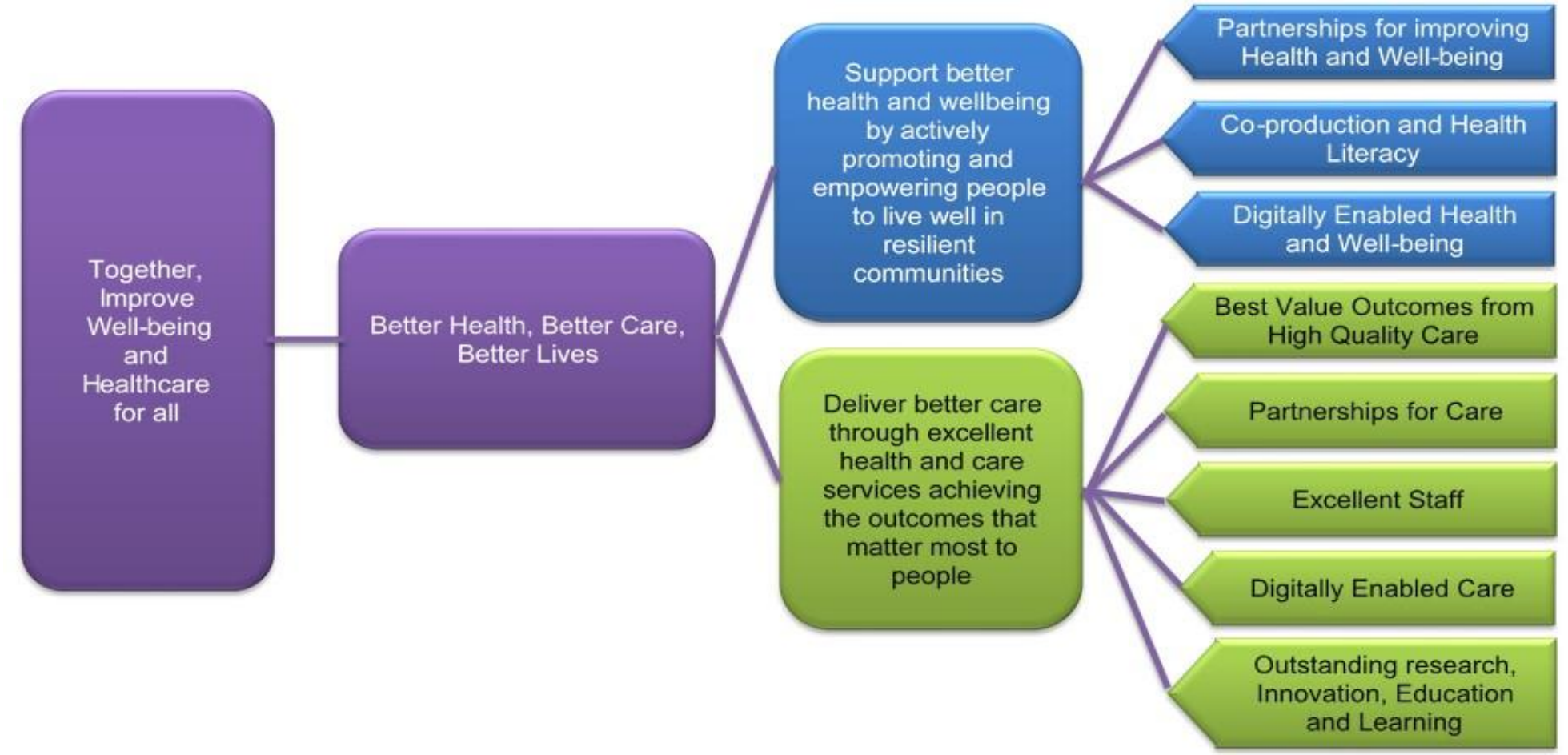
HEALTH BOARD RISK REGISTER
October 2020

Aligning Risk with Swansea Bay University Health Board (SBUHB) Strategy

The Swansea Bay University Health Board (SBUHB) strategy is outlined in the figure below and all risks identified for inclusion on the Health Board Risk Register are mapped to our enabling objectives.



HEALTH BOARD RISK REGISTER
DASHBOARD OF ASSESSED RISKS – September 2020

Impact/Consequences						
	5				**03:** Workforce Recruitment of Medical and Dental Staff **04:** Infection Control **51:** Compliance with Nurse Staffing Levels (Wales) Act 2016 **58:** Ophthalmology Clinic Capacity **63:** Screening for Fetal Growth Assessment in line with Gap-Grow (G&G) **65:** CTG Monitoring in Labour Wards **69:** Adolescents being admitted to Adult MH wards **70:** Data Centre outages	**16:** Access to Planned Care Services **50:** Access to Cancer Services **66:** SACT Treatment **67:** Target breaches to Radical Radiotherapy Treatment **68:** Coronavirus Pandemic
	4				**01:** Access to Unscheduled Care Service **37:** Operational and strategic decisions are not data informed **43:** DOLS Authorisation and Compliance with Legislation **48:** Child & Adolescence Mental Health Services **49:** TAVI Service **57:** Non-compliance with Home Office Controlled Drug Licensing requirements **61:** Paediatric Dental GA Service – Parkway	**39:** IMTP Statutory Responsibility **60:** Cyber Security **62:** Sustainable Corporate Services **64:** H&S Infrastructure **71:** The total quantum for funding for addressing COVID-19 across Wales remains fluid and uncertain. **72:** Impact of COVID-19 pandemic on the Health Board Capital Resource Limit and Capital Plan for 2020-21. **73:** There is a potential for a residual cost base increase post COVID-19 as a result of changes to service delivery models and ways of working.
	3				**13:** Environment of Health Board Premises **27:** Sustainable Clinical Services for Digital Transformation **36:** Electronic Patient Record **41:** Fire Safety Regulation Compliance **52**: Engagement & Impact Assessment Requirements	**15:** Population Health Improvement **53:** Compliance with Welsh Language Standards **54:** No Deal Brexit
	2					
	1					
C X L		**1**	**2**	**3**	**4**	**5**
		Likelihood				

Risk Register Dashboard

Strategic Objective	Risk Reference	Description of risk identified	Initial Score	Current Score	Trend	Controls	Last Reviewed	Scrutiny Committee
Best Value Outcomes from High Quality Care	1 (738)	**Access to Unscheduled Care Service** Failure to comply with Tier 1 target for Unscheduled Care could impact on patient and family experience of care.	20	16	→	→	October 2020	Performance and Finance Committee
	4 (739)	**Infection Control** Failure to achieve infection control targets set by Welsh Government could impact on patient and family experience of care.	20	20	→	→	October 2020	Quality and Safety Committee
	13 (841)	**Environment of HB Premises** Failure to meet statutory health and safety requirements.	16	12	↓	↑	October 2020	Health and Safety Committee
	64 (2159)	**Health and Safety Infrastructure** Insufficient resource and capacity of the health, safety and fire function to maintain legislative and regulatory compliance.	20	20	→	→	October 2020	Health and Safety Committee
	16 (840)	**Access to Planned Care** Failure to achieve compliance with waiting times, there is a risk that patients may come to harm. Also, financial risk not achieving targets.	16	25	↑	→	October 2020	Performance and Finance Committee
	37 (1217)	**Information Led Decisions** Operational and strategic decisions are not data informed.	12	16	→	→	October 2020	Audit Committee

39 (1297)	**Approved IMTP – Statutory Compliance** If the Health Board does not have an approved IMTP signed off by Welsh Government, primarily due to the inability to align performance and financial plans it will remain in escalation status, currently "targeted intervention".	16	20	↑	→	October 2020	Performance and Finance Committee
41 (1567)	**Fire Safety Compliance** Fire Safety notice received from the Fire Authority – MH&LD Unit. Uncertain position in regard to the appropriateness of the cladding applied to Singleton Hospital in particular (as a high rise block) in respect of its compliance.re safety regulations.	15	12	→	→	October 2020	Health and Safety Committee
43 (1514)	**DoLS** If the Health Board is unable to complete timely completion of DoLS Authorisation then the Health Board will be in breach of legislation and claims may be received in this respect.	16	16	→	→	October 2020	Quality and Safety Committee
48 (1563)	**CAMHS** Failure to sustain Child and Adolescent Mental Health Services (CAHMS).	16	16	→	→	October 2020	Performance and Finance Committee
49 (922)	**Trans-catheter Aortic Valve Implementation (TAVI)** Failure to provide a sustainable service for Trans-catheter Aortic Valve Implementation (TAVI)	25	16	↓	↑	October 2020	Quality and Safety Committee

	63 (1605)	**Screening for Fetal Growth Assessment in line with Gap-Grow** Due to the scanning capacity there are significant challenges in achieving this standard.	12	20	→	→	October 2020	Quality and Safety Committee
	50 (1761)	**Access to Cancer Services** Failure to sustain services as currently configured to meet cancer targets could impact on patient and family experience of care.	20	25	→	↑	October 2020	Performance and Finance Committee
	57 (1799)	**Controlled Drugs** Non-compliance with Home Office Controlled Drug Licensing requirements.	20	16	↓	→	October 2020	Audit Committee
	66 (1834)	**Access to Cancer Services** Delays in access to SACT treatment in Chemotherapy Day Unit	25	25	→	→	October 2020	Quality and Safety Committee
	67 (89)	**Risk target breeches – Radiotherapy** Clinical risk – Target breeches of radical radiotherapy treatment	16	25	→	→	October 2020	Quality and Safety Committee
	69 (1418)	**Safeguarding** Adolescents being admitted to adult MH wards	16	20	→	→	October 2020	Quality & Safety Committee
	71 (2448)	**Finance** The total quantum for funding for addressing COVID-19 across Wales remains fluid and uncertain.	20	20	→	→	October 2020	Performance and Finance Committee
	72 (2449)	**Finance** Impact of COVID-19 pandemic on the Health Board Capital Resource Limit and Capital Plan for 2020-21	20	20	→	→	October 2020	Performance and Finance Committee

	73 (2450)	**Finance** There is a potential for a residual cost base increase post COVID-19 as a result of changes to service delivery models and ways of working.	20	20	➔	➔	October 2020	Performance and Finance Committee
Excellent Staff	3 (843)	**Workforce Recruitment** Failure to recruit medical & dental staff	20	20	↓	↑	October 2020	Workforce and OD Committee
	51 (1759)	**Nurse Staffing (Wales) Act** Risk of Non Compliance with the Nurse Staffing (Wales) Act	16	20	↓	↑	October 2020	Workforce and OD Committee
	62 (2023)	**Sustainable Corporate Services** Health Board's Annual Plan and organisational strategy, and with the skills, capability, behaviours and tools to successfully deliver in support of the whole organisation, and to do so in a way which respects and promotes the health and well-being of our staff and their work-life balance.	20	20	➔	➔	October 2020	Workforce and OD Committee
Digitally Enabled Care	27 (1035)	**Sustained Clinical Services** Inability to deliver sustainable clinical services due to lack of digital transformation.	16	12	↓	➔	October 2020	Audit Committee
	36 (1043)	**Storage of Paper Records** Failure to provide adequate storage facilities for paper records then this will impact on the availability of patient records at the point of care. Quality of the paper record may also be reduced if there is poor records management in some wards.	20	12	↓	➔	October 2020	Audit Committee

	60 (2003)	**Cyber Security – High level risk** The level of cyber security incidents is at an unprecedented level and health is a known target.	20	20	➔	➔	October 2020	Audit Committee
	65 (329)	**CTG Monitoring on Labour Wards** Risk associated with misinterpreting abnormal CTG readings in delivery rooms.	16	20	➔	➔	October 2020	Quality & Safety Committee
	70 (2245)	**National Data Centre Outages** The failure of national systems causes severe disruption across NHS Wales, affecting Primary and secondary care services.	20	20	➔	➔	October 2020	Audit Committee

Partnerships for Improving Health and Wellbeing	58 (146)	**Ophthalmology - Excellent Patient Outcomes** There is a failure to provide adequate clinic capacity to support follow-up patients within the Ophthalmology specialty.	12	20	➚	➔	October 2020	Quality and Safety Committee
	15 (737)	**Population Health Targets** Failure to achieve population health improvement targets leading to an increase in preventable disease amongst the population resulting in increased morbidity impacting on operational and financial pressures.	15	15	➔	➔	October 2020	Quality and Safety Committee
	68 (2299)	**Pandemic Framework** Risk of declared pandemic due to Coronavirus Infectious Disease outbreak 2020.	20	25	➔	➚	October 2020	Quality and Safety Committee

	61 (1587)	**Paediatric Dental GA Service – Parkway** Identify alternative arrangements to Parkway Clinic for the delivery of dental paediatric GA services on the Morriston Hospital SDU site consistent with the needs of the population and existing WG and Health Board policies.	15	16	↑	→	October 2020	Quality and Safety Committee
Partnerships for Care	52 (1763)	**Statutory Compliance** The Health Board does not have sufficient resource in place to undertake engagement & impact assess in line with Statutory Duties	16	12	↓	↑	October 2020	Performance & Finance Committee
	53 (1762)	**Welsh Language Standards** Failure to fully comply with all the requirements of the Welsh Language Standards, as they apply to the University Health Board.	15	15	→	→	October 2020	Health Board (Welsh Language Group)
	54 (1724)	**Brexit** Failure to maintain services as a result of the potential no deal Brexit	20	15	→	→	October 2020	Health Board (Emergency Preparedness Resilience and Response Group)

Risk Schedules

Datix ID Number: 738 **Health & Care Standard: 5.1 Timely Care**		**HBR Ref Number: 1** **Target Date: 31st March 2020**
Objective: Best Value Outcomes from High Quality Care		**Director Lead:** Chris White, Chief Operating Officer **Assuring Committee:** Performance and Finance Committee
Risk: If we fail to comply with Tier 1 target – **Access to Unscheduled Care** then this will have an impact on patient and family experience. Challenges with capacity /staffing across the Health and Social care sectors.		**Date last reviewed:** September 2020
Risk Rating (consequence x likelihood): Initial: 4 x 4 = 20 Current: 4 x 4 = 16 Target: 3 x 4 =12		**Rationale for current score:** Due to current measures related to COVID 19 including the cancellation of all non-urgent activity, Emergency Department and MIU attendance have reduced by nearly 50%, red call performance is at 65% and 4hr handover for the last 3 weeks has been in excess of 75%. Both Morriston and Singleton have predominantly been at risk level 1 for the past 2 months. It is recognised that this is not likely to be maintained as we go into the winter months and therefore remains a high risk.
Level of Control = 50%		**Rationale for target score:**
Date added to the HB risk register 26.01.16		The service delivery units have been implementing models of care that reflect National priorities and there is evidence that these are starting to impact positively on patient flow, length of stay and demand management. Workforce capacity issues continue to be challenging in some key specialty areas.

Controls (What are we currently doing about the risk?)	**Mitigating actions (What more should we do?)**		
	Action	**Lead**	**Deadline**
• Programme management arrangements are in place to improve Unscheduled Care performance. • Daily Health Board wide conference calls/ escalation process in place. • Regular reporting to Executive Team, Executive Board and Health Board/Quality and Safety Committee. • Increased reporting as a result of escalation to targeted intervention status. • Targeted unscheduled care investment to support changes to front door service models/ workforce redesign/ patient flow. • Weekly unscheduled care meeting implemented, led by COO and attended by Service Directors • Development of new Acute Medical Services Model focused on increasing the provision of ambulatory care • Development of a Phone First for ED model in conjunction with 111 to reduce demand	Mobile unit to allowing cohorting of patients at entrance of Morriston ED to release ambulance crews.	Chief Operating Officer	30th November 2020
	Central management of patient flow across the health board to maintain effective patient movement across all sites	Chief Operating Officer	30th November 2020
	Phased implementation of the Acute Medical Services Redesign	Chief Operating Officer	30th November 2020
	National Unscheduled Care Programme - six goals for urgent and emergency care which will help	Chief Operating Officer	30th November 2020

	winter preparedness.		
Assurances **(How do we know if the things we are doing are having an impact?)** • Executive monitoring/support to achieve improvement plans on a weekly basis.	**Gaps in assurance** **(What additional assurances should we seek?)** The need to deliver sustained service.		
Current Risk Rating **4 x 4 = 16**	**Additional Comments** Due to current measures related to COVID 19 including the cancelled all non-urgent activity, Emergency Department and MIU attendance have reduced by nearly 50%, red call performance is at 65% and 4hr handover for the last 3 weeks has been in excess of 75%. Both Morriston and Singleton have been risk level 1 for the past 2 weeks. It is recognised that this is not likely to be maintained and therefore remains a high risk.		

Datix ID Number: 843 **Health & Care Standard: Staff & Resources 7.1 Workforce**	**HBR Ref Number: 3** **Target Date: 31st March 2021**
Objective: Excellent Staff	**Director Lead:** Kathryn Jones, Interim Director of Workforce and Operational Development **Assuring Committee:** Workforce and OD Committee
Risk: Workforce recruitment of medical & dental staff	**Date last reviewed:** September 2020
Risk Rating (consequence x likelihood): Initial: 5 x 4 = 20 Current: 4 x 5 =20 Target: 4 x 3 = 12	**Rationale for current score:** National shortages of numbers in some areas can lead to: • Unable to recruit sufficient numbers of trainees to fulfil rotas on all sites • Unable to attract non training grades to complete rotas • Unable to fill Consultant grade posts in some specialties with adverse effects on patient safety and industrial relations. Unable to recruit sufficient registered nursing staff.
Level of Control = 70%	**Rationale for target score:**
Date added to the HB risk register April 2012	This remains a challenge and is also a national problem.

