

## PWYLLGOR ADNODDAU CYNALIADWY SUSTAINABLE RESOURCES COMMITTEE

<b>DYDDIAD Y CYFARFOD: DATE OF MEETING:</b>	23 February 2022
<b>TEITL YR ADRODDIAD: TITLE OF REPORT:</b>	Operational Risk Report
<b>CYFARWYDDWR ARWEINIOL: LEAD DIRECTOR:</b>	Huw Thomas, Director of Finance
<b>SWYDDOG ADRODD: REPORTING OFFICER:</b>	Rachel Williams, Assurance and Risk Officer

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

Ar Gyfer Trafodaeth/For Discussion

### ADRODDIAD SCAA SBAR REPORT

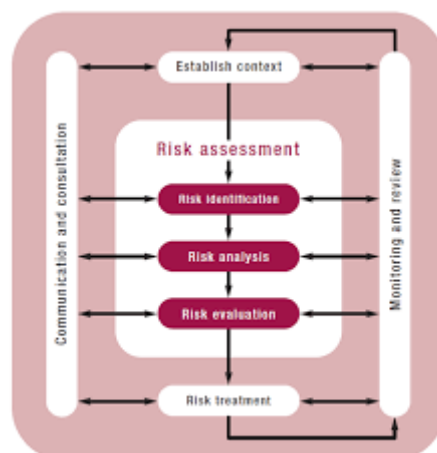
#### Sefyllfa / Situation

The Sustainable Resources Committee (SRC) is responsible for providing assurance to the Board that risks affecting finance are being identified, assessed and managed effectively.

The Committee is requested to seek assurance from Lead Officers/representatives of the Directorates that the operational risks identified in the attached reports 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)

Operational risks must be managed within Directorates under the ownership and leadership of individual Executive Directors, who must establish local arrangements for the review of their Risk Registers, which includes the validation of the information and risk scores, and the

prioritisation and identification of solutions to their risks. In addition to these local arrangements, formal monitoring and scrutiny processes are in place within Hywel Dda University Health Board (HDdUHB) to provide assurance to the Board that risks are being managed effectively.

All risks identified within the Datix Risk Module must be assigned to a formal Board Committee, Sub-Committee or Group, which will be responsible for securing assurance that risks within their remit are being managed effectively.

Management Leads are asked to review risk assessments and risk actions in line with the following timescales for review:

RISK SCORE	DEFINITION	MINIMUM REVIEW FREQUENCY
15-25	Extreme	This type of risk is considered extreme and should be reviewed and progress on actions updated at least monthly.
8-12	High	This type of risk is considered high and should be reviewed and progress on actions updated at least bi-monthly.
4-6	Moderate	This type of risk is considered moderate and should be reviewed and progress on actions updated at least every six months.
1-3	Low	This type of risk is considered low risk and should be reviewed and progress on actions updated at least annually.

In monitoring the risks associated with their respective areas of activity, each Committee and Sub-Committee is responsible for:

- Scrutinising operational risks within their remit; either through receiving the Risk Registers or through Service Reports;
- Gaining assurance that risks are being appropriately managed, effective controls are in place, and planned additional controls are being implemented;
- Challenging pace of delivery of actions to mitigate risk;
- Identifying, through discussions, new and emerging risks and ensuring these are assessed by those with the relevant responsibility;
- Providing assurance to its parent Committee, or to the Board, that risks are being managed effectively and reporting risks which have exceeded tolerance through its Committee/ Sub-Committee/ Group Update Report;
- Using Risk Registers to inform meeting agendas.

It is therefore essential that the membership of these Committees and Sub-Committees includes appropriate representation from Directorates, and that they are in attendance to provide assurance and to respond to queries.

Relevant discussion should be reflected in the SRC Update Report to the Board to provide assurance on the management of significant risks. This will include risks that are not being managed within tolerance levels (see [Risk Appetite Statement](#)), and any other risks, as appropriate.

## Asesiad / Assessment

The SRC's Terms of Reference state that it will:

- Seek assurance on the management of principal risks within the Board Assurance Framework (BAF) and Corporate Risk Register (CRR) allocated to the Committee and provide assurance to the Board that risks are being managed effectively and report any areas of significant concern e.g. where risk tolerance is exceeded, lack of timely action;
- Recommend acceptance of risks that cannot be brought within the UHBs risk appetite/tolerance to the Board through the Committee Update Report; and
- Receive assurance through Sub-Committee Update Reports and other management/task & finish group reports that risks relating to their areas 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).

The 10 risks presented in the Risk Register, attached at Appendix 1, as at 2<sup>nd</sup> February 2022, have been extracted from Datix, based on the following criteria:

- The SRC has been selected by the Risk Lead as the 'Assuring Committee' on Datix;
- The current risk score exceeds the tolerance level, as discussed and agreed by the Board on 27<sup>th</sup> September 2018;
- Risks have been approved at Directorate level on Datix;
- Risks have not been escalated to the CRR.



