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Iechyd Cyhoeddus
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Public Health
Wales

Name of Meeting

Board

Date of Meeting

30 April 2020

Agenda item:

4.6.300420

Public Health Wales Corporate Risk Register

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Approval/Scrutiny route: Gold meeting 23 April 2020

Purpose

Receive the Corporate Risk Register for the purpose of scrutiny and challenge

Recommendation:

APPROVE

CONSIDER

RECOMMEND

ADOPT

ASSURANCE

The Board is asked to:

- **Receive assurance** that the corporate risks of the organisation are 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

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 Corporate Risk Register.
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	No financial implications.
People implications	No people implications.

1. Purpose / situation

This paper introduces the Corporate Risk Register and highlights any areas of concern or that may require further discussion. This paper must be read in conjunction with the full Corporate Risk Register. The Corporate Risk Register sees the inclusion of 10 new risks, all of which are associated with the COVID-19 pandemic.

2. Background

In order for the Board to discharge its responsibilities, it needs to receive assurances that the organisation is effectively managing its risks to ensure the delivery of its mission and objectives. However during the current Covid-19 emergency we are working in very challenging times and the need for scrutiny of our risks is more important than ever. To this end there have been some changes to the way in which operational risks are scrutinised by the Board.

The Board normally receives the Corporate Risk Register at 6 monthly intervals in accordance with Risk Management Procedure and Committees all receive it at their quarterly meetings to scrutinise the risks for their areas of interest.

During the current Covid-19 emergency however, the Board is meeting monthly and will receive the Corporate Risk Register on every meeting for the purposes of scrutiny and challenge.

Below the level of our Corporate risks, our most significant service user facing operational risks sit within the Public Health Services Directorate, where there are currently 28 Directorate level and 43 Divisional level risks. This Directorate was subject to a major review in 2018 which resulted in extensive updates to its risk management processes, and subsequently received a favourable report from internal audit.

3. Horizon scanning

Public Health Protection Response Plan

In recent days, a threat assessment has been carried out on the objectives and deliverables of the plan. This has resulted in the identification of 1 overarching strategic risk and 10 significant operational risks. Depending on the decision by Welsh Government, any risks owned by Public Health Wales will require action plans to mitigate them and increase the chances of success in delivering the plan.

Personal Protective Equipment (PPE)

Although this has attracted considerable media coverage in recent times, at present there are no significant risks to Public Health Wales in terms of availability and supply of PPE. A paper was sent to Gold on for assurance on the matter. However, if the situation changes or guidance is amended in a way that increases our requirements then this position may change.

Testing

Testing is a key action of the COVID-19 response, we are developing new approaches for access to sample taking, some of which will be digitally supported further risks will be identified in the delivery of a sustainable process.

A similar picture is emerging in relation to the wider contract tracing work. Risks for both of these areas have been identified above in the Public Health Protection Response Plan, but this will be a rapidly developing environment and further horizon scanning will ensure that future risks are picked up and managed accordingly.

4. Summary

Total number of Corporate Risks relating to COVID-19		10	
Total number of Corporate Risks not related to COVID-19		8	
No. of Risks by severity (residual score)			
		Extreme	8
		High	9
		Moderate	
		Low	1
No. of risks by Decision			
		Terminate	0
		Transfer	0
		Treat	17
		Tolerate	1
No. of risks by Exec Lead			
		COVID-19 Related	Not COVID-19 Related
	Chief Executive	0	0
	Executive Director Finance	2	1
	Executive Director PHS	2	4
	Executive Director QNAHPs	4	0
	Director of POD	0	3
	Director of H&W	0	0
	Director of Knowledge	0	0

	Director of WHO Collaborating Centre	0	0
	Director of Improvement Cymru	0	0
	Board Secretary	1	0
	Not assigned	1	0
No. of risks with overdue actions (see 'Key points')			4

5. Key points

Risk 493 – the compliance rate for appraisals carried out is below both the internal and Welsh Government target.

Risk 906 – the launch of the strategy has been deferred during the COVID-19 priority response.

Risk 916 – the development of a refreshed Programme Plan focussing on assessing the quality of emergency planning/business continuity arrangements been put in place has not yet been completed.

Risk 1003 – there are a number of actions that have been put on pause due to the COVID-19 priority response.

6. Risk movements

Risks added since the previous month

There are 9 risks that have been added to the Corporate Risk Register which all relate the COVID-19.

New Risk 1 - There is a risk that PHW will not be able to deliver a full screening service during the current response to the current COVID19 response.

New Risk 2 - There is a risk of unrecognised non-Covid infections threat to the population.

New Risk 3 - There is a risk that Public Health Wales will be unable to deliver a critical service to the public due to a supply chain failure.