Controls (What are we currently doing about the risk?)	Mitigating actions (What more should we do?)		
	Action	**Lead**	**Deadline**
• Regular monitoring of recruitment position with reports to Executive Team and Board via Medical Director and Medical Workforce Board. • Specialty based local workforce boards established to monitor and control specific issues. The new HB Workforce & OD Committee will seek assurance of medical workforce plans to maintain services. • Engagement of the Deanery about recruitment position.	Medical training initiatives pursued in a number of specialties to ease junior doctor recruitment	Interim Director W&OD.	31st December 2020
	The Medical Workforce Board continues to monitor recruitment and junior doctor's rotas.	Interim Director W&OD.	31st December 2020
	Continue to recruit internationally.	Interim Director W&OD.	31st December 2020

Assurances **(How do we know if the things we are doing are having an impact?)** • General situation monitored through W&OD Committee • Communication with Deanery • Recruitment campaigns • Integrated Medicine and Paediatrics short term workforce plans • Monitoring by Executive Teams and specialty based local workforce boards	**Gaps in assurance** **(What additional assurances should we seek?)**
Current Risk Rating **4 x 5 = 20**	**Additional Comments** Risk covers all hospitals and multiple specialties. Participated in BAPIO in November, appointed 25 doctors. Working with Medacs to replace long term locums. Developing an Invest to Save Bid for international overseas recruitment for nursing to upscale the activity for 20/21. Recruitment remains a challenge but is also a national problem. The problem persists and due to COVID-19 we can no longer on board overseas doctors due to the travel restrictions. Supply issues to the COVID areas however have been mitigated by using doctors from other specialties where demand is currently low. Work to recommence in the Autumn.

Datix ID Number: 739 **Health & Care Standard: 2.4 Infection Prevention & Control & Decontamination**		**HBR Ref Number: 4** **Target Date: 31st March 2021**
Objective: Best Value Outcomes from High Quality Care		**Director Lead:** Christine Williams, Interim Director of Nursing and Patient Experience **Assuring Committee:** Quality and Safety Committee
Risk: Failure to achieve **infection control** targets set by Welsh Government, increase risk to patients and increased costs associated with length of stays.		**Date last reviewed:** September 2020
Risk Rating (consequence x likelihood): Initial: 4 x 5 = 20 Current: 4 x 5 = 20 Target: 4 x 3 =12		**Rationale for current score:** Currently under targeted intervention for rates of infection, achievement of targets are variable with monthly fluctuations.
Level of Control = 40%		**Rationale for target score:**
Date added to the HB risk register January 2016		Once the infection control team is fully recruited to, ICNet is functioning to its full capability the infection control team will be able to support the clinical areas more and drive service improvements. In addition, a negative pressure isolation facility is being built into the new emergency department at Morriston hospital providing another facility to appropriately manage patients at the front door. Review and implementation of a robust clean of patient rooms following an infection will reduce the risk of cross infection.

Controls (What are we currently doing about the risk?)	**Mitigating actions (What more should we do?)**		
	Action	**Lead**	**Deadline**
• Regular monitoring on infection rates • Policies, procedures and guidelines in place • Regular reporting through internal processes • ICNet information management system for infections is in place • Infection control team support the clinical teams for issues relating to infection control • A permanent infection control doctor has been recruited • Recruitment is ongoing and the decontamination lead and assistant director of nursing in infection control have been appointed • Bug stop quality improvement programme • Incident reporting	Ongoing infection control team involvement in site level estates projects to ensure appropriate isolation facilities are factored in from the outset	Senior Infection Control Matron	30th November 2020

Assurances **(How do we know if the things we are doing are having an impact?)**	**Gaps in assurance** **(What additional assurances should we seek?)**
• Ongoing monitoring of infection control rates and feedback provided to delivery units	ICNet provides information linked with PAS relating to patients who have been inpatients since the connection was made therefore additional manual records are maintained by the infection control team creating additional work and some

• Infection Control Committee monitors infection rates and identifies key actions to drive improvement • Sub groups to the infection control committee such as the decontamination group provide the assurances and operationally drive key areas of work. • Clear assurance framework in place at Corporate level with Health Board Infection Prevention & Control Committee, Health Board C. difficile Infection Improvement Group; Corporate Infection Prevention & Control Nursing Team; Water Safety Group; and Directly Managed Unit Infection Prevention & Control Groups. • Incident reporting • Root Cause Analysis to ensure monitoring and lessons continued to be learned from HCAI.	duplication.
Current Risk Rating **5 x 4 = 20**	**Additional Comments** Significant progress to date however trajectory not met overall. Work underway on recruitment to IPC, a work plan to improve practice and improved information available for reporting, oversite and also investigation. 13/06/19 Continue to make progress against annual IMTP profiles, however, incidence within the Health Board remains above that for the NHS in Wales. Recruitment to Matron IPC post on 03/06/19. Work in progress to improve incident reporting in relation to infections and pilot to commence on post infection review process. Appropriate environmental decontamination resource to be identified and staff trained in its appropriate use. Compliance with IPC standard precautions and ANTT training and competence needs to be improved. A review of cleaning of shared equipment such as beds, commodes is required to reduce risks of transmission. Increase in cleaning hours across the Units is required to meet national minimum standards. Dedicated protected decant facilities are required for each Unit to ensure appropriate cleaning. Sufficient isolation rooms required to manage patient's appropriately. Estate needs to be updated and maintained to reduce risks. IPCC resources required to support community and primary care. Increase numbers of Piis on the last two months. HB over trajectory on a number of the TI Tier 1 targets. Increased level of risk due to insufficient domestic hours at Singleton hospital and significant vacancies at Morrison, lack of decant facilities, over occupancy in bays. Approved for increase in establishment at IBG in October 2019. 4 new posts approved. Now within VCP Process plus 1 existing band 6 vacancy. All 5 posts to be advertised in January 2020. Although there has been some improvement against TI Tier 1 targets, it is challenging to sustain. PII currently at Morriston Hospital. Reduction initiatives are compromised by over-crowding of wards as a result of increased activity, over-

	occupancy, staff vacancies, and where activity levels are such that it is not possible to decant bays to effectively clean patient areas where there have been infections. From an All Wales perspective, not yet achieving NHS Wales Infection Reduction Expectations. 26.05.20 - Incidence of C. difficile infection has been increasing over the last 7 months from an average of 11 cases per month to an average of 13 cases per month. The Welsh Government target is <8 cases per month. There has been an improvement in E. coli and Klebsiella bacteraemia cases, but these are still above the Welsh Government targets. 09.07.20 - incidence of C. difficile has increase further to an average of 16 cases per month in the first quarter (this is double the Welsh Government monthly expectation). The incidence of Staph. aureus bacteraemia also is higher than Welsh Government expectations, however, there continues to be reductions in E. coli and Klebsiella bacteraemia cases. Public Health Wales will make C. difficle genomic results available to the Health Board (current anticipated date Sept. 2020). This may facilitate a better understanding of the epidemiology of this infection within the Health Board. 18.08.20 - recruitment now complete. All staff now in post and on induction.

Datix ID Number: 841 **Health & Care Standard: Safe Care 2.1 Managing Risk & Promoting Health & Safety**	**HBR Ref Number: 13** **Target Date: 31st March 2021**
Objective: Best Value Outcomes	**Director Lead:** Chris White, Chief Operating Officer/Sian Harrop-Griffiths, Director of Strategy **Assuring Committee**: Health and Safety Committee
Risk: Health & Safety Compliance – Environment of Premises. Risk relates to compliance in terms of appropriate accommodation in line with Health and Safety Regulations.	**Date last reviewed:** September 2020
Risk Rating (consequence x likelihood): Initial: 4 x 4 = 16 Current: 4 x 3 =12 Target: 4 x 3 = 12	**Rationale for current score:** HSE issued ten improvement notices. Lack of accommodation to meet statutory/health and safety requirements could have an adverse impact citizens, staff, financial and operational performance.
Level of Control = 90%	**Rationale for target score:**
Date added to the HB risk register April 2012	Risk assessments of premises.

Controls (What are we currently doing about the risk?)	Mitigating actions (What more should we do?)		
	Action	**Lead**	**Deadline**
• Key areas where performance linked to health & safety/fire issues flagged through Health & Safety and Quality & Safety Committees and actions agreed to mitigate impacts. • Issues raised through site meetings held regarding service changes for all 4 acute hospital sites. • Primary Care developments required.	Develop a strategy to improve primary & community services estate.	Service Group Director P&C	31st March 2021
	Develop BJC's to improve the infrastructure of the 3 acute hospital sites (not including NPTH).	Assistant Director - Estates	31st March 2021

Assurances (How do we know if the things we are doing are having an impact?)	Gaps in assurance (What additional assurances should we seek?)
The Cabinet Secretary for Health & Social Services set the initial pipeline of health and care centres to be delivered by 2020-21 and the following projects identified for the Health Board • Penclawdd Health Centre - refurbishment/redevelopment proposal (£0.800m at 16-17 prices) – now completed • Murton Community Clinic – refurbishment/redevelopment proposal (£0.400m at 16-17 prices) – now completed • Swansea Wellness Centre – new build development (£10.000m at 16-17 prices) SOC submitted to WG. FBC under development for submission June 2021. Cost projection significantly higher that stated here but WG aware and are members of the Project Board. • BJC Environmental Infrastructure replacement of Estates AHU plant and Morriston electrical Sub Station 6 all designed up and tendered through Design for Life procurement process.	

Current Risk Rating 4 x 3 = 12	Additional Comments Planned interviews to take on board a SCP 1ST / 2ND Week of November 20 3 months to undertake verification of our design by the SCP then submit to the WG for approval and funding

Datix ID Number: 737 **Health & Care Standard: Staying Healthy 1.1 Health Promotion**	**HBR Ref Number: 15** **Target Date: 31st March 2021**
Objective: Partnerships for Improving Health and Wellbeing	**Director Lead:** Keith Reid, Director of Public Health **Assuring Committee:** Quality and Safety Committee
Risk: If we fail to achieve **population health improvement targets** leading to an increase in preventable disease amongst the population resulting in increased morbidity impacting on operational and financial pressures.	**Date last reviewed:** September 2020
Risk Rating (consequence x likelihood): Initial: 5 x 3 = 15 Current: 5 x 3 = 15 Target: 3 x 3 = 9	**Rationale for current score:** If we fail to prevent a serious outbreak by effectively achieving herd immunity in the population through immunisation and vaccination programmes, or to effectively manage an outbreak by disrupting the spread, this will result in serious harm to individual, maybe death, and pressure on health services, disruption to flow, business continuity and reputational damage to the health board and public health team.
Level of Control = 60%	**Rationale for target score:**
Date added to the HB risk register 26.01.16	Manage preventable disease.

Controls (What are we currently doing about the risk?)

- Public Health Strategy and work plan
- Internal Audit Management Plan
- Strategic Immunisation Group
- MMR Task & Finish group
- Childhood Imms Group;
- Primary Care Influenza Group
- Support from PHW Health Protection

Mitigating actions (What more should we do?)

Action	Lead	Deadline
Deliver immunisation awareness training for pre-school settings to promote key vaccination messages	Consultant Public Health Medicine	30th November 2020
Contribute to the implementation of recommendations made in the "MMR Immunisation: process mapping of the child's journey" report.	Consultant Public Health Medicine	30th November 2020
Continue to promote the benefits of immunisation through Healthy Schools and Pre-Schools e-bulletins	Consultant Public Health Medicine	30th November 2020

Assurances
(How do we know if the things we are doing are having an impact?)

- School imms target is over 70%, we are the 2nd highest in Wales. All other childhood imms targets below trajectory.

Gaps in assurance
(What additional assurances should we seek?)
The need to deliver sustained service.

Current Risk Rating
5 x 3 = 15

Additional Comments
Scrutiny by internal audit, raise awareness, encourage uptake, target population. Co-production work with the public.

Datix ID Number: 840 **Health & Care Standard: 5.1 Timely Care**	**HBR Ref Number: 16** **Target Date: 31st March 2021**
Objective: Best Value Outcomes from High Quality Care	**Director Lead:** Chris White, Chief Operating Officer **Assuring Committee:** Performance and Finance Committee
Risk: Access and Planned Care. If we fail to achieve compliance **with waiting times** there is a risk that patients may come to harm. Further, the health board will face financial risk with Welsh Government if the agreed target is not met.	**Date last reviewed:** September 2020
Risk Rating (consequence x likelihood): Initial: 4 x 4 = 16 Current: 5 x 5 = 25 Target: 4 x 2 = 8	**Rationale for current score:** The cancellation of all non-urgent activity has increased the backlog of planned care cases across the organisation. Whilst mitigating measures such as virtual clinics have been put in place new referrals are still being accepted which is adding to the outpatient volumes. The significant reduction in theatre activity is obviously increasing the number of patients now breaching 36 and 52 week thresholds.
Level of Control = 90%	**Rationale for target score:**
Date added to the HB risk register January 2013	There is scope to reduce the likelihood score to reduce the Risk to an acceptable level

Controls (What are we currently doing about the risk?)	Mitigating actions (What more should we do?)		
• Post Covid 19 - there is no requirement to meet RTT target in 2020/21 the focus is on minimising harm by ensuring that the patients with the high clinical priority are treatment first. The Health Board is following the Royal College of Surgeons guidance for all surgical procedures and patients on the waiting list have been categorised accordingly. • A risk assessment based system for outpatient is awaited. • Monthly planned care supported delivery board in place, chaired by CEO. Monthly performance reviews track progress against delivery. Flexible resource identified to manage in-year waiting times risks. Weekly executive support meetings in place in high risk areas. Outsourcing of capacity is being considered for some specialist services. • Weekly calls with Units to support delivery and monitor performance. • Monthly performance and finance meetings between executive team and service directors. • Modest investment package agreed to support additional activity to increase capacity.	**Action**	**Lead**	**Deadline**
	Develop sustainability plans for specialties through the emerging Clinical Services Plan	Head of IMPT Development	30th November 2020
	Patient Prioritisation and Management	Associate Director Performance	30th November 2020
	Development of a whole system model for NPTH as a centre for Orthopaedic and Spinal services, to include the scoping of ambulant trauma options and capital requirements	Service Directors	30th November 2020
	Scope and undertake an option appraisal process for a PACU model at Singleton and NPTH to support enhanced care complexity	Service Directors	30th November 2020

Assurances **(How do we know if the things we are doing are having an impact?)** • Weekly meetings in place to ensure patients with greatest clinical need are treated first.	**Gaps in assurance** **(What additional assurances should we seek?)**
Current Risk Rating **5 x 5 = 25**	**Additional Comments** The cancellation of all non-urgent activity due to COVID-19 has increased the backlog of

	planned care cases across the organisation. Whilst mitigating measures such as virtual clinics have been put in place new referrals are still being accepted which is adding to the outpatient volumes. The significant reduction in theatre activity is obviously increasing the number of patients now breaching 36 and 52 week thresholds.

Datix ID Number: 1035 **Health & Care Standard: Effective Care 3.1 Clinically Effective Care**	**HBR Ref Number: 27** **Target Date: 31st March 2021**
Objective: Digitally enabled care	**Director Lead:** Chris White, Chief Operating Officer **Assuring Committee:** Audit Committee
Risk: Digital Transformation Inability to deliver sustainable clinical services due to lack of Digital Transformation. There are insufficient resources to: • invest in the delivery of the ABMU Digital strategy, • support the growth in utilisation of existing and new digital solutions • replace existing technology infrastructure and the end of its useful life.	**Date last reviewed:** September 2020
Risk Rating (consequence x likelihood): Initial: 4 x 4 = 16 Current: 4 x 3 = 12 Target: 5 x 2 =10 **Level of Control** = 50% **Date added to the HB risk register** 2012	
	Rationale for current score: C – Reliance on digital ways of working has increased. Loss of IT service has a greater impact on ability to provide clinical care. Lack of investment in new digital solutions to make services more effective will mean clinical service provision will become unsustainable. L- There has been an increase in the number of devices in circulation by 3000 (39%) over the last 4 years (2015-2018) without an increase in IT support capacity. HB are currently only able to replace devices that are over 7 years old. Call volumes and wait times have increased over the last 4 years. Key IT maintenance work is not being completed in a timely fashion. Investment required in Informatics to deliver the Digital strategy is greater than the funding currently available. Informatics budget is estimated to be 0.73% of the HB budget - well below the recommended 4%. Resources available to provide digital services could be reduced because of the boundary change.
	Rationale for target score: C – Of failure will increase as the reliance and proliferation of the use of digital solutions increases. L – Investment will mean the support mechanisms, rate of failure and ability to deliver solutions that meet the needs of users will improve sustainable digital services. There will however always be an inherent risk of failure of IT solutions.