10 risks have been scored against the *Finance, including Claims* 'impact' domain.

Below is a **summary** of the 10 risks, ranked highest to lowest by current score, which meet the criteria for submission to SRC at its meeting on 23<sup>rd</sup> February 2022.

TOTAL NUMBER OF RISKS	10
NEW RISKS ENTERED ON DATIX	0
RISKS NOW MEETING THE REQUIREMENT TO REPORT	0
RISKS REMOVED FROM THE REQUIREMENT TO REPORT	0
INCREASE IN CURRENT RISK SCORE ↑	0
NO CHANGE IN RISK SCORE ↔	10
REDUCTION IN RISK SCORE ↓	0
EXTREME (RED) RISKS (based on 'Current Risk Score')	0
HIGH (AMBER) RISKS (based on 'Current Risk Score')	10

The summary table below has been extracted from the Datix system:

Risk Ref	Date Risk Identified	Title	Directorate	Current Risk Score	Rationale for the Current Risk Score (extracted from the Datix system)	Target Risk Score
1243	01/04/21	Failure to remain within allocated budget in the current financial year 2021/22 - Prince Philip Hospital (PPH)	Unscheduled Care: PPH	12 ↔	Score reflects the financial forecast undertaken in September 2021, which reflects the estimated pressures around maintaining capacity within PPH. Mitigating actions are	6

					being pursued with the bid for Same Day Emergency Care (SDEC) and interaction with Community urgent care proposals that will impact positively on the pressures and capacity requirement in PPH.	
975	01/05/20	Failure to remain within allocated budget over the medium term (Estates & Facilities).	Estates and Facilities: Directorate Team	10 	<p>The Directorate can operate within its budget with three current exceptions, which are monitored closely by the Finance Business Partners:</p> <p>1) COVID-19 costs. There is no budget for COVID-19 costs, so any spend will take the Directorate over their allocated budget. It is assumed that Welsh Government (WG) will fund COVID-19 costs, and this assumption is reviewed regularly.</p> <p>2) Enhanced cleaning standards. Newly stipulated cleaning standards requirements are estimated to cost £1.5 million for the current financial year. It is assumed that WG will fund these costs, and this assumption is reviewed regularly.</p> <p>3) Utilities costs. Global gas prices have increased significantly in recent months and all health boards will feel this pressure. Discussions are ongoing with WG to determine whether funding will be provided to cover this additional spend.</p>	5
979	01/07/20	Failure to remain within allocated budget over the medium term - Glangwili General Hospital (GGH).	Unscheduled Care: GGH	9 	<p>GGH site is currently experiencing continued increased demand and pressures, combined with high level vacancies in both Nursing and Medical positions. Every effort is being made to recruit into roles and consider alternatives.</p> <p>Pressures within A&amp;E remain significant, resulting in a substantial amount of the forecast overspend position. An A&amp;E action</p>	6

					plan has been devised to address this.	
980	01/07/20	Failure to remain within allocated budget over the medium term - Withybush General Hospital (WGH).	Unscheduled Care: WGH	9 ↔	Assessment refreshed to quantify likely impact of COVID-19 on the underlying deficit, focusing on both the adverse impact such as non-delivery of recurrent savings, and the opportunities arising due to service changes in response to COVID-19.	6
983	22/07/21	Failure to remain within allocated budget over the medium term - Bronglais General Hospital (BGH).	Unscheduled Care: BGH	9 ↔	The change in score reflects the financial forecast undertaken in April 2021, which reflects the estimated pressures around maintaining capacity within BGH. Mitigating actions are being pursued with the bid for SDEC and interaction with Community urgent care proposals, which will impact positively on the pressures and capacity requirement in BGH.	3
1239	01/04/21	Failure to remain within allocated budget in the current financial year 2021/22 (BGH)	Unscheduled Care: BGH	9 ↔	Score reflects the financial forecast undertaken in September 2021, which reflects the estimated pressures around maintaining capacity within BGH. Mitigating actions are being pursued with the bid for SDEC and interaction with Community urgent care proposals, which will impact positively on the pressures and capacity requirement in BGH.	6
968	03/08/20	Failure to remain within allocated budget over the medium term (Pembrokeshire).	Three Counties: Pembrokeshire	9 ↔	In the medium term, the county will need to spend additional resources in order to drive the changes that are needed to facilitate change in the system which it is planned will generate savings in the longer term. In addition to this there is a risk that the Integrated Care Fund (ICF)/Transformation Fund funding will end, which is underpinning posts within the Counties at present.	6
1242	01/04/21	Failure to remain within allocated budget in the current financial	Unscheduled Care: GGH	9 ↔	Score reflects the financial forecast undertaken in September 2021, which reflects the estimated pressures around	6

		year 2021/22 (GGH)			maintaining capacity within GGH. Mitigating actions are being pursued with the bid for SDEC and interaction with Community urgent care proposals, which will impact positively on the pressures and capacity requirement in GGH.	
1244	01/04/21	Failure to remain within allocated budget in the current financial year 2021/22 (Carmarthenshire)	Carmarthenshire	9 ↔	Score reflects the financial forecast undertaken in September 2021, which reflects the estimated pressures around maintaining capacity within Carmarthenshire community. Mitigating actions are being pursued with the bid for Urgent Primary Care (UPC) and Urgent Emergency Care (UEC).	6
964	03/08/20	Failure to remain within allocated budget over the medium term (Carmarthenshire).	Three Counties: Carmarthenshire	9 ↔	In the medium term, the county is required to spend additional resources in order to drive the changes that are needed to facilitate change in the system, which it is anticipated will generate savings in the longer term. Additionally, there is a risk that the county will lose ICF/Transformation Fund funding, which is currently underpinning posts within the Counties.	6

