



Bwrdd Iechyd Prifysgol
Bae Abertawe
Swansea Bay University
Health Board



Meeting Date	22 September 2020	Agenda Item	5.1
Report Title	Performance & Finance Risk Register Report		
Report Author	Hazel Lloyd, Head of Patient Experience, Risk & Legal Services		
Report Sponsor	Pam Wenger, Director of Corporate Governance Darren Griffiths, Interim Director of Finance		
Presented by	Hazel Lloyd, Head of Patient Experience, Risk & Legal Services		
Freedom of Information	Open		
Purpose of the Report	<p>The purpose of this report is to:</p> <ul style="list-style-type: none"> • Inform the Performance & Finance Committee of the risks from the Health Board Risk Register (HBRR) assigned to the Committee to oversee the risks on behalf of the Board. 		
Key Issues	<ul style="list-style-type: none"> • HBRR was presented to the Audit Committee and Board in July 2020. • Executive Directors have updated their risk entries and discussed the full HBRR. The register contains nine risks assigned to the Performance & Finance Committee. • The risks assigned to the Committee: <ul style="list-style-type: none"> ➢ Access to Planned Care Services (16) Risk Rated 25 (Page 16 of the HBRR) ➢ Access to Cancer Services (50) Risk Rated 25 (Page 29 of the HBRR) ➢ The total quantum for funding for addressing COVID-19 across Wales remains fluid and uncertain (71) Risk Rated 20 (Page 68 of the HBRR) ➢ Impact of COVID-19 pandemic on the Health Board Capital Resource Limit and Capital Plan for 2020-21 (72) Risk Rated 20 (Page 70 of the HBRR) ➢ 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 (73) Risk Rated 20 (Page 72 of the HBRR) 		

	<ul style="list-style-type: none"> ➤ IMTP Statutory Responsibility (39) Risk Rated 20 (Page 20 of the HBRR) ➤ Access to Unscheduled Care Service (1) Risk Rated 16 (Page 10 of the HBRR) ➤ CAMHS (48) Risk Rated 16 (Page 25 of the HBRR) ➤ Engagement and Impact Assessment Requirements (52) Risk Rated 12 (Page 46 of the HBRR) 			
Specific Action Required <i>(please choose one only)</i>	Information	Discussion	Assurance	Approval
	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Recommendations	<p>Members are asked to:</p> <ul style="list-style-type: none"> • NOTE the updated Health Board Risk Register relating to risks assigned to the Committee. • DISCUSS the risks and consider further information/reports to assure the Committee, on behalf of the Board, that the risks are being progressed. 			

PERFORMANCE & FINANCE RISK REGISTER REPORT

1. INTRODUCTION

This report aims to inform the Performance & Finance Committee of the risks from the Health Board Risk Register (HBRR) assigned to the Committee and report the underpinning operational performance and financial risks and actions being taken to minimise the risks.

2. BACKGROUND

The Health Board Risk Register (HBRR) is intended to summarise the key 'live' extreme risks facing the Health Board and the actions being taken to mitigate them. It is also important to note that the Executives, as risk owners, are appropriately sighted and involved in the development of the health board risk register, providing updates, including reports on mitigating actions.

All organisational risks will have a lead Executive Director and the risk assigned to either the Board, or as appropriate, a Committee of the Board to ensure appropriate review, scrutiny and where relevant updating. Each Director is responsible for the ownership of the risk(s) and the reporting of the actions in place to manage/control and/or mitigate the risks.

3. GOVERNANCE AND RISK ISSUES

3.1 Progress in developing the Refreshed HBRR

There are nine risks assigned to the Performance & Committee of which two (Access to Planned Care and Access to cancer Services) relate to two of the highest risks facing the Health Board:

- **Access to Planned Care Services** (16) Risk Rated 25 (Page 16 of the HBRR)
- **Access to Cancer Services** (50) Risk Rated 25 (Page 29 of the HBRR)
- **Funding for COVID-19:** The total quantum for funding for addressing COVID-19 across Wales remains fluid and uncertain (71) Risk Rated 20 (Page 68 of the HBRR)
- **Capital Resource/Plan** - COVID-19 impact on Capital Resource Limit and Capital Plan for 2020-21 (72) Risk Rated 20 (Page 70 of the HBRR)
- **Residual Cost Base** - 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 (73) Risk Rated 20 (Page 72 of the HBRR)
- **IMTP Statutory Responsibility** (39) Risk Rated 20 (Page 20 of the HBRR)
- **Access to Unscheduled Care Service** (1) Risk Rated 16 (Page 10 of the HBRR)

- **CAMHS** (48) Risk Rated 16 (Page 25 of the HBRR)
- **Engagement and Impact Assessment Requirements** (52) Risk Rated 12 (Page 46 of the HBRR)

The Audit Committee in assigning these risks to the Performance & Finance Committee to oversee recognises that many of the risks will also need to be reported to the Quality & Safety Committee. It recognised that the Quality & Safety Committee would need to receive assurance on quality and safety aspects relating to the risks and ensure the agenda allowed for assurance reports to be received.