Controls (What are we currently doing about the risk?)	**Mitigating actions (What more should we do?)**		
	Action	**Lead**	**Deadline**
• Digital strategy has been approved by the Health Board • Capital priority group for the HB considers digital risks for replacement technology which is fed into the annual discretionary capital plan • IBG process allows for investment requests in projects to be submitted to the HB for	Ensure informatics prioritisation process is embedded into the ways of working so that resource implications of digital solutions are transparent and agreed at outset of projects.	Assistant Informatics Business Manager	31st March 2021

consideration and provides scrutiny to ensure Digital resources required are considered for all projects • Informatics prioritisation process has been introduced to ensure requests for digital solutions are considered in terms of alignment to the strategy objective, technical solutions and financial implications • HB has invested £900k recurrently in the project staffing resources to facilitate the delivery of the Informatics Strategic Outline Plan • Working closely with WG to identify funding streams to support investment in digital including the approval of the Informatics Strategic Outline Plan	Ensure business cases requiring digital services include appropriate implementation and support costs.	Assistant Informatics Business Manager	31st March 2021
	Work with finance and the Health Board leadership team to identify additional revenue streams	Assistant Informatics Business Manager	31st March 2021
Assurances **(How do we know if the things we are doing are having an impact?)** • Progress has been made in securing capital investment both internally and externally for new developments • IBG and CPG processes are in place and ensuring highest technology replacement risks are being addressed • There are 22 active projects in place and being delivered • Digital enablement is a cornerstone of the organization strategy. Two of the strategies, 8 areas, of focus are digital enablement. • WG have announced (Oct 19) £50m investment into Digital Transformation in 19/20. The HB are awaiting final confirmation of its allocation which is indicated to be £1,390k capital and £1,060k revenue. Whilst this is under what was requested it will be utilised against priority requirements for the HB.	**Gaps in assurance** **(What additional assurances should we seek?)** Lack of certainty over future funding streams makes planning and implementation difficult/less effective Revenue model for support unclear given the financial pressures of the organisation.		
Current Risk Rating **4 x 3 = 12**	**Additional Comments** This is further impacted by the boundary change which could have significant impact on resources and capability to deliver digital services going forward. Internal processes have been established to ensure that all informatics costs are included in Business cases developed by Informatics. Representation from Informatics at IBG and the Scrutiny Panel. Strategic Outline Plan based on the three year IMTP will be presented to the Health Board on the 30th January 2020. Three year plan to be developed in line with the Health boards IMTP Planning process The Strategic Outline Plan will be based on the Three Year Plan which will be developed in line with the Health Boards IMTP Planning process. The updated Strategy digital overview, priorities and maturity assessment was presented to January 2020 Health Board. –The Action has therefore been closed off 31/1/2020 within Datix and progress reported through to Audit Committee.		

Datix ID Number: 1043 **Health & Care Standard: Effective Care 3.1 Clinically Effective Care**	**HBR Ref Number: 36** **Target Date: 31st March 2021**
Objective: Digitally enabled care	**Director Lead:** Chris White, Chief Operating Officer **Assuring Committee:** Audit Committee
Risk: Paper Record Storage: Lack of a single electronic record means there is greater reliance on the provision of the paper record. If we fail to provide adequate storage facilities for paper records then this will impact on the availability of patient records at the point of care. Quality of the paper record may also be reduced if there is poor records management in some wards.	**Date last reviewed:** September 2020
Risk Rating (consequence x likelihood): Initial: 4 x 5 = 20 Current: 4 x 3= 12 Target: 3 x 3 =9	**Rationale for current score:** C - Inability to find records for patients could delay care/increase length of stay over 15 days. Could also mean patients receive incorrect treatment L - we know this happens from incidents raised
Level of Control = 70%	**Rationale for target score:**
Date added to the HB risk register June 2016	C - Inability to find records for patients could delay care/increase length of stay over 15 days. Could also mean patients receive incorrect treatment L – RFID and digitalisation of the health record will reduce the constraints of the current filing methodology and reduce the volume of paper being added to the record. Further digitalisation of the paper record will reduce the reliance of clinicians on the paper record.

Controls (What are we currently doing about the risk?)

- Outpatient continuation Sheet has been rolled out and will form part of the plan to move Outpatients to paper light.
- MTED has been rolled out across Morriston and commenced in NPT
- Nursing Documentation (WNCR) piloted successfully in NPT
- Temporary retention and destruction plans are in place.
- Alternative storage arrangements are being identified and utilised where appropriate.
- Ward protocols and audits have been rolled out across sites.
- RFID project now approved. Implementation process has started and will change the way records are filed and release storage capacity.
- Roll out plan for WCP is in place and being enacted as outlined in the SOP
- All records must be documented and risk assessed in the Information Asset Register (IAR)
- Develop a case for improved storage solution both for paper and digitally.

Mitigating actions (What more should we do?)

Action	Lead	Deadline
Continue with the roll out of WCP	Interim Chief Information Officer	24th March 2021
Continue with roll out of digitisation of health record with a focus on Outpatients and Nursing documentation	Interim Chief Information Officer	30th March 2021
Develop case for improved storage solution for acute paper record.	Head of Health Records & Clinical Coding	24th March 2021

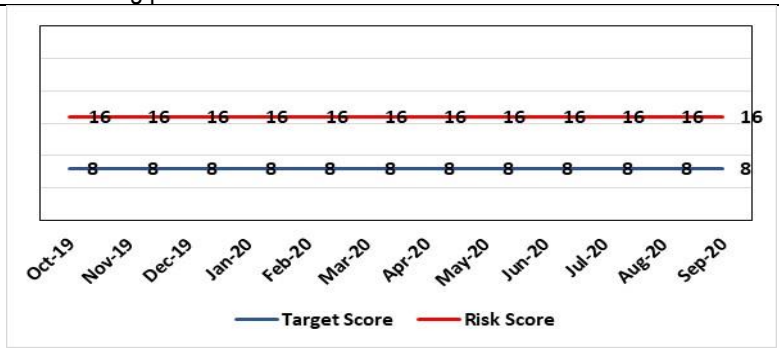
Assurances
(How do we know if the things we are doing are having an impact?)

- RFID has been implemented for the acute record improving the management of records

Gaps in assurance
(What additional assurances should we seek?)
Investment required supporting the delivery and operational costs of the Digital strategy.

• Health Records performance reports to be developed in line with RFID technology Attainment of the Tier 1 Health Board target for clinical coding completeness which relies on the timely availability and quality of the Paper record • Monitoring complaints and incident reporting Gaps in Assurance Investment required supporting the delivery and operational costs of the Digital Strategy. Reliance on NWIS for delivery of the solution for a fully electronic patient record. Impact of the infected Blood Enquiry on the health boards ability to destroy notes is increasing the pressure on storage capacity and negating some of the mitigating actions that are being put in place	Reliance on NWIS for delivery of the solution for a fully electronic patient record Impact of the Infected Blood Enquiry on the Health Boards ability to destroy notes.
Current Risk Rating **4 x 3 = 12**	**Additional Comments** All records must be documented and risk assessed in the Information Asset Register (IAR). This will mean that the risk can be quantified and understood. **Action - All SDU and corporate leads** Health Records Department will work with HB colleagues to develop a case for improved storage solution both for paper and digitally. In regard to the plans for the HB wide storage work, given the delay with the implementation of RFID, the timescales have been moved back slightly. Timescales for this work is as followed (based on current allocation of resources / no additional support. A dedicated project resource would get this done quicker) Scoping and requirements gathering exercise by October 19 - Options developed – Q4 2019-20 - Business case - Q1 2020-21 - Implementation Q3/4 2020-21 Discussions are ongoing with Welsh Health Supplies and Welsh Government on the availability of All Wales Records solution, the outcome of this scoping work will inform the options of the Business Case. Electronic results availability completed by August 2019. Other electronic documents ongoing. Timescales for completion of the Health Board storage work have slipped due to the impact of COVID and are now as follows:- - Options developed — Q1 20/21 - Business case - Q2 20/21 - Implementation Q1 21/22

Datix ID Number: 1217 **Health & Care Standard: Effective Care 3.1 Safer & Clinically Effective Care**	**HBR Ref Number: 37** **Target Date: 31st March 2021**
Objective: Best Value Outcomes from Quality Care	**Director Lead:** Chris White, Chief Operating Officer **Assuring Committee:** Audit Committee
Risk: Operational and strategic decisions are not data informed:- • Business intelligence and information already available is not utilized • Users are unable to access the information they require to make decisions at the right time • Gaps in information collection including patient outcome measures	**Date last reviewed:** September 2020
Risk Rating (consequence x likelihood): Initial: 4 x 3 = 12 Current: 4 x 4 = 16 Target: 4 x 2 = 8	**Rationale for current score:** C – Opportunity cost of not acting on data could mean opportunities for improvement are missed, failures are not identified in a timely manner resulting in adverse national publicity and/or delays in care/increased length of stay. L - Dashboard utilisation is lower than would be anticipated
Level of Control = 70%	**Rationale for target score:**
Date added to the HB risk register June 2016	C- will remain the same or increase due to increased reliance in information L- Investment in BI will lead to more information be available and used. The higher the use of information at operational level will lead to better quality data.



Controls (What are we currently doing about the risk?)	Mitigating actions (What more should we do?)		
	Action	**Lead**	**Deadline**
• COVID19 Dashboards Developed and are being used to inform the decision making process at Gold • Strategy developed but not presented to Board due to COVID19 • The Health Board has continued to invest in the provision of Dashboards and we have doubled our licensing stock for both QlikSense and QlikView Business Intelligence Platforms in 2018/19. • 17 dashboards in place including Mortality, Clinical Variation and Primary & Community Care Delivery Unit Dashboard and Ward Dashboard • Safety Huddle implemented in Morriston is improving data quality and improving operational working • Business Intelligent Information Manager appointed, who will take the lead for creating a Business Intelligence Strategy and Implementation Plan • Investment and revised ways of working introduced within the coding department have achieved coding targets and data quality • Flexible operational management of Coding Teams on a daily basis to cope with demand. Training programme in place for new coders. • Short term funding secured at year end to support mtg tier 1 targets, does not resolve ongoing issues • Information Dept. working with service leads in Planning and Finance to develop meaningful indicators also utilising dashboards to present information in a user friendly way • New technologies being reviewed for advanced analytics and integration into a new Health Board analytics platform.	Investment and implementation of system to record patient outcome measures	Assist Information Business Manager	24th September 2021
	Produce Business Intelligence Strategy and get signed off by the Board	Assist Information Business Manager	23rd October 2020
	Produce BI strategy implementation plan outlining investment requirements in capacity and capability	Assist Information Business Manager	22nd January 2021

• Ensuring that the Health Board has representation on national groups such as the newly formed Advanced Analytics Group (AAG), all Wales Business Intelligence and Data Warehousing Group and Welsh Modelling Collaborative.			
Assurances (How do we know if the things we are doing are having an impact?) More evidence based and proactive decisions being made. Dashboard technology; assist in developing indicators / triangulating information to identify issues	**Gaps in assurance (What additional assurances should we seek?)** Culture of the organisation needs to change to focus on information and Business intelligence for operational rather than reporting purposes. Capability of operational staff to utilise the tools and capacity to act on the intelligence provided.		
Current Risk Rating **4 x 4 = 16**	**Additional Comments** PROMS currently being collected in Lung Cancer (Morriston) August 2019, Cataracts August 2019, Hip & Knee (Morriston) November 2018, and Breast Cancer June 2019 using PKB. Also Heart failure, April 2019, in one Community Clinic. COVID19 Dashboards Developed and are being used to inform the decision making process at Gold 13.08.20 – Please note amended timescales against the actions.		

Datix ID Number: 1297 **Health & Care Standard: Safe Care 2.1 Managing Risk & Promoting Health & Safety**	**HBR Ref Number: 39** **Target Date: 31st March 2021**
Objective: Demonstrating Value and Sustainability Risk in Brief: If the Health Board fails to have an approvable IMTP for 2018/19 then we will lose public confidence and breach legislation.	**Director Lead:** Sian Harrop-Griffiths, Director of Strategy **Assuring Committee**: Performance and Finance Committee / Strategy, Planning and Commissioning Group Health Board
Risk: Operational and strategic decisions are not data informed:- Health Board does not have an IMTP signed off by WG, primarily due to the inability to align performance and financial plans. WG also advised that the Health Board needed to have a clear strategic direction by developing an Organisational Strategy and refreshing our Clinical Services Plan. In September 2016, the Health Board was escalated to 'targeted intervention' and having an approved IMTP is a key factor in improving our WG monitoring status.	**Date last reviewed:** September 2020
Risk Rating (consequence x likelihood): Initial: 4 x 4 = 16 Current: 5 x 4 = 20 Target: 4 x 2 = 8 **Level of Control** = 70% **Date added to the HB risk register** July 2017	
	Rationale for current score: Our Organisational Strategy was approved by the Board in November 2018 This Annual Plan includes a balanced financial plan. We have agreed with Welsh Government that we will continue our detailed planning and submit an approvable IMTP when ready. We have continued the work from January onwards on our detailed plans to submit an approvable IMTP when ready.
	Rationale for target score: If the IMTP is approved it is likely our targeted intervention status will be improved when next reviewed and the risk can be closed.

Controls (What are we currently doing about the risk?)

- Organisational Strategy approved by the Board in November 2018
- Clinical Services Plan approved by the Board in January 2019
- Annual Plan submitted to Board and approved in January for submission to Welsh Government, accepted as a draft
- Good feedback received on the document.
- Due to the complexities of the Bridgend transfer, the CEOs of CTM and SB UHBs have formally asked WG for support to resolve the issues and formal arbitration process was initiated by WG.
- The results of the arbitration is now received as is the outcome of the Due Diligence Review.
- The Transformation Programme to deliver the Organisational Strategy and CSP including programme approach was established in April 2019
- Continuous planning through our CSP Programme and IMTP process will work up detailed plans to develop an integrated three year plan in line with the national timescales.
- The new Operating Model and Delivery Support Team will contribute to delivery of the financial plan.
- An Annual Plan in a three-year context was submitted to Board and approved in March 2020 for submission to Welsh Government, accepted as a record of progress

Mitigating actions (What more should we do?)

Action	Lead	Deadline
IMTP development for 2020 -23 to test approvability with Performance Finance Committee.	Director of Strategy and Director of Finance	30th December 2020
Final plan to be submitted to Board for approval for submission to WG.	Director of Strategy	30th December 2020

• Good feedback received on the document. • National IMTP Processes suspended in March due to the Covid-19 outbreak – and remain suspended • Quarterly Operational Plans developed and submitted in line with national guidance			
Additional Comments IMTP Executive Steering Group in place for development of the integrated medium term plan. Integrated Planning Group in place to co-ordinate Transformation and planning activities and approaches • Performance and Finance Plans are be assured by the P&F Committee before presentation to Board •Through monthly IMTP briefings, TI meetings and bi-annual JET meeting with WG – planning approach and emerging plans discussed and WG fully supportive of the direction of travel.	**Gaps in assurance (What additional assurances should we seek?)** EIA in development for PFC assurance QIAs in development for joint PFC/Q&S assurance		
Current Risk Rating **4 x 5 = 20**	**Additional Comments** Need to note that P&F only looks at finance and performance, not the whole IMTP approval – that sits with Board. The W&OD Committee eg reviews the workforce plan. The HB submitted an Annual Plan to WG in March 2020 as a record of progress with our planning as the WG IMTP processes have been suspended due to the Covid-19 outbreak.		

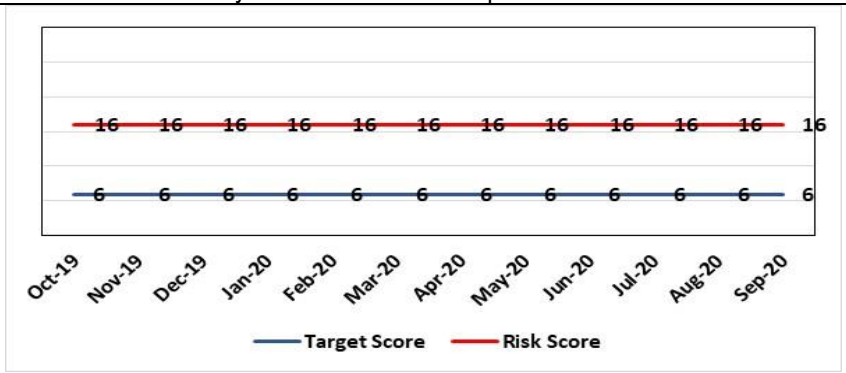
Datix ID Number: 1567 **Health & Care Standard: Safe Care 2.1 Managing Risk & Promoting Health & Safety**	**HBR Ref Number: 41** **Target Date: 31st December 2020**
Objective: Best Value Outcomes	**Director Lead:** Christine Williams, Interim Director of Nursing and Patient Experience **Assuring Committee:** Health and Safety Committee
Risk: Fire Regulation Compliance – one improvement notice received relating to MH&LD Unit. Uncertain position in regard to the appropriateness of the cladding applied to Singleton Hospital in particular (as a high rise block) in respect of its compliance with fire safety regulations.	**Date last reviewed:** September 2020
Risk Rating (consequence x likelihood): Initial: 5 x 3 = 15 Current: 4 x 3 = 12 Target: 3 x 3 = 9	**Rationale for current score:** Improvement notice in relation to MH&LD Unit. Uncertain position in regard to the appropriateness of the cladding applied to Singleton Hospital in particular (as a high rise block) in respect of its compliance with fire safety regulations. General compliance with fire regulations and WHTM/WHBN requirements
Level of Control = 50%	**Rationale for target score:**
Date added to the HB risk register 31/05/2018	Target Score should be lower

Controls (What are we currently doing about the risk?)	Mitigating actions (What more should we do?)		
• Fire risk assessments. • Evacuation plans (vertical and horizontal). • Fire safety training. • Professional advice sought on compliance of panels. • East flank panels removed • Business case being developed for south panel removal and updating .	**Action**	**Lead**	**Deadline**
	Change in fire evacuation plans and alarm and detection cause and effect	Head of Health & Safety	30th November 2020
	Finalise Business Case for permanent remediation of the external wall cladding to comply with HTM 05-02 and Building Control Regulations Approved Document B	Assistant Director of Strategy & Workforce	30th November 2020
	Replacing the existing cladding and insulation with alternative specifications and inserting 30 minute fire cavity barriers where appropriate	Assistant Director of Strategy & Workforce	31st March 2023

Assurances **(How do we know if the things we are doing are having an impact?)** • Monitoring through the H&S committee to receive assurance and or identify gaps for key compliance and adherence to applicable legislation. • NWSSP internal audits • Site visits/tours to identify compliance and gaps in compliances. • Completion of FRA's within targeted schedule	**Gaps in assurance** **(What additional assurances should we seek?)** Unclear if additional resources will be available
Current Risk Rating **4 x 3 = 12**	**Additional Comments** Professional assessment of panel compliance being taken forward with NWSSP-SES, building

	control and WG colleagues. W/c 26/8/19 Cladding being removed from East and West end of main block. Escape route on west end redirected with approval of Fire and Rescue Service. Removal of flank cladding completed at end of 2019. Business case being developed for removal of cladding on south side of building. Review of numbers of fire wardens completed by Unit and new wardens being trained. Rationale for current score: Improvement notice in relation to MH&LD Unit. Uncertain position in regard to the appropriateness of the cladding applied to Singleton Hospital in particular (as a high rise block) in respect of its compliance with fire safety regulations. General compliance with fire regulations and WHTM/WHBN requirements Also: Phase 2 cladding replacement works scheduled to commence October 2020. Scheduled meeting with MWWFRS in August 2020 to cover cladding and general fire precautions for SBUHB sites. Priority completion of fire risk assessments for sleeping risk. Review of health and safety team resources being undertaken, with a target date of November 2020 to present to H&S committee.