In respect of risk 975, as detailed within the narrative and on further review the Director of Finance has noted a risk in relation to the growing pressures on utilities costs which has not been fully recognised in the ORR. This has been reported to the Director of Estates and Facilities for incorporation into the risk register to assess how this risk can be managed and mitigated.

The Risk Register, attached at Appendix 1, details the responses to each risk, i.e. the Risk Action Plan.

The heatmap below has been obtained from the [Risk Performance dashboard](#). An Incident Response Improvement System (IRIS) account is required in order to access the Risk Performance dashboard, which can be obtained by completing this [online form](#). The information reflects the risk information extracted from Datix, as at 2<sup>nd</sup> February 2022, based on the following criteria:

- SRC has been selected by the risk lead as the 'Assuring Committee' on Datix;
- Risks are at Directorate level on Datix; and
- Risks have been approved at Directorate level on Datix;

Below is a heatmap of the 18 Directorate level risks assigned to SRC as at the date of data extraction of 2<sup>nd</sup> February 2022:

HYWEL DDA RISK HEAT MAP					
	LIKELIHOOD →				
IMPACT ↓	RARE 1	UNLIKELY 2	POSSIBLE 3	LIKELY 4	ALMOST CERTAIN 5
CATASTROPHIC 5		975			
MAJOR 4					
MODERATE 3			983, 979, 980, 964, 968, 1244, 1242, 1239	1243	
MINOR 2					
NEGLIGIBLE 1					

The table below details when the all Directorate level risks assigned to the SRC were last updated on Datix. Risks are required to be updated along the following timescales, dependant on their risk level:

- Extreme Risks – Monthly.
- High Risks – Bi-monthly.
- Moderate Risks – Six-monthly.
- Low Risks – Annually.

Risk numbers presented in red text denote those where a review of the risk is overdue, based on the data as at 2<sup>nd</sup> February 2022.

	Risks updated in last month	Risks updated within last 1-2 months	Risks updated within last 3-6 months	Risks updated within last 6-12 months
<b>Extreme</b>				
<b>High</b>	968	980 983 1239 975	964 979 1242 1243 1244	
<b>Moderate</b>		965 966 971 973 1240 1241	967	
<b>Low</b>		958		

[Argymhelliad / Recommendation](#)

The Sustainable Resources Committee is requested to:

- Review and scrutinise the risks included within this report to seek assurance that all relevant controls and mitigating actions are in place.
- Discuss whether the planned action will be implemented within stated timescales and will reduce the risk further and/ or mitigate the impact, should the risk materialise.

Subsequently, the Committee will provide the necessary assurance to the Board that these risks are being managed effectively.

<b>Amcanion: (rhaid cwblhau)</b>	
<b>Objectives: (must be completed)</b>	
Committee ToR Reference: Cyfeirnod Cylch Gorchwyl y Pwyllgor:	2.7 Seek assurance on the management of principal risks within the Board Assurance Framework (BAF) and Corporate Risk Register (CRR) allocated to the Committee and provide assurance to the Board that risks are being managed effectively and report any areas of significant concern e.g. where risk tolerance is exceeded, lack of timely action.
Cyfeirnod Cofrestr Risg Datix a Sgôr Cyfredol: Datix Risk Register Reference and Score:	Contained within the report
Safon(au) Gofal ac Iechyd: Health and Care Standard(s):	All Health & Care Standards Apply
Amcanion Strategol y BIP: UHB Strategic Objectives:	All Strategic Objectives are applicable
Amcanion Llesiant BIP: UHB Well-being Objectives: <a href="#">Hyperlink to HDdUHB Well-being Objectives Annual Report 2018-2019</a>	10. Not Applicable

<b>Gwybodaeth Ychwanegol:</b>	
<b>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:	Risk Appetite - <i>the amount of risk that an organisation is willing to pursue or retain</i> (ISO Guide 73, 2009)  Risk Tolerance - <i>the organisation's readiness to bear a risk after risk treatment in order to achieve its objectives</i> (ISO Guide 73, 2009)
Partïon / Pwyllgorau â ymgynhorwyd ymlaen llaw y Pwyllgor Adnoddau Cynaliadwy:	SRC Executive Lead Board Secretary



