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Assurance on Governance Arrangements

Situation



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This report provides the Mental Health Legislation Committee (MHLC) with the current status of operational risks within its remit.

The Committee is asked to seek assurance from the risk leads that risks are being managed effectively.

Risk Management - Overview



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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.

The Health Board’s risk management process is recorded via the Datix Risk Register module, and enables risks to be recorded at either Principal, Corporate or Operational level. An escalation process is in place to ensure that risks which require escalation or de-escalation are done via appropriate approval processes and governance arrangements.

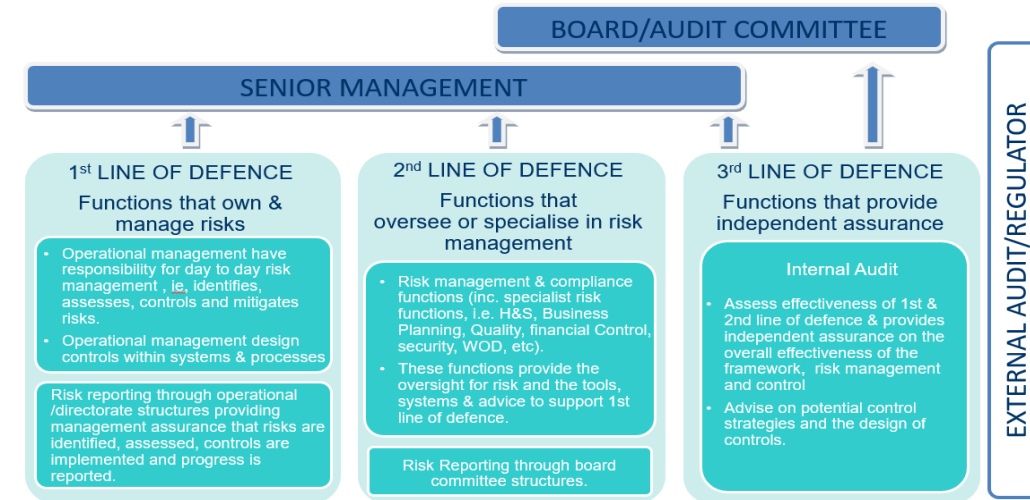
The Health Board operates within the widely accepted “Three Lines of Defence” model to ensure the appropriate responsibility is allocated for the management, reporting and escalation of risk.

Risks are aligned to an appropriate Clinical Care Group or Executive Function (hereto referred to as “Functions”), and each has a designated risk lead responsible for reviewing in a timely and comprehensive manner.

The Board’s Committees are responsible for the monitoring and scrutiny of corporate and operational risks within their remit and providing assurance to the Board that risks are being managed effectively and report areas of significant concern (e.g., where the risk appetite is exceeded, or there is a lack of action).

Committees are also responsible for reviewing risks over tolerance and where appropriate, recommend the ‘acceptance’ of risks that cannot be brought within risk appetite.

A revised approach to risk tolerance was agreed by the Board at its meeting in March 2025 to reflect the organisation’s readiness to bear the risk after risk treatment, in order to achieve its objectives. Risk leads are required to provide a rationale for the target risk score (TRS), and an expected date when the target risk score (TRS) will be achieved. These are mandatory fields on Datix as of 1 July 2025, and therefore where risks do not currently have this detail, risk leads will be asked to provide by the next report to MHLC.



