



AGENDA ITEM

5.2

AUDIT & RISK COMMITTEE

ORGANISATIONAL RISK REGISTER

Date of meeting	22/08/2022
FOI Status	Public
If closed please indicate reason	Not Applicable
Prepared by	Cally Hamblyn, Assistant Director of Governance & Risk
Presented by	Georgina Galletly, Director of Corporate Governance
Approving Executive Sponsor	Director of Corporate Governance
Report purpose	FOR REVIEW & APPROVAL

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

Committee/Group/Individuals	Date	Outcome
Service, Function and Executive Formal Review	June 2022	RISKS REVIEWED
Strategic Leadership Group	Via Email	RISKS REVIEWED
Executive Leadership Group	18.07.2022	RISKS REVIEWED AND MANAGEMENT SIGN OFF RECEIVED
Quality & Safety Committee	19.07.2022	REVIEWED ASSIGNED RISKS

ACRONYMS

Nil

1. SITUATION/BACKGROUND

1.1 The purpose of this report is for the Audit & Risk Committee to review and discuss the organisational risk register and consider whether the



risks escalated to the Organisational Risk Register have been appropriately assessed.

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

2.2 The following progress has been made since the last report:

- Monthly Risk Management Awareness Sessions (Virtually via Teams) were implemented from January 2021 with increasing engagement and attendance growing month on month. The monthly sessions are set in the calendar until the end of 2022 and will continue beyond that date if required. 323 members of staff trained to date.
- Risks on the organisational risk register have been updated as indicated in red.

3 KEY RISKS/MATTERS FOR ESCALATION TO BOARD/COMMITTEE

3.1 NEW RISKS

Rhondda Taf Ely Locality

- Datix ID 5109 - Poor air-conditioning & increased environmental temperatures in Pathology laboratory. Risk scored at a 16.
- Datix ID 5014 - Care of Obstetric & Gynaecology patients in the ED at the Royal Glamorgan Hospital. Risk scored at a 16.
- Datix ID 4722 - Senior Medical Workforce Shortfall. Risk scored at a 16.

Digital & Data

- Datix ID 4887 - Retrieval and filing of case notes in the POW Medical Records Library. Risk scored at a 20.

Finance

- Datix ID 5153 - Failure to achieve financial balance in 2022/23. Risk scored as a 20.
- Datix ID 5154 - Failure to reduce the planned recurrent deficit of £28.0m at the end of 2022/23. Risk scored as a 20.

3.2 CHANGES TO RISKS

a) Risks where the risk rating INCREASED during the period

Health, Safety and Fire

- Datix ID 4356 - Overdue/Out of date fire risk assessments due to resource issues and the amount required to be undertaken. Risk increased from a 16 to a 20.
- Datix Risk ID 4827 -Lack of Lead for Face Fit Training along with Face Fit Trainers. Risk increased from a 16 to a 20.

Claims and Concerns

- Datix ID 4907 - Failure to manage Redress cases efficiently and effectively. Risk increased from a 16 to a 20.

Information Governance

- Datix ID 4339 - failure to complete a timely and robust Data Protection Impact Assessment (DPIA). Risk increased from a 16 to a 20.

b) Risks where the risk rating DECREASED during the period

Bridgend Locality Group

- Datix ID 4253 - Ligature Points - Inpatient Services. Risk reduced from a 20 to a 15.

Merthyr & Cynon Locality Group

- Datix ID 2987 - Fire Enforcement Order ground and first floor for compartmentation ground and first floor PCH Estates Fire Scorecard point 14. Risk reduced from a 16 to a 15.
- Datix ID 5017 - Implementation of the Additional Learning Needs (ALN) Act. Risk reduced from a 16 to a 12.
- Datix ID 4923 - Increase in infection on ITU. Risk reduced from a 16 to a 12.

Rhondda Taf Ely Locality Group.

- Datix ID 4706 - Failure of appropriate security measures in mental health services. Risk reduced from a 16 to a 12.

3.3 CLOSED RISKS FROM THE ORGANISATIONAL RISK REGISTER

Bridgend Locality Group

- Datix ID 3698 - Waiting List for Autism Diagnostic Observation Schedule (ADOS) assessments and Attention Deficit Hyperactivity Disorder (ADHD) medicals over 1 year.

Merthyr & Cynon Locality Group

- Datix ID 4688 - Emergency Department (ED), inability to appropriately triage patients in the Minors area of ED, compounded by two current access points that are not co-located with neither incorporating triage.

Rhondda Taf Ely Locality Group.

- Datix ID 3742 - Care of 16-18 Year Olds.

Finance

- Datix ID 4629 - Failure to achieve or reduce the planned recurrent deficit of £33.9m at the end of 2021/22.

Therapies and Health Sciences

- Datix ID 4500 - There is a risk to the delivery of high quality patient care due to the difficulty in recruiting sufficient numbers of registered AHPs.



The rationale for closure is captured in Appendix 1.

3.4 DISCUSSION POINTS

Strategic Leadership Group Action

Whilst recognising the improvement to date the SLG have been asked to reinforce a focus on target date reviews being undertaken robustly and in a timely manner.

Emerging Risks

The Assistant Director of Governance & Risk has been made aware of the following emerging risks in the service that are likely to be escalated to a future Organisational Risk Register return:

- Permanency of service critical staff to support the Covid-19 Vaccination Programme
- The Executive Medical Director is exploring the escalation of a risk relating to Clinical Policies.
- The Chief Operating Officer has recently undertaken a review of the Risk Register and work should be completed this month to ensure that the issues reported are appropriate and equitable.

3.5 Organisational Risk Register - Visual Heat Map by Datix Risk ID (Risks rated 15 and above):

Consequence	5			4253 3337 4768 4772 2987 3993	4080 3826 4664 4887		
	4				4149 4106 4157 4458 4148 4337 3008 816 4282 4743 4798 4906 4908 4780 4809 5014 5109 4753	4152 3585 3654 3133 2787 1133 4752 4679 4922 3267 4479 4940 4315 4417 4722 4922	4491 4632 4071 4203 4721 4103 4841 4217 4652 4699 4356 4827 5153 5154 5036 4907 4339
	3					3638 4672 4691 4671 4888 4512 4732 4590 4833 4691 4920 2808 4975 5040 5080 4971	
	2						
	1						
CxL	1	2	3	4	5	Likelihood	



4. IMPACT ASSESSMENT

Quality/Safety/Patient Experience implications	Yes (Please see detail below)
	Aim to mitigate risks to patients and staff
Related Health and Care standard(s)	Governance, Leadership and Accountability
	All Health and Care Standards are included
Equality impact assessment completed	No (Include further detail below)
Legal implications / impact	There are no specific legal implications related to the activity outlined in this report.
Resource (Capital/Revenue £/Workforce) implications / Impact	There is no direct impact on resources as a result of the activity outlined in this report.
Link to Strategic Well-being Objectives	Provide high quality, evidence based, and accessible care.

5. RECOMMENDATION

5.1 The Committee are asked to:

- **Review** the risks escalated to the Organisational Risk Register at Appendix 1.
- **Consider** whether the Committee can seek assurance from the report that all that can be done is being done to mitigate the risks.