Parties / Committees consulted prior to Sustainable Resources Committee:	
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<b>Effaith: (rhaid cwblhau) Impact: (must be completed)</b>	
<b>Ariannol / Gwerth am Arian: Financial / Service:</b>	No direct impacts from report however impacts of each risk are outlined in risk description.
<b>Ansawdd / Gofal Claf: Quality / Patient Care:</b>	No direct impacts from the report however, impacts of each risk are outlined in the risk description.
<b>Gweithlu: Workforce:</b>	No direct impacts from the report however, impacts of each risk are outlined in the risk description.
<b>Risg: Risk:</b>	No direct impacts from the report however, organisations are expected to have effective risk management systems in place.
<b>Cyfreithiol: Legal:</b>	No direct impacts from the 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: 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: Privacy:</b>	No direct impacts from the report however, impacts of each risk are outlined in risk description.
<b>Cydraddoldeb: Equality:</b>	Has EqIA screening been undertaken? No Has a full EqIA been undertaken? No

Risk Ref	Status of Risk	Health and Care Standards Directorate	Directorate lead	Management or service lead	Date risk identified	Risk Statement	Existing Control Measures Currently in Place	Domain	Risk Tolerance Score	Current Likelihood	Current Impact	Current Risk Score	Additional Risk Action Required	By Whom	By When	Progress Update on Risk Actions	Lead Committee	Target Likelihood	Target Impact	Target Risk Score	Detailed Risk Decision	Review date		
1243	Directorate Level Risk	USC: PPH	Denning, Brett	Billen, Janine	01-Apr-21	<p>There is a risk that the Health Board's and therefore Directorate's financial position may be adversely affected. the funding arrangements for the Health Board's COVID-19 pandemic response remain uncertain. The PPH Directorate is £1.8m over spent against its delegated budget at the end of August 2021 (Covid and Non Covid) and at the time is Forecast to be £3.8m over spent at year-end (Covid and Non Covid). The risk remains around impact of increasing patient services and Winter Pressures.</p> <p>This is caused by significant pressures within the site covering vacancies and sickness in both nursing and medical staffing. Other cost pressures include infusion pumps and drugs particularly homecare drugs.</p> <p>This will lead to an impact/affect on the delivery of local savings schemes for 2021/22 due to the ongoing work in response to the pandemic. Also result in the Directorate failing to remain within their allocated budget for the 2021/22 financial year. This could lead to an impact/affect the Health Board's reputation with Welsh Government and other stakeholders</p> <p>Risk location, Prince Philip Hospital.</p>	<p>Understanding the underlying deficit. COVID-19 and Non Covid assessment has been completed, which are regularly reviewed through the financial year.</p> <p>Finance Business Partners work closely with budget holders to support informed decision making and ensure that there is sufficient focus on the financial implications of operational pressures and mitigating actions.</p> <p>Finance Business Partners review with Directorate the opportunities from the framework during 2021-22.</p>	Finance inc. claims	6	4	3	12							Sustainable Resources Committee	3	2	6	Treat	08-Oct-21
975	Directorate Level Risk	E&F: Directorate Team	Elliott, Rob	Popham, Leon	01-May-20	<p>There is a risk the Estates and Facilities Directorate failing to remain within their allocated budget over the medium term.</p> <p>This is caused by the inability to either:</p> <ol style="list-style-type: none"> <li>1. Identify and deliver robust and realistic recurrent savings plans,</li> <li>2. Manage the impact of the COVID-19 pandemic within available funding,</li> <li>3. Manage the impact on the underlying deficit of resulting non-delivery of the recurrent savings requirement, or,</li> <li>4. Identify and implement opportunities in such a way that the financial gains are realised and an improvement trajectory is achieved.</li> </ol> <p>This will lead to an impact/affect on a significant long term detrimental impact on the Health Board's financial sustainability.</p> <p>Risk location, Health Board wide.</p>	<p>Understanding the underlying deficit. A pre-COVID-19 assessment has been completed, which will need to be reviewed in light of the impact of the pandemic.</p> <p>Finance Business Partners work closely with budget holders to support informed decision making and ensure that there is sufficient focus on the financial implications of operational pressures and mitigating actions.</p> <p>The monthly finance cycle reviews the movement in month and forecasts the remainder of the year, ensuring the healthboard has regular updates on the Directorates financial position.</p>	Finance inc. claims	6	2	5	10	<p>A 3-year financial training programme is being developed for budget holders as part of the Health Board's three year Plan.</p> <p>A reporting dashboard is under development to improve the accessibility to financial and non-financial information for budget holders and to allow a better understanding of cost drivers. This will facilitate better and more informed decision making by budget holders.</p>	<p>Popham, Leon</p> <p>31/12/2020 31/01/2021</p> <p>Popham, Leon</p> <p>31/12/2020 31/01/2021</p>	<p>A reporting Dashboard for financial information has been achieved. Work in underway to include non-financial information also into the monthly Finance Dashboard to a plan, and this is currently scheduled for completion in 31/01/2021. The training programme was initially paused due to essential financial work due to Covid response and will be picked up and refined with an estimate delivery date of 03 / 2022</p> <p>A reporting Dashboard for financial information has been achieved. Work in underway to include non-financial information also into the monthly Finance Dashboard to a plan, and this is currently scheduled for completion in 31/01/2021. The training programme was initially paused due to essential financial work due to Covid response and will be picked up and refined with an estimate delivery date of 03 / 2022</p>	Sustainable Resources Committee	1	5	5	Treat	01-Dec-21			

