

CORPORATE RISK REGISTER - 19.09.2024				RISK ARTICULATION				INHERENT SCORING			RESIDUAL (CURRENT) SCORING			DECISION	PROGRESS	TARGET SCORING		
Datix ID	Risk Theme	Identification Date	Executive Sponsor	Directorate	Risk Description	Cause	Effect	Likelihood	Consequence	Rating	Likelihood	Consequence	Rating			Likelihood	Consequence	Rating
1533	Adverse Publicity	14/06/2023	Director of Policy & International Health	Policy and International Health	There is a risk of reputational damage and failure to effectively implement the HIA statutory regulations that form part of the Public Health (Wales) Act which requires the Public Health Wales to give assistance to other public bodies carrying out health impact assessments (see Part 6 here: https://www.legislation.gov.uk/ana/w/2017/2/part/6/enacted)	This will be caused by a lack of capacity in the WHIASU team and limited knowledge, skills and capacity across PHW, outside of WHIASU, to meet the anticipated high volume of requests for assistance, guidance and training from Welsh Government, internally in PHW and externally from public bodies. The WHIASU team consists of 3.3 WTE and a Consultant providing strategic leadership.	The effect will be that PHW will not be able to fulfil its statutory duties either as a public body carrying out HIAs nor as a body which is required to provide assistance to other public bodies, as well as ineffective implementation of the regulations leading to missed opportunities to reduce inequalities and improve and protect public health in Wales.	4 Highly Likely	4 Major	16	4 Highly Likely	4 Major	16	Treat	Successfully appointed to all posts, start dates commencing between end of July and end of Sep.	2 Unlikely	2 Minor	4
1593	Statutory Duty	04/10/2021	Executive Director of Quality, Nursing and AHPs	Quality, Nursing and Allied Health Professionals	There is a risk that we are unable to demonstrate that the quality standards and the Duty of Quality are embedded in all aspects of PHW business.	This will be caused by organisational capacity and capability to operationalise and embed due to competing priorities.	The impact will be noncompliance with the legislative requirements, and a lack of progress in strengthening quality improvement and governance in the delivery of safe services, programmes and functions.	4 Highly Likely	3 Moderate	12	2 Unlikely	3 Moderate	6	Tolerate	Annual Quality Report published QUOG formed and Inaugural meeting scheduled for 24.9.24 Work continues by the quality oversight steering group to determine reporting of subgroups and QOG to QSIC. Refreshed performance reporting in development and testing through the Planning and Performance Team, aligned to DoQ. Initial metrics to be reported for the quality standards (KLOE) developed and a process for self-assessment and peer review with reporting via Governance structures. Refreshed performance reporting in development and testing through the Planning and Performance Team, aligned to DoQ. QMS approach socialized via Leadership Forum and Spotlight on in July 2024. Changes to I&I staff resource means its delayed The plan is to pilot a Governance Hub from October 2024 where the duty of quality will be applied to all workstreams of the organisation. Initial discussions have been presented to the Leadership Team DOQ training assigned to all PHW staff to complete and monitored by line managers Draft QIA process undergoing further revision.	1 Highly Unlikely	2 Minor	2
1596	Human Resources	26/10/2023	Director of People and Organisational Development	People and Organisational Development	There is a risk that the organisation may not have the capacity or resources necessary to effectively deliver the long-term strategic plan	This risk arises from a challenging political and financial landscape, which includes staff time being redirected to contribute to the (Covid) public enquiry and an unstable industrial relations climate	Inability to deliver the long term strategy due to absence of strategic workforce planning	4 Highly Likely	4 Major	16	3 Likely	4 Major	12	Treat	We have an overview of the critical roles required to meet our strategic objectives. Plans incorporate solutions or interventions to address gaps currently underway within Job family work currently being undertaken locally in DKR . Organisational wide work planned as part of IMTP process. Dedicated Strategic Workplace Planning lead commenced and working with wider POD team and stakeholders to plan work required to achieve workforce planning activity. Process improvement work currently in progress in relation to job decisions and job evaluation activity. Work ongoing also being planned in relation to working towards our ideal culture and People Promise as part of IMTP process. Industrial action work being progressed and supported through emergency planning and business continuity processes	2 Unlikely	4 Major	8
