

10 June 2022



Re: Official Information Request - Auckland DHB Corporate Risk Register - Auckland DHB Ref: 20220505-1219

I refer to your official information request dated 5 April and transferred to Auckland DHB by the Ministry of Health 5 May seeking the following information.

I would like to request access to each DHBs Risk Register as it stands at the 5 of April 2022.

On 12 May we clarified with you that you were requesting the Auckland DHB Corporate Risk Register 2022 and it is a copy of this that we are releasing to you.

Response

Risk management is a means of identifying, assessing, prioritising and mitigating risks across an organisation. Like many organisations, Auckland DHB has a Corporate Risk Register which covers a wide range of potential risks of varying degrees of perceived consequence and likelihood. It is important to note that it is rare for a risk identified in the register to actually materialise and the discipline of risk management assists the organisation in ensuring adequate controls are in place, operate effectively and actually prevent most risks occurring.

The register is a management tool to assist in identifying actual or emerging risks, with a view to mitigating or preventing them altogether. The Auckland DHB risk register is reviewed by the DHB's Executive Leadership Team and mitigation strategies are put in place wherever possible. Mitigation strategies are reviewed regularly, alongside the identified risk.

The Auckland DHB Executive Leadership Team has undertaken a detailed review of the Corporate risk register taking into consideration the change in organisational context with the upcoming transition to Health NZ, progress made on implementing treatment plans, and the most appropriate way to understand and articulate the most significant threats the organisation faces to achieving its objectives.

The result of this review is that the Corporate Risk Register has been updated and is continuing to have further refinement. We expect corporate risks to change materially over the next period, particularly as strategic plans are reviewed and updated by Health NZ, given that these risks relate to the achievement of strategic and operational objectives.

The response below provides the Corporate Risk Register at 30 May and is in a table is sorted by oldest to newest identified risk.

The colour coding in the Current Risk Level column is explained in the Risk Matrix Key which can be found on the page following the table.

Risk ID	Summary	Impact Categories	Current Risk Level
555	Potential for financial collapse of critical suppliers or interruption of supply	Clinical Delivery / Workflow, Financial position (costs, losses, deficits, revenues etc.), Organisational capability / competency / capacity	High
558	Cessation of service support and obsolete software (non hA).	Clinical Care & Patient Safety, Clinical Delivery / Workflow, Health Equity, Health Outcomes, Organisational capability / competency / capacity, Regulatory / Legal Compliance (Privacy, Te Tiriti o Waitangi etc.), Reputation (Media enquiries, Complaints, Loss of Trust etc.)	Medium
559	IT Systems Resilience & Disaster recovery (DR) capability	Clinical Care & Patient Safety, Clinical Delivery / Workflow, Health Equity, Health Outcomes, Regulatory / Legal Compliance (Privacy, Te Tiriti o Waitangi etc.)	High
617	Cyber-attack cause loss of data confidentiality, integrity and or availability (CIA)	Clinical Delivery / Workflow, Financial position (costs, losses, deficits, revenues etc.), Regulatory / Legal Compliance (Privacy, Te Tiriti o Waitangi etc.), Clinical Care & Patient Safety, Organisational capability / competency / capacity	High
620	Provider unable to respond to increased activity/complexity resulting in compromised quality of care to patients.	Clinical Delivery / Workflow	High
623	Poor employee wellbeing and morale impacts the achievement of ADHB's strategy	Clinical Care & Patient Safety, Clinical Delivery / Workflow, Health Equity, Health Outcomes, Organisational capability / competency / capacity, Reputation (Media enquiries, Complaints, Loss of Trust etc.)	Critical
624	Strategic commitments not delivered resulting in no transformation of critical systems/technology	Clinical Care & Patient Safety, Clinical Delivery / Workflow, Financial position (costs, losses, deficits, revenues etc.), Health Outcomes, Organisational capability / competency / capacity	High
627	Public loss of trust and confidence in ADHB	Governance, Reputation (Media enquiries, Complaints, Loss of Trust etc.)	High
628	Unable to maintain critical services in the event of a natural disaster	Clinical Delivery / Workflow	Medium
630	Inability to meet our Te Tiriti o Waitangi obligations	Clinical Care & Patient Safety, Clinical Delivery / Workflow, Governance, Health Equity, Health Outcomes, Organisational capability / competency / capacity, Regulatory / Legal Compliance (Privacy, Te Tiriti o Waitangi etc.), Reputation (Media enquiries, Complaints, Loss of Trust etc.)	Critical
631	Inability to meet our health equity obligations	Health Equity	High
632	Poor quality control of patient meals could lead to patient harm	Clinical Care & Patient Safety	High

