



**PWYLLGOR IECHYD A DIOGELWCH  
HEALTH & SAFETY COMMITTEE**

<b>DYDDIAD Y CYFARFOD: DATE OF MEETING:</b>	14 January 2025
<b>TEITL YR ADRODDIAD: TITLE OF REPORT:</b>	Corporate Risks Assigned to Health and Safety Committee (HSC)
<b>CYFARWYDDWR ARWEINIOL: LEAD DIRECTOR:</b>	Andrew Carruthers, Chief Operating Officer James Severs, Director of Allied Health Professionals and Health Sciences Ardiana Gjini, Executive Director of Public Health
<b>SWYDDOG ADRODD: REPORTING OFFICER:</b>	Joanne Wilson, Director of Corporate Governance / Board Secretary Charlotte Wilmshurst, Assistant Director of Assurance and Risk

**Pwrpas yr Adroddiad (dewiswch fel yn addas)  
Purpose of the Report (select as appropriate)**

Er Sicrwydd/For Assurance

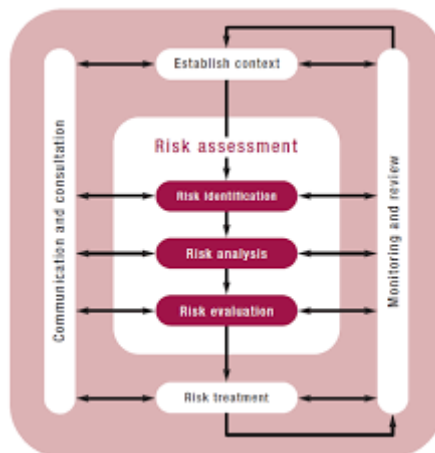
**ADRODDIAD SCAA  
SBAR REPORT**

Sefyllfa / Situation

The Health and Safety Committee (HSC) is asked to request assurance from Executive Directors that the corporate risks in the attached report are being managed effectively.

Cefndir / Background

Effective risk management requires a ‘monitoring and review’ structure to be in place to ensure that risks are effectively identified and assessed, and that appropriate controls and responses are in place.



(Risk Management Process, ISO 31000)

The Board's Committees are responsible for the monitoring and scrutiny of corporate level risks within their remit. As such, they are responsible for:

- Seeking assurance on the management of risks included in the Corporate Risk Register (CRR) and providing assurance to the Board that risks are being managed effectively, reporting areas of significant concern - for example, where risk appetite is exceeded, lack of action, etc.
- Reviewing operational risks over tolerance and, where appropriate, recommending the 'acceptance' of risks that cannot be brought within Hywel Dda University Health Board's (HDdUHB's) risk appetite/ tolerance to the Board.
- Identifying through discussions any new/ emerging risks and ensuring that these are assessed by management.
- Signposting any risks outside their remit to the appropriate UHB Committee.
- Using risk registers to inform meeting agendas.

These risks have been identified by individual Directors via a top-down and bottom-up approach, and are either:

- Associated with the delivery of HDdUHB's objectives; or
- Significant escalated operational risks that are of significant concern and require corporate oversight and management.

Each risk on the CRR has been mapped to a Board level Committee to ensure that these risks are being managed appropriately, taking into account the gaps, planned actions and agreed tolerances, and to provide assurance to the Board through Committee Update Reports regarding the management of these risks.

The process for risk reporting and monitoring within HDdUHB is outlined at Appendix 1.

### Asesiad / Assessment

The HSC Terms of Reference reflect the Committee's role in providing assurance to the Board that principal risks are being managed effectively by the risk owners (Executive Leads).

The Terms of Reference state that the Committee will:

3.15 Provide assurance that risks relating to health, safety, security, fire and service/ business interruption/ disruption are being effectively managed across the whole of the Health Board's activities (including for hosted services and through partnerships and Joint Committees as appropriate) and provide assurance that effective risk assessments are undertaken and addressed.

There are 5 corporate risks aligned to HSC from the 21 risks currently identified on the CRR, as the potential impacts of these risks relate to the health and safety of patients, staff and visitors.

The 5 corporate risks have been entered onto a '*risk on a page*' template, which includes information relating to the strategic objective, controls, assurances, performance indicators, and action plans to address any gaps in controls and assurances. Due to the sensitive nature of risk 1860 – *There is a risk of serious harm to staff due to violence & aggression in the workplace* and risk 1861 - *Risk of harm to staff, patients public and critical assets due to insufficient physical security measures and systems*, the detail is being reported to in-committee to provide discussion and assurance.

Details on the 3 remaining risks assigned to HSC are included in Appendix 2.

Changes since the previous report presented to HSC at its meeting on 10 September 2024:

Total Number of Risks	5
New risks	0
Risks that are no longer included in the report	0
Increase in risk score ↑	0
No change in risk score →	5
Reduction in risk score ↓	0
Extreme (red) risks (based on 'Current Risk Score')	4
High (Amber) risks (based on 'Current Risk Score')	1

Note 1

**Note 1 – No change in risk score**

Since the previous report, there has been no change in the following risk scores:

Risk Reference & Title	Date risk identified	Lead Director	Current Risk Score	Update	Target Risk Score
1861 - Risk of harm to staff, patients public and critical assets due to insufficient physical security measures and systems	06/06/24	Director of Allied Health Professionals and Health Sciences	<b>4x4=16</b> (Reviewed 20/12/24)	Detail provided to HSC In-Committee	<b>3x3=9</b>
1860 - Risk of serious harm to staff due to violence & aggression in the workplace	06/06/24	Director of Allied Health Professionals and Health Sciences	<b>3x5=15</b> (Reviewed 23/12/24)	Detail provided to HSC In-Committee	<b>3x3=9</b>
1745 – Risk of not being able to safely deliver services due to ageing estate and infrastructure across the Health Board	02/08/23	Chief Operating Officer	<b>5x3=15</b> (Reviewed 11/12/24)	The current risk score is based upon the level of detailed information the Estates department has for its buildings, plant and infrastructure, including external reports, risk information and Estates and Facilities Performance Management System (EFPMS) data submitted to Welsh Government (WG), clearly articulating the scale of backlog and deficiencies across the Health Board.  The programme business case (PBC) has been	<b>5x2=10</b>

