

Strategic Risk owner	Risk Domain	Risk Title	Risk Description	Controls in place	Action Plan	Assuring Committees	Rating (current)	Rating (Target)	Trend	Opened	Date Risk on the RR reviewed	Datix ID
Executive Director of Planning, Performance & ICT	Operational - Service/Business Interruption	Revenue stream does not keep pace with increasing demands on the ICT service for both equipment and the staff to deliver a service	<p><b>IF:</b> The current rate of ICT revenue funding does not keep pace with increasing demands on the Department and does not comply with NHS Wales national funding recommendations.</p> <p><b>Then:</b> The level and quality of service provision will continually drop due to severe reduction in ICT staffing levels.</p> <p><b>Resulting In:</b> the Health Board being unable to rely on the ICT Infrastructure and systems to provide quality of care to patients in a timely manner, and the inability to run business critical applications.</p>	<p>1. To continue to identify risk and drive down existing costs through procurement</p> <p>2. Highlight that the use of IT services to drive down costs in other areas requires additional, not reduced, IT spend</p> <p>3. Paper submitted to Director of Finance outlining the increase in both kit and work load due to COVID and changes of working practice. Funding request for both revenue and capital</p>	<p>1. To adequate fund programs to national recommendations</p> <p>2. To continue to identify risk and drive down existing costs through procurement</p> <p>Identifying Revenue Shortfall - identify risk and reduce costs - target due date: 07.12.2020</p>	Digital & Data Committee	16	4	↔	01.06.2009 -	07/12/2020	588
Executive Director of Operations	Legal / Regulatory	Increase requirement to store the paper patient record for longer due to: <i>Delay in the DPN project &amp; the Increased retention period due to the Infected Blood Inquiry</i>	<p><b>IF:</b> The Health Board fails to ensure there is sufficient storage capacity to safely and securely store paper patient records as destruction of the files is delayed.</p> <p><b>Then:</b> there could be potential data loss and poor records management processes and communication. Health, Safety and Fire risks will escalate due to overcrowded and inappropriate storage.</p> <p><b>Resulting in:</b> possible breaches to the GDPR, safeguarding and information governance risks. Possible injuries to staff due to manual handling/trip hazards and breaches of Fire Safety procedures.</p>	<p>Delivering the Digitisation of health records, alongside the records hub will ensure a sustainable, safe and secure storage solution. Interim storage may be required in the meantime, due to the Infected Blood Inquiry, as digitisation has been delayed</p> <p>Requirement to stop disposing of records in line with the Infected Blood Inquiry; impact being closely monitored potentially to use a building leased by the Welsh Government to assist.</p> <p>Initiation of Document Management System, Clinical Portal interface and E-forms all follow as part of the project over the next year</p> <p>Ensure Records management processes fully applied in Williamstown to maximise use of available physical capacity</p> <p>Ensure no temporary storage solutions are agreed, without full consideration of the Executive.</p>	Action Plan currently being updated.	Digital & Data Committee	16	8	↔	02/07/2018	18.11.2020	4109
Executive Director of Planning, Performance & ICT	Operational - Service/Business Interruption	Unsupported Server Operating Systems	<p><b>IF:</b> An upgrade to a supported server operating system is not achievable.</p> <p><b>Then:</b> The infrastructure and applications running on the server will be unable to be sufficiently patched with the critical and security patches, as well as having third party vendor support for both hardware and software (both operating systems and applications).</p> <p><b>Resulting In:</b> The increased risk of a virus infection, intrusion resulting in loss of information, and a denial of service to either clinical or business critical applications.</p>	<p>1. Plan of Action to upgrade current operating systems.</p> <p>2. Where equipment cannot be upgraded replacement stock available.</p> <p>3. Rolling replacement programme includes replacement of remaining equipment.</p> <p>4. Where operating system cannot be replaced there is Risk Assessment document from OSSMB to mitigate the risks.</p> <p>5. With new national licensing agreement in place outdated servers can now be upgraded.</p>	<p>1. To implement the control measures highlighted by OSSMB where devices cannot be replaced.</p> <p>2.To either upgrade or replace existing devices with supported operating system.</p>	Digital & Data Committee	16	4	↔	11/07/2017 -	07/12/2020	2796
Executive Director of Planning, Performance & ICT	Operational - Service/Business Interruption	Windows 7 OS devices not being replaced by end of life	<p><b>IF:</b> An upgrade to a supported server operating system is not achievable</p> <p><b>Then:</b> The infrastructure and applications running on the server will be unable to be sufficiently patched with the critical and security patches, as well as having third party vendor support for both hardware and software (both operating systems and applications).</p> <p><b>Resulting In:</b> The increased risk of a virus infection, intrusion resulting in loss of information, and a denial of service to either clinical or business critical applications.</p>	<p>1. There has been a programme to introduce the newer Windows 10 operating system to new requests for equipment and any device refreshes.</p> <p>2. With the introduction of the new national licensing agreement with Microsoft NHS Wales has had an extension on the support of Windows 7 devices for a further 12 months ending in January 2021</p>	<p>1. Staff resources are required to refresh the current Windows 7 devices.</p> <p>2. To replace the existing Windows 7 devices by January 2021.</p> <p>3. A current strategic review of Desktop services is taking place within the ICT Department</p>	Digital & Data Committee	16	4	↔	07/12/2018 -	07/12/2020	3368