Risk Ref	Status of Risk	Health and Care Standards Directorate	Directorate lead	Management or service lead	Date risk identified	Risk Statement	Existing Control Measures Currently in Place	Domain	Risk Tolerance Score	Current Likelihood	Current Impact	Current Risk Score	Additional Risk Action Required	By Whom	By When	Progress Update on Risk Actions	Lead Committee	Target Likelihood	Target Impact	Target Risk Score	Detailed Risk Decision	Review date
													Assessment refreshed to quantify likely impact of COVID-19 on the underlying deficit for FY22, focusing on both the adverse impact such as non-delivery of recurrent savings, and the opportunities arising due to service changes in response to COVID-19.	Popham, Leon	Completed	Complete						
979	Directorate Level Risk	USC: GGH	Perry, Sarah	Billen, Janine	01-Jul-20	<p>There is a risk the GGH Directorate failing to remain within their allocated budget over the medium term.</p> <p>This is caused by inability to either:                      1. Identify and deliver robust and realistic recurrent savings plans,                      2. Manage the impact of the COVID-19 pandemic within available funding,                      3. Manage the impact on the underlying deficit of resulting non-delivery of the recurrent savings requirement, or,                      4. Identify and implement opportunities in such a way that the financial gains are realised and an improvement trajectory is achieved.</p> <p>This will lead to an impact/affect on a significant long term detrimental impact on the Health Board's financial sustainability.</p> <p>Risk location, Health Board wide.</p>	<p>Understanding the underlying deficit. A pre-COVID-19 assessment has been completed, which will need to be reviewed in light of the impact of the pandemic.</p> <p>Finance Business Partners work closely with budget holders to support informed decision making and ensure that there is sufficient focus on the financial implications of operational pressures and mitigating actions.</p> <p>Finance Business Partners review with Directorate the opportunities from the framework during 20-21.</p>	Finance Inc. claims	6	3	3	9	<p>A 3-year financial training programme is being developed for budget holders as part of the Health Board's three year Plan.</p> <p>A reporting dashboard is under development to improve the accessibility to financial and non-financial information for budget holders and to allow a better understanding of cost drivers. This will facilitate better and more informed decision making by budget holders.</p>	Billen, Janine	31/12/2020 31/03/2022	<p>A reporting Dashboard for financial information has been achieved. Work in underway to include non-financial information also into the monthly Finance Dashboard to a plan, and this is currently scheduled for completion in 31/01/2021. The training programme was initially paused due to essential financial work due to Covid response and will be picked up and refined with an estimate delivery date of 03/2022.</p> <p>While progress has been made with the dashboards and providing training to managers regarding the use of the dashboards, the overall risk assessment at 13th September 2021 remains unchanged pending the delivery of the 3 year financial training programme to managers</p>	Sustainable Resources Committee	3	2	6	Treat	13-Sep-21

Risk Ref	Status of Risk	Health and Care Standards Directorate	Directorate lead	Management or service lead	Date risk identified	Risk Statement	Existing Control Measures Currently in Place	Domain	Risk Tolerance Score	Current Likelihood	Current Impact	Current Risk Score	Additional Risk Action Required	By Whom	By When	Progress Update on Risk Actions	Lead Committee	Target Likelihood	Target Impact	Target Risk Score	Detailed Risk Decision	Review date
													Assessment refreshed to quantify likely impact of COVID-19 on the underlying deficit for FY22, focusing on both the adverse impact such as non-delivery of recurrent savings, and the opportunities arising due to service changes in response to COVID-19.	Billen, Janine	Completed	Achieved.						
													4. Work with County Director and Primary Care to review high users of the services in PPH to quantify impact of social needs and / or GP cluster behaviours. Review with Health System and through integrated partnership working avenue of opportunities' to pursue to reduce cost base and maintain capacity and ensure patient safety and improved outcome.	Billen, Janine	31/12/2020	New actions.						
980	Directorate Level Risk	USC: WGH	Cole-Williams, Janice	Jones, Keith	01-Jul-20	<p>There is a risk of the WGH Directorate failing to remain within their allocated budget over the medium term.</p> <p>This is caused by the inability to either: Identify and deliver robust and realistic recurrent savings plans, manage the impact of the COVID-19 pandemic within available funding, manage the impact on the underlying deficit of resulting non-delivery of the recurrent savings requirement, or, identify and implement opportunities in such a way that the financial gains are realised and an improvement trajectory is achieved.</p> <p>This will lead to an impact/affect on a significant long term detrimental impact on the Health Board's financial sustainability.</p> <p>Risk location, Health Board wide.</p>	<p>Understanding the underlying deficit. Work with budget holders to understand the impact of moving into a post Covid environment.</p> <p>Finance Business Partners work closely with budget holders to support informed decision making and ensure that there is sufficient focus on the financial implications of operational pressures and mitigating actions.</p> <p>Finance Business Partners review with Directorate the opportunities from the framework during 21-22 incorporating the lessons form learned operating in the Covid environment. Health Systems Evaluation Meetings with Director of Finance.</p>	Finance Inc. claims	6	3	3	9	<p>A 3-year financial training programme is being developed for budget holders as part of the Health Board's three year Plan. This will facilitate better and more informed decision making by budget holders.</p> <p>Develop a reporting dashboard to improve the accessibility to financial and non-financial information for budget holders and to allow a better understanding of cost drivers.</p> <p>Assessment refreshed to quantify likely impact of COVID-19 on the underlying deficit for FY22, focusing on both the adverse impact such as non-delivery of recurrent savings, and the opportunities arising due to service changes in response to COVID-19.</p>	Jones, Keith	31/12/2020 31/03/2022	<p>A reporting Dashboard for financial information has been achieved. The training programme was initially paused due to Covid response and will be picked up and refined with an estimate delivery date of 03/2022.</p> <p>A reporting Dashboard for financial information has been achieved. The training programme was initially paused due to Covid response and will be picked up and refined with an estimate delivery date of 03/2022.</p> <p>Achieved</p>	Sustainable Resources Committee	3	2	6	Treat	03-Dec-21