				<p>under development with WG since 2018/19.</p> <p>NHS Wales Shared Services Partnership (NWSSP) has supported a three year investment programme for major infrastructure. WG are in support of this plan (with a £5m capital expenditure limit per year), however they have not yet supported the fees to deliver the three year programme.</p> <p>The current funding status is WG support for Year 1 of a three year plan in 2024-25 together with a small number of priority schemes. Negotiations are ongoing with WG to secure funding for the three year plan but unable to confirm a date as yet.</p> <p>At present, minimal funding has been received circa £1.5m for lift shaft improvements at BGH and electrical infrastructure at GGH, with fees for the first year of plan secured.</p>	
813 - Risk of non-compliance with the Regulatory Reform (Fire Safety) Order 2005 due to ageing infrastructure	01/10/19	Chief Operating Officer	<b>5x3=15</b> (Reviewed 11/12/24)	<p>Phased Fire Safety Improvement works are ongoing across sites, with significant investments being made to address the recommendations in the Mid and West Wales Fire and Rescue Service (MWWFRS) letters and Enforcement Notices.</p> <p>All programme dates have been agreed with the Health Board, WG and MWWFRS senior inspecting officers, with completed actions reviewed to determine the</p>	<b>5x1=5</b>

				<p>risk score as works are progressed.</p> <p>MWWFRS letter of January 2023 confirmed that the presentation delivered by the Estates service in December 2022 was extremely well laid out and provided MWWFRS with an accurate account of the Health Board's current position and the agreed timeframes for completion. MWWFRS confirmed they are comfortable with the current position.</p> <p>Extensions of time particularly for GGH Phase 1 (November 2024) and GGH Phase 2 (June 2025) have been fully agreed by MWWFRS. WGH Phase 2 date is still to be arranged.</p> <p>The BORIS system is now in place and all fire risk assessments have been transferred across. A paper was submitted to the HSC in November 2024 indicating this achievement and a high level summary of the Estates and Hospital Management Risks.</p> <p>Currently, the risk is felt to still be extreme until further progress is made on the above fire safety improvement works. This will be reviewed regularly.</p>	
1433 - Risk to the ability to maintain routine and emergency services in the event of a severe pandemic	01/05/22	Director of Public Health	<b>4x3=12</b> (Reviewed 12/12/24)	The national security and risk assessment was reviewed and re-published in November 2022; this remains unaltered. The previous pandemic influenza risk has been changed into two new risks, a generic pandemic	<b>4x2=8</b>

				<p>event and an emerging infectious diseases.</p> <p>The current likelihood is scored at 3 to reflect the risk of the Health Board being unable to respond to the scale and severity of the pandemic - not the likelihood of the pandemic actually occurring.</p>	
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The heat map below includes the risks currently aligned to HSC:

HYWEL DDA RISK HEAT MAP					
	LIKELIHOOD →				
IMPACT ↓	RARE 1	UNLIKELY 2	POSSIBLE 3	LIKELY 4	ALMOST CERTAIN 5
CATASTROPHIC 5			813 (→) 1745 (→) 1860 (→)		
MAJOR 4			1433 (→)	1861 (→)	
MODERATE 3					
MINOR 2					
NEGLIGIBLE 1					

### Argymhelliad / Recommendation

The Health & Safety Committee is requested to:

- **RECEIVE ASSURANCE** that all identified controls are in place and working effectively.
- **RECEIVE ASSURANCE** that all planned actions will be implemented within stated timescales and will reduce the risk further and/or mitigate the impact if the risk materialises.
- Challenge where assurances are inadequate.

This in turn will enable the Committee to provide the necessary assurance to the Board, through its Committee Update Report, that HDdUHB is managing these risks effectively.