Risk ID	Summary	Impact Categories	Current Risk Level
668	Cyber-attack cause loss of data confidentiality, integrity and or availability to non HA managed devices	Clinical Care & Patient Safety, Regulatory / Legal Compliance (Privacy, Te Tiriti o Waitangi etc.), Reputation (Media enquiries, Complaints, Loss of Trust etc.)	High
736	Industrial action leads to non-delivery of services	Clinical Care & Patient Safety, Clinical Delivery / Workflow, Financial position (costs, losses, deficits, revenues etc.), Health Equity, Health Outcomes, Organisational capability / competency / capacity, Reputation (Media enquiries, Complaints, Loss of Trust etc.)	Critical
776	Unplanned gaps in service provision in other DHBs, increasing Auckland DHBs demand and stretching services	Clinical Care & Patient Safety, Clinical Delivery / Workflow, Financial position (costs, losses, deficits, revenues etc.), Workplace and Worker Safety	High
839	Long wait times for cardiac echocardiology scanning and reporting may result in patient harm	Clinical Care & Patient Safety	High
862	Uncontrolled patient databases/ registers result in compromised patient privacy, cyber security breaches and data quality issues	Clinical Care & Patient Safety, Regulatory / Legal Compliance (Privacy, Te Tiriti o Waitangi etc.)	High
926	Remote and Isolated Work (Lone Worker)	Reputation (Media enquiries, Complaints, Loss of Trust etc.), Workplace and Worker Safety	Medium
1012	Information security disruption due to the exploitation of an IT service (hA1)	Clinical Delivery / Workflow, Clinical Care & Patient Safety, Regulatory / Legal Compliance (Privacy, Te Tiriti o Waitangi etc.), Financial position (costs, losses, deficits, revenues etc.)	Critical
1013	Service disrupted due to the failure of an IT service (hA2)	Clinical Delivery / Workflow, Clinical Care & Patient Safety, Regulatory / Legal Compliance (Privacy, Te Tiriti o Waitangi etc.)	Critical
1014	Portfolio disruption due to the inadequacy of an IT service (hA 3)	Clinical Care & Patient Safety, Clinical Delivery / Workflow	Critical
1015	Capacity disruption due to the limitations of an IT service (hA4)	Clinical Care & Patient Safety, Clinical Delivery / Workflow	Critical
1020	Fraud resulting in financial and/or reputational loss for ADHB.	Financial position (costs, losses, deficits, revenues etc.), Regulatory / Legal Compliance (Privacy, Te Tiriti o Waitangi etc.), Reputation (Media enquiries, Complaints, Loss of Trust etc.)	Medium
1049	Failure of buildings to meet future capacity demands	Clinical Care & Patient Safety, Clinical Delivery / Workflow, Financial position (costs, losses, deficits, revenues etc.), Governance, Health Equity, Health Outcomes, Organisational capability / competency / capacity, Regulatory / Legal Compliance (Privacy, Te Tiriti o Waitangi etc.), Reputation (Media enquiries, Complaints, Loss of Trust etc.), Societal impact, Workplace and Worker Safety	High

