



**AGENDA ITEM**

3.2.3

**CTM BOARD**

**ORGANISATIONAL RISK REGISTER**

<b>Date of meeting</b>	30/09/2020
<b>FOI Status</b>	PUBLIC
<b>If closed please indicate reason</b>	NOT APPLICABLE PUBLIC MEETING
<b>Prepared by</b>	Cally Hamblyn, Assistant Director of Governance & Risk
<b>Presented by</b>	Georgina Galletly, Director of Corporate Governance
<b>Approving Executive Sponsor</b>	Director of Corporate Governance
<b>Report purpose</b>	FOR APPROVAL

**Engagement (internal/external) undertaken to date (including receipt/consideration at Committee/group)**

<b>Committee/Group/Individuals</b>	<b>Date</b>	<b>Outcome</b>
Service, Function and Executive Review	June – August 2020	RISKS AMENDED
Management Board	23.9.2020	RISKS REVIEWED

**ACRONYMS**

ILG's	Integrated Locality Groups
IMTP	Integrated Medium Term Plan

**1. SITUATION/BACKGROUND**

- 1.1 The purpose of this report is for the Health Board to review and discuss the organisational risk register and consider whether the risks escalated to the Organisational Risk Register have been appropriately assessed.
- 1.2 Due to the significant review underway in relation to risk the Board has not received the full risk register since its meeting in May 2020,

therefore, this report captures the changes that have been made since May in relation to new, de-escalated and closed risks.

- 1.3 The report should be considered in the context that risks within the organisation are still undergoing a robust review and therefore the organisational risk register remains a work in progress.

## **2. SPECIFIC MATTERS FOR CONSIDERATION BY THIS MEETING (ASSESSMENT)**

- 2.1 Further progress has been made in August as follows:

- Robust risk review continues by ILG's and service groups and functions.
- The Risk Management Milestones have been further updated (Appendix 2).
- Risk training continues using virtual methods.
- Facilities and Information Communication and Technology risks graded 15 and above which were previously captured and reported on a separate risk register to meetings are being reviewed in accordance with the risk management strategy and will be included in future iterations of the Organisational risk Register as appropriate.
- Information Governance risks were reviewed and closed at the meeting of the Information Governance Group on the 2<sup>nd</sup> September 2020 with no risks for escalation.

- 2.2 As reported at the Board Development Session on the 3<sup>rd</sup> September, robust risk review continues in relation to the risks that fall under the remit of ILG's and the Executive Director of Operations. This report is likely to change significantly over the next month with the inclusion of more risks as a result of this activity and the peer review of the ILG risks.

- 2.3 Work is also underway with Datix colleagues to ensure that the Datix system reflects the new operating model and the structures and escalation routes are mapped appropriately. As soon as this has been completed the following action will be taken:

- All Executive Directors will be added to the Datix system and will be notified of all risks in relation to their portfolio and/or any risks that the ILG does not consider can be managed locally and requires escalation.

This process will better inform the service risks that are entered onto the Organisational Risk Register going forward.



### **3 KEY RISKS/MATTERS FOR ESCALATION TO BOARD/COMMITTEE**

#### **3.1 NEW Risks to the Organisational Risk Register (Rated 15 or above)**

July 2020

- Datix Risk ID: 3899 – “Clinical Staff Resuscitation Training Compliance” was escalated to the organisational risk register during July 2020.

June 2020

- Datix Risk ID: 4150 - Wearing for FFP3 masks for 2 hours in a high risk area.

#### **3.2 Risks where the risk rating INCREASED during the period**

July 2020

- Datix Risk ID: 4113 – “No Deal Brexit” - risk rating increased from 12 to 16 in July 2020. Correspondence from WG received by Chief Executives in NHS advising that full planning preparations are aimed to be stood up in September 2020. Due to these current developments and the Covid-19 Pandemic the risk has increased from that in previous planning periods.
- Datix Risk ID: 4148 – “Non Compliance with DOLs Legislation and resulting authorisation breaches” increased from 15 to 16 as a 4 x 4 rating was assessed as appropriate for this risk.

June 2020

- 4154 - Financial Impact of Covid-19 (including Resetting CTM) on the 2020/21 In Year financial position – Increased from 15 to 20.
- 4156 - Patients and/or relatives/carers do not receive timely responses to concerns raised resulting in learning and improvement which is delayed increased from 12 to 20.
- 4148 - Non-compliance with DoLS legislation and resulting authorisation breaches increased from 12 to 15.

#### **3.2 Risks where the risk rating DECREASED during the period**

De-escalated risks are to be managed via ILG’s or Function Risk Registers as appropriate. They will be retained in this report until they have been scrutinised by the Board at its next meeting and will then be removed.

### **August 2020**

- Datix Risk ID 4107 – “Primary Care Workforce – Recruitment and Sustainability” – decreased from 16 to 12 due to control measures in place action being taken.

### **July 2020**

- Datix Risk ID 4106 – “Increasing Dependency on Nursing Agency Staff Cover” – decreased from 20 to 16 due to the control measures in place and action being taken. Assurance can be sought from the Nurse Sensitive Outcome measures.
- Datix Risk ID 4157 – “difficulty in recruiting and retaining sufficient numbers of registered nurses and midwives” – decreased from 20 to 16 due to the control measures such as managing safe rotas are in place.
- Datix Risk ID 4156 – “timely responses to matters raised under Putting Things Right resulting in learning and improvement being delayed” – decreased from 20 to 16 as a result of an improvement noted in respect of triggers to the next stage of the process and a positive Ombudsman report.
- Datix Risk ID 4107 – “Primary Care Workforce – Recruitment and Sustainability” risk rating decreased from 16 to 12 due to the control measures and mitigation put in place to manage this risk.
- Datix Risk ID 4102 – “Insufficient Skilled Staff to deliver clinical service effectively due to poor retention of staff” risk rating decreased from 20 to 12, due to the control measures and workforce monitoring arrangements in place.
- Datix Risk ID 4185 – “Covid-19 Staff Wellbeing”, risk rating decreased from 20 to 9, due to the strategic wellbeing plans implemented the ongoing arrangements that are being monitored through the resetting CTM arrangements.