3.2 HBRR Risks Assigned to the Performance & Finance Committee

The Committee is asked to accept the nine HBRR risks, subject to any changes, to oversee, scrutinise and challenge in terms of actions being taken to minimise the risks and ensure the agenda is set to cover these areas of risks to enable reporting to the Board.

4. FINANCIAL IMPLICATIONS

There are financial implications to minimising the nine risks entered on the HBRR in relation to significant revenue implication around strengthening resources in the Health Board, Units and in Departments. Capital monies will also be required in relation to supporting the improvements required to improve and further detail is provided in the individual entry on the HBRR.

In particular three new financial risks have been included on the HBRR quarter 2:

- **Funding for COVID-19:** The total quantum for funding for addressing COVID-19 across Wales remains fluid and uncertain (71) Risk Rated 20 (Page 68 of the HBRR)
- **Capital Resource/Plan** - COVID-19 impact on Capital Resource Limit and Capital Plan for 2020-21 (72) Risk Rated 20 (Page 70 of the HBRR)
- **Residual Cost Base** - 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 (73) Risk Rated 20 (Page 72 of the HBRR)

5. RECOMMENDATIONS

The Performance & Finance Committee is asked to:

- **NOTE** the updated Health Board Risk Register relating to risks assigned to the Committee.
- **DISCUSS** the risks and consider further information/reports to assure the Committee, on behalf of the Board, that the risks are being progressed.

Governance and Assurance		
Link to Enabling Objectives <i>(please choose)</i>	Supporting better health and wellbeing by actively promoting and empowering people to live well in resilient communities	
	Partnerships for Improving Health and Wellbeing	<input checked="" type="checkbox"/>
	Co-Production and Health Literacy	<input type="checkbox"/>
	Digitally Enabled Health and Wellbeing	<input type="checkbox"/>
	Deliver better care through excellent health and care services achieving the outcomes that matter most to people	
	Best Value Outcomes and High Quality Care	<input checked="" type="checkbox"/>
	Partnerships for Care	<input checked="" type="checkbox"/>
	Excellent Staff	<input checked="" type="checkbox"/>
	Digitally Enabled Care	<input type="checkbox"/>
	Outstanding Research, Innovation, Education and Learning	<input checked="" type="checkbox"/>
Health and Care Standards		
<i>(please choose)</i>	Staying Healthy	<input checked="" type="checkbox"/>
	Safe Care	<input checked="" type="checkbox"/>
	Effective Care	<input checked="" type="checkbox"/>
	Dignified Care	<input checked="" type="checkbox"/>
	Timely Care	<input checked="" type="checkbox"/>
	Individual Care	<input checked="" type="checkbox"/>
	Staff and Resources	<input checked="" type="checkbox"/>
Quality, Safety and Patient Experience		
Ensuring the organisation has robust risk management arrangements in place that ensure organisational risks are captured, assessed and mitigating actions are taken, is a key requisite to ensuring the quality, safety & experience of patients receiving care and staff working in the UHB.		
Financial Implications		
The risks outlined within this report have resource implications which are being addressed by the respective Executive Director leads and taken into consideration as part of the Board's IMTP processes.		
Legal Implications (including equality and diversity assessment)		
It is essential that the Board has robust arrangements in place to assess, capture and mitigate risks faced by the organisation, as failure to do so could have legal implications for the UHB.		
Staffing Implications		
Staff will be briefed on the changes through workshops and also meetings held with Executive Directors and Assistant Directors to support the changes required to meet the recommendations made by the Wales Audit Office.		
Long Term Implications (including the impact of the Well-being of Future Generations (Wales) Act 2015)		
No implications for the Committee to be notified of.		
Report History	Committee has received reports on the Performance & Finance risks entered on the HBRR.	
Appendices	Appendix 1 - HBRR.	