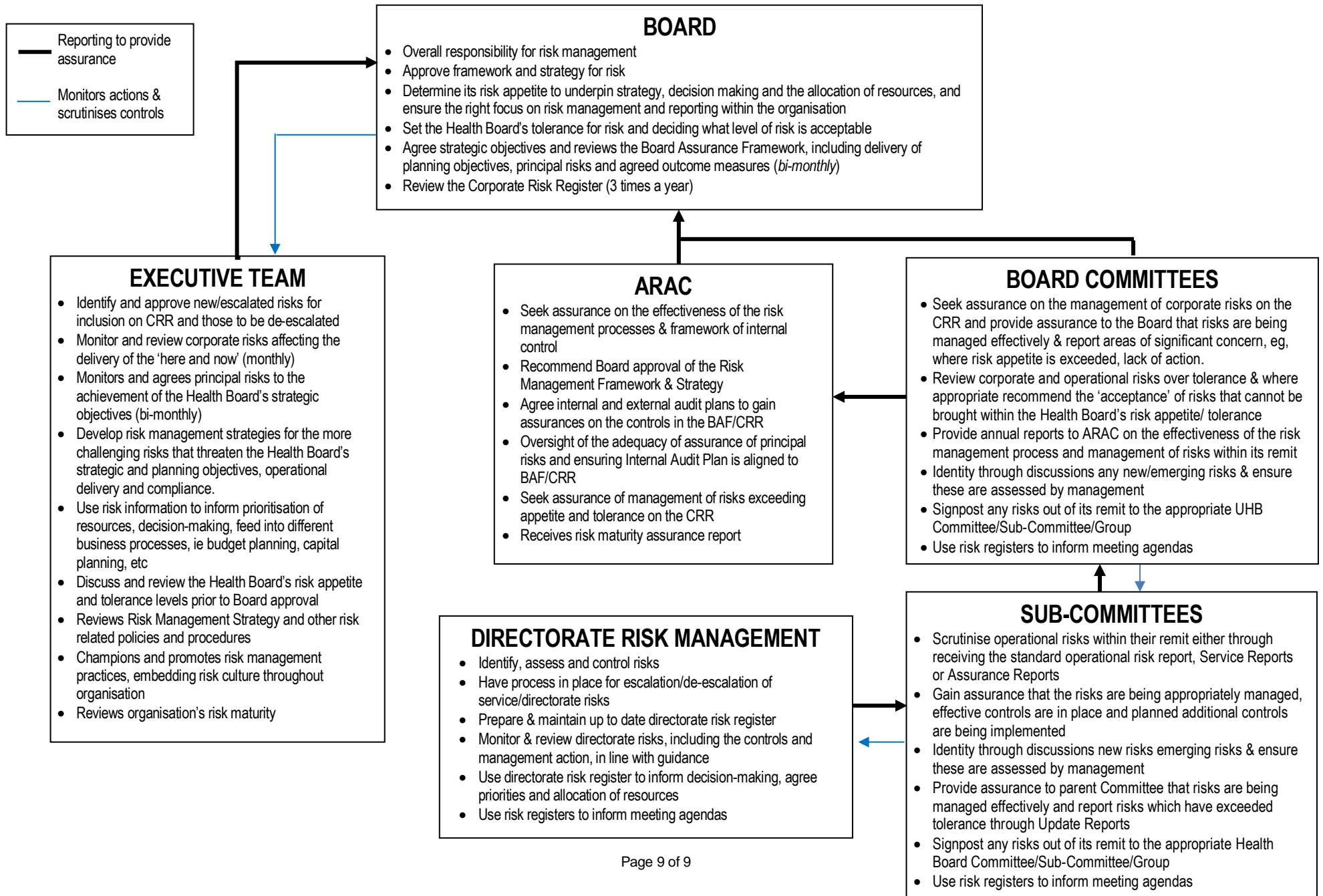
<b>Amcanion: (rhaid cwblhau) Objectives: (must be completed)</b>	
Committee ToR Reference: Cyfeirnod Cylch Gorchwyl y Pwyllgor:	3.15 Provide assurance that risks relating to health, safety, security, fire and service/ business interruption/ disruption are being effectively managed across the whole of the Health Board's activities (including for hosted services and through partnerships and Joint Committees as appropriate) and provide assurance that effective risk assessments are undertaken and addressed.
Cyfeirnod Cofrestr Risg Datix a Sgôr Cyfredol: Datix Risk Register Reference and Score:	Contained within the report
Parthau Ansawdd: Domains of Quality <a href="#">Quality and Engagement Act (sharepoint.com)</a>	7. All apply
Galluogwyr Ansawdd: Enablers of Quality: <a href="#">Quality and Engagement Act (sharepoint.com)</a>	6. All Apply
Amcanion Strategol y BIP: UHB Strategic Objectives:	All Strategic Objectives are applicable
Amcanion Cynllunio Planning Objectives	All Planning Objectives Apply
Amcanion Llesiant BIP: UHB Well-being Objectives: <a href="#">Hyperlink to HDdUHB Well-being Objectives Annual Report 2021-2022</a>	10. Not Applicable

<b>Gwybodaeth Ychwanegol: Further Information:</b>	
Ar sail tystiolaeth: Evidence Base:	Underpinning risk on the Datix Risk Module from across HDdUHB's services reviewed by risk leads/owners.
Rhestr Termiau: Glossary of Terms:	<p>Current Risk Score - Existing level of risk taking into account controls in place.</p> <p>Target Risk Score - The ultimate level of risk that is desired by the organisation when <u>planned</u> controls (or actions) have been implemented.</p> <p>Tolerable risk – this is the level of risk that the Board agreed for each domain in September 2018 – <a href="#">Risk Appetite Statement</a>.</p>

Partïon / Pwyllgorau â ymgynhorwyd ymlaen llaw y Pwyllgor Ansawdd Iechyd a Diogelwch: Parties / Committees consulted prior to Health and Safety Committee:	Not Applicable.
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<b>Effaith: (rhaid cwblhau)</b> <b>Impact: (must be completed)</b>	
<b>Ariannol / Gwerth am Arian:</b> <b>Financial / Service:</b>	No direct impacts from report, however, impacts of each risk are outlined in risk description.
<b>Ansawdd / Gofal Claf:</b> <b>Quality / Patient Care:</b>	No direct impacts from report, however, impacts of each risk are outlined in risk description.
<b>Gweithlu:</b> <b>Workforce:</b>	No direct impacts from report, however, impacts of each risk are outlined in risk description.
<b>Risg:</b> <b>Risk:</b>	No direct impacts from report, however, organisations are expected to have effective risk management systems in place.
<b>Cyfreithiol:</b> <b>Legal:</b>	No direct impacts from report, however, proactive risk management including learning from incidents and events contributes towards reducing/eliminating recurrence of risk materialising and mitigates against any possible legal claim with a financial impact.
<b>Enw Da:</b> <b>Reputational:</b>	Poor management of risks can lead to loss of stakeholder confidence. Organisations are expected to have effective risk management systems in place and take steps to reduce/mitigate risks.
<b>Gyfrinachedd:</b> <b>Privacy:</b>	No direct impacts.
<b>Cydraddoldeb:</b> <b>Equality:</b>	Has EqIA screening been undertaken? No Has a full EqIA been undertaken? No