Operational Risks assigned to MHLC



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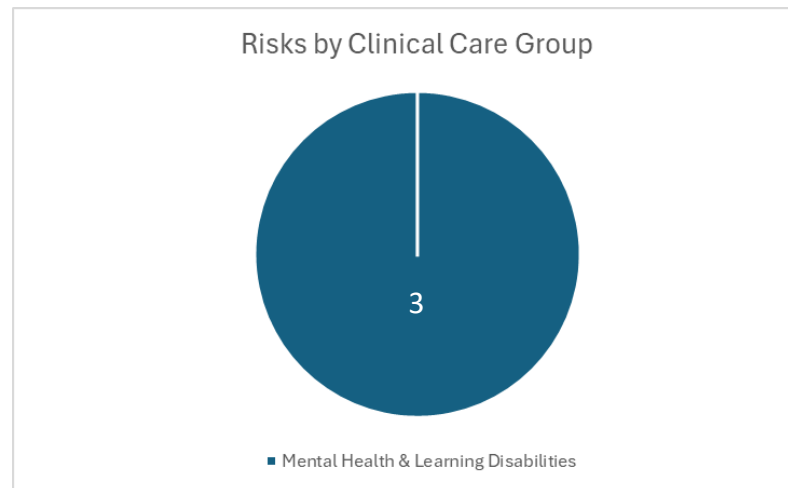
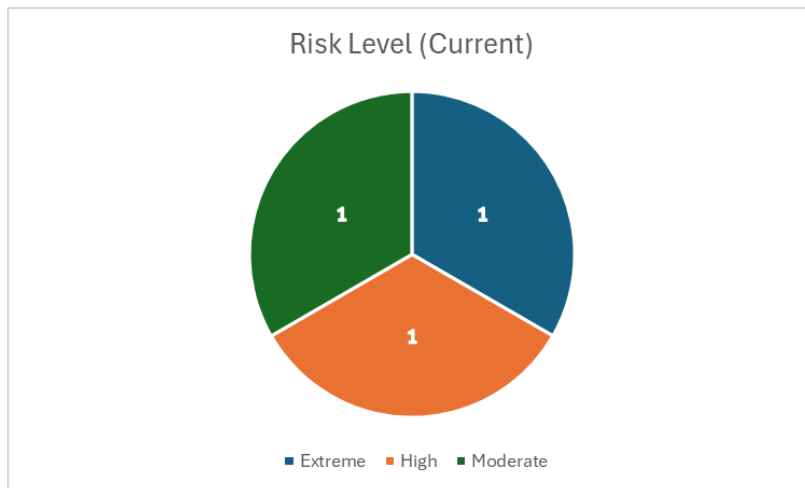
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3 operational risks on Datix have been aligned to the Mental Health Legislation Committee (MHLC) which are all within review date and have been identified as reportable to MHLC based on the following criteria:

- MHLC has been selected by the risk lead as the 'Local Management Group' on Datix;
- The current risk score is either equal to or exceeds the target risk score;
- Risks have been identified at operational level on Datix; and
- Risks have not been escalated to the Corporate Risk Register.

Detail in relation to target risk scores became mandatory fields on Datix as of 1 July 2025, and therefore where risks do not currently have this detail, risk leads will be asked to provide by the next report to MHLC.

The following slide summarises the operational risks aligned to MHLC. The Risk Register attached at Appendix 1, provides full detail of the 3 reportable risks, including control measures in place and the risk action plan to further manage and mitigate the risk.



Operational Risks Reportable to MHLC



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Risk Reference & Title	Clinical Care Group / Executive Function	Lead Director	Current Risk Score*	Target Risk Score (TRS)	Expected Date to achieve TRS	Date of last risk review
2090 – Risk to patient care in the Ceredigion area due to workforce capacity	Mental Health and Learning Disabilities	Chief Operating Officer	20 (NEW)	6	03/08/2026	23/07/2025
1857 – Risk of significant delay in admission for individuals with medical recommendations for admission under the Mental Health Act.	Mental Health and Learning Disabilities	Chief Operating Officer	9 →	9	13/08/2025	13/08/2025
1781 – Risk of being unable to provide a Community Place of Safety (CPOS) to individuals detained under Section 136 in Ceredigion court	Mental Health and Learning Disabilities	Chief Operating Officer	6 →	4	TBC	27/06/2025

*any movement in the current risk score since the risk was previously reported to Committee is denoted by the arrow alongside the risk score.