Datix ID Number: 1514 **Health & Care Standard: Safe Care 2.1 Managing Risk & Promoting Health & Safety**	**HBR Ref Number: 43** **Target Date: 31st March 2021**
Objective: Best Value Outcomes from High Quality Care	**Director Lead:** Christine Williams, Interim Director of Nursing & Patient Experience **Assuring Committee:** Quality and Safety Committee
Risk: If the Health Board is unable to complete timely completion of DoLS Authorisation then the Health Board will be in breach of legislation and claims may be received in this respect.	**Date last reviewed:** September 2020
Risk Rating (consequence x likelihood): Initial: 4 x 4 =16 Current: 4 x 4 = 16 Target: 3 x 2 = 6	**Rationale for current score:** Although processes have been planned or implemented, the impact is yet to be measured over a longer term, and the challenges of managing a large backlog of breaches.
Level of Control = 40%	Rationale for target score: Consequences of DoLS breaches for the Health Board will not change. With controls in place, over time likelihood should decrease.
Date added to the HB risk register July 2017	



Controls (What are we currently doing about the risk?)	Mitigating actions (What more should we do?)		
	Action	**Lead**	**Deadline**
• Supervisory body signatories increased from 3 to 7 • BIA rota now implemented • 2 x substantive BIA posts and additional admin post advertised • DoLS database updated and DoLS dashboard devised to enable more accurate monitoring and reporting • Process in place within P&C Unit for management of authorisations and identifications of breaches in timescales. The Corporate Safeguarding Team is monitoring this. • 31.07.19 2 WTE BIA's and a Band 4 Administrator have been appointed since April 2019. These individuals are managed by the Interim Head of Long Term Care, primary & Community Service Delivery Unit	Delivery of DOLS Action plan reviewed monthly (change coding above also)	Director Primary & Community	Monthly Review

Assurances **(How do we know if the things we are doing are having an impact?)** • Regular scrutiny at Safeguarding Committee and by DoLS Internal Audit; monitoring via DoLS Dashboard which is due to be rolled out imminently and will provide real-time accurate data.	**Gaps in assurance** **(What additional assurances should we seek?)**
Current Risk Rating **4 x 4 = 16**	**Additional Comments** All actions attributable to safeguarding completed and Internal Audit aware.

Datix ID Number: 1563 **Health & Care Standard: Safe Care 5.1 Access**	**HBR Ref Number: 48** **Target Date: 31st March 2021**
Objective: Best Value Outcomes from High Quality Care	**Director Lead:** Sian Harrop-Griffiths, Director of Strategy **Assuring Committee:** Performance and Finance Committee, Health Board
Risk: Failure to sustain Child and Adolescent Mental Health Services	**Date last reviewed:** September 2020
Risk Rating (consequence x likelihood): Initial: 4 x 4 = 16 Current: 4 x 4 = 16 Target: 4 x 2 = 8	**Rationale for current score:** The specialist CAMHS Network is delivered by Cwm Taf University Health Board on behalf of ABMU.
Level of Control = 50%	**Rationale for target score:**
Date added to HB the risk register 31/05/2018	

Controls (What are we currently doing about the risk?)	Mitigating actions (What more should we do?)		
	Action	**Lead**	**Deadline**
• Performance Scrutiny - is undertaken at monthly commissioning meetings between ABM & Cwm Taf University Health Boards. Improved governance -ensures that issues and concerns are discussed by all interested parties including local authorities to support the network identify local solutions. • New Service Model agreed and being established by Summer 2019 which should give further stability to service.	Additional investment expected - from Welsh Government is supporting the delivery of Waiting List Initiative clinics to support the position.	CAMHS network	31st March 2021
	The Network is seeking to recruit agency staff to fill existing and upcoming vacancies to ensure that core capacity is maximised.	CAMHS network	31st March 2021

Assurances **(How do we know if the things we are doing are having an impact?)**	**Gaps in assurance** **(What additional assurances should we seek?)**
Current Risk Rating **4 x 4 = 16**	**Additional Comments** The service is now in the 2nd cycle of CAPA with new job plans agreed from January, with updated demand & capacity mapping. WLI Clinics initiated at POW Hospital, Bridgend which enabled the 80% target to be achieved by end of end March. This was also achieved for NPT area. However Swansea had a significant backlog, which is starting to be addressed with waiting list initiatives from March 2018. Primary & specialist CAMHS services are delivered by Cwm Taf University Health Board on behalf of ABMU (although this will only be for Swansea & NPT from 1/4/19).

	Cwm Taf achieved the non-urgent 28 day target for specialist CAMHS by the end of March 2019. Their ability to sustain this performance is dependent on consistency and availability of staff which due to the small numbers in the various CAMHS teams can affect achievement of waiting times significantly. Target achieved in March 2019, then missed for a number of months, but achieved from September 2019. However performance is still inconsistent, and will remain so until the existing 3 teams have been integrated into one service across West Glamorgan. New service model being implemented from June 2020 which will stabilise service. A new pathway for CAMHS patients is currently being developed which provides advice on the appropriate actions for dealing with these children and young people and will reduce the need to hold them in the Emergency Department at Morriston.

Datix ID Number: 922 **Health & Care Standard: Effective Care 3.1 Clinically Effective Care**	**HBR Ref Number: 49** **Target Date: 31st July 2021**
Objective: Best Value Outcomes from High Quality Care	**Director Lead:** Richard Evans, Medical Director **Assuring Committee:** Quality and Safety Committee
Risk: Failure to provide a sustainable service for Trans-catheter Aortic Valve Implementation (TAVI)	**Date last reviewed:** September 2020
Risk Rating (consequence x likelihood): Initial: 5 x 5 = 25 Current: 4 x 4 = 16 Target: 3 x 4 = 12 **Level of Control** = 50% **Date added to the HB risk register** July 2016	
	Rationale for current score: • External review undertaken by Royal College of Physicians which will likely indicate that patients have come to serious harm as a result of excessive waits. • Remains significant reputational risk to the Health Board **Rationale for target score:** External review by the Royal College of Physicians will provide a view on improvement required immediately and for sustainability.

Controls (What are we currently doing about the risk?)	**Mitigating actions (What more should we do?)**		
	Action	**Lead**	**Deadline**
• TAVI Recovery Plan implemented and backlog has been cleared.. • Plan is supported with Executive oversight at fortnightly TAVI OG meeting. • TAVI has been prioritised in next year's WHSSC ICP for 2020/21. The UHB has commissioned the Royal College of Physicians to undertake a review of the service. Final report awaited, but anticipated that this will indicate that patients have come to serious harm	Commission external review of the service by the Royal College of Physicians (Awaiting report)	Directorate Manager	30th November 2020
Assurances **(How do we know if the things we are doing are having an impact?)** Reduction in waiting times for TAVI. Appointment to key posts (medical & nursing).	**Gaps in assurance** **(What additional assurances should we seek?)**		
Current Risk Rating **4 x 4 = 16**	**Additional Comments** Business case for WHSSC funding has been agreed. There is considerable reputational risk to the organisation on the outcome of the Royal College of Physicians review. Medical director in receipt of RCP report which will be shared widely in due course. Extensive validation of pathway start dates for cardiothoracic and TAVI patients from external health boards has taken place (in line with recommendations from DU report). Patients are now reported with true reflection of actual wait which has resulted in a reported position of 5 patients waiting >36 weeks. All patients will have TCI date before end of December 2019. As part of external review, we have employed the 2nd TAVI nurse. The service remains challenging due to unscheduled care pressures particularly around cardiac short stay and also DDW has in recent weeks been closed to Norovirus. We are as a service soon to hit a 100 patient procedures as per contract base with WHSSC which leaves us with any new		

	patient who presents in Feb/March with a plan to undertake their procedures from a financial perspective. Update from Service Group Manager/Snr Matron 30/6/20 - Service is currently commissioned to undertake 100 procedures per annum ie, one list a week. Demands on service mean that currently two lists per week as being undertaken through an amended weekly timetable for team. Service has been asked by RE, Medical Director, that they support 3 lists per week. Senior Matron, advises currently enough nursing budget on DDW to run two TAVI lists per week, however at present it is difficult to meet the nursing demands for the service due to COVID pandemic (clean and dirty pathway for patients). Pathways for TAVI are now correct having been reviewed in depth over the last one year. Service Group Manager, advises a new business case needs to be considered through weekly Gold Command meetings chaired by Medical Director Risk at the moment can be reduced to 16. Cardiac Regional Service are trying to provide elective planned service and emergency service across a wider clinical area. JT meeting with Matron (LM), Anwen, Gwen 7/7/20 to agree what nursing is required (1:3 PACU type acuity - can cause some pressures on green / red pathways). Update from Senior Matron - It has been agreed that the staffing ration for patients will be 1:3 – current staffing on DDW allows for 2 lists per week to be provided. Any additional patients who are done or who are done on the red pathway will were possible be recovered in CCU. If bed not available there will be a risk assessment undertaken of the patients post procedure care needs, and the acuity of the other patients on the ward. Based on this an additional nurse may be required for the day and possibly the night shift. This is not funded and to note currently DDW can accommodate 2 lists per week but only one of these is funded.

Datix ID Number: 1761 **Health & Care Standard: Timely Care 5.1 Access**		**HBR Ref Number: 50** **Target Date: 31st March 2021**
Objective: Best Value Outcomes from High Quality Care		**Director Lead**: Chris White, Chief Operating Officer **Assuring Committee:** Performance and Finance Committee
Risk: Access to Cancer Services - Failure to sustain services as currently configured to meet cancer targets		**Date last reviewed:** September 2020
Risk Rating (consequence x likelihood): Initial: 4 x 5 = 20 Current: 5 x 5 = 25 Target: 4 x 3 = 12		**Rationale for current score:** Whilst every effort is being made to maintain cancer treatment, surgical cancer activity in particular is being impacted upon by both the reduction in elective theatre capacity and availability in critical care beds
Level of Control = 70%		**Rationale for target score:**
Date added to the HB risk register April 2014		Target score reflects the challenge this area of work present the Board and where small numbers of patients impact on the potential to breach target

Controls (What are we currently doing about the risk?)

- Tight management processes to manage each individual case on the unscheduled care (USC) Pathway.
- Initiatives to protect surgical capacity to support USC pathways have been put in place in RGH and PCH to protect core activity.
- Prioritised pathway in place to fast track USC patients.
- Ongoing comprehensive demand and capacity analysis with directorates to maximise efficiencies.
- Overall Cancer target performance plateau at around 90% with ongoing monitoring of related actions in place at F,P&W Committee.
- Small numbers of patients breaching which is impacting on sustained delivery of the 31 and 62 day target.
- Rapid Diagnostic Clinic established at Neath Port Talbot Hospital. Discussions are ongoing with regard to patient flow and the boundary changes. Discussions are being held with the Executive team regarding the future direction and provision of the RDC service. Work is also ongoing to roll out the concept of the RDC across Wales.
- Delivery Units have Cancer Trackers to closely monitor and 'pull' patients through their pathways. Weekly cancer performance meetings are held at both Singleton and Morriston Delivery Units. Also a weekly HB Cross Unit Cancer performance meeting is held. This meeting is led by the Cancer Lead Manager/Cancer Information Team and the Units are challenged on delays and service issues.

Mitigating actions (What more should we do?)

Action	Lead	Deadline
Phased and sustainable solution for the required uplift in endoscopy capacity that will be key to supporting both the Urgent Suspected Cancer backlog and future cancer diagnostic demand on Endoscopy Services.	Service Group Manager	30th November 2020
To explore the possibility of offering SBAR RT for high risk lung cancer patients in SWWCC	Service Manager Surgical Services	30th November 2020
Establishment of mobile unit to carry out PET/CT scans for Swansea and South West Wales patients.	Radiology Services Manager	30th November 2020
Introduce COVID testing for Oncology and Haematology patients and staff involved in service delivery in line with national guidelines.	Service Manager Surgical Services	30th November 2020

• The tumour sites of concern across the HB for breaches are now Breast, Gynaecological and Lower GI. Forecast performance remains a significant risk until sustainable solutions are identified for these tumour sites and new staff appointments to support tracking and pathways are fully embedded within services.	Continue to expand our Surgery capacity to allow our complex cancer surgeries to deal with any backlog of patients	Directorate General Manager	30th September 2020
Assurances **(How do we know if the things we are doing are having an impact?)** General improvement (sustained) trajectory. Need to continue improvement actions and close monitoring. Early diagnosis pathway launched and impact being closely monitored.	**Gaps in assurance** **(What additional assurances should we seek?)** Clear current funding gap.		
Current Risk Rating **5 x 5 = 25**	**Additional Comments** The need to deliver sustained performance. Whilst every effort is being made to maintain cancer treatment, surgical cancer activity in particular is being impacted upon by both the reduction in elective theatre capacity and availability in critical care beds due to the COVID-19 outbreak. Covid screening is in place for all patients starting their 1st cycle of SACT and for all Lung RT patients.		

Datix ID Number: 1759 **Health & Care Standard: Staff & Resources 7.1 Workforce**	**HBR Ref Number: 51** **Target Date: 31st March 2021**
Objective: Excellent Staff	**Director Lead:** Christine Williams, Interim Director of Nursing **Assuring Committee:** Workforce and OD Committee
Risk: Non Compliance with Nurse Staffing Levels Act (2016)	**Date last reviewed:** September 2020
Risk Rating (consequence x likelihood): Initial: 4 x 4 = 16 Current: 4 x 5 = 20 Target: 4 x 2 = 8	**Rationale for current score:** • Increased risk as a result of reduction in staff availability as a result of staff isolation/sickness - Covid-19. Frequently below minimum staffing number requirements.
Level of Control = 80%	**Rationale for target score:** • The Health Board is ensuring we have the structures and processes in place to provide reassurance under the Act and are allocating resources accordingly. • Health Boards are duty bound to take all reasonable steps to maintain nurse staffing levels.
Date added to the HB risk register November 2018	

Controls (What are we currently doing about the risk?)

The Health board has put the following controls in place:-

Additional Control's introduced in March include:

- Daily Silver Nurse staffing Cell meetings chaired by Executive Director of Nursing & Patient Experience to discuss hot spots and the staff available across the Health Board.
- Nurse Bank fully utilised and part of the nurse staffing meetings, Unit Nurse Directors can now sanction non contract agency without Executive approval to maintain a safe service.
- Corporate Nursing 7 day rota introduced.
- Database set up to record wards that have been repurposed as novel wards (COVID-19)
- Set up COVID-19 Corporate Training and Education Hub which outlines a clear plan for training and education
- Approved Registered Staff who have retired from the Nursing Midwifery Council Register in the last three years have been contacted with a view to return to practice and into the Health Board workforce.
- Delivery Units have appropriately deployed of ward nurses to key areas. And also administration staff utilised to release nurses into providing care.
- Student nurses have returned to clinical practice which has been supported corporately.

Existing Controls

- Confirmed the designated person
- Represented the All-Wales Nurse Staffing Group and its sub groups
- Contributed with the work undertaken at an all-Wales level on Acuity levels of care.
- Undertaken a formal review across all acute Service Delivery Units for calculating and reporting

Mitigating actions (What more should we do?)