## Appendix 1 – Committee Reporting Structure



Risk Ref	Risk (for more detail see individual risk entries)	Risk Owner	Domain	Tolerance Level	Previous Risk Score	Risk Score Nov-24	Trend	Target Risk Score	Risk on page no...
813	Risk of non-compliance with the Regulatory Reform (Fire Safety) Order 2005 due to ageing infrastructure	Carruthers, Andrew	Statutory duty/inspections	8	3×5=15	3×5=15	→	1×5=5	<a href="#">3</a>
1745	Risk of not being able to safely deliver services due to ageing estate and infrastructure across the Health Board	Carruthers, Andrew	Safety - Patient, Staff or Public	6	3×5=15	3×5=15	→	2×5=10	<a href="#">8</a>
1433	Risk to the ability to maintain routine and emergency services in the event of a severe pandemic	Gjini, Ardiana	Service/Business interruption/disruption	6	3×4=12	3×4=12	→	2×4=8	<a href="#">11</a>

**Assurance Key:**

3 Lines of Defence (Assurance)		
1st Line	Business Management	Tends to be detailed assurance but lack independence
2nd Line	Corporate Oversight	Less detailed but slightly more independent
3rd Line	Independent Assurance	Often less detail but truly independent

Key - Assurance Required		<i>NB Assurance Map will tell you if you have sufficient sources of assurance not what those sources are telling you</i>
	Detailed review of relevant information	
	Medium level review	
	Cursory or narrow scope of review	

Key - Control RAG rating	
<b>LOW</b>	Significant concerns over the adequacy/effectiveness of the controls in place in proportion to the risks
<b>MEDIUM</b>	Some areas of concern over the adequacy/effectiveness of the controls in place in proportion to the risks
<b>HIGH</b>	Controls in place assessed as adequate/effective and in proportion to the risk
<b>INSUFFICIENT</b>	Insufficient information at present to judge the adequacy/effectiveness of the controls

<b>Date Risk Identified:</b>	Oct-19
<b>Strategic Objective:</b>	3. Striving to deliver and develop excellent services

<b>Executive Director Owner:</b>	Carruthers, Andrew	<b>Date of Review:</b>	
<b>Lead Committee:</b>	Health and Safety Committee	<b>Date of Next Review:</b>	Jan-25

<b>Risk ID:</b>	<b>813</b>	<b>Principal Risk Description:</b>	<p>There is a risk of failing to fully comply with the requirements of the Regulatory Reform (Fire Safety) Order 2005 (RRO).</p> <p>This is caused by</p> <ol style="list-style-type: none"> <li>1: The age, condition and scale of physical backlog, circa £20m (+) relating to fire safety (i.e. non compliant fire doors, compartmentation defects and general fire safety management issues) across our estate significantly affects our ability to comply with the requirements of the RRO in every respect.</li> <li>2: Difficulties managing the actions within the current fire safety risk assessment system - to enable complete transparency and ongoing management of actions assigned to responsible persons. The new Boris system will address this issue.</li> <li>3: Management responsibilities for fire safety not fully understood by all responsible managers.</li> <li>4: Fire safety training attendance figures are not reaching HB agreed targets.</li> </ol> <p>This could lead to an impact/affect on the safety of patients, staff and general public, HSE investigations and further fire brigade enforcement (already served on Withybush and Glangwili General Hospitals), fines and/or custodial sentences, adverse publicity/reduction in stakeholder confidence.</p>
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<b>Risk Rating:(Likelihood x Impact)</b>	
<b>Domain:</b>	Statutory duty/inspections
<b>Inherent Risk Score (L x I):</b>	4x5=20
<b>Current Risk Score (L x I):</b>	3x5=15
<b>Target Risk Score (L x I):</b>	1x5=5
<b>Tolerable Risk:</b>	8

<b>Trend:</b>	←→
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**Does this risk link to any Directorate (operational) risks?** 708, 951, 503

**Rationale for CURRENT Risk Score:**

Phased fire safety improvement works are ongoing across our sites, with significant investments being made to address the recommendations in the Mid and West Wales Fire and Rescue Service (MWWFRS) letters and Enforcement Notices.

All programme dates have been agreed with the Health Board, Welsh Government (WG) and MWWFRS senior inspecting officers. We intend to review the progress of our completed actions to determine the risk score as we progress with these works.

MWWFRS letter dated 20/01/23 confirms the presentation that the Estates service delivered to them on 08/12/22 was extremely well laid out and provided MWWFRS with an accurate account of the health boards current position and the agreed timeframes for completion. MWWFRS confirmed they are comfortable with the current position.

Extensions of time particularly for GGH Phase 1 (Nov 24) and GGH Phase 2 (30th June 2025) have been fully agreed by MWWFRS. WBH phase 2 date TBA.

The BORIS system is now in place and all fire risk assessments have been transferred across. A recent paper was submitted to the HSC indicating this achievement and a high level summary of the Estates and Hospital Management Risks.

Currently, the risk is felt to still be extreme until further progress is made on the above Fire safety improvement works. This will be reviewed regularly.

**Rationale for TARGET Risk Score:**

Further improvements in culture and ownership for fire safety. It is the scale of physical backlog for fire safety compliance (additional surveys) that will remain until appropriate measures are put in place to address the deficit.

Despite annual investment from statutory capital for fire safety components (circa £200k), the scale of current investment is clearly not adequate to address the true scale of backlog the UHB has.

It is anticipated that when training attendance levels specifically for L2 training have reached > 85% targets and are sustained at this level continuously, coupled with the completion of key fire safety investment programmes and phases across our acute sites (completing in circa April 2025), the HB will then be in an informed position to look at the reduction of risk score for risk 813. This decision will be reviewed regularly.