Risk Themes and Operational Arrangements



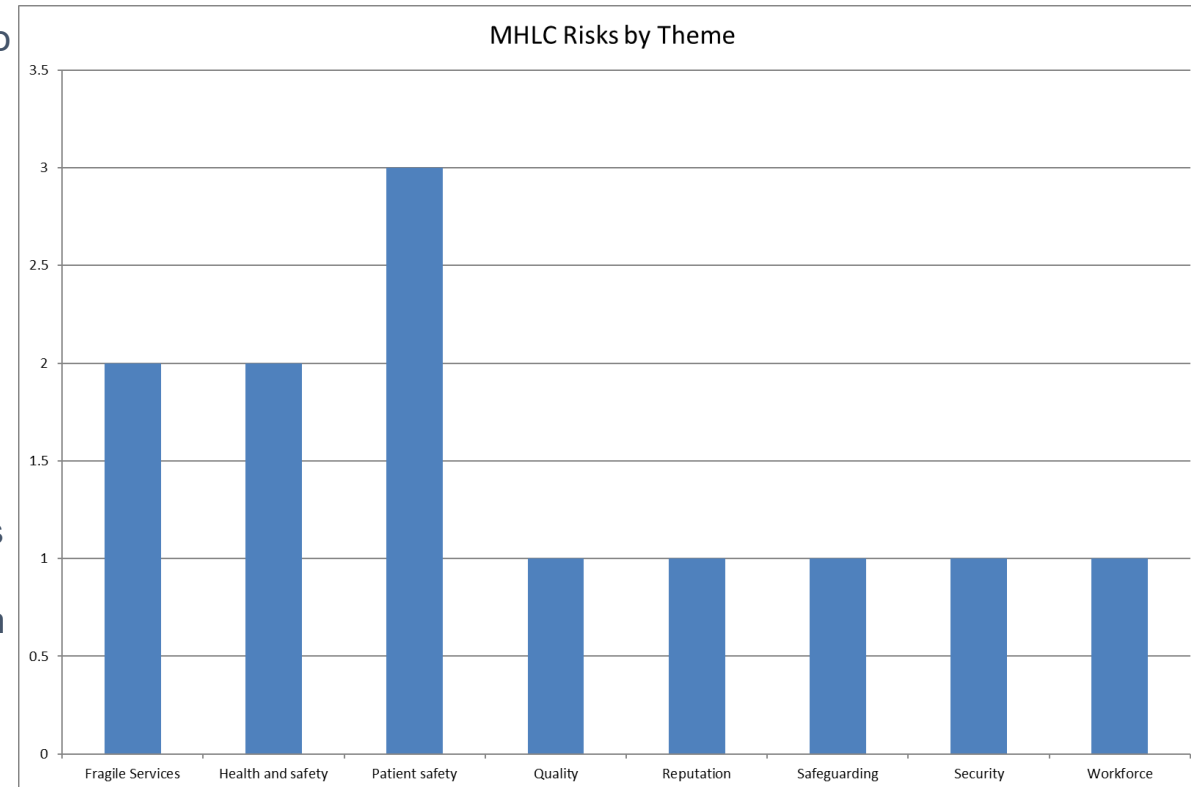
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Risk owners can allocate themes to their risks, which allows the Health Board to share risk information on specific areas with relevant experts as part of the second line of defence. Risk themes provide assurance that a holistic approach to risk management is undertaken and enable the Health Board to better identify the risk appetite, risk capacity and total risk exposure in relation to each risk, group of similar risks, or generic type of risk.

Each theme has assigned owners based on subject matter expertise, who receive notifications when risks are added to the risk register, and are also provided with their thematic risk register on a bi-monthly basis. Upon receipt, themed risk owners are required to review the risk register to ensure that risks have been correctly allocated, a review of the risk, controls and planned actions from an expert perspective, and to provide oversight and guidance to the relevant risk lead of any further controls or actions which need to be undertaken to manage the risk to an acceptable level.

The following risk themes have been identified from the risks currently reportable to MHLC: Fragile Services, Health and Safety, Patient Safety, Quality, Reputation, Safeguarding, Security, Workforce.



Recommendations



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The Committee is requested to:

- **SEEK ASSURANCE** from risk leads that all relevant controls and mitigating actions are in place; and
- **DISCUSS** whether the planned actions will be implemented within stated timescales and will reduce the risk further and/or mitigate the impact if the risk materialises.

This in turn will enable the Mental Health Legislation Committee to provide the necessary assurances that the Health Board is managing these risks effectively.



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