1614	Statutory Duty	17/01/2024	Board Secretary	Board Business Unit	There is a risk that PHW Board and Committees cannot take sufficient assurance that the NHS Wales Executive is carrying out its functions in accordance within the governance framework of PHW. The current hosting agreement provides for an annual accountability report and for RO / AO meetings which may not provide sufficient assurance across the year	The cause is that PHW's Assurance Framework is currently in draft form, not yet approved and implemented. The new assurance framework from April will plug the risk.	Sanctions imposed in accordance with Legislative/Regulatory Compliance, Reputational damage, Financial implications and data security vulnerabilities	3 Likely	3 Moderate	9	2 Unlikely	3 Moderate	6	Treat	The assurance schedule is in place for this year and reports are being submitted by NHSE to the Committees in line with this schedule. The schedule will formally be agreed in March 2025 when the hosting agreement is revised, and this will be incorporated into the formal agreement. Until then, the schedule is in operation and providing the required assurance to the Committees.	2 Unlikely	3 Moderate	6
1648	Statutory Duty	24/06/2024	Director of Knowledge	Data, Knowledge and Research	There is a risk that Public Health Wales will lose access to Primary Care data.	This is due to Audit+ (the current tool) used to gather primary care data is being shut down in December 2024 and there will be no further updating of Audit+ from July 2024.	The loss of Audit+ without a replacement equivalent service would lead to PHW being unable to meet its statutory responsibilities.	5 Almost certain	4 Major	20	3 Likely	3 Moderate	9	Treat	Following meeting 12/08 - NDR unlikely to be able to meet needs before December. Investigating alternatives. Following meeting with DHCW on 4 September, it was agreed that the majority of GP time would need to be spent on replacement for Audit+. 36 suppliers are meeting on 6 September to offer full or partial solutions, and after the proposals there should be sufficient evidence to offer a delivery confidence assessment. DDDA informed of requirement and Audit + risk will be reviewed at every DDDA meeting to ensure all are aware.	2 Unlikely	2 Minor	4
1654	Quality	10/07/2024		People and Organisational Development	Risk of inadequate follow up DBS checks undertaken by PHW following the initial DBS check at the recruitment/onboarding stage.	Shortcomings in the process following initial recruitment, out of line with best practice and guidance.	Inappropriate appointments made to positions of trust, lack of due diligence.	4 Highly Likely	5 Critical	20	4 Highly Likely	5 Critical	20		New Compliance Officer role appointed to and post-holder in place from 2 September 2024. Investment secured for programme to resolve these risks and ongoing work to agree implementation. Presentation to BET in October and assurance onto POD Com.	2 Unlikely	4 Major	8

1655	Patients and Clients (Clinical) Risks	07/07/2024	Executive Director of Quality, Nursing and AHPs	Quality, Nursing and Allied Health Professionals	Risk of harm to the population, specifically in relation to vulnerable groups such as children and elderly people, due to inappropriate appointments made to positions of trust.	Unsubstantiated individuals in positions of trust, interacting with vulnerable groups of population.	Potential abuse of position and exploitation of vulnerable members of the population. This would be measured through reported incidents or complaints, however, does not take into consideration unknown harm.	4 Highly Likely	5 Critical	20	3 Likely	3 Moderate	9	Treat		2 Unlikely	3 Moderate	6
1656	Adverse Publicity	07/07/2024	TBC	TBC	Risk of significant damage to the reputation of the organisation should a member of staff be inappropriately appointed into a position of trust and an incident occur.	Significant or harmful event resulting in serious injury or death, committed by a member of staff without relevant DBS check in place or reviewed.	Detrimental and adverse impact on levels of public confidence and credibility. Potential impact on ability to administer advice and guidance for any future critical incident or event. Lack of credibility of the Board	4 Highly Likely	5 Critical	20	3 Likely	3 Moderate	9	Treat		3 Likely	2 Minor	6
1531	Strategic Risk	01/06/2023	Director of Knowledge	Data, Knowledge and Research	There is a risk that we will fail to exploit data to inform and direct public health action and interventions.	This will be caused by data being held in silos, difficulty accessing the data and inability to access to provide the impact on public health.	This will result in worse public health outcomes in Wales and increased information governance risk within Public Health Wales.	5 Almost certain	4 Major	20	5 Almost certain	4 Major	20	Treat	A Digital and Data routemap has been agreed and the priority projects are in the process of being implemented. There are new key milestones added to the Action Plan that are aligned to the Digital and Data Routemap. Working with P&OD to create families. Will form part of workforce planning. Reviewed and updated with key milestones identified Workforce planning will commence in October 2024 following training from Workforce Planning Lead in Sept 2024. Specialist roles will be included in this plan.	3 Likely	4 Major	12