Key CONTROLS Currently in Place: (The existing controls and processes in place to manage the risk)
<p>Pre Planned Maintenance (PPM) checks are carried out across the UHB on fire safety components.</p> <p>A detailed physical estates backlog system is in place that identifies the scale (£) and risk of backlog for UHB. Data used to manage backlog maintenance &amp; statutory decision making also regularly reported to WG.</p> <p>Extensive fire safety improvement works are being undertaken at WBH, GGH and at BGH from WG agreed funding (EFAB bids for BGH and funding and From submitted business cases), with phased timelines fully agreed with MWWFRS. Regular communications and dialogue is taking place between HB and MWWFRS.</p> <p>Individual Fire Risk Assessments (FRA's) in place for all sites across the UHB identifying fire related risks.</p> <p>Training Needs Analysis (TNA) for fire safety training in place, as defined in Fire Policy.</p> <p>UHB has implemented a governance structure for fire safety reporting.</p> <p>Estate plans with fire zones, fire doors, fire compartmentation, fire infrastructure items (alarm and detection system).</p> <p>UHB assesses its performance in respect of operational maintenance work carried out on fire safety components and presents this information as a formal paper at all UHB wide fire safety meetings.</p> <p>Annual prioritisation of investment against high risk backlog.</p> <p>Internal governance review (2019/20) initiated by the CEO and all action implemented from review.</p> <p>The HB has now embedded a fully resourced fire safety management team, with appropriate reporting arrangements for fire safety and addressing the backlog of out of date fire risk assessments across the UHB.</p> <p>The UHB has improved fire safety management culture and management ownership for fire safety.</p> <p>The fire team will also look to implement a regular training global e-mail as a reminder for staff on when and how to book a session.</p>

Gaps in CONTROLS				
Identified Gaps in Controls : (Where one or more of the key controls on which the organisation is relying is not effective, or we do not have evidence that the controls are working)	How and when the Gap in control be addressed	By Who	By When	Progress
<p>Despite significant investments already in place following enforcement notices and letters of fire safety matters, additional investment is required to address fire safety defects at other sites within the UHB, which are being inspected by MWWFRS. We have firm plans in place to address a range of fire safety projects over the coming years and these are all fully identified as actions within this risk with anticipated timelines.</p> <p>Not all managers who are assigned actions on Boris are regularly accessing the system to close off their actions. Despite recent invitations for staff to attend training sessions.</p> <p>Fire safety training performance (for L2) is currently below the agreed level at (85%) as set by MWWFRS for WBH and GGH (sites under enforcement).</p> <p>Despite making improvements to the culture of fire safety management and ownership, the HB does need to ensure this is organisational wide and embedded within it's workforce and cascaded by management.</p>	<p>Implementation of a new software system to manage the content of the HB's fire risk assessments. Boris software has now been purchased and is currently being implemented. Date agreed as part of internal fire safety governance review.</p>	Evans, Paul	Completed	<p>Boris software now purchased Dec 2020, initial implementation planned for March 2021. Implementation of risk assessments will now be planned for July 2021. System now supports the use of mobile technology therefore risk assessments can be completed live on the system.</p> <p>System now being tested on site, fully operational by Jan (now Feb) 2022</p>
	<p>Additional fire surveys are required across various sites to obtain costs for all fire compartmentation defects, doors, fire alarm systems and other associated items.</p>	Evans, Paul	Completed	<p>fire safety team and compliance team are working with site operations to determine what the gaps are and to agree what surveys will be required.</p>
	<p>Introduce new innovative ways of improving fire training attendance across the HB to increase the percentage figures agreed and set by the HB.</p> <p>As part of the next risk review the fire team intend to split this action into individual sections so we can track and close off action as and when completed.</p>	Evans, Paul	Completed	<p>The fire safety team have been trialing the use of MS teams for L2 Fire training, which has proved to be very successful. We are planning to roll this out to other areas of fire training levels, such as L5/L4 &amp; L3. This will have a positive impact on staff being able to attend the session. We will need to improve communications on this and to ensure staff are made fully aware of the sessions taking place and the dates.</p>
	<p>To introduce ways to help improve the culture and ownership of fire safety across the HB. Although management training is taking place at the "Managers Induction Programme" and this is well received. The HB still needs to do more to avoid areas of poor practice that is sometimes identified.</p>	Evans, Paul	Completed	<p>To look at improving the current training content and programme that's currently on offer for management. Regular global communications of do's and don'ts. Having a fire safety share point system, with links to interesting info on effective fire safety management.</p>

Works already completed following issue of Enforcement Notices and LoFSM at various sites. For EN sites (WBH and GGH) - Advanced Works to vertical escape routes now completed. Also improvements carried out under LoFSM at Tregaron, Bronglais, Glangwili and Withybush Hospitals.

Level 1 & 2 Fire Safety training is delivered via Teams. Level 3 Fire Safety training is provided face to face. Level 4 training (Fire Safety Warden training) is also a face to face session, with an external trainer. Level 5 training is provided on Teams as part of the H&S Managers induction training. There is an improving performance in terms of uptake of training (except for L2).

Boris fire safety system implemented across the UHB, giving the ability to review all risks from fire risk assessments via a dashboard and risk ownership.

Fire Team issued recent Global communications to request additional Fire Safety Wardens, to seek engagement from staff and colleagues across the Health Board.

RAAC plank surveys are also being undertaken at the same time as the fire works to minimise the disruption to clinical services where at all possible.