Risk Ref	Status of Risk	Health and Care Standards Directorate	Directorate lead	Management or service lead	Date risk identified	Risk Statement	Existing Control Measures Currently in Place	Domain	Risk Tolerance Score	Current Likelihood	Current Impact	Current Risk Score	Additional Risk Action Required	By Whom	By When	Progress Update on Risk Actions	Lead Committee	Target Likelihood	Target Impact	Target Risk Score	Detailed Risk Decision	Review date
													Work as a system to develop a systems IMTP that addresses the resource pressures within the Pembrokeshire system as a whole. Use UPC, SDEC and the Enhanced Bridging Services to ensure optimal patient flow through the hospital and community system ensuring that residents are looked after in the most appropriate setting. This will ensure the best utilisation of resources and ensure the best outcomes for patients.	Jones, Keith	31/03/2022	To be updated at next risk review						
983	Directorate Level Risk	USC: BGH	Davies, Hazel	Jarman, Carwen	22-Jul-21	<p>There is a risk of the BGH Directorate failing to remain within their allocated budget over the medium term.</p> <p>This is caused by the inability to either:                      1. Identify and deliver robust and realistic recurrent savings plans,                      2. Manage the impact of the COVID-19 pandemic within available funding,                      3. Manage the impact on the underlying deficit of resulting non-delivery of the recurrent savings requirement, or,                      4. Identify and implement opportunities in such a way that the financial gains are realised and an improvement trajectory is achieved.</p> <p>This will lead to an impact/affect on a significant long term detrimental impact on the Health Board's financial sustainability.</p> <p>Risk location, Health Board wide.</p>	<p>Understanding the underlying deficit. A pre-COVID-19 assessment has been completed, which will need to be reviewed in light of the impact of the pandemic.</p> <p>Finance Business Partners work closely with budget holders to support informed decision making and ensure that there is sufficient focus on the financial implications of operational pressures and mitigating actions.</p> <p>Finance Business Partners review with Directorate the opportunities from the framework during 2021-22.</p>	Finance inc. claims	6	3	3	9	<p>A 3-year financial training programme is being developed for budget holders as part of the Health Board's three year Plan.</p> <p>A reporting dashboard is under development to improve the accessibility to financial and non-financial information for budget holders and to allow a better understanding of cost drivers. This will facilitate better and more informed decision making by budget holders.</p>	Jarman, Carwen	31/12/2020 30/09/2021	<p>The implementation of the training programme was put on hold during the pressured winter period, this has now been revisited and will need some revision and a programme of training shared and delivered for budget holders by 30th September 2021.</p> <p>A draft Reporting Dashboard has been created for M6 Financial Reporting, and send to budget holder. Awaiting feedback from key finance users and service, before rolling out the full interactive Dashboard. No change to original action completion date.</p>	Sustainable Resources Committee	3	2	6	Treat	23-Nov-21