New Risk 4 - There will be insufficient staff to respond to the current COVID 19 outbreak.

New Risk 5 - An increase in the mobilisation of staff to respond to the outbreak will have a negative impact on staff wellbeing/welfare.

New Risk 6 - There will be sudden and widespread sickness amongst the staff in any PHW location.

New Risk 7 - There is a risk that we are unable to provide good quality and safe services in the context of COVID-19 response.

New Risk 8 - There may be a significant legislative and other reporting non-compliance (e.g. Health and Safety, PTR, Data Protection, annual reporting).

New Risk 9 - Staff required to work from home (From HG - on business critical functions) will be unable to do so.

New Risk 9 - Public Health Wales will have a sub-optimal return to business as usual.

Risks to be considered for escalation

(Separate escalation form required)

- None

Risks to be considered for de-escalation or removal

- None

Risks increasing in severity score since the previous month

Excluding the COVID-19 risks that have been added to the Corporate Risk Register since the previous month, no risks scores have increased in severity.

Risks decreasing in severity score since the previous month

Excluding the COVID-19 risks that have been added to the Corporate Risk Register since the previous month, no risks scores have decreased in severity.

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

No decision required.

8. Recommendation





The Board is asked to:

- **Receive assurance** that the corporate risks of the organisation are managed appropriately.

Appendix A

Key to risk register colour coding

Risk scores (Inherent, residual and target)