Action	Lead	Deadline
The Ward Sister / Charge Nurse and Senior Nurse should continuously assess the situation and keep the designated person formally appraised.	Director of Nursing & Patient Experience	20th November 2020 Monthly ongoing
The Board should ensure a system is in place that allows the recording, review and reporting of every occasion when the number of nurses deployed varies from the planned roster. *(Progress being made, last paper went to Board in November 2019. Paper accepted by the Board)*	Director of Nursing & Patient Experience	5th October 2020
The responsibility for decisions relating to the maintenance of the nurse staffing level rests with the Health Board should be based on evidence provided by and the professional opinions of the Executive Directors with the portfolios of Nursing, Finance, Workforce, and Operations.	Director of Nursing & Patient Experience	5th October 2020
Risk register to be reviewed monthly to ensure compliance	Director of Nursing & Patient Experience	Monthly ongoing

nurse staffing requirements to ensure a Health Board wide consistent approach is adopted. • Presented a Health Board position status paper to both Board & Executive team outlining the preparedness for the Nurse Staffing Act (Wales). • Conducted a review of workforce planning procedures, for 2018 to 2021, which includes; Health Board recruitment events, retention, workforce planning & redesign, training and development. • Developed a monthly Health Board Multidisciplinary Nurse Staffing Act Task & Finish Group, chaired by the Interim Deputy Director of Nursing & Patient Experience, which reports to Nursing and Midwifery Board and Workforce & Organisational Development Committee. • Provided acuity feedback sessions to all Service Delivery Units included in the June audit. • Formally launched the Nurse Staffing (Wales) Act Guidance. • Raised the issue regarding Information Technology barriers around the capture of data required for the Act on an All- Wales and Health Board basis. • Circulated the Welsh Levels of Care and Operational Handbook to Service Delivery Unit Leads. • Confirmed the 32 acute medical & surgical clinical areas that fall within the Act. These areas have been agreed using the criteria set out in the Operational Handbook. • A Rigorous data approval process has been put in place to ensure accuracy of the 6 monthly acuity data prior to sign off. There has also been a number of workshops organised across the organisation to ensure a consistent approach to data collection and there is national work on solutions for electronic capture of acuity data. • The NSA Steering group continues to meet on a monthly basis. • Risks are presented at each meeting • Scrutiny panels are held for each SDU following the submission of acuity templates. • Impact assessment work is being undertaken to prepare for further roll out of the Act.	Health Board should agree the operating framework for these decisions to include actions to be taken, and by whom.	Director of Nursing & Patient Experience	5th October 2020
Assurances (How do we know if the things we are doing are having an impact?) • Ongoing robust recruitment and retention plans in place to reduce vacancies in key clinical areas, which is in line with the Health Board recruitment plan. • Accurate reporting of Acuity data and governance around sign off. • Implement mobile devises to be used within adult acute medical and surgical wards included within the Act in readiness for the June Adult Acuity Audit. • Agreed establishments to funded. • Implementation of E-Rostering to enable accurate reporting of Compliance • Implement all Wales Templates, which are visible and signed within the agreed 32 ward areas, informing patients of planned roster. • At least Yearly Board reports outlining compliance and any key risks. August 2019 update In line with the Boundary changes there are now 29 reportable wards which excludes POW. E-rostering has been rolled out in Singleton and Morriston is in the process of being rolled out. Scrutiny panels are in place. Following the investment already provided to the funded establishments. The overall risks have reduced as outlined above. The quality and accuracy of the Acuity data has improved.	**Gaps in assurance** **(What additional assurances should we seek?)**		

Current Risk Rating **4 x 5 = 20**	Non Compliance with Nurse Staffing Levels (Wales) Act (2016) The Nurse Staffing Levels (Wales) Act, which received Royal Assent on 21st March 2016, places an overarching duty on Local Health Boards and NHS Trusts in Wales to ensure that nurses have time to care sensitively for their patients and codifies current best practice for determining nurse-staffing levels. It requires Local Health Boards and NHS Trusts in Wales to calculate and maintain staffing levels in specific clinical areas, which are Adult acute Medical & Surgical wards. In accordance with the Act, Health Boards/Trusts must submit annual reports to their board and three-yearly reports to Welsh Government in relation to their compliance with the staffing levels, the impact upon the quality of care where the nurse staffing level was not maintained and the actions required in response to this. The Act currently requires the reporting of adult acute medical and surgical inpatient wards, 32 wards in total across the Health Board. In preparation for the Act Service delivery Units have all produced detailed risk assessments in preparation for the Act: Morriston 20 Singleton 16 NPT 6 POW 16 Current Status Singleton 15 Morriston 15 NPT 6. Operating Framework in place. Progress is being made the last paper went to Board November 2019. The paper was accepted by the Board. Letters have been sent to Morriston & Singleton Delivery Unit confirming the outcome of Novembers Board and support for Funding. The templates are being signed. NPT Delivery Unit has already received a letter. 1st June due to COVID-19 a letter was received from the Chief Nursing Officer (Wales) outlining the impact of COVID-19 and actions to be considered. The Bi-Annual Nurse Staffing Act paper was postponed and a COVID-19 paper in relation to the disruption to the Nurse staffing levels Act was presented to May's Board in its place. The paper was based on an All Wales Template. Staffing has improved across the Health Board although the score remains the same in light of the uncertain time and a number of factors relating to the Covid-19 situation. Daily Silver Nurse staffing Cell meetings stood down on 30.7.20. The frequency and timings of these meetings will be reviewed at times of COVID Level 4 Super Surge level as per SOP “Nurse Resource during COVID -19”. Corporate Nursing 7 day rota stood down will be re-established when required. Reduction in vacancy factor Band 5 - 309 wte Band 2- 13 wte as at 9.7.2020. Student Streamlining - 151 due to commence September 2020. Plan to implement Safecare acuity based rostering tool in September 2020 QIA in progress. Jan 20 Acuity audit. The retrospective triangulation review has been undertaken in July 20. July 20 Acuity audit has been undertaken. The scrutiny panels set up in September 20.

	Risk Register has been reviewed and remains at 20 due to unpredictability at present with COVID-19 July Acuity Scrutiny panels have been re set for October 2020. Paediatrics Task & Finish Group has been formed in preparation for the extension of the Act. Current Risk remains at 20 due to the uncertainty surrounding COVID.

Datix ID Number: 1763 **Health & Care Standard: Staff & Resources 7.1 Workforce**		**HBR Ref Number: 52** **Target Date: 31st March 2021**
Objective: Partnerships for Care – Effective Governance		**Director Lead:** Sian Harrop-Griffiths, Director of Strategy **Assuring Committee:** Performance and Finance Committee
Risk: The Health Board does not have sufficient resource in place to undertake engagement & impact assessment in line with strategic service change		**Date last reviewed:** September 2020
Risk Rating (consequence x likelihood): Initial: 4 x 4 = 16 Current: 4 x 3 = 12 Target: 4 x 2 = 8		**Rationale for current score:** •
Level of Control = 50%		**Rationale for target score:** • All of these areas need to have adequate resourcing and robust processes / policies in place for the organisation to make robust plans, engage public confidence and meet our statutory and public duties.
Date added to the HB risk register November 2018		

Controls (What are we currently doing about the risk?)

- Engagement – a temporary post was created for a Head of Engagement for 6 months. The impact of this post was evaluated and will be used to inform the structures change (Operating model). In the meantime the Band 5 has been backfilled to support engagement activities. Robust processes are, however, in place as agreed with the CHC and based on best practice guidance.
- Impact Assessment - A JD has been drafted. The post has now been put forward as part of the CSP support package. Will be taken forward as part of the review of Executive portfolios regarding Equalities.
- Commissioning - two temporary posts are in place until the end of 2019/20 to support the disaggregation programme relating to Bridgend. Will be considered by the Joint Executive Group as part of the resource assessment for the ongoing legacy of the Bridgend transfer.
- Planning - 2 temporary unfunded posts in place (Partnerships Manager and Older people's Programme Manager). Executive Team agreed to fund these, as well as appoint an Acute Care Planning Manager. Core department resources have been aligned to the needs of the CSP and a range of additional posts have been put forward in the resource assessment for the Transformation Portfolio.
- Robust policies and processes to be in place for Impact Assessment going forward.

Mitigating actions (What more should we do?)

Action	Lead	Deadline
Agreement of dedicated resource to support Engagement activity – through structure reviews	Director of Transformation	30th November 2020
Conclude work on Exec Equalities portfolios	Interim Assistant Director of Strategy	30th November 2020
Appoint to agreed Planning posts	Interim Assistant Director of Strategy	31st December 2020

Assurances (How do we know if the things we are doing are having an impact?)
Temporary additional resource in place for CSP (part of requirements). Now agreed by the Executive Team. Equality Impact specialist advice and support to be considered as part of Exec portfolios for equality review.

Gaps in assurance
(What additional assurances should we seek?)
Permanent additional resources not yet available

Current Risk Rating **4 x 3 = 12**	**Additional Comments**

Datix ID Number: 1762 **Health & Care Standard: Staff & Resources 7.1 Workforce**	**HBR Ref Number: 53** **Target Date: 31st March 2021**
Objective: Partnerships for Care	**Director Lead**: Pam Wenger**,** Director of Corporate Governance **Assuring Committee:** Health Board (Welsh Language Group)
Risk: Failure to fully comply with all the requirements of the Welsh Language Standards, as they apply to the University Health Board.	**Date last reviewed:** September 2020
Risk Rating (consequence x likelihood): Initial: 5 x 3 = 15 Current: 5 x 3 = 15 Target: 3 x 3 = 9	**Rationale for current score:** As a consequence of an internal assessment of the Standards and their impact on the UHB, it is recognised that the Health Board will not be fully compliant with all applicable Standards. This position has been confirmed/verified via an independent baseline assessment.
Level of Control = 60%	**Rationale for target score:** Working through its related improvement plan the likelihood of noncompliance will reduce as awareness and staff training in response to the Standards, is raised.
Date added to the HB risk register November 2018	

Controls (What are we currently doing about the risk?)

- An independent baseline assessment of the Health Board's position against the Standards has now been undertaken. This is in addition to the Health Board's own self-assessment.
- Work to implement the recommendations contained within the above baseline assessment has commenced.
- An online staff Welsh Language Skills Survey has been launched.
- A Welsh Language Officer (WLO) has now been recruited, and is expected to take up her post imminently
- Close constructive working relationships are in place with the Welsh Language Commissioner's Office
- Strong networks are in place amongst Welsh Language Officers across NHS Wales to inform learning and development of responses to the Standards.
- Proactive communication and marketing activity is being undertaken across the Health Board to raise awareness of Welsh language compliance, customer service standards and training opportunities.

Working with NHS Wales Shared Services (NWSSP) to achieve compliance for workforce and recruitment standards.

Mitigating actions (What more should we do?)

Action	Lead	Deadline
Review and update the Welsh Language Standards Action Plan to reflect the findings of the independent baseline assessment	Director of Corporate Governance	31st January 2021
Following the appointment of the WLO, reinstate quarterly meetings of the Welsh Language Delivery Group.	Director of Corporate Governance	31st January 2021
Ensure the Board is fully sighted on the UHB's position through regular reporting to the Health Board. Update reports issued to the Executive Team and Board.	Director of Corporate Governance	31st January 2021

Assurances (How do we know if the things we are doing are having an impact?)

1. Compliance with Statutory requirements outlined in Welsh Language Act and related Standards.
2. Meetings with the Welsh Language Commissioner.

Gaps in assurance
(What additional assurances should we seek?)
Meetings of the Welsh Language Standards Delivery Group, which is charged with 'overseeing compliance with the Welsh Language Standards and reporting on such to the Executive Board and the Board' need to be reinstated once the Welsh Language Officer has taken up her post.

Current Risk Rating	Additional Comments

5 x 3 = 15	The self-assessment and independent baseline assessment has confirmed that the Health Board is not able to fully comply with all the Standards at this time and that the Health Board will need to take a risk management approach to the delivery of the standards. Ongoing gap in the team following the retirement of the Welsh Language Officer in December 2019. A new Welsh Language Officer has been appointed and will be taking up her post imminently.

Datix ID Number: 1724 **Health & Care Standard: Safe Care 2.1 Managing Risk & Health & Safety**	**HBR Ref Number: 54** **Target Date: 1st January 2021**
Objective: Partnerships for Care	**Director Lead:** Sian Harrop-Griffiths, Director of Strategy **Assuring Committee:** Health Board (Emergency Preparedness Resilience and Response Group)
Risk: Failure to maintain services as a result of the potential no deal Brexit	**Date last reviewed:** September 2020
Risk Rating (consequence x likelihood): Initial: 4 x 5 = 20 Current: 5 x 3 = 15 Target: 3 x 2 = 6	**Rationale for current score:** The initial risk assessment is based on the fact that significant work needs to take place to understand the risks in terms of the Health Board's ability to maintain services as business as usual
Level of Control = 70%	**Rationale for target score:** By undertaking the actions highlighted it is anticipated that the arrangements put in place will ensure business as usual in light of a no deal Brexit.
Date added to the HB risk register November 2018	

Controls (What are we currently doing about the risk?)

- All services to identify high risks related to Brexit on risk register Engagement in health national groups
- Welsh Government is working with NWSSP procurement to commission a review of devices and consumables supply chain in Wales to complement the work already completed at UK level.
- Welsh Government has put in place national communication and co-ordination arrangements, including:
  - A Brexit Ministerial Stakeholder Advisory Forum made up of senior leaders from across the sector, and led by the Cabinet Secretary for Health and Social Services and the Minister for Children, Older People and Social Care;
  - An EU Transition Leadership Group, chaired by WG focusing on ensuring operational readiness arrangements for both health and social services in Wales (terms of reference attached);
  - Regular meetings of NHS emergency planners, chaired by Welsh Government, as part of established resilience arrangements;
  - A 4 Nations public health group addressing public health associated risks and health security concerns, and a joint Welsh Government – Public Health Wales working group considering specific Welsh issues;
  - Working in partnership with the Welsh NHS Confederation to ensure ongoing flexible and effective communication and engagement between us and other stakeholders in the health and care system; and Regular updates on Brexit to the monthly NHS Wales Executive Board meetings.
  - Assessing command and control requirements
  - Work programme monitored via EPRR Strategy Group
  - All services to complete business continuity plans

Mitigating actions (What more should we do?)

Action	Lead	Deadline
To review and rehearse promptly the existing business continuity and resilience/contingency arrangements, and to do so working with your local and regional partners, including through your local resilience forums.	Head of Emergency Preparedness, Resilience & Response	(Monthly meetings to resume in September) 30th September 2020

○ all services to identify high risks related to Brexit on risk register ○ Engagement in health national groups			
Assurances (How do we know if the things we are doing are having an impact?) • Work programme in place and monitored via EPRR Strategy Group • All services to complete business continuity plans	**Gaps in assurance (What additional assurances should we seek?)** To understand from the review what arrangements need to be in place to minimise the risks in relation to a potential no deal Brexit.		
Current Risk Rating **3 x 5 = 15**	**Additional Comments** There is an obligation to maintain critical services and business as usual in an emergency and this includes Brexit and consequently there is the potential for disruption in commercial and public services and therefore supplies, services, transport, fuel, border issues, EU national issues, immigration, critical infrastructure, energy and command resilience etc. All EPRR and Brexit meetings were postponed temporarily due to the Covid-19 pandemic but are due to resume in September and updates will then be noted onto the risk.		

Datix ID Number: 1799 **Health & Care Standard: Controlled Drug 2.6 Medicines Management**	**HBR Ref Number: 57** **Target Date: 31st December 2021**
Objective: Best Value Outcomes of High Quality Care	**Director Lead**: Richard Evans, Executive Medical Director **Assuring Committee**: Audit Committee
Risk: Non-compliance with Home Office Controlled Drug Licensing requirements	**Date last reviewed:** September 2020
Risk Rating (consequence x likelihood): Initial: 5 x 4 = 20 Current: 4 x 4 = 16 Target: 4 x 2 = 8	**Rationale for current score:** The Health Board has limited assurance regarding whether or not it is compliant with Home Office Controlled Drug Licensing requirements at the present time, nor does it currently have processes in place to ensure any future service change complies. Risk: That the Health Board is operating in breach of the law by managing controlled drugs without an appropriate Home Office Controlled Drug License. Legal advice provided to the Health Board has indicated that failure to comply with the Home Office Controlled Drug licensing requirements could result in criminal and civil action, both against responsible individuals and the Health Board as a public body. Work has commenced to fully understand the licensing situation along with the drafting of a detailed policy that will ensure compliance going forward. Risk: That the Health Board is maintaining unnecessary Home Office Controlled Drug Licenses. Each Home Office Controlled Drug license costs around £3k plus additional administrative set-up and maintenance costs. Health Board wide scrutiny is required to ensure no unnecessary licenses are held (one such example has recently been discovered).
Level of Control = 40%	**Rationale for target score:**
Date added to the HB risk register January 2019	Once the new policy is complete and has been checked for legal compliance to the Home Office regulations there will be a training session held with all clinical areas supported at Executive level. The work currently underway includes checking areas of concern for compliance with the regulations.