Risk ID	Summary	Impact Categories	Current Risk Level
1050	Failure of plant infrastructure (air con, chillers, boilers etc)	Clinical Care & Patient Safety, Clinical Delivery / Workflow, Financial position (costs, losses, deficits, revenues etc.), Governance, Health Equity, Health Outcomes, Organisational capability / competency / capacity, Regulatory / Legal Compliance (Privacy, Te Tiriti o Waitangi etc.), Reputation (Media enquiries, Complaints, Loss of Trust etc.), Societal impact, Workplace and Worker Safety	High
1093	Documents not being processed by ASPIRE	Clinical Care & Patient Safety, Clinical Delivery / Workflow, Regulatory / Legal Compliance (Privacy, Te Tiriti o Waitangi etc.), Reputation (Media enquiries, Complaints, Loss of Trust etc.), Workplace and Worker Safety	Medium
1099	Inability to recruit and/or retain to clinical and non-clinical positions due to national & international skills shortages	Clinical Care & Patient Safety, Clinical Delivery / Workflow, Environmental Impact, Financial Position, Reputation (Media enquiries, Complaints, Loss of Trust etc.), Workplace and Worker Safety	Critical
1220	Incidents in Datix remain unreviewed resulting in poor outcomes for patients &/or the organisation	Clinical Care & Patient Safety, Clinical Delivery / Workflow, Governance, Organisational capability / competency / capacity, Regulatory / Legal Compliance (Privacy, Te Tiriti o Waitangi etc.)	High
1267	Compromised access to the Grafton site may impact patient safety, delivery of care, staff safety, and organisational reputation	Clinical Care & Patient Safety, Clinical Delivery / Workflow, Organisational capability / competency / capacity, Regulatory / Legal Compliance (Privacy, Te Tiriti o Waitangi etc.), Reputation (Media enquiries, Complaints, Loss of Trust etc.)	High
1336	Staff culture does not adequately support learning and clinical safety	Clinical Care & Patient Safety, Clinical Delivery / Workflow, Organisational capability / competency / capacity, Reputation (Media enquiries, Complaints, Loss of Trust etc.), Workplace and Worker Safety	High
1429	Unsafe Manual Tasks (including patient handling)	Clinical Care & Patient Safety, Clinical Delivery / Workflow, Workplace and Worker Safety	High
1430	Inadequate Vehicles and Driving management	Clinical Delivery / Workflow, Financial position (costs, losses, deficits, revenues etc.), Workplace and Worker Safety	Medium
1431	Inadequate Contractor Management	Regulatory / Legal Compliance (Privacy, Te Tiriti o Waitangi etc.), Workplace and Worker Safety	High
1432	Fatigue Management	Clinical Care & Patient Safety, Regulatory / Legal Compliance (Privacy, Te Tiriti o Waitangi etc.), Workplace and Worker Safety	High
1433	Exposure to Hazardous Substances	Regulatory / Legal Compliance (Privacy, Te Tiriti o Waitangi etc.), Workplace and Worker Safety	High
1434	Workplace Violence and Aggression	Workplace and Worker Safety	High
1435	Exposure to Biological Hazards	Clinical Care & Patient Safety, Clinical Delivery / Workflow, Regulatory / Legal Compliance (Privacy, Te Tiriti o Waitangi etc.), Workplace and Worker Safety	High

Risk ID	Summary	Impact Categories	Current Risk Level
1718	Diagnostic reports from multiple systems not reaching requestor	Clinical Care & Patient Safety, Clinical Delivery / Workflow, Organisational capability / competency / capacity, Reputation (Media enquiries, Complaints, Loss of Trust etc.)	High
1897	MoH Changes to NHI number format in July 2022	Clinical Delivery / Workflow	High
1916	Shortfall in funding for initial capital from healthAlliance and the need for savings for operational cost impacts of HARP	Financial position (costs, losses, deficits, revenues etc.)	High
1998	Risk that physical impact of climate change will impact on the delivery of ADHB's of services & health outcomes	Clinical Delivery / Workflow	Medium
1999	Risk societal climate sustainability objectives will have on DHB performance and/or objectives.	Clinical Care & Patient Safety, Clinical Delivery / Workflow, Financial position (costs, losses, deficits, revenues etc.), Governance, Health Equity, Health Outcomes, Organisational capability / competency / capacity, Regulatory / Legal Compliance (Privacy, Te Tiriti o Waitangi etc.), Reputation (Media enquiries, Complaints, Loss of Trust etc.), Societal impact, Workplace and Worker Safety	Medium
2026	Demand for services is unable to be effectively forecast or managed	Clinical Care & Patient Safety, Clinical Delivery / Workflow, Financial position (costs, losses, deficits, revenues etc.), Governance, Health Equity, Health Outcomes, Organisational capability / competency / capacity, Regulatory / Legal Compliance (Privacy, Te Tiriti o Waitangi etc.), Reputation (Media enquiries, Complaints, Loss of Trust etc.), Societal impact	Critical – risk is under active review currently
2030	Supply Chain - Effective management of DHB's supply chain (disrupted by Cvd 19 and international response) to prevent the disruption	Clinical Delivery / Workflow, Organisational capability / competency / capacity, Workplace and Worker Safety	Under Analysis & Evaluation
2094	Power Supply and IT network at Pt Chev not fit for purpose	Clinical Care & Patient Safety, Clinical Delivery / Workflow, Organisational capability / competency / capacity, Regulatory / Legal Compliance (Privacy, Te Tiriti o Waitangi etc.), Reputation (Media enquiries, Complaints, Loss of Trust etc.), Workplace and Worker Safety	High
2183	Patients lost to follow up	Clinical Care & Patient Safety, Clinical Delivery / Workflow, Health Equity, Health Outcomes, Organisational capability / competency / capacity, Regulatory / Legal Compliance (Privacy, Te Tiriti o Waitangi etc.)	Under Analysis & Evaluation
2400	Unsupported LIS infrastructure - Delphic	Clinical Care & Patient Safety, Clinical Delivery / Workflow, Governance, Health Outcomes, Organisational capability / competency / capacity, Regulatory / Legal Compliance (Privacy, Te Tiriti o Waitangi etc.), Reputation (Media enquiries, Complaints, Loss of Trust etc.)	High
2454	Old phone system through ADHB PABX requires updating/replacing	Clinical Care & Patient Safety, Health Outcomes	Medium