Strategic Risk owner	Risk Domain	Risk Title	Risk Description	Controls in place	Action Plan	Assuring Committees	Rating (current)	Rating (Target)	Trend	Opened	Date Risk on the RR reviewed	Datix ID
Executive Director of Planning, Performance & ICT	Impact on the safety of patients, staff or public (physical/psychological harm)	Shortage of IT Storage space	<b>IF:</b> The lack of enough storage space for ICT equipment is not sufficient.  <b>Then:</b> Equipment will be required to be stored in temporary locations which are not designed for storage.  <b>Resulting In:</b> a risk to the Health and Safety of ICT staff and the risk to the equipment being either damaged, lost or stolen.	1. Ensuring regular disposal of old redundant hardware using third party company, to keeping stock down to a minimum 2. Vigorous and robust procedures in place for the procurement of new equipment. 3. identifying fully any additional storage requirements of every new system requested. 4. Due to the progression of Ground and first discussions are underway around possible areas that ICT can move into for build and storage which is key to be able to deliver a service	1. To identify extra/sufficient storage space for obsolete and new equipment 2. The temporary storage of the ECC area now under discussion	Digital & Data Committee	15	3	↔	02.05.2011 -	07/12/2020	632
Planning, Performance & ICT	Operational - Service/Business Interruption	Server: System Resilience and Disaster Recovery	<b>IF:</b> The resilience of ICT Server based services are not fully documented, and corresponding disaster recovery plans, including an overarching business continuity / disaster recovery plan are not documented.  <b>Then:</b> The risk of clinical and business systems not being available for extended periods increase.  <b>Resulting In:</b> the Health Board's ability to provide quality care and business critical information.	1. The impact of the loss of IT Server based services from the failure of a critical server, server room, or Site needs to be understood. 2. Documentation needs to be further developed, including test evidence and recovery procedures. 3. Recent internal audit has highlighted significant gaps in the DR for the Health Board.	1. Develop plans, documentation and test schedules to ensure that servers and the services they provide can be recovered. 2. As part of this work, develop tests to allow the Recovery Point and Recovery Times to be better understood. 3. For each IT service (e.g.. DHCP, Citrix, Exchange, File and Print, Hyper-v, SQL) develop inbuilt resilience	Digital & Data Committee	15	6	↔	28/02/2017 -	07/12/2020	2725
Planning, Performance & ICT	Impact on the safety of patients, staff or public (physical/psychological harm)	Current DAKS/OSCAR Crash System Coverage within RGH	<b>IF:</b> coverage for the current DECT system does not reach the newly built McMillian Centre at RGH.  <b>Then:</b> When Clinicians, who are part of the crash team, are called to the Centre as part of an emergency, they will be unable to receive any further alerts for emergencies back in the main building.  <b>Resulting In:</b> the compromised safety of patients which could result in severe disability or even death.	Whilst the crash team are attending a patient at the MacMillian Centre they will not be able to receive alerts but the remaining members of the crash team who will be on the main site will have the alerts.	To provide system coverage to the McMillian Centre by installing additional base units, or provision a different system.	Digital & Data Committee	15	5	↔	09/10/2019 -	07/12/2020	3856
Planning, Performance & ICT	Service/Business Interruption	DAKS/OSCAR System requires Upgrade (EOL)	<b>IF:</b> The current end of life DAKS/OSCAR System is not replaced.  <b>Then:</b> There is a risk of failure in the system that cannot be rectified due to lack of vendor support.  <b>Resulting In:</b> no handsets being able to function leading to the compromised safety of patients.	1. There are none in place. 2. This cannot be managed until either the DECT system is upgraded (see risk 3857), or an alternative technical solution is put in place.	To upgrade or replace existing DAKS/OSCAR System.	Digital & Data Committee	15	8	↔	09/10/2019 -	07/12/2020	3858
Executive Director of Planning & Performance (ICT)	Provide high quality, evidence based, and accessible care.	The ICT Digital Strategy Review	<b>IF:</b> The ICT Digital Strategy is not reviewed it will not reflect the current digital strategic direction  <b>Then:</b> The Health Board will not have a digital strategy to support both the local and National initiatives around the new ways of working  <b>Resulting In:</b> Not having a digital agenda to be able to progress the health board both in both clinical and no clinical areas.	The Chief Information Officer is now in post Discussions are on going around the possibility of consultants being engaged to work on updating the Digital Strategy	To prepare a brief on what is required from a consultancy service To work with the Chief Information Officer (CIO) and ILG leads to understand the requirements for the strategy, taking into consideration the new ways of working	Digital & Data Committee	15	5	↔	09.11.2020	31.12.2020	4418