Now the new Boris fire safety system is being implemented across the HB (training planned for June 22 for staff), fire risk assessment actions from this need to be monitored by those responsible. These actions need to be communicated at all fire safety sub groups and fed to the HB wide FSG for complete transparency.	Evans, Paul	Completed	System now live in the HB and staff training programme in place. From this point all fire risk assessment actions will be closely monitored using this system.
Introduce a system to manage fire risk assessment recommendations more effectively. System to have the ability to assign risks to risk owners, to track/manage risk and to demonstrate progress on the actions.	Evans, Paul	Completed	The fire team are utilising the current system as best as possible. An Excel system is being introduced (completion Jun20) however a more robust automated system is needed by the HB to track the significant number of actions. Progressing this has been delayed due to COVID-19, however quotes have now been obtained and are under discussion with the Director of Facilities. Approval has now been provided to purchase a system. Completion date for system trial on site by July 2021. System now being tested on site on a few Fire Risk Assessments, we plan to go fully live in Nov/Dec 2021.
Establish a teams training platform to deliver the level 3 and level 4 fire safety training programmes. Although this will also be supported by face to face sessions.	Evans, Paul	Completed	Following a review of level 3 & 4 fire safety training programmes it has been established that these cannot be delivered via Teams. These are now delivered as follows:  Level 3 training has been reviewed and requires a face to face practical delivery.  Level 4 training (Fire Safety Warden training) is also a face to face session, with an external trainer.
WBH - Completion of Phase 1 works - For all remaining horizontal escape routes.	Elliott, Rob	Completed	Completed on Dec 15th 2023

WBH - Completion of Phase 2 works - For all departments, ward areas and risk rooms.	Elliott, Rob	<del>30/04/2025</del> 30/04/2025	<p>Full agreement has now been reached with Welsh Government (WG)/NHS Wales Shared Services Partnership - Special Estates Services (NWSSP- SES) to change the procurement approach for Phase 2. This following a wide-ranging lessons learned exercise undertaken jointly with NWSSP-SES.</p> <p>Noting the change in procurement and the new appointments the HB will be making we need to consider now formally the future programme for Phase 2. This is currently being reviewed by the full team and will be reported to the next Phase 2 Fire Project Team.</p>
GGH - Completion of Phase 1 works - For all remaining horizontal escape routes.	Elliott, Rob	<del>28/04/2023</del> <del>22/01/2024</del> <del>31/10/2024</del> <del>31/07/2024</del> <del>31/12/2024</del> <del>30/11/2024</del> 31/01/2025	Completion by the end of November 2024. This programme is being maintained but there is potential for a small amount of slippage taking the completion date into Jan 2025.
GGH - Completion of Phase 2 works - For all departments, ward areas and risk rooms.	Elliott, Rob	<del>30/04/2024</del> <del>30/08/2024</del> 30/06/2025	<p>The MWWFRS have now formally extended the FEN to 30/06/2025. Further extensions will be necessary, and we will work closely with MWWFRS to manage this process as the works proceed.</p> <p>We have already briefed the MWWFRS on GGH Phase 2 programme uncertainty given the revised approach which will be necessary. We agreed to keep in close contact on this as the project develops to keep MWWFRS fully informed.</p>
Develop a Fire Training information pack for distributing to agency staff across all 4 sites.	Elliott, Rob	Completed	Completed - We have supported the HoN on this recommendation and issued our current training material to all agency companies. We will continue to support the HoN with any new welcome packs they introduce.
To ensure all fire risk assessments are transferred from NWSSP-SES system to Boris	Evans, Paul	Completed	Boris system transfer now completed, review of data now being undertaken

ASSURANCE MAP			
Performance Indicators	Sources of ASSURANCE	Type of Assurance	Required Assurance
		(1st, 2nd, 3rd)	Current Level
Maintain a zero or as low as possible number of outstanding fire risk assessments. Monitor the number of risks now held in the new Boris Fire Safety System.	Bimonthly review of outstanding actions from fire risk assessments	1st	
	Site Fire wardens reporting fire safety issues	1st	
	Annual Online Fire Audit Self Assessment submitted to NWSSP	1st	
	Review of compliance through fire safety groups	2nd	
	4 Fire Safety Sub Groups (one at each site) which report into the UHB wide Fire Safety Group (reporting into the HSC)	2nd	
	Fire Safety SBAR reports regularly issued to HSC	2nd	
	Fire inspections by Fire Service & Fire Improvement Notices	3rd	
	NWSSP fire advisor inspections	3rd	
	NWSSP IA Fire Precautions Follow Up May-18 - Reasonable Assurance	3rd	
	IA Fire Governance follow up in July 2022 - Substantial assurance.	3rd	
	IA WGH Fire Precautions Works: Phase 1 in Aug 22 - Reasonable rating.	3rd	
High level action plan meeting with MWWFRS (Dec 8th 22) - with very positive comments received from then on our commitment to improve fire safety performance.	2nd		

Control RAG Rating (what the assurance is telling you about your controls)

Latest Papers (Committee & date)
IA Fire Precautions Report - ARAC Jun18
SBAR submitted to each HSAC meeting, which includes themes of all fire safety risks.
Boris Fire Safety System (UPDATE) and Fire Training Performance SBAR's submitted to Sept 24 HSAC.

