statutory responsibilities in protecting the public during the COVID-19 pandemic and also ensure the organisation has an effective plan for recovery as the pandemic recedes. This will be caused by: • The lack of clear roles and responsibilities for Public Health Wales and other partners involved in the delivery of Welsh Government's *Test, Trace, Protect Strategy* • Insufficient resources (e.g. financial and human) to deliver competing priorities within our statutory duties • Failure of supply chains to deliver the required capacity • Other partners being unable to respond effectively with implications for the organisation • Our professional advice not being accepted or implemented resulting in reputational harm or poor decision-making • An inability to effectively communicate our role to the public and key stakeholders • The quality and accessibility of any data produced or utilised by the organisation not providing adequate confidence to support decision making by the organisation and/or other partners • Pressures on the health and wellbeing of our staff • Difficulties in implementing robust and safe recovery plans for statutory and core services, for example screening and immunisation.	Influencing the wider determinants of health	☒
		Improving mental well-being and building resilience	☒
		Promoting healthy behaviours	☒
		Securing a healthy future for the next generation through a focus on early years.	☒
		Protecting the public from infection and environmental threats to health	☒
		Supporting the development of a sustainable health and care system focused on prevention and early intervention	☒
		Building and mobilising knowledge and skills to improve health and well-being across Wales	☒

Sponsor and Assurance Group	
Executive Sponsor	Tracey Cooper, Chief Executive
Assuring Group	Board through the Business Executive Team

Inherent Risk								**Risk Score**						**Risk Decision**

								Current Risk			**Target risk**			
Date	26/05/2020	**Likelihood:**	4	**Impact:**	5	**Score:**	20	**Likelihood**	**Impact**	20	**Likelihood**	**Impact**	10	**Treat**
								4	5		2	5		

Strategic Risk Register – COVID-19 risk 1 — Controls

No.	Control	Exec Owner	Sources of Assurance	Team / Division / Project	Directorate Team / Exec Lead	Business Exec Team / Sub Groups	Committee / Sub group	Board
C1.1	Quality and Safety Committee Audit Committee Gold Group Membership of WG strategic oversight group for *Test, Trace, Protect Strategy*	QS	Terms of Reference			X		
			Minutes of meetings and papers			X		
			Decision and Advice to WG log commenced			X		
			International evidence reviews undertaken weekly	X		X		
			Evaluations commissioned of key workstreams		x			
			Consultation on key documents/operational models	x				
C1.2	Operational cells (incl workforce, infrastructure, IT/Estates and Facilities)	QS/HG/RBW	Terms of reference			X		
			Minutes of meetings			X		
			Reports			X		
			Response Plan Programme approach and supporting documentation			X		
C1.3	Emergency response plan	TC/QS	Emergency Response Plan (v2)			X	X	X
C1.4	Incident response governance arrangements	QS/HB	Gold terms of reference and twice weekly meetings Silver terms of reference, minutes and papers	X	X	X		
			Daily sit rep reports Daily surveillance data		X			
			IMT terms of reference minutes and reports			X		
			PHE IMT minutes, papers and guidance		X			
			Reports to Board / Committee			X		X
			Minutes, reports and Sitreps from respective cells / components of the governance structure			X		
C1.5	Business continuity plans • PHW business continuity framework • Critical service continuity plans (screening, health protection, informatics)	HG / QS	Business Continuity Framework			X	X	X
			PHW organisational recovery plan (outline currently)			X		X
			Critical service level continuity plans			X		
			Workforce resilience digital tool			X		
			People Strategy			X		
C1.6	Communication plans	HG	Analysis of communications performance external and internal		X			
			Quality assurance arrangements in place to provide accessible information for different communication needs		X			
			Programme work stream updates / Sitreps			X		
			Daily surveillance data published			X		X
			Minimum Weekly staff communications		X			
C1.7	Health and Safety and Infection prevention assessments and control plan for workforce (move plans to right)	RBW	Standard Operating Procedures			X	X	
			Paper on social distancing measures and process for PPE equipment (received by Gold)		X			
			Assessment undertaken of IPC needs re; COVID advice given from the HARP team		X			
			Assessment of PPE needs across the organisation has been undertaken and relevant advice obtained.		X			
			PPE stock control process implemented		X			
C1.8	Implementation of guidance and policies to protect workforce (e.g. 2 metre working guidance, remote working policies, HR policy variations) move to above	HG/RBW	Health and Safety Risk Assessments			X	X	
			Staff Risk assessments implemented			X	X	
			Workforce COVID-19 policies updated			X	X	