Risk Ref	Status of Risk	Health and Care Standards Directorate	Directorate lead	Management or service lead	Date risk identified	Risk Statement	Existing Control Measures Currently in Place	Domain	Risk Tolerance Score	Current Likelihood	Current Impact	Current Risk Score	Additional Risk Action Required	By Whom	By When	Progress Update on Risk Actions	Lead Committee	Target Likelihood	Target Impact	Target Risk Score	Detailed Risk Decision	Review date	
									6	3	3	9						3	2	6			
1239	Directorate Level Risk	USC: BGH	Davies, Hazel	Jarman, Carwen	01-Apr-21	<p>There is a risk that the Directorate and therefore the Health Board's financial position may be adversely affected. The BGH Directorate is forecast to be £1.6m over spent year-end against its delegated budget on Covid response expenditure. For non-covid, the BGH directorate year end forecast is £2.0m over spent.</p> <p>This is caused by significant pressures within the ED Department (some months average of 15 patients waiting for a bed, and cared for on trolleys in ED) with additional nursing costs, associated non pay medical and surgical consumables. The directorate has seen significant sickness level amongst its qualified nurses and junior doctors.</p> <p>This will lead to an impact/affect on the delivery of local savings schemes for 2021/22 due to the ongoing work in response to the pandemic. Also result in the Directorate failing to remain within their allocated budget for the 2021/22 financial year. This could lead to an impact/affect the Health Board's reputation with Welsh Government and other stakeholders.</p> <p>Risk location, Bronglais General Hospital.</p>	<p>Understanding the underlying deficit - COVID-19 and Non Covid assessment has been completed</p> <p>Finance Business Partners work closely with budget holders to support informed decision making and ensure that there is sufficient focus on the financial implications of operational pressures and mitigating actions.</p> <p>Finance Business Partners review with Directorate the opportunities from the framework during 2021-22.</p>	Finance inc. claims	6	3	3	9						Sustainable Resources Committee	3	2	6	Treat	23-Nov-21
1244	Directorate Level Risk	Carmarthenshire	Dawson, Rhian	Billen, Janine	01-Apr-21	<p>There is a risk that the Health Board's and therefore Directorate's financial position may be adversely affected. Funding arrangements for the Health Board's COVID-19 pandemic response remain uncertain. The Carmarthenshire County Directorate is £0.3m over spent against its delegated budget at the end of August 2021 (Covid and Non Covid) and at the time is Forecast to be £0.9m over spent at year-end (Covid and Non Covid).</p> <p>This is caused by community nursing cost pressures along with COVID costs associated with the need to develop community step up and down facilities.</p> <p>This will lead to an impact/affect on on the delivery of local savings schemes for 2021/22 due to the ongoing work in response to the pandemic. Also result in the Directorate failing to remain within their allocated budget for the 2021/22 financial year. This could lead to an impact/affect the Health Board's reputation with Welsh Government and other stakeholders.</p> <p>Risk location, .</p>	<p>Understanding the underlying deficit. COVID-19 and Non Covid assessment has been completed, and regularly reviewed.</p> <p>Finance Business Partners work closely with budget holders to support informed decision making and ensure that there is sufficient focus on the financial implications of operational pressures and mitigating actions.</p> <p>Finance Business Partners review with Directorate the opportunities from the framework during 2021-22.</p>	Finance inc. claims	6	3	3	9						Sustainable Resources Committee	3	2	6	Treat	08-Oct-21