Risk ID	Summary	Impact Categories	Current Risk Level
2485	Risk the transition associated with the health reforms impacts on ADHB delivery of its objectives	Clinical Care & Patient Safety, Clinical Delivery / Workflow, Financial position (costs, losses, deficits, revenues etc.), Governance, Health Equity, Health Outcomes, Organisational capability / competency / capacity, Regulatory / Legal Compliance (Privacy, Te Tiriti o Waitangi etc.), Reputation (Media enquiries, Complaints, Loss of Trust etc.), Societal impact, Workplace and Worker Safety	Under Analysis & Evaluation
2520	Auckland DHB Holidays Act rectification & remediation project is unsuccessful	Financial position (costs, losses, deficits, revenues etc.), Regulatory / Legal Compliance (Privacy, Te Tiriti o Waitangi etc.), Reputation (Media enquiries, Complaints, Loss of Trust etc.)	High
2525	Business disruption due to limitations in management information (HA5)	Clinical Care & Patient Safety, Clinical Delivery / Workflow, Governance, Regulatory / Legal Compliance (Privacy, Te Tiriti o Waitangi etc.)	High
2528	Insufficient capacity (beds & staff) to maintain patient quality and safety, and staff welfare	Clinical Care & Patient Safety, Clinical Delivery / Workflow, Health Equity, Health Outcomes, Organisational capability / competency / capacity, Regulatory / Legal Compliance (Privacy, Te Tiriti o Waitangi etc.), Workplace and Worker Safety	Critical
2569	iBleep system is placing patients at risk of delayed care	Clinical Care & Patient Safety, Clinical Delivery / Workflow	High
2603	Non-compliance with legal Radioactive source security requirements	Clinical Care & Patient Safety, Clinical Delivery / Workflow, Environment impact, Financial position (costs, losses, deficits, revenues etc.), Governance, Organisational capability / competency / capacity, Regulatory / Legal Compliance (Privacy, Te Tiriti o Waitangi etc.), Workplace and Worker Safety	High
2608	Information is managed poorly (non-compliance with Public Records Act) impacts decision making & compliance	Clinical Care & Patient Safety, Organisational capability / competency / capacity, Regulatory / Legal Compliance (Privacy, Te Tiriti o Waitangi etc.), Reputation (Media enquiries, Complaints, Loss of Trust etc.)	High
2671	Impact of Covid pandemic and immunisation rollout on childhood immunisation coverage	Clinical Care & Patient Safety, Health Equity, Health Outcomes	Medium

Risk Matrix Key

Consequence	Fundamental					
	Major				Critical	
	Moderate			High		
	Minor		Medium			
	Insignificant	Lo				
		Rare	Unlikely	Possible	Likely	Almost Certain
Likelihood						

Risk level	Priority actions	Review timescale
Critical	If any new Strategic or Corporate risk is rated Critical, it is to be registered and escalated to the appropriate Executive Manager. That Executive is responsible for ensuring that the Chief Quality Safety & Risk Officer and CEO are advised as soon as practicable (usually within 24 hours). The Chief Quality Safety & Risk Officer will oversee any further communication if required. If any Directorate/Service/Project risk is rated Critical, it requires immediate active management by Senior Management. The Executives are to be advised as soon as possible (usually within 48 hours). The CEO will determine if the Board requires immediate advice or whether reporting will occur through regular updates. Increased oversight of risk mitigation and treatment by Senior Management and Executive (and Board) is required.	Monthly
High	Active management required, discussion with Senior Management regarding further escalation to Executive and or Board.	3 monthly
Medium	Implement measures to eliminate or minimise, monitor and review.	6 Monthly
Low	Monitor and review.	Annually

I trust this information answers your questions.

You have the right to seek an investigation and review by the Ombudsman of this decision. Information about how to make a complaint is available at www.ombudsman.parliament.nz or freephone 0800 802 602.

Please note that this response, or an edited version of this response, may be published on the Auckland DHB website.

Yours sincerely



Dr Michael Shepherd
Acting Chief Executive