			Assurance reports			X	X	
C1.9	Monitoring of conditions to identify and reactivate statutory services not currency active	QS	Screening paper outlining current status and conditions for reactivation			X	X	X
			UK and WG screening committee advice		X	X		
			UK joint committee on vaccination and immunisation		X	X		
			WG immunisation committee advice		X			
			WG health circulars		X	X		
			SOPs – screening and Health Protection		X	X	X	
			Accreditation and regular reports		X	X		
			QA internal and external audit		X	X	X	
			Public Health Wales Health Intelligence monitoring		X			
C1.10	Supply chain and procurement reports (sampling and testing)	HG	Weekly monitor and tracking status report			X		X
C.1.11	Health and wellbeing populations reports	MB	Weekly How are we Doing reports		X	X		X
			Weekly international horizon scanning report		X	X		X

Control Number	Gaps in controls	Gaps in assurance		Action Plan	Exec Lead	Due Date	Progress
9.1			1	Review the terms of reference to ensure relevance to the changing environment. Reinstate key governance arrangements proportionate to the demands of the response. E.g. BET reinstated from June 20 Regular review of Committee arrangements to consider reinstating Weekly Board briefings	QS/HB	Every 2 month – next review early July	Review of governance arrangements proportionate to the response, has led to BET being reinstated from June 2020
9.3		*Oversight of silver group and supporting assurance reports*	2	Review the terms of reference and operating arrangements for the Silver Group	QS/HB	4 June	Tactical Incident Management arrangements reviewed and a more sustainable and consistent arrangement implemented
9.3		*Oversight of Incident Management Team and supporting assurance reports*	3	Review the terms of reference and operating arrangements for the Incident Management Team	QS/HB	4 June	Reporting arrangements between Strategic Director role and Incident Director reviewed and weekly meetings recommenced
9.4	Comprehensive organisational recovery plan		4	Develop a comprehensive, fit for purpose organisational recovery plan	HG/TC	w/c 1 June	Gold considering proposals on 28 May
9.6			5	Undertake serial evaluation of the effectiveness of our communications	HG		
			6	Source additional capacity to support the Communications Team including additional media management and strategic communications expertise	HG		
9.7		*Sitreps/reports from all cells to relevant reporting group*	7	Review evolving cells/groups and ensure governance structure document remains current	QS/TIM/ID	Ongoing – update fortnightly	Weekly programme work stream sitreps submitted, implementation currently monitored by Gold
	Clarity of role and responsibilities		8	Ensure all cells / groups have relevant terms of reference / relevant documentation	TIM/ID/SA/HB	Ongoing – update fortnightly	
NEW			9	Clarity of roles documented in Test Trace Protect. Clear implantation against the defined PHW role			
NEW			10	Ensure that key operational aspects of the work are evaluated through the pandemic and learning applied	SB		
NEW			11	Ensure that we use best available evidence to inform public health interventions through surveillance activity and international learning	QS		
NEW			11	Incorporate key measures to monitor the effectiveness of our work across	BET		

26 May 2020

Control Number	Gaps in controls	Gaps in assurance		Action Plan	Exec Lead	Due Date	Progress
				the workstreams in the Implementation Plan for Test Trace Protect			

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