Controls (What are we currently doing about the risk?)	Mitigating actions (What more should we do?)		
	Action	**Lead**	**Deadline**
Legal advice received and principles upon which to decide whether a Home Office Controlled Drug License would be required have been drafted. This forms the basis of a detailed policy that is currently in draft form. This will be sent for legal ratification to ensure compliance to the Home Office regulations. The Home Office have been advised work is currently being completed as a matter of urgency. Areas of specific concern regarding license compliance are being visited to enable an accurate assessment. Additionally work is underway to develop a governance framework to ensure responsibility for management and use of controlled drugs is fully understood within the delivery units. The framework will enable both the Controlled Drug Accountable Officer and the Health Board Medical Director to discharge their individual accountabilities. The Executive Medical Director, the Executive Director of Nursing and the Chief	Training session to be held for all clinical areas. All delivery units will be required to identify a responsible manager and ensure compliance with both the CD Licensing Policy and the new framework for management and use of controlled drugs.	Clinical Director of Medicines Management (Pending internal corporate governance review of controlled drugs governance in new organization)	30th November 2020 (Pending policy development and sign off in conjunction with Home Office)

Pharmacist/CDAO are fully involved and supportive of any potential changes for delivery units. .			
Assurances **(How do we know if the things we are doing are having an impact?)** • To date the HB has received legal advice. Pending policy development, the principles contained within the legal advice are referred to when issues are raised in order to provide consistency in arrangements.	**Gaps in assurance** **(What additional assurances should we seek?)** The Health Board will develop a license compliance register, this is expected to be maintained by the Corporate Governance Team thus ensuring there is sufficient segregation of duty.		
Current Risk Rating **4 x 4 = 16**	**Additional Comments** The Home Office are aware that the Health Board have sought independent legal advice regarding the situations where a Home Office Controlled Drug license is required. Advice received to date from the Home Office regarding particular scenarios of Controlled Drug management by the Health Board has differed from the independent legal advice received. The Home Office are currently awaiting the Health Board policy on this matter so that they can review our position. Once completed the policy outlining the Health Board position on Controlled Drug licensing will be shared with both Welsh government and all other Health Boards in Wales as the Swansea Bay UHB position is likely to be used by the Home Office as a precedent. A baseline audit and assessment of current Controlled Drug management across the Health Board (including the degree of 'management and control' exercised) against the recently received legal advice. A baseline audit and review of any Home Office Controlled Drug licenses currently held by the Health Board. Ratification of a specific HB policy on need for HO licenses will go to HB Q&S at the end of August for sign off. After ratification the HB will start negotiations with the HO.		

Datix ID Number: 146 **Health & Care Standard: Effective Care 3.1 Clinically Effective Care**	**CRR Ref Number: 58** **Target Date: 31st March 2022**
Objective: Excellent Patient Outcomes	**Director Lead**: Chris White. Chief Operating Officer **Assuring Committee**: Quality and Safety Committee
Risk: There is a failure to provide adequate clinic capacity to support follow-up patients within the **Ophthalmology** specialty. The consequence of this failure is a delay in patients with chronic eye conditions accessing ongoing secondary care monitoring of diagnosed conditions with the potential risk of permanently impairing eyesight.	**Date last reviewed:** September 2020
Risk Rating (consequence x likelihood): Initial: 5 x 5 = 25 Current: 4 x 5 = 20 Target: 4 x 1 = 4 **Level of Control** = 40% **Date added to the HB risk register** December 2014	
	Rationale for current score: Sustainable plans underway - short term measures in process of being implemented. Serious incidents being reported to WG. Gold Command exec-led oversight established November 2018. Risk rating increased to 25 January 2019 as instructed by Gold Command. LJ advised change risk score to 16, 03/04/2019 as Probable x Major. Risk rating increased to 20 in July 2020 due to Covid-19 pandemic.
	Rationale for target score:

Controls (What are we currently doing about the risk?)

- All patients are categorised by condition in order to quantify issue. Second glaucoma consultant appointed November 2018.
- Additional accommodation secured to increase capacity; implementation plan under development. Welsh government funding secured for 2019/20 to employ additional activity and deliver some services in a community setting. Virtual clinics established.
- Service Manager for Ophthalmology providing regular updates via Planned Care Programme.

Mitigating actions (What more should we do?)

Action	Lead	Deadline
An overall Sustainability Plan to be delivered (Gold command process in place)	Service Group Manager Surgical Specialties	30th November 2020

Assurances
(How do we know if the things we are doing are having an impact?)

- A Welsh Government pilot programme was implemented in June 2014. The purpose of the HES project is to use clinic capacity to assess, review and treat patients within clinical priority rather than prioritising new patients based on their waiting time. A Project Management Lead was in post to deliver on the HES objectives.

Gaps in assurance
(What additional assurances should we seek?)
Extended waiting times for patients requiring routine clinical intervention, but these are still listed as per RTT guidance.

Current Risk Rating
4 x 5 = 20

Additional Comments
Additional Glaucoma practitioner (temporary for 12 months) commenced in post 11/06/2018.

	2nd Glaucoma Consultant started 05/11/2018. Accommodation in Corridor 3 reconfigured 08/02/2019. Further work needed on accommodation and additional rooms required. Ongoing discussions continue with Singleton Unit so that space can be created to house a co-located Ophthalmology Department Middle grade doctor to commence in post April 2019. Monthly tracker of glaucoma backlog patients indicates reduction of over 800 patients to end of January 2019. Diabetic Retinopathy Virtual Review clinics are to be increased via a WG funded successful bid. Reviewed by AD& PT Sustainable plans are under way and are on target against follow up trajectory backlog. 20/21 sustainable plans are currently being drafted. Risk score reviewed to maintain at 20. Although routine outpatients appointment are not being undertaken due to COVID-19 those patients at high risk i.e. wet AMD are still being seen and receiving treatment and those patients in other high risk specialties such as glaucoma are being reviewed virtually and if deemed necessary attending for urgent appointments. Since the advent of the Covid-19 outbreak only the following essential Eye services have been maintained during Covid 19. • AMD treatments • Retina services • Rapid Access Eye clinic (RACE - Eye Casualty) As a consequence the progress made through the previous eye care initiatives has been reversed. During the pandemic the following has been achieved: • Paediatric – 2 consultants have started with a post Covid timetable covering Hywel Dda sessions under SLA contract. • Diabetic Retina – Band 4 Coordinator appointed from interview 19th June 2020. • Glaucoma – Strawberry Place ODTC clinics to resume for 3 months from July 2020 while we look for alterative accommodation. Some clinically urgent Cataract operations have been undertaken through May and June 2020

Datix ID Number: 2003 **Health & Care Standard: Effective Care 3.1 Clinically Effective Care**	**HBR Ref Number: 60** **Target Date: 31st March 2021**
Objective: **Digitally Enabled Care**	**Director Lead:** Chris White, Chief Operating Officer **Assuring Committee:** Audit Committee
Risk: Cyber Security - high level risk • The level of cyber security incidents is at an unprecedented level and health is a known target. The health board has increased digital services (users, devices and systems) and therefore the impact of a cyber-security attack is much higher than in previous years. The introduction of the Network and Information Systems Directive (NISD) in May 2018 means that large fines can be issued to organisations that are not compliant with the Directive. A report from the department of health following the Wannacry incident in May 2017 stated that attack cost the NHS (England) £92m as 19,000 appointments were cancelled and this was before the NISD came into effect. The largest risk to the organisation is on user awareness and unsupported software (old versions which are no longer patched for security vulnerabilities) and devices not managed by the ICT department e.g. medical devices.	**Date last reviewed:** September 2020
Risk Rating (consequence x likelihood): Initial: 5 x 4 = 20 Current: 5 x 4 = 20 Target: 5 x 3 = 15	**Rationale for current score: C and L** The level of cyber security incidents is at an unprecedented level and health is a known target. The health board has increased digital services (users, devices and systems) and therefore the impact of a cybersecurity attack is much higher than in previous years.
Level of Control	**Rationale for target score:**
Date added to the HB risk register July 2019	C- Will remain the same or increase due to increased reliance in information L- The overall likelihood score would increase to (20) if the funding of the 8A and 2 x Band 6 are not recruited.

Controls (What are we currently doing about the risk?)	Mitigating actions (What more should we do?)		
	Action	**Lead**	**Deadline**
• Cyber Security Manager and supporting roles now in place. • The national security tools will highlight vulnerabilities and provide warnings when potential attacks are occurring. Swansea Bay will adopt these tools in financial year 2019/20. • The NHS in Wales is protected by a firewall by NHS Wales Informatics Service (NWIS). • Swansea Bay UHB has advanced firewall protection to protect the network from potential cyber-attacks.	Implement National Cyber Security Tools	Cyber Security Manager	29th October 2020

• All emails coming into NHS Wales are scanned using the national email filter. Whilst malicious emails come into the health board on a daily basis, the number are vastly reduced using the email filter and NWIS issue warnings to users affected when the contents are discovered (same day). Users are warned to delete emails and if opened, contact ICT service desk for investigation. • A patching regime has been in place around 18 months which ensures desktops, laptops and servers are protected against any known security vulnerabilities. Anti-virus is in place to protect against known viruses with intelligent scanning on potential viruses not yet discovered. • Access to the internet is controlled through a smart filtering solution which restricts access to potentially vulnerable content. • Work is ongoing in order to replace out of date systems, this is a huge task given the number of clinical and administrative systems in place across the health board. The creation of the service management board will help in terms of getting stakeholder agreement and engagement. Capital funding has also been available to address this. • A Cyber Security training module has been developed and available in the Electronic Staff Record training to ensure staff are fully aware of the risk of cyber security and are vigilant in recognising malicious activity e.g. malicious email. This needs to be adopted as mandatory training.			
Assurances (How do we know if the things we are doing are having an impact?) This will be developed following the appointment of the Cyber Security Manager. In the meantime, the follow up Stratia report has confirmed a major improvement in terms of Microsoft Security patching and SBU are compliant with standards agreed. The Cyber Assurance Framework (compliance with NISD) has been submitted to the Operational Security Service Management Board and plan will be developed nationally to address areas of non-compliance.	**Gaps in assurance (What additional assurances should we seek?)**		
Current Risk Rating **5 x 4 = 20**	**Additional Comments** Band 8a Cyber Security Manager appointed October 2019. Microsoft patching is compliant. NISD CAF completed and submitted to OSSMB. 2 Band (6) Cyber Security staff have now been appointed and are due to commence shortly. (completed) National Security Tool - SIEM Systems integrated, currently working on the final interfaces. NESSUS still awaiting National timescales for NWIS for rollout. Meetings in progress to make Cyber Security Training mandatory across the Health Board. Papers on progress on Cyber Security have been sent to the Senior Leadership Team, Audit committee and Health Board meetings and were well received in each of those. The progress on the establishment of a dedicated Cyber Security team and adoption of local and national cyber tools to improve cyber defences and establish proactive monitoring was		

	noted. The risk score of 20 remains as the largest risk to Cyber Security are the staff that access computer systems such as inadvertently clicking on a malicious link in a Phishing email. The Senior Leadership Team agreed, in principle, for Cyber Security Training to be made mandatory. A further paper for approval, describing the implications for the workforce, will be submitted to a future SLT meeting. National Security Tool -SIEM Systems integrated currently working on final interfaces. NESSUS still awaiting national timescales from NWIS for rollout. Following from the previous update, Cyber Team now use the Security Information and Event Management system (SIEM) daily to provide a dashboard for security monitoring to ensure visibility of potential cyber threats. Training for Cyber staff on operational use of the SIEM is was due in March 2020, but was delayed as a result of COVID and is now scheduled for October.

Datix ID Number: 1587 **Health & Care Standard: 3.1 Safe and Clinically Effective Care**	**HBR Ref Number: 61** **Target Date: 31st March 2021**
Objective: Identify alternative arrangements to Parkway Clinic for the delivery of dental paediatric GA services on the Morriston Hospital SDU site consistent with the needs of the population and existing WG and Health Board policies.	**Director Lead:** Chris White, Chief Operating Officer **Assuring Committee:** Quality and Safety Committee/Strategy Planning and Commissioning Committee
Risk: Paediatric dental GA/Sedation services provided under contract from Parkway Clinic, Swansea. Medical Safety risk GAs performed on children outside of an acute hospital setting.	**Date last reviewed:** September 2020
Risk Rating (consequence x likelihood): Initial: 5 x 3 = 15 Current: 4 x 4 = 16 Target: 4 x 2 = 8 **Level of Control** = 60% **Date added to the HB risk register** 4th July 2018	
	Rationale for current score: There is no immediate access to crash team/ICU facilities in in Parkway Clinic – the client group are undergoing G/A/sedation. Paediatric GA/Sedation services provided under contract from Parkway Clinic, Swansea continue due to lack of capacity for these patients to be accommodated in Secondary Care
	Rationale for target score: Relocation of the paediatric GA service [provided by Parkway Clinic] to a hospital site being treated as a priority

Controls (What are we currently doing about the risk?)

- Consultant Anaesthetist present for every General Anaesthetic clinic.
- Assurance Documentation supplied by Parkway Clinic including confirmation of arrangements in place with WAST and Morriston Hospital for transfer and treatment of patients
- New care pathway implemented - no direct referrals to provider for GA.
- Multi -drug sedation ceased from Sep 2018 in line with WHC 2018 009
- Revised SLA/Service Specification
- HIW Inspection Visit Documentation provided to HB
- All extended GA cases require approval from paediatric specialist prior to treatment

Mitigating actions (What more should we do?)

Action	Lead	Deadline
Transfer of services from Parkway.	Interim Head of Primary Care	31st May 2021

Assurances
(How do we know if the things we are doing are having an impact?)

- RMC collate referral and treatment outcome data for review by Paediatric Specialist
- Regular clinical meeting arranged with Parkway to discuss individual cases/concerns
- Regular clinical/ management meeting for CDS/primary care management team to discuss service pathway /concerns/issues arising
- Roll out of new pathway to encompass urgent referrals

Gaps in assurance
(What additional assurances should we seek?)
ToR for the task and finish group should continue to include consideration of the pressures on the POW special care dental GA list and this service is considered alongside any plans for the Parkway contract.

Current Risk Rating
4 X 4 = 16

Additional Comments
Task & Finish Group continue to progress transfer of service to Morriston. Action moved to May 2021 due to Covid pressures. This includes available

	theatre and workforce capacity. The Health Board is currently in discussions with PWC on an extension to the SLA for a further six months (June 2021). This extension would ensure continuity of service provision for this population whilst the service relocation could be considered in the wider context of the Health Board Recovery and Reactivation plans. On the 19th of June 2020, the CDO issued an update which placed dental services at amber alert level. This means that urgent care including PDGAs could be provided from the 22nd June 2020. The notification also included guidance that Health Boards could expand their urgent dental care centres, as a network, into primary care settings for non-COVID-19 positive patients requiring AGPs. The SOP for such services had been previously published on the 19th June 2020. At the same time PWC informed the Health Board that their consultant anaesthetists were again now available to deliver the service and that they wished to be considered as a designated AGP site. They also indicated that they could comply with the national Standard Operating Procedure (SOP) for AGPs on non-Covid Patients, published by Welsh Government as well as the RCoA's Managing Theatre Processes for Planned Surgery Between COVID-19 Surges. It is the view of the Health Board that the interim stabilisation care provided by the CDS to date will become more difficult to sustain with cases now being reported of prescribing multiple course of antibiotics and analgesics. This increases the risk of these cases having to be managed by OMFS in MHSDU, placing additional pressure on footfall in MHSDU and exposure of Covid-19 negative children to a hospital environment. It also places possible increased pressure on acute paediatric services in MHSDU. In addition the change of status to amber alert on the 22nd June 2020 for General Dental Services (GDS) will increase activity and by association potentially increased referrals to the CDS for care under GA. Reactivation of the PWC service appears the only option at present for children to access urgent elective PDGA services. It should be noted that significant actions have and will continue to be taken to mitigate the risks. This has included robust contracting and performance management, cessation of multi-drug sedation and the review and implementation of a health board paediatric dental pathway. This includes the introduction of a single point of access in CDS and the Referral Management Centre (RMC), which carries out a GA triage assessment (GAT) and develops the treatment plan before the case is referred to parkway. Significant reduction in GA cases by over 50% as a result of the pathway and further reduction of numbers on 1st April 2020 following the repatriation of Bridgend patients to Cwm Taf Morgannwg.

Datix ID Number: 2023 **Health & Care Standard: Staff Resources 7.1 Workforce**	**HBR Ref Number: 62** **Target Date: 31st March 2021**
Objective: Excellent Staff **Risk:** Sustainable Corporate Services aligned to the Health Board's Annual Plan and organisational strategy, and with the skills, capability, behaviours and tools to successfully deliver in support of the whole organisation, and to do so in a way which respects and promotes the health and well-being of our staff and their work-life balance.	**Director Lead:** Tracy Myhill, CEO **Assuring Committee:** Workforce and OD Committee
Risk: Failure to deliver corporate services and organisational objectives due to insufficient staff.	**Date last reviewed:** September 2020
Risk Rating (consequence x likelihood): Initial: 4 x 5 = 20 Current: 5 x 4 = 20 Target: 4 x 3 = 12 **Level of Control** = 50% **Date added to the HB risk register** August 2019		**Rationale for current score:** Constraints, stress and resourcing of corporate services post Bridgend Boundary Change and in light of the change agenda in the Health Board. Current resourcing levels have been benchmarked with other Health Boards, in some areas. The Finance department has been under considerable pressure due to the work required to support the Health Board's Targeted Intervention status and the Bridgend boundary change. **Rationale for target score:** Sustainable services will always encounter turnover and need to develop skill set and capabilities. Target score reflects requirement to resource to be able to meet the operational and Strategic priorities of the Health Board. Failure to do this will negatively impact of financial, service, performance and quality outcomes. Failure to do this will negatively impact of financial, service, performance and quality outcomes.