Gaps in ASSURANCES				
Identified Gaps in Assurance:	How are the Gaps in ASSURANCE will be addressed Further action necessary to address the gaps	By Who	By When	Progress
General site management checks/walkarounds on all sites				

Date Risk Identified:	Aug-23
Strategic Objective:	

Executive Director Owner:	Carruthers, Andrew	Date of Review:	
Lead Committee:	Health and Safety Committee	Date of Next Review:	Jan-25

Risk ID:	1745	Principal Risk Description:	There is a risk of not being able to deliver safe, effective and timely services across the HB estate, including acute, community and mental health facilities. This risk also impacts the HB's non clinical estate, educational facilities and managed practices. This is caused by further deterioration of our aging buildings and infrastructure with significant amount of the estate beyond its life expectancy. Multiple points of failure, delays in addressing reported defects and limited capital to address the increasing backlog of estate environmental issues. This could lead to an impact/affect on patient experience, our ability to deliver care in line with expected standards resulting in increased scrutiny and critical reports from auditors, regulators and inspectorates, such as HIW and HSE, and decreased public confidence and perception of our services, facilities and estate environment. Impacts also include increasing revenue costs to supplement the lack of capital funding available required to react to emerging issues, ability to comply with the Health and Safety at Work Act, including other legal regulations and engineering guidance documents such as Welsh Health Technical Memorandums (WHTMS).
Does this risk link to any Directorate (operational) risks?			1795,33,39

<b>Risk Rating:(Likelihood x Impact)</b>	
Domain:	Safety - Patient, Staff or Public
Inherent Risk Score (L x I):	4x5=20
Current Risk Score (L x I):	3x5=15
Target Risk Score (L x I):	2x5=10
Tolerable Risk:	6
Trend:	↔

**Rationale for CURRENT Risk Score:**

The current risk score is based upon the level of detailed information the Estates department has for its buildings, plant and infrastructure, including external reports, risk information and Estates and Facilities Performance Management System (EFPMS) data submitted to Welsh Government (WG), clearly articulating the scale of backlog and deficiencies across the Health Board.

The programme business case (PBC) has been under development with WG since 2018/19.

NHS Wales Shared Services (NWSSP) has supported a 3 year investment programme for Major Infrastructure. WG are in support of this plan (With a £5m capital expenditure per year limit), however they have not yet supported the fees to deliver the 3 year programme.

The current funding status is WG support for year 1 of a 3 year plan in 2024-25 together with a small number of priority schemes. Negotiations are ongoing with WG to secure funding for the 3 year plan but unable to give a date as yet.

At present minimal funding has been received circa £1.5m for lift shaft improvements at BGH and Electrical Infrastructure at GGH, with fees for the first year of plan secured.

**Rationale for TARGET Risk Score:**

The target risk score, is directly linked to the amount of funding the Health Board (HB) will receive to address the current issues faced across the organisation and our ability to successfully deliver these improvements to reduce risk. ☒

**Key CONTROLS Currently in Place:**  
 (The existing controls and processes in place to manage the risk)

Planned and Preventative Maintenance regimes

CAFM system to report and prioritise breakdowns across site. Questionnaires have now been included in CAFM, to measure the performance of our maintenance service. Also to feedback any suggestions on improvements.

Condition appraisals (estate survey) and NWSSP-SES audits

Backlog database identifies costs of works across the estate

Operational Estates staff on site to deal with breakdowns (on-call 24/7)

EFAB funding to support DCP (£5.5m over 2 years 2023/24 & 2024/25)  
 WG additional funding in 24/25 for priority items.

Risks are identified by Estates and services and these inform prioritisation of DCP funding

Skilled and trained Estates workforce in place.

Gaps in CONTROLS				
Identified Gaps in Controls : (Where one or more of the key controls on which the organisation is relying is not effective, or we do not have evidence that the controls are working)	How and when the Gap in control be addressed	By Who	By When	Progress
Limited Discretionary Capital Programme (DCP) funding to address the £124m backlog	Undertake general environmental monthly walkarounds across the 4 acute sites to increase understanding and proactive management of day to day estate defects.	Evans, Paul	Completed	Completed
WG support for the Major Infrastructure Programme has not been confirmed	Development of Major infrastructure Programme for 4 main hospitals and securing external funding	Elliott, Rob	<del>31/03/2024</del> <del>31/12/2024</del> 31/03/2025	NWSSP Shared Services has supported a 3 year investment programme for Major Infrastructure.  WG are in support of this plan (With a £5m CapX per year limit) however they have not yet supported the fees to deliver the 3 year programme.  Note reductions of plans from earlier proposals costing several hundred millions, which WG were unable to support.  Current funding status is WG support for year 1 of a 3 year plan in 2024-25 together with a small number of priority schemes. Negotiations are ongoing with WG to secure funding for the 3 year plan but unable to give a date. A revised date for this action has been included and will be reviewed if the situation changes.  At present minimal funding has been received circa £1.5m for lift shaft improvements at BGH and Electrical Infrastructure at GGH, also secured are the fees for 1st year plan.  Risk actions will be reviewed quarterly.
Statutory, mandatory and essential maintenance jobs are prioritised over routine helpdesk jobs (on average only 50% of helpdesk jobs are completed)				
Reduction in annual capital funding and statutory allocations to address key items.				
Increased backlog of circa £250m				

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	Undertake general environmental quarterly walkarounds for all community in-patient facilities (including Mental Health facilities) to increase understanding and proactive management of day to day estate defects.	Evans, Paul	Completed	Completed
	AHMWW PBC submitted to WG in February 2022 remains not endorsed. Agreement required with Welsh Government on next steps and broader strategic direction.	Davies, Lee	31/10/2024	Nuffield Trust report on clinical strategy received and presented to Board. Management response to be agreed through SDODC. Meeting arranged with Deputy Chief Executive, NHS Wales and Director of Finance, NHS Wales.