### **June 2020**

- 4105 - Potential Harm and poor experience for Patients as a result of the Health Board's focus and response to the Covid-19 Pandemic reduced from 20 to 15.
- 4113 - Risk of interruption to service sustainability, provision & destabilising the financial position re: Brexit reduced from 16 to 12.
- 4116 - Organisational Reputation - Lack of confidence in the services and care provided by the organisation reduced from 16 to 12.
- 4110 - Failure to fully comply with all the requirements of the Welsh Language Standards, as they apply to the CTMUHB reduced from 15 to 12.
- 4104 - There is a risk that the contingency and business continuity plans do not manage the Covid-19 pandemic as well

as well as they could, resulting in avoidable morbidity and mortality in our communities reduced from 15 to 10.

- 4145 - Failure to Deliver Major & Discretionary Capital Programmes reduced from 12 to 6.
- 4081 – Reduction in training posts within various specialities and capacity to meet workload demands reduced from 16 to 12.

### 3.3 Closed Risks

#### July 2020

- 4114 – “Not agreeing a sustainable model for emergency medicine and inpatient paediatrics across the CTMUHB footprint” Closed as model has been agreed by the Board on the 29<sup>th</sup> June 2020. Integrated Locality Groups will continue to review the risk of delivering a sustainable service going forward.
- 4158 – “Ensuring the development, approval and implementation of a Strategy for IM&T, that is clinically led and supports staff in care delivery” – Digital Strategy approved and in place so risk can be closed.
- 4091 – “Failure to achieve statutory and mandatory planned preventative maintenance (PPM) programme” – target risk rating met.
- 4092 – “Failure to achieve the Management of Absence target” – this risk is not considered to be a risk. It is considered to be an issue of core business which is monitored through Key Performance Indicators reported to the relevant Committee and Management Board and also regularly reviewed by the Senior Workforce Team.
- 4093 – “Enforcement action or litigation if an incident is linked to a lack of Core Mandatory Training” this risk is not considered to be a risk. It is considered to be an issue of core business which is monitored through performance dashboards reported to the relevant Committee and Management Board and also regularly reviewed by the Senior Workforce Team.
- 4147 – “Failure to continue to provide GP out of hours services as currently configured” closed as it is a duplication with a risk being managed by the Integrated Locality Group (Datix ID 4099) that is being managed with a Risk Rating below 15.
- 4145 – “Failure to Deliver Major & Discretionary Capital Programmes” – closed as mitigation and control measures met and target risk rating achieved.
- 4112 – “Under reporting of clinical incidents in Maternity Services – closed as mitigation and control measures met and target risk rating achieved. Good evidence of incident reporting within Maternity Services now prevalent.



**June 2020**

- 4159 - Failure to fully meet all the licensing requirements of the Human Tissue Authority (HTA) in relation to Mortuary & Services for the Deceased. – ILG lead advised to close – rationale for closure to follow and will be uploaded to Datix.

**Gold Command – Covid-19 Risks**

The COVID-19 Gold Command Risk Register was developed and monitored on a weekly basis throughout the response to COVID-19 and based on the risks to delivery of the CTMUHB COVID-19 Strategic Aims: 1) Prevent deaths from COVID-19 (2) Protect the health and people in CTM communities (3) Protect the health and wellbeing of staff in our public service. The open Covid-19 risks have been added to the Datix Risk Management System and will be monitored via the Corporate/ILG Risk Registers as appropriate.

**3.4 Organisational Risk Register - Visual Heat Map by Datix Risk ID:**

Consequence	5			4186 4105	4154 4100		
	4				4103 4115 4149 4069 4106 4148	4070 4071 4109 4156 4113	4097 4060 4095 4080 4157
	3						4150 4148 3899
	2						
	1						
CxL		1	2	3	4	5	Likelihood

**4. IMPACT ASSESSMENT**

<b>Quality/Safety/Patient Experience implications</b>	Yes (Please see detail below)
	Aim to mitigate risks to patients and staff
<b>Related Health and Care standard(s)</b>	Governance, Leadership and Accountability
	All Health and Care Standards are included
<b>Equality impact assessment completed</b>	No (Include further detail below)
<b>Legal implications / impact</b>	There are no specific legal implications related to the activity outlined in this report.



<b>Resource (Capital/Revenue £/Workforce) implications / Impact</b>	There is no direct impact on resources as a result of the activity outlined in this report.
<b>Link to Main Strategic Objective</b>	To provide strong governance and assurance
<b>Link to Main WBFG Act Objective</b>	Service delivery will be innovative, reflect the principles of prudent health care and promote better value for users

## 5. RECOMMENDATION

5.1 The Health Board are asked to:

- **REVIEW** the detailed Organisational Risk Register at Appendix 1.
- **APPROVE** the recommendations in relation to New Risks, de-escalated risks, Updated Risks and closed risks.
- **NOTE** – the progress made against the risk journey milestones at Appendix 2.