Controls (What are we currently doing about the risk?)	**Mitigating actions (What more should we do?)**		
	Action	**Lead**	**Deadline**
• Designing and Developing new Operating model for the Health Board • Designing and Developing HB HQ and Corporate structures • Reviewing Directorate requirements • Vacancy Panel to support prioritisation.	To conclude the recruitment process for the critical corporate posts including the Workforce and OD function	Chief Executive	30th November 2020

Assurances **(How do we know if the things we are doing are having an impact?)** • Decisions late summer / early autumn on corporate services structures, operating model and resourcing.	**Gaps in assurance** **(What additional assurances should we seek?)**
Current Risk Rating **5 x 4 = 20**	**Additional Comments** Utilise temporary funded capacity to meet immediate areas of risk. Continue to raise resourcing issue at corporate level and through committee governance arrangements. Review of corporate 'critical' posts have been undertaken including resourcing required for investment in the Workforce and OD Function. These posts will be recruited to on a phased basis. As a result of the COVID-19 all recruitment has been put on hold and resources diverted. Business as usual is on hold.

Datix ID Number: 1605 **Health & Care Standard: 3.1 Safe and Clinically Effective Care**	**HBR Ref Number: 63** **Target Date: 31st December 2020**
Objective: Screening for Fetal Growth Assessment in line with Gap-Grow (G&G)	**Director Lead**: Christine Williams, Interim Director of Nursing and Patient Experience **Assuring Committee:** Quality and Safety Committee
Risk: There is evidence a growth restricted/small for gestational age fetus (SGA), has an increased risk of intra-uterine death before or during the intrapartum period. Identification and appropriate management for SGA in pregnancy should lead to improved outcomes. GAP & Grow standards were implemented to contribute to the reduction of stillbirth rates in wales. Obstetric USS scan appointments are at capacity leading to delays in obtaining required appointments. In addition the guidance from Gap & Grow is for women requiring serial scanning with a risk factor for a growth restricted baby must have 3 weekly scans from 28 to 40 week gestation. Due to the scanning capacity there are significant challenges in achieving this standard.	**Date last reviewed:** September 2020
Risk Rating (consequence x likelihood): Initial: 4 x 3 = 12 Current: 4 x 5 = 20 Target: 3 x 4 = 12 **Level of Control** = 60% **Date added to the HB risk register** 1st August 2019		**Rationale for current score:** CSFM's leading on audit reviewing records of all women where SGA not identified in antenatal period. Scanning capacity under increasing pressure. Meeting arranged with radiology management to discuss introduction of midwife sonographer third trimester scanning. Staff to be informed to submit Datix incident where scan not available in line with standards. **Rationale for target score:** Compliance with Gap & Grow requirements.

Controls (What are we currently doing about the risk?)	**Mitigating actions (What more should we do?)**		
	Action	**Lead**	**Deadline**
All staff have received training on Gap & Grow and detection of small for gestational babies. Obstetric scanning capacity across the HB is being reviewed and compliance with criteria for scanning is being monitored. Ultrasound are assisting with finding capacity wherever possible in order to meet standards for screening and complying with Gap & grow recommendations.	Adherence to Gap/Grow Standards	Deputy Head of Midwifery	31st December 2020

Assurances **(How do we know if the things we are doing are having an impact?)** Audit of compliance with guidance being undertaken, detection rates of babies born below the 10th centile is being monitored via datix and audited by the service. Ultrasound are assisting with finding capacity wherever possible in order to meet standards for screening and complying with Gap & grow recommendations.	**Gaps in assurance** **(What additional assurances should we seek?)**
Current Risk Rating **4 X 5 = 20**	**Additional Comments** Meeting took place with Deputy Head of Therapies for the HB. Arrangement to meet in January 2020 to review radiology capacity and plan future service needs. This will form part of the antenatal clinic review. Audit of missed cases themes and trends to be presented to the MDT in February 2020.

	Approval from health board to progress training and recruitment of midwife sonographers. Working group in place chaired by exec lead for therapies.

Datix ID Number: 2159 **Health & Care Standard: Safe Care 2.1 Managing Risk & Promoting Health & Safety**		**HBR Ref Number: 64** **Target Date: 31st March 2021**
Objective: Best Value Outcomes		**Director Lead:** Christine Williams, Interim Director of Nursing and Patient Experience **Assuring Committee:** Health and Safety Committee
Risk: Insufficient resource and capacity of the Health, safety and fire function within SBUHB to maintain legislative and regulatory compliance for the workforce and for the sites across SBUHB. .		**Date last reviewed:** August 2020
Risk Rating (consequence x likelihood): Initial: 5 x 4 = 20 Current: 5 x 4 = 20 Target: 4 x 3 = 12		**Rationale for current score:** The Health Board are in receipt of 10 Health & Safety Executive (HSE) improvement notices concerning health and safety management, violence and aggression and manual handling, limited assurance internal audit reports for water safety management and COSHH, and a fire enforcement notice for one of our sites. Fire risk assessment frequencies are not being kept up to date. Statutory/mandatory training provision and recording will not be sustainable. Unable to support units sufficiently for H&S, case management (V&A), fire and training or to conduct audits/inspections. Potential for litigation, with implications of financial and reputational consequences for not meeting legislative requirements.
Level of Control = 70%		**Rationale for target score:** Compliance with the notices and to have sufficient resources to implement a sustainable health and safety provision to support the legal requirements of the Health Board
Date added to the HB risk register September 2019		Additional resources and updated/refreshed/new systems will enable the Health Board to demonstrate that suitable resources are in place to undertake the roles and responsibilities of the department, and to undertake suitable and sufficient training, provide corporate overview/audit to ensure practices are being employed in the workplace. Risk assessments are being undertaken within required frequencies and periodic audits are taking place to support the various units and departments.

Controls (What are we currently doing about the risk?)	**Mitigating actions (What more should we do?)**		
	Action	**Lead**	**Deadline**
• HSE Improvement working group set up to address the HSE recommendations and meets fortnightly to monitor the improvement action plan. • Interim posts of Assistant Director of Health and Safety and Interim Head of Compliance employed on secondment to support strengthening and developing the H&S function • Health and Safety Operational Group meets quarterly and reports to the Health and Safety Committee • Water safety management action plan in place • COSHH procedure reviewed and updated • Fire risk assessments are being undertaken at priority sites (patient areas) to address recommendations of the MAWWFRS	Health and safety department structure to be reviewed and produce proposals, business case	Assistant Director of H&S	30th November 2020
	Health and safety structure review to be presented to the H&S Committee	Assistant Director of H&S	4th November 2020

• Fire training in place and fire wardens in place			
Assurances **(How do we know if the things we are doing are having an impact?)** • Monitoring through the H&S committee to receive assurance and or identify gaps for key compliance and adherence to applicable legislation. • HSE focus group monitor compliance against the 10 improvement notices and report to the H&S operational group and H&S committee. • Site visits/tours to identify compliance and gaps in compliances.	**Gaps in assurance** **(What additional assurances should we seek?)**		
Current Risk Rating **5 X 4 = 20**	**Additional Comments** The re-inspections took place w/c 16 September 2019, visiting NPTH on 16th, Singleton & Morriston Hospital on 17th, Tonna Hospital and NPTH on 18th and NPTH on 20th. All visits went well overall with a number seven of the ten notices closed and three extended to 6th December 2019. A further visit was arranged for 5th December (Theatres at Singleton) where it was confirmed that two more notices were complied with and the other one extended to 31 January 2020. Confirmation via email was received on 7th February that all improvement notices have been complied with. Business case to be written by 31st October 2020. Re-structure review to be presented to H&S committee during 3rd quarter 2020/21. Long term plans to be developed to understand the Health and Safety resource requirements for the Health Board. The restructure is to be reviewed and business case written by 31st October 2020. Due to the pandemic (COVID-19) progress has been minimal and will review when operationally possible, this could be delayed until October/November 2020.		

Datix ID Number: 329 **Health & Care Standard: 3.1 Safe and Clinically Effective Care**	**HBR Ref Number: 65** **Target Date: 31st January 2021**
Objective: Digitally enabled Care	**Director Lead**: Christine Williams, Interim Director of Nursing and Patient Experience **Assuring Committee:** Quality & Safety Committee
Risk: Risk associated with misinterpreting abnormal cardiotocography readings in the delivery room. A central monitoring station would enable multi-disciplinary viewing and discussion of the readings to take place, and reduce the risk of a concerning CTG trace going unidentified. Provisionally scored C4 (irrecoverable injury) x L3= 12. The central monitoring system has a facility to archive the CTG recordings: currently these tracings are only available as a paper copy, which can be lost from the maternity records. There is also a concern that the paper tracings fade over time which makes defending claims very difficult.	**Date last reviewed:** September 2020 **Rationale for current score:** Meeting with K2, IT, finance, procurement and midwifery team on 30/09/2019. System viewed and IT needs identified. Final costing to be assessed prior to resubmission to IBG in Oct or November 2019.
Risk Rating (consequence x likelihood): Initial: 4 x 4 = 16 Current: 4 x 5 = 20 Target: 4 x 2 = 8 **Level of Control** = 50% **Date added to the HB risk register** 31st December 2011		**Rationale for target score:**

Controls (What are we currently doing about the risk?)	Mitigating actions (What more should we do?)		
	Action	**Lead**	**Deadline**
Current controls include all staff undertaking RCOG CTG training and competency assessment. Protocol in place for an hourly "fresh eyes" on 'intrapartum CTG's' and jump call procedures. CTG prompting stickers have been implemented to correctly categorise CTG recordings. Central monitoring is also expected to strengthen the HB's position in defending claims. K2 fetal monitoring system has been identified as the best option for a central monitoring system.	Business case prepared for Central monitoring system to store CTG recordings of fetal heart rate in electronic format.	Deputy Head of Midwifery	30th October 2020

Assurances **(How do we know if the things we are doing are having an impact?)** All Wales Fetal Surveillance Standards for 6hrs Fetal Surveillance Training per year	**Gaps in assurance** **(What additional assurances should we seek?)**
Current Risk Rating **4 X 5 = 20**	**Additional Comments** Submission to IGB in January 2019. CTG envelopes placed in every set of records for safe storage of CTG. Business case completed by maternity service and multi-professional team. Remaining issue outstanding is the financial detail from IT. To ensure submission of case in January 2020

Datix ID Number: 1834 **Health & Care Standard: 5.1 Timely Care**	**HBR Ref Number: 66** **Target Date: 31st March 2022**
Objective: Best values outcomes from high quality care	**Director Lead**: Richard Evans, Executive Medical Director **Assuring Committee:** Quality and Safety Committee
Risk: Unacceptable delays in access to SACT treatment in Chemotherapy Day Unit	**Date last reviewed:** September 2020
Risk Rating (consequence x likelihood): Initial: 5 x 5 = 25 Current: 5 x 5 = 25 Target: 2 x 2 = 4 **Level of Control** = **Date added to the HB risk register** 30/11/2019	
	Rationale for current score: Increased risk to 25 as waiting times starting to re-increase for Long chair regimes, discussed at oncology business meeting.
	Rationale for target score:

Controls (What are we currently doing about the risk?)	Mitigating actions (What more should we do?)		
	Action	**Lead**	**Deadline**
Review of CDU by improvement science practitioner Increase nursing staff x 1 at risk, to ensure all nurses are working appropriately. Review of scheduling by staff to ensure all chairs used appropriately. Options appraisal to be completed for SSDU senior management team by service group	Options appraisal paper to be produced for SSDU senior team by service group	Service Manager Surgical Services	30th November 2020

Assurances **(How do we know if the things we are doing are having an impact?)** Extra nurse in place reliant on agency. Senior team meeting to review findings of service review paper. Additional funding agreed to support increase in nurse establish to appropriately run the unit during their main opening hours	**Gaps in assurance** **(What additional assurances should we seek?)**
Current Risk Rating **5 X 5 = 25**	**Additional Comments** Additional staffing in place from Dec 19 to allow full use of chairs but capacity gap remains. Looking at options around use of additional SACT capacity via Tenovus. Also working with MSD/GE around potential partnership agreement to look at C&D mapping and best practice elsewhere with visit to Leeds being arranged by MSD colleagues. Covid has impact on demand WT continue to improve average wait for Chair time at present is 11days - decrease from 21days. Some of this links to Covid changes, as part of recovery plan need to understand better the future need. Currently lost 3chairs due to Covid-19 and waiting times at 15days at end of June 2020. Meeting with GE/MSD - taking place waiting on partnership agreement paperwork to take through legal team to ensure robust will then start with project plan that we are drafting while paperwork is being finalised between HB and MSD/GE

Datix ID Number: 89 **Health & Care Standard: 5.1 Timely Care**	**HBR Ref Number: 67** **Target Date: 31st March 2022**
Objective: Best values outcomes from high quality care	**Director Lead**: Richard Evans, Executive Medical Director **Assuring Committee:** Quality and Safety Committee
Risk: Clinical risk-target breeches in the provision of radical radiotherapy treatment. Due to capacity and demand issues the department is experiencing target breeches in the provision of radical radiotherapy treatment to patients.	**Date last reviewed:** September 2020
Risk Rating (consequence x likelihood): Initial: 4 x 4 = 16 Current: 5 x 5 = 25 Target: 2 x 2 = 4 **Level of Control** = **Date added to the HB risk register** 30/11/2019		**Rationale for current score:** Waiting times deteriorating for elective delays patients, particularly prostates discussed in Oncology business meeting. **Rationale for target score:**

Controls (What are we currently doing about the risk?)	Mitigating actions (What more should we do?)		
Requests for treatment and treatment dates monitored by senior management team.	**Action**	**Lead**	**Deadline**
	Additional risk capacity	Service Manager Surgical Services	31st October 2020
	Review of patient pathway	Assistant General Manager – Cancer Services	31st October 2020

Assurances **(How do we know if the things we are doing are having an impact?)** Performance and activity data is being monitored and monthly data shared with radiotherapy management meeting and cancer board. It is also now included in scorecard.	**Gaps in assurance** **(What additional assurances should we seek?)**
Current Risk Rating **5 X 5 = 25**	**Additional Comments** Radiotherapy waiting times continue to cause concerns, new COSC guidelines launched this year mean we now reporting Rx waiting times to WG. Sept Performance has been added to this risk. Options to increase our capacity and include in PBC for SWWCC which is being developed and internal efficiency work with QI colleagues is also being reviewed. Rx Performance is discussed in Radiotherapy management meeting and papers are chased in Cancer Board. Agreement has been reached around outsourcing 12 prostate radiotherapy cases per month for 6 months to Rutherford. Commencing in January 2020. While case for extended day is further reviewed. Contract signed off by Executive Team Jan 2020. Patients are being approached to attend Rutherford Cancer Centre and patient details being sent to Rutherford Cancer Centre.

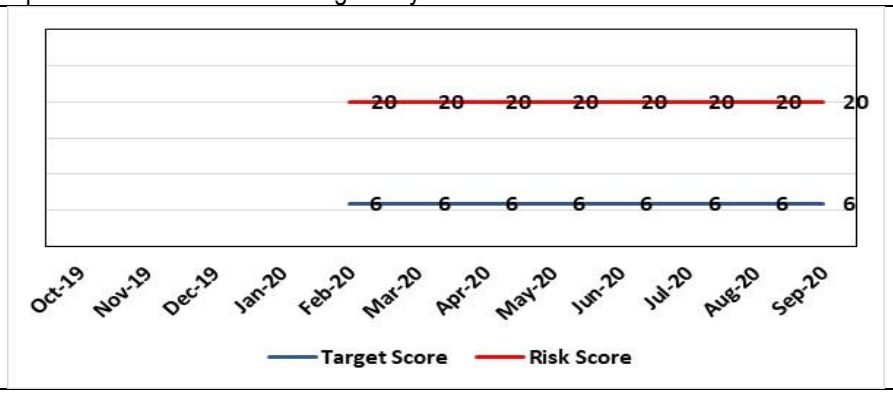
	Seen improvement in some WT performance in RT due to cases being referred to Rutherford and due to changes in practice due to Covid-19. Due to machine breakdowns and covid capacity has been effected to deliver RT. however outsourcing has mitigated some of this but not all. New action agreed 07/07/20- RT Covid Recovery plan is being developed that will include options around, further outsourcing, bringing back SBAR work from VCC, changes to fractions on BREAST and PROSTATE and how we could use this freed up machine capacity differently. This plan is to go to Reset and Recovery meeting as part of Essential Services Covid Recovery plans for Cancer.