	Extreme Risk
	High Risk
	Moderate Risk
	Low Risk

Risk Identifier					Risk Description			Risk Scoring				Risk Action Plan									
Data ID	Domain	Date	Lead Executive	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	Target Risk			Progress
								Likelihood	Impact	Risk level	Likelihood	Impact	Risk level	Trend				Likelihood	Impact	Risk level	
	Business Objectives	17/03/2020	Executive Director for Public Health Services	Corporate	There is a risk that PHW will not be able to deliver a full screening service during the current response to the current COVID19 response	This will be caused by a reprioritisation of clinical service priorities including the screening programmes (with the exception of Newborn Bloodspot, Newborn Hearing and Antenatal Screening)	The impact will be that there will be a reduction in the early detection of avoidable cancers and early detection of serious retinopathy	5	5	25	5	4	20	Treat	Approval to be sought and agreed with the Board and Welsh Government	Completed				Step down planning and implementation	
															Screening Division to plan service reduction	Completed				Due date for this was 31st March 2020 - Completed on schedule and staff have been redeployed to other Covid responses. For programmes that are continuing, reports will go to Gold Meeting on a regular basis.	
	Patients & Clients	08/04/2020	Executive Director for Public Health Services	Corporate	There is a risk of unrecognised non-Covid infections threat to the population	This is caused by the organisational attention focussed on Covid response	Avoidable infections	3	5	15	3	5	15	Treat	Separate Health Protection Leadership arrangements in place that is separate from Covid	30 Jun 2020	2	5	10	The arrangements have been put in place and the first report on non Covid health protection activities is due to go to the Gold meeting week commencing the 13/04/2020	
		21/04/2020		Corporate	There is a risk that Public Health Wales will be unable to deliver a critical service to the public	This will be caused by a failure in one or more supply chains for critical consumables	The impact will be reputational damage to the organisation and possible avoidable harm to service users.	4	5	20	3	5	15	Treat	SBAR paper in development for SRO with options and recommendations for risk mitigation. Further actions will be determined following consideration.	30 Apr 2020	2	5	10		
	Service Interruption	17/03/2020	Executive Director Quality, Nursing and Allied Health Professionals	Corporate	There will be insufficient staff to respond to the current COVID 19 outbreak.	Staff being unable to attend for work due to requirement to self isolate, being in a high risk group or having caring responsibilities.	PHW will not be able to carry out its legal obligations as a Category one responder	5	4	20	4	4	16	Treat	Rota cell established Covid19 Management Information Dashboard Mutual aid plan Covid19 operating framework Staff bank system Mobilisation plan	All rotas to be reconciled and data cleansed Covid19 Management Information system to be established and all available information to be inputted	Completed Completed	3	4	12	Action completed. 16/04/2020 - Executive dashboard feature now complete, levels of resilience for Covid critical work information available. Dynamic information system so therefore will require consistent updates including ESR sickness data.
															Implement plan and go live	Completed				16/04/2020 - Completed	
															Operating Framework identified	Completed				16/04/2020 - Completed	
															Establish staff action plan	Completed				16/04/2020 - Completed	
															Paper to Gold outlining the mobilisation plan	Completed				02/04/2020 - Completed	
	Human Resources	17/03/2020	Executive Director Quality, Nursing and Allied Health Professionals	Corporate	An increase in the mobilisation of staff to respond to the outbreak will have a negative impact on staff wellbeing / welfare	The uncertainty around working arrangements and the working environment and a lack of clear redeployment plans for staff	An increase in the non-availability of staff, and a negative impact on staff wellbeing	4	4	16	3	3	9	Treat	Implement a keeping in touch plan (supporting people plus) Daily review of any updates for staff	Completed Complete - Ongoing	3	3	9	08/04/2020 - Completed	
															Develop a risk assessment tool, for managers to assess staff	Completed				27/03/2020 - Complete, available as a suite of supporting tools for managers	
															Create a Support People Plus function	Complete - Ongoing				08/04/2020 - Completed	
															All information for staff and managers to be available remotely/VPN	Completed					
															Implement a staff pulse survey to capture regular staff feedback on communications; working practices; working environment; leadership	30/04/2020				16/04/2020 - question set developed, links with comms and corporate analytic team to ensure right solution and reporting capability.	
	Human Resources	17/03/2020	Executive Director Quality, Nursing and Allied Health Professionals	Corporate	There will be sudden and widespread sickness amongst the staff in any PHW location	Frequently changing guidance which is out of PHW control, and the lack of certainty in identifying people who are infectious whilst remaining asymptomatic	An increase in the non-availability of key staff	3	4	12	3	3	9	Treat	Ability to replicate operations at multiple sites IP&C plan Regular communications with staff Rota cell established Covid19 Management Information Dashboard Mutual aid plan Covid19 operating framework Staff bank system Mobilisation plan	Significant staff wellbeing resources available and publicised, inhouse coaching and counselling support will also be established in a phased approach.	Phased between 24 April and 04 May	3	3	9	Initial meeting taken place and commitment in place, working through code of ethics and process
															Social Distancing regulations to be implemented	Completed				07/04/2020 - Staff supported to work remotely Locations where staff are in PHW sites, measures implemented to comply with the legislation	
															IPC Plan to be completed	Completed					
		16/04/2020	Executive Director Quality, Nursing and Allied Health Professionals	Corporate	There is a risk that we are unable to provide good quality and safe services in the context of Covid 19 response	This will be caused by unpredictable and fast changing service and clinical needs	The impact will be an inability to mitigate and avoid harm to service users or staff	5	5	25	4	5	20	Treat	Incident Management Policy and Procedures in place SOPs in place where required Information Governance requirements maintained Regular reports to Gold meeting Quality and Safety Committee to continue to provide oversight for quality and clinical governance	Incident Management arrangements in place	Ongoing				PTR Report in development in readiness for Quality and Safety Committee
															Provide appropriate reporting to Quality and Safety Committee	May					
	Statutory Duty	17/03/2020	Board Secretary	Corporate	There may be a significant legislative and other reporting non-compliance (e.g. Health and Safety, PTR, Data Protection, annual reporting)	A reduction in our capacity to discharge all of our statutory functions	Potential for harm to individuals, financial and reputational damage.	5	5	25	3	5	10	Treat	Register/schedule of requirements Assurance report to relevant governing forums	Schedule developed to reflect compliance requirements, timescales and lead officers	30 Apr 2020	2	5	10	
															Schedule monitored monthly by Board Secretary and executive team updated	End each month					
															Update and assurance report provided to executive, Board & Board Committees for relevant areas of remit	To meet agreed meeting schedule					
															Remain in frequent discussion with external partners who set reporting / legislative timetables						