ASSURANCE MAP			
Performance Indicators	Sources of ASSURANCE	Type of Assurance (1st, 2nd, 3rd)	Required Assurance
			Current Level
	Regular review of 'environment' themed risks identified on operational service risk registers	1st	
	Feedback questionnaire on CAFM maintenance system to measure effectiveness of maintenance service and to offer additional feedback or suggestions on all closed maintenance requests	1st	
	Health and Safety Committee review of risks above tolerance	2nd	
	Independent Member & Executive Director Walkabouts	2nd	
	External surveys are undertaken	3rd	
	NWSSP-SES Internal Audit on Estates Condition (Limited Assurance)	3rd	

Control RAG Rating (what the assurance is telling you about your controls)
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Latest Papers (Committee & date)
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Gaps in ASSURANCES				
Identified Gaps in Assurance:	How are the Gaps in ASSURANCE will be addressed Further action necessary to address the gaps	By Who	By When	Progress

<b>Date Risk Identified:</b>	May-22
<b>Strategic Objective:</b>	4. The best health and wellbeing for our individuals and families and our communities

<b>Executive Director Owner:</b>	Gjini, Ardiana	<b>Date of Review:</b>	Oct-24
<b>Lead Committee:</b>	Health and Safety Committee	<b>Date of Next Review:</b>	Dec-24

<b>Risk ID:</b>	<b>1433</b>	<b>Principal Risk Description:</b>	There is a risk the Health Board being unable to maintain routine and emergency service provision across the organisation in the event of a severe pandemic event. This is caused by a novel virus (or emerging variant or mutation of concern) causing a pandemic as declared by the World Health Organisation (WHO) and the subsequent ability of the Health Board to respond to the scale and severity of the outbreak. This could lead to an impact/affect on patients being able to access appropriate and timely treatment, the UHB being able to maintain safe and effective levels of staffing, financial loss, adverse publicity/reduction in stakeholder confidence, increased mortality and ill-health across our population.
<b>Does this risk link to any Directorate (operational) risks?</b>			

<b>Risk Rating:(Likelihood x Impact)</b>	
<b>Domain:</b>	Service/Business interruption/disruption
<b>Inherent Risk Score (L x I):</b>	4x5=20
<b>Current Risk Score (L x I):</b>	3x4=12
<b>Target Risk Score (L x I):</b>	2x4=8
<b>Tolerable Risk:</b>	6
<b>Trend:</b>	↔

**Rationale for CURRENT Risk Score:**  
 The national security and risk assessment was reviewed and re-published in November 2022, this remains unaltered. The previous pandemic influenza risk has been changed into 2 new risks, one generic pandemic event and 2 emerging infectious diseases. Current likelihood scored at a 3 to reflect the risk of the Health Board being unable to respond to the scale and severity of the pandemic - not the likelihood of the pandemic actually occurring.

**Rationale for TARGET Risk Score:**  
 A Cabinet Review of Influenza Preparedness was due just prior to COVID-19 which delayed publication. This workstream has now recommenced and together with outcomes and learning points from COVID-19 will inform our future planning approach for pandemic response. The Government Respiratory Pandemic Guidance is now due late Summer 2024. It is hoped to reduce either the likelihood and/or impact score following consideration and implementation of these reviews/recommendations and subsequent review of internal planning arrangements.

Key CONTROLS Currently in Place: (The existing controls and processes in place to manage the risk)	Gaps in CONTROLS				
	Identified Gaps in Controls : (Where one or more of the key controls on which the organisation is relying is not effective, or we do not have evidence that the controls are working)	How and when the Gap in control be addressed	By Who	By When	Progress
<p># Major Incident Plan (detailing internal command and control structures)</p> <p># Well established command and control structures for managing pandemic response both nationally and locally</p> <p># Continuation of current COVID-19 national vaccination programme until at least March 2025</p> <p># Extensive knowledge across Health Board in managing a pandemic event</p> <p># COVID-19 response measures which can be adapted to respond to any future pandemic event</p> <p># Local Resilience Forum (LRF) multi-agency plans for managing pandemic influenza (approved by Strategic LRF 14/11/18 now under review also awaiting the Gov Respiratory Pandemic Guidance)</p> <p># LRF Excess Deaths Plan (which supports the LRF multi-agency pandemic influenza management arrangements) developed as a recommendation from Exercise Cygnus. Plan was ratified by the LRF Health Group.</p> <p># Health Board Pandemic Influenza Response Framework and associated plan(currently under review)</p> <p># Quality assurance process via national &amp; local exercise programmes.</p> <p># Access to national counter measures stockpile</p> <p># Surge Plans in place to enable HB to respond to future spikes/waves of infection requiring recommencement of contact tracing, testing &amp; vaccination</p> <p># Continuous learning from COVID-19</p> <p># Pandemic Planning Group re-established</p>		<p>Pandemic Response Framework reviewed which broadens remit from Influenza focus to generic pandemic events.</p>	<p>Hussell, Sam</p>	<p><del>31/01/2024</del> 31/05/2024 31/08/2024 31/10/2024 31/12/2024 28/02/2025</p>	<p>Awaiting publication of UK Gov Respiratory Pandemic Planning Guidance prior to progressing to ratification process. Delayed due to election process.</p>

ASSURANCE MAP				Control RAG Rating (what the assurance is telling you about your controls)	Latest Papers (Committee & date)	Gaps in ASSURANCES				
Performance Indicators	Sources of ASSURANCE	Type of Assurance (1st, 2nd, 3rd)	Required Assurance <span style="background-color: #FFC0CB; border: 1px solid black; display: inline-block; width: 15px; height: 15px; vertical-align: middle;"></span> Current Level			Identified Gaps in Assurance:	How are the Gaps in ASSURANCE will be addressed Further action necessary to address the gaps	By Who	By When	Progress
	Planning via Emergency Preparedness, Resilience & Response (EPRR) including LRF workstream reports to Health & Safety Committee	1st			Vaccine Equity Strategy - Board 30 May 2024  Vaccination Delivery Programme Update - Board via SDODC (Sep 23)  Major Incident Plan - Board via HSC (Jul 23 and scheduled for July 2024)	None identified.				
	Operational pandemic reporting structures from HB to WG	2nd								
	National, regional & local command & control structures	2nd								
	National groups operational for vaccination programme planning & delivery	3rd								
	Emergency Planning Advisory Group (EPAG) Wales meetings re Pandemic response and future planning	3rd								