Datix ID Number: 2299 **Health & Care Standard: 2.4 Infection Prevention and Control (IPC) and Decontamination**	**HBR Ref Number: 68** **Target Date: 31st March 2021**
Objective: Best Value Outcomes from High Quality Care **Risk:** Risk of declared pandemic due to Coronavirus Infectious Disease outbreak 2020 leading to disruption to Health Board activities.	**Director Lead**: Keith Reid, Executive Medical Director **Assuring Committee:** Quality and Safety Committee **Date last reviewed:** September 2020
Risk Rating (consequence x likelihood): Initial: 4 x 5 = 20 Current: 5 x 5 = 25 Target: 3 x 2 = 6 **Level of Control** = **Date added to the HB risk register** 27/02/2020	
	Rationale for current score: Separate risk register capturing the specific Covid-19 risks which the Health Board are managing with high risks relating to: • COVID Equipment – inc PPE • COVID Workforce • COVID Medicines • COVID Capacity
	Rationale for target score:

Controls (What are we currently doing about the risk?)	**Mitigating actions (What more should we do?)**		
	Action	**Lead**	**Deadline**
• HB Response now in place. • Command and Control structure stood up. • Non-COVID19 activity curtailed. • Staff exclusions and testing in place. • PPE guidance in place. • Engagement with all Wales planning and delivery functions. • Field hospitals developed and commissioned. • Primary Care models adapted to current situation. • Work with local authorities on maintaining care sector. • Acting in concert with Local Resilience Forum to manage wider community risks.	Pandemic Plans invoked	Director of Public Health Wales	Monthly Ongoing

Assurances **(How do we know if the things we are doing are having an impact?)**	**Gaps in assurance** **(What additional assurances should we seek?)**
• Community testing arrangements are active - Early detection. • PPE training and procurement centrally co-ordinated. • Command and control structures are monitoring effectiveness of corporate response. • Engagement with All wales co-ordinating groups - alignment of local and national responses. • Activation of local resilience forum arrangements.	Visibility and scrutiny of local plans at Executive/Board level.
	Additional Comments

Current Risk Rating **5 X 5 = 25**	Mitigation as follows to identify and reduce risks of spread of infection: Pandemic plans invoked Command, Control and Coordination arrangements in place with Strategic, Tactical and bronze Groups in place to ensure Health Board wide engagement and instigate required planning including: o Patient flow pathway scenarios for unwell patients and well patients that may self-present in both acute and Primary and Community Care o Appropriate PPE kit and training o Appropriate support service pathways for cleaning, decontamination, waste and linen management o Multi-agency engagement o Community Testing arrangements o Workforce review • Identified isolation facilities. Pandemic was declared. Health Board stood up 3CF structures and response on 31 January 2020. System wide response in place. Lockdown established 23rd March. Current levels of demand are containable within existing capacity. Expectations that initial peak of infections has been managed within capacity.

Datix ID Number: 1418 **Health & Care Standard: 5.1 Timely Access**		**HBR Ref Number: 69** **Target Date: 31st March 2021**
Objective: Best values outcomes from high quality care		**Director Lead**: Chris White, Chief Operating Officer/Christine Williams, Interim Director of Nursing and Patient Experience **Assuring Committee:** Performance and Finance Committee
Risk: Risk issues Related to **adolescent patients being admitted to Adult MH inpatient wards**- Inappropriate settings resulting in 'Safeguarding Issues' The WG has requested that HBs identify Secondary Care in -patient facilities for the care of adolescents- in Swansea Bay University Health Board Ward F NPT hospital is the dedicated receiving facility with one bed identified.		**Date last reviewed:** September 2020
Risk Rating (consequence x likelihood): Initial: 2 x 3 = 6 Current: 4 x 5 = 20 Target: 2 x 3 = 4		**Rationale for current score:** Risk score heightened after a DU wide RR meeting to review scores.
Level of Control =		
Date added to the HB risk register 27/02/2020		**Rationale for target score:**

Controls (What are we currently doing about the risk?)	Mitigating actions (What more should we do?)		
	Action	**Lead**	**Deadline**
Safeguarding Training for Staff, Joint protocol with Cwm Taf LHB [CAMHS] currently subject to review, Local SBUHB policy on providing care to young people in this environment. This includes the requirement for all such patients on admission to be subject to Level 3 Safe and Supportive observations.	Review of Service by Swansea Bay Youth	Assistant Head of Operations MH	30th September 2020
	Learning event to be held facilitated by the Serious Incident Team to review a number of recommendations eg location of the crisis assessment.	Deputy Director of Nursing	30th September 2020

Assurances **(How do we know if the things we are doing are having an impact?)** Individual Rooms with ensuite facilities, joint working with CAMHS, monitoring of staff training, monitoring of admissions by the MH & LD DU Legislative Committee of the HB.	**Gaps in assurance** **(What additional assurances should we seek?)**
Current Risk Rating **4 X 5 = 20**	**Additional Comments**

Datix ID Number: 2245 **Health & Care Standard: 3.1 Clinically Effective Care**	**HBR Ref Number: 70** **Target Date: 31st March 2021**
Objective: Digitally enabled care	**Director Lead**: Chris White, Chief Operating Officer **Assuring Committee:** Audit Committee
Risk: There is a risk of **national data centre outages** which disrupt health board services. The failure of national systems causes severe disruption across NHS Wales, affecting Primary and secondary care services. The delivery of national services including the management of systems, infrastructure and hosting services are the responsibility of NHS Wales Informatics Service (NWIS).	**Date last reviewed:** September 2020
Risk Rating (consequence x likelihood): Initial: 4 x 5 = 20 Current: 4 x 5 = 20 Target: 4 x 4 = 16 **Level of Control** = **Date added to the HB risk register** 27/02/2020		**Rationale for current score:** **C** -The number of outages in 2018 and impact across NHS Wales resulted in a review of NWIS services including the wider Informatics services in NHS Wales. In the June 2019 outage, some services took as long as 2 weeks to recover. **L** -There have been a number of multi system outages over the last 2 years with a number of factors causing outages or resulting in extended outages. Therefore there is a likelihood of a recurrence in the future. **Rationale for target score:** **C** – As reliance on digital solutions for the provision of clinical services grows the impact of outages will also grow. Whilst controls will be put in place to mitigate against the impact of outages this will be offset by the growth in the importance of digital solutions. As a result the consequence score will remain at 4. **L** – The likelihood of national data center outages will never be fully eliminated. The current score of 5 is based on the fact there have been WLIMS outages over recent years.

Controls (What are we currently doing about the risk?)	**Mitigating actions (What more should we do?)**		
• The national Infrastructure Management Board (IMB) and Service Management Board (SMB) are the boards that oversee Major Incidents, identify risks for national services and make recommendations to improve the availability of national services. • These boards meet monthly to hold NWIS to account for delivery of services. • Infrastructure major incident reviews are undertaken with selected board members and recommendations agreed in the board. • The impact of outages is partly mitigated by the Business Continuity plans that are in place within the Service Delivery Units to allow operational services to continue during a data center service outage.	**Action**	**Lead**	**Deadline**
	Representation at SMB, IMB and NSMB	Head of ICT Operations	29th January 2021
	Representation on EPRR	Informatics Business Manager	29th January 2021
	Representation at NWIS Directors Meetings	Associate Director of Digital Services	29th January 2021

Assurances **(How do we know if the things we are doing are having an impact?)**	**Gaps in assurance** **(What additional assurances should we seek?)**

NWIS have a Programme of works to upgrade out of date equipment. The network upgrade Programme was completed this year at the NDC and BDC. The final report on the BDC outage has been received and recommendations put in place to increase maintenance levels and monitoring. NWIS have produced an action plan which is agreed in the IMB and progress monitored. Any deviation from the action plan will be escalated to the SMB and if appropriate to the NHS Wales Informatics Management Board which is chaired by the Chief Executive Officer of NHS Wales and has Executive level board members. In addition, it is recommended that serious consideration should be given to identifying and funding an alternative Tier 3+ facility (in line with the NDC) to host these critical systems. WLIMS 2016 upgrade is required to address some of the technical issues experienced on the existing version. This is planned for September 2020. A re- procurement of a new Pathology Laboratory Information Management system is in progress with timescales An architecture review is underway to assess current services and make recommendations on future services (including hosting services).	
Current Risk Rating **4 X 5 = 20**	**Additional Comments**

Datix ID Number: 2448 **Health & Care Standard: 2.1.1 Managing Financial Risk**	**HBR Ref Number: 71** **Target Date: 31st December 2020**
Objective: Best Value Outcomes from High Quality Care	**Director Lead:** Darren Griffiths. Director of Finance (interim) **Assuring Committee:** Performance and Finance Committee
Risk: The total quantum for funding for addressing COVID-19 across Wales remains fluid and uncertain. There is a risk that the organisation's operational cost of addressing the pandemic cannot be contained within available funding resulting in a potential breach of the planned outturn for 2020/21. In addition the Health Board's ability to meet its planned savings programme is impacted by the service response to COVID-19, which will potentially also impact on the Health Board's underlying financial position.	**Date last reviewed:** September 2020
Risk Rating (consequence x likelihood): Initial: 5 x 4 = 20 Current: 5 x 4 = 20 Target: 5 x 1 = 5		**Rationale for current score:** • Whist the Health Board submitted a financial deficit plan for 2020/21 of £24.4m this has never been formally agreed. • Welsh Government articulated a clear message to NHS Wales that organisations needed to plan to meet the demands of COVID-19 based on clear planning assumptions. This involved the commitment of expenditure above funded levels • The National funding response for COVID-19 costs is challenged in terms of levels of forecast spend driving uncertainty into the overall financial plan for NHS Wales; the Health Board is part of this • Whilst some funding has been allocated to Health Board to support field hospital set up costs and staff cost in quarter 1, there is a lack of clarity of the source of future funds and the methodology for the allocation of funds to Health Board.
Level of Control = 25%		**Rationale for target score:** By working transparently with Welsh Government additional funds will be allocated to the Health Board to over the commitments made and support the underlying impact on the cost base of the Health Board.
Date added to the HB risk register July 2020		

Controls (What are we currently doing about the risk?)	**Mitigating actions (What more should we do?)**		
	Action	**Lead**	**Deadline**
The Health Board is doing the following: - • Reporting system developed to accurately capture and describe impact of the response on the healthcare system in finance terms • Active participation in weekly Director of Finance calls to shape All Wales response • Routine reporting to Welsh Government of the position • Finance Review Meetings with Units to explore opportunities to maintain cost control, savings delivery and a proportionate COVID-19 response • Transparent exchange of position with Finance Delivery Unit	Maintain real time monitoring of disease impact and flex services to maximize value for money	**Director of Finance**	**Monthly**
	Financial reporting to Welsh Government on local costs incurred as a result of Covid-19 to inform central and local scrutiny, feedback and decision-making	**Director of Finance**	**Monthly**

• Review all of KPMG pipeline savings opportunities to test whether these can be accelerated in the light of COVID-19 impact.	Oversight arrangements in place at Board level and through the command structure.	**Director of Finance**	**Monthly**
Assurances **(How do we know if the things we are doing are having an impact?)** The Health Board financial performance is reviewed and monitored through : • Monthly financial recovery meetings • Performance and Finance Committee • Routine reporting to Board of most recent monthly position and impact on year end forecast of changes in response to the disease and national funding streams	**Gaps in assurance** **(What additional assurances should we seek?)** Budget delegation letters to be issued once budget setting round complete. This will include the management of COVID costs.		
Current Risk Rating **4 x 5 = 20**	**Additional Comments**		

Datix ID Number: 2449 **Health & Care Standard: 2.1.1 Managing Financial Risk**	**HBR Ref Number: 72** **Target Date: 31st December 2020**
Objective: Best Value Outcomes from High Quality Care Impact of COVID-19 pandemic on the Health Board Capital Resource Limit and Capital Plan for 2020-21	**Director Lead:** Darren Griffiths. Director of Finance (interim) **Assuring Committee:** Performance and Finance Committee
Risk: Impact of COVID-19 pandemic on the Health Board Capital Resource Limit and Capital Plan for 2020-21	**Date last reviewed:** September 2020
Risk Rating (consequence x likelihood): Initial: 5 x 4 = 20 Current: 5 x 4 = 20 Target: 5 x 1 = 5		**Rationale for current score:** • As a result of the COVID-19 pandemic, the level of capital resource available to Welsh Government to support Health Boards is restricted. This means that Health Boards have been advised that their current agreed Capital Resource Limit will not be increased. • The current Health Board capital plan included commitments for which further Welsh Government capital resource was anticipated, which results in a potential over-commitment of the capital plan of around £7.5m. • It is likely that due to slippage on capital schemes, this over-commitment will reduce. • There is a potential for further capital requirements arising from service model changes which will need to be managed. Some schemes may have to be slipped in terms of timeframe to ensure the integrity of the CRL in 2020/21.
Level of Control = 25%		**Rationale for target score:** The continued prioritization of the capital plan and close management of slippage.
Date added to the risk register July 2020		

Controls (What are we currently doing about the risk?)	**Mitigating actions (What more should we do?)**		
The Health Board is doing the following: - • Regular dialogue with Welsh Government regarding capital requirements. • Clear communication and reporting of the capital position, the risks and limitations. • Close management of all schemes to ensure slippage is understood along with the impact on service. • Clear prioritisation of any new requirements recognising the current constraints	**Action**	**Lead**	**Deadline**
	Formal review of existing capital plan to revise schemes and scheduling of schemes to move to balance.	Head of Capital Finance	30th September 2020
	Appraise Welsh Government of content of revised plan to consider possibilities of support for key areas.	Head of Capital Finance	30th September 2020
	Routine assessment of local demands for discretionary capital spend through internal capital prioritization group	Head of Capital Finance	Monthly

Assurances **(How do we know if the things we are doing are having an impact?)**	Gaps in assurance **(What additional assurances should we seek?)**
The Health Board capital position is reviewed and monitored through : • Monthly capital prioritisation group • Performance and Finance Committee • Monthly Monitoring Returns to Welsh Government.	Reporting on impact of constraints to the capital programme on service delivery.
Current Risk Rating **4 x 5 = 20**	**Additional Comments**

Datix ID Number: 2450 **Health & Care Standard: 2.1.1 Managing Financial Risk**	**HBR Ref Number: 73** **Target Date: 31st March 2021**
Objective: Best Value Outcomes from High Quality Care The Health Board underlying financial position may be detrimentally impacted by the COVID-19 pandemic. The COVID-19 pandemic has impacted on the Health Board ability to plan and execute the required level of recurrent savings delivery. There is a potential for a residual cost base increase post COVID-19 as a result of changes to service delivery models and ways of working.	**Director Lead:** Darren Griffiths. Director of Finance (interim) **Assuring Committee:** Performance and Finance Committee
Risk:	**Date last reviewed:** September 2020
Risk Rating (consequence x likelihood): Initial: 5 x 4 = 20 Current: 5 x 4 = 20 Target: 5 x 1 = 5	**Rationale for current score:** • The Health Board financial plan included a required £23m savings delivery. The savings were developed supported by KPMG review. The plans were not fully developed and further work was required during March and April to produce clear plans and milestones. • The COVID-19 pandemic has required a significant management response and therefore the development of these plans have been delayed. • Where clear plans had been developed, in the majority of cases the implementation of the plan has been delayed and may no longer be able to be taken forward due to changes in service delivery models. • Many of the service delivery models across the Health Board have had to change as a result of COVID-19 pandemic. Some of the changes to service delivery and ways of working will remain in place post pandemic which may recurrently increase the cost base of the Health Board.
Level of Control = 25%	**Rationale for target score:** By ensuring that opportunities are taken to drive forward efficiency opportunities and service changes to support improved service and financial sustainability.
Date added to the HB risk register July 2020	

Controls (What are we currently doing about the risk?)	Mitigating actions (What more should we do?)		
The Health Board is doing the following: - • Active participation in weekly Director of Finance calls to shape All Wales response • Finance Review Meetings with Units to explore opportunities to maintain cost control, savings delivery and a proportionate COVID-19 response • Transparent exchange of position with Finance Delivery Unit • Review of opportunities through Reset and Recovery to ensure efficiencies are developed and maximised.	**Action**	**Lead**	**Deadline**
	Monthly financial review and assessment of savings to be included in financial reporting	Director of Finance	Monthly
	Savings opportunities and pipeline to be reviewed and options for development of plans taken forward through SLT	Director of Finance	Monthly

• Clear understanding of underlying impact of changes to service models and costs of new service models. • Review all of KPMG pipeline savings opportunities to test whether these can be accelerated in the light of COVID-19 impact.	Impact of reset and recovery to be assessed through QIA process to ensure clear understanding of impact on underlying cost base.	Director of Finance	Monthly
Assurances **(How do we know if the things we are doing are having an impact?)** The Health Board financial performance is reviewed and monitored through : • Monthly financial recovery meetings • Performance and Finance Committee • Routine reporting to Board of most recent monthly position and impact on year end forecast of changes in response to the disease and national funding streams	**Gaps in assurance** **(What additional assurances should we seek?)** Reporting on savings opportunities and service change impacts to be developed.		
Current Risk Rating **4 x 5 = 20**	**Additional Comments**		

Risk Score Calculation

For each risk identified, the LIKELIHOOD & CONSEQUENCE mechanism will be utilised. Essentially this examines each of the risks and attempts to assess the likelihood of the event occurring (PROBABLILITY) and the effect it could have on the Health Board (IMPACT). This process ensures that the Health Board will be focusing on those risks which require immediate attention rather than spending time on areas which are, relatively, a lower priority.

Risk Matrix	LIKELIHOOD (*)				
CONSEQUENCE (**)	1 - Rare	2 - Unlikely	3 - Possible	4 - Probable	5 - Expected
1 - Negligible	1	2	3	4	5
2 - Minor	2	4	6	8	10
3 - Moderate	3	6	9	12	15
4 - Major	4	8	12	16	20
5 - Catastrophic	5	10	15	20	25