Risk Ref	Status of Risk	Health and Care Standards Directorate	Directorate lead	Management or service lead	Date risk identified	Risk Statement	Existing Control Measures Currently in Place	Domain	Risk Tolerance Score	Current Likelihood	Current Impact	Current Risk Score	Additional Risk Action Required	By Whom	By When	Progress Update on Risk Actions	Lead Committee	Target Likelihood	Target Impact	Target Risk Score	Detailed Risk Decision	Review date
968	Directorate Level Risk	Pembrokeshire	Lorton, Elaine	Jones, Keith	03-Aug-20	<p>There is a risk of the Directorate failing to remain within their allocated budget over the medium term.</p> <p>This is caused by the inability to either: Identify and deliver robust and realistic recurrent savings plans, manage the impact of the COVID-19 pandemic within available funding, manage the impact on the underlying deficit of resulting non-delivery of the recurrent savings requirement, or, identify and implement opportunities in such a way that the financial gains are realised and an improvement trajectory is achieved.</p> <p>This will lead to an impact/affect on a significant long term detrimental impact on the Health Board's financial sustainability.</p> <p>Risk location, Health Board wide.</p>	<p>Understanding the underlying deficit. Work with budget holders to understand the impact of moving to a post Covid environment.</p> <p>Finance Business Partners work closely with budget holders to support informed decision making and ensure that there is sufficient focus on the financial implications of operational pressures and mitigating actions.</p> <p>Finance Business Partners review with Directorate the opportunities from the framework during 21-22 incorporating the lessons learned operating in the Covid environment.</p> <p>Health Systems Evaluation Meetings with Director of Finance.</p>	Finance inc. claims	6	3	3	9	<p>A 3-year financial training programme is being developed for budget holders as part of the Health Board's three year Plan. A reporting dashboard is under development to improve the accessibility to financial and non-financial information for budget holders and to allow a better understanding of cost drivers.</p> <p>Assessment refreshed to quantify likely impact of COVID-19 on the underlying deficit, focusing on both the adverse impact such as non-delivery of recurrent savings, and the opportunities arising due to service changes in response to COVID-19.</p>	Jones, Keith	31/12/2020 31/03/2022	<p>A reporting Dashboard for financial information has been achieved. The training programme was initially paused due to Covid response and will be picked up and refined with an estimate delivery date of 03/2022.</p> <p>While progress has been made with the dashboards and providing training to managers regarding the use of the dashboards, the overall risk assessment at 13th September 2021 remains unchanged pending the delivery of the 3 year financial training programme to managers.</p>	Sustainable Resources Committee	2	3	6	Treat	31-Jan-22
964	Directorate Level Risk	Carmarthenshire	Dawson, Rhian	Billen, Janine	03-Aug-20	<p>There is a risk of the Directorate failing to remain within their allocated budget over the medium term.</p> <p>This is caused by the inability to either: Identify and deliver robust and realistic recurrent savings plans, manage the impact of the COVID-19 pandemic within available funding, manage the impact on the underlying deficit of resulting non-delivery of the recurrent savings requirement, or, identify and implement opportunities in such a way that the financial gains are realised and an improvement trajectory is achieved.</p> <p>This will lead to an impact/affect on a significant long term detrimental impact on the Health Board's financial sustainability.</p> <p>Risk location, Health Board wide.</p>	<p>Understanding the underlying deficit. A pre-COVID-19 assessment has been completed, which will need to be reviewed in light of the impact of the pandemic.</p> <p>Finance Business Partners work closely with budget holders to support informed decision making and ensure that there is sufficient focus on the financial implications of operational pressures and mitigating actions.</p> <p>Finance Business Partners review with Directorate the opportunities from the framework during 20-21.</p> <p>Health Systems Evaluation Meetings with Director of Finance.</p>	Finance inc. claims	6	3	3	9	<p>A 3-year financial training programme is being developed for budget holders as part of the Health Board's three year Plan. A reporting dashboard is under development to improve the accessibility to financial and non-financial information for budget holders and to allow a better understanding of cost drivers. This will facilitate better and more informed decision making by budget holders.</p>	Billen, Janine	31/12/2020 31/03/2022	<p>A reporting Dashboard for financial information has been achieved. Work in underway to include non-financial information also into the monthly Finance Dashboard to a plan, and this is currently scheduled for completion in 31/01/2021. The training programme was initially paused due to Covid response and will be picked up and refined with an estimate delivery date of 03/2022.</p> <p>While progress has been made with the dashboards and providing training to managers regarding the use of the dashboards, the overall risk assessment at 13th September 2021 remains unchanged pending the delivery of the 3 year financial training programme to managers.</p>	Sustainable Resources Committee	3	2	6	Treat	13-Sep-21

Risk Ref	Status of Risk	Health and Care Standards Directorate	Directorate lead	Management or service lead	Date risk identified	Risk Statement	Existing Control Measures Currently in Place	Domain	Risk Tolerance Score	Current Likelihood	Current Impact	Current Risk Score	Additional Risk Action Required	By Whom	By When	Progress Update on Risk Actions	Lead Committee	Target Likelihood	Target Impact	Target Risk Score	Detailed Risk Decision	Review date
1242	Directorate Level Risk	USC: GGH	Perry, Sarah	Billen, Janine	01-Apr-21	<p>There is a risk that the Health Board's and therefore Directorate's financial position may be adversely affected. Funding arrangements for the Health Board's COVID-19 pandemic response remain uncertain. The GGH Directorate is £1.6m over spent against its delegated budget at the end of August 2021 (Covid and Non Covid) and at the time is Forecast to be £3.7m over spent at year-end (Covid and Non Covid).</p> <p>This is caused by significant pressures within A&amp;E, CDU and the level of nursing vacancies and sickness throughout GGH site needing to back fill with premium rate agency. Other pressures include unfunded NSL on wards and drugs and non pay costs.</p> <p>This will lead to an impact/affect on the delivery of local savings schemes for 2021/22 due to the ongoing work in response to the pandemic. Also result in the Directorate failing to remain within their allocated budget for the 2021/22 financial year. This could lead to an impact/affect the Health Board's reputation with Welsh Government and other stakeholders.</p> <p>Risk location, Glangwili General Hospital.</p>	<p>Understanding the underlying deficit. COVID-19 and Non Covid assessment has been completed, and reviewed regularly throughout the financial year.</p> <p>Finance Business Partners work closely with budget holders to support informed decision making and ensure that there is sufficient focus on the financial implications of operational pressures and mitigating actions.</p> <p>Finance Business Partners review with Directorate the opportunities from the framework during 2021-22.</p>	Finance inc. claims	6	3	3	9	Assessment refreshed to quantify likely impact of COVID-19 on the underlying deficit for FY22, focusing on both the adverse impact such as non-delivery of recurrent savings, and the opportunities arising due to service changes in response to COVID-19. This we can tick off as part of the IMTP process.	Billen, Janine	Completed	Achieved	Sustainable Resources Committee	3	2	6	Treat	08-Oct-21