	Business Objectives	17/03/2020	Deputy Chief Executive	Corporate	Staff required to work from home (From HG - on business critical functions) will be unable to do so	The inability of the existing infrastructure to cope with the demand (mobile networks / VPN etc)	Failure to meet existing objectives (From HG - Failure to deliver the system critical response to Covid19)	3	3	9	IT equipment prioritisation process IT equipment loan process Home Working Guidance VPN capacity increased (NWS) People Support Plus Desk	1	3	3	Tolerate	Continue to provide staff with necessary loan IT equipment Ongoing prioritisation of business critical functions	30 Apr 2020	1	3	3	IT equipment loan process ongoing. Staff are supported through people Support Plus and IT issues are managed through the IT Service Desk as per normal.
	Business Objectives	17/03/2020	Deputy Chief Executive	Corporate	Public Health Wales will have a sub-optimal return to business as usual	The lack of an effective recovery plan	Poor and ineffective service delivery and failure to meet business objectives	5	5	25	PHW Recovery plan has been commissioned by Gold. New strategic aim for PHW recovery agreed by Gold on 16 April along with dedicated resources, agreed scope and planning timetable.	3	4	12	Treat	PHW Recovery plan to be developed and agreed	30 Apr 2020	2	4	8	Planning underway
493	Safety / Legislative	17/07/2015	Director of People and Organisational Development	Workforce and Organisational Development Directorate Wide	PHW will not develop their staff in line with the strategy and aspirations of the organisation	Insufficient staff receiving proper performance appraisals	PHW will have a sub-optimal workforce, unable to deliver on its strategic priorities	4	4	16	Appraisal processes for staff, either 'My Contribution' or Consultant Job Plans ESR Records	3	3	9	Treat	The Exec Team will have an objective this year to increase number of appraisals taking place and to ensure these are recorded on ESR. Target of 90% for March 2020	01 Mar 2020	1	3	3	16.4.20 Compliance below internal target of 90% and WG target of 85%. Year end data will be circulated as per updated IPR requirements by the end of April 2020 and actions coming out of the internal audit into appraisals will be agreed and communicated at the earliest opportunity
															P&OD to re-issue guidance and reminder of value of appraisal and also how to input on to ESR.	Completed				All guidance live and re-sent with targeted breakdown (Dec 19)	
906	Business Objectives	20/09/2018	Director of People and Organisational Development	Workforce and Organisational Development Directorate Wide	PHW will not manage the change associated with the new strategy effectively	Lack of capacity or skills within the organisation	PHW will have a sub-optimal workforce, unable to deliver on its strategic priorities	2	5	10	Executive and SLT teams sponsorship of new ways of working Long term workforce strategy Output of Talent and Succession processes	2	5	10	Treat	See BAF Risk 1 for actions Development of change plan to be presented to Exec Team by November 2019 with mechanism in place to call off support resource as required	31 Jan 2020	1	5	5	Draft People Strategy approved with amendments 23.1.20 16.4.20: launch of strategy deferred during COVID-19 priority response Change Programmes update delivered to Exec in December 2019 - action closed
696	Safety / Continuity / Staffing	16/01/2017	Executive Director for Public Health Services	Public Health Services (Microbiology)	Public Health Services will fail to recruit and retain sufficient medical microbiologists to be able to run an optimal and safe Microbiology service across the network, particularly in North Wales.	Extremely difficult recruiting environment, compounded by changes in the specialty training and the impact this is already having on the market for microbiologists.	In the absence of sustainable clinical oversight and input, service delivery would have to be severely restricted. This would hamper infection prevention and control activities to the host Health Board. Without medical microbiologists the microbiology service across the network, particularly in North Wales, will not be able to meet service needs to the population and attempts to maintain a service with inadequate medical staffing could impact on patient safety and quality for users of health services in the health board.	4	4	16	High priority area N Wales: Agreed actions to maintain minimum level (as per agreed stabilisation plan) of consultant medical microbiologists using agency and locum staffing. Monitoring competency of locum and agency medical microbiologists to ensure appropriate service provision. In discussion with current locum/agency to determine potential packages to make posts substantive Working with recruitment and Workforce and OD to edit adverts and other recruitment information to improve attractiveness Trust agreement to utilise agency locum staff Monthly submission to Welsh Government to monitor spend on Medical Locums Alternative provision of medical microbiology services from elsewhere within the Public Health Wales network. Action plan to address the local and agency spend issues was submitted by deadline and subsequently a progress report went to Welsh Government by deadline set.	4	4	16	Treat	Delivery of the Microbiology Stabilisation Plan	30/04/2020	2	2	4	Additional medical workforce pressures across Wales arising from death in service, staff sabbatical and staff turnover have further impacted on the risk likelihood/scoring. Mitigation over the winter period is now in effect. Meanwhile, we continue active recruitment to all Microbiology/health Protection roles in accordance with the investment plan for the National Health Protection Service. An update on the Microbiology Transformation Programme, which incorporates the Stabilisation Plan, was presented to the Business Executive Team on 13 January 2020. This will be discussed in detail at the Transformation Programme Board on 30 January 2020, and an update provided to QSIC in February. The Transformation Programme includes a workforce work stream and this will report at the meeting at the end of January. (Note: this status has also been included in an update to the Board Assurance Framework - Risk 3 (Action 3.1). Update 27/2/20 - Due to the continued response to the Corona Virus outbreak, the Transformation Board in January was cancelled and will now take place in April. All actions therefore will be updated following that Board meeting.
															Profiling of workforce. i.e. develop novel (Public Health Microbiology) Consultant Clinical Scientist	30/04/2020				High level model for roles and pathway developed. Draft JD/PS are in production in collaboration with DoTHs as part of Workforce Development work stream. A final workforce report will be presented to the Transformation Board in April 2020 (for approval).	
															Further develop network clinical management (e.g. single on-call for Microbiology)					Work continues to develop the concept and proposal with medical colleagues and is one of the key four clinical work streams. Work on this area is progressing and reported to the Transformation Board at its meeting in April 2020.	

