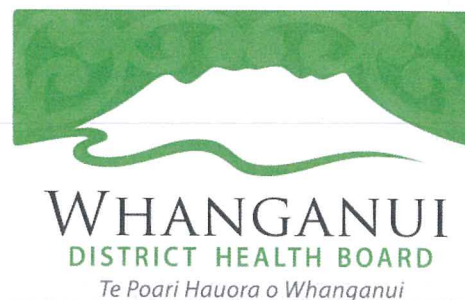


3 June 2022

M O'Connor

Email: Mathew.O'Connor@parliament.govt.nz



Tēnā koe Matthew

100 Heads Road, Private Bag 3003
Whanganui 4540, New Zealand

Official Information Request- OIA 14301, Transfer 05130, Risk Register

The Whanganui District Health Board (WDHB) has received the transfer of your request from the Ministry of Health on 05 May 2022, under Section 14 of the OIA. You requested the following information:

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

The Whanganui District Health Board response:

Whanganui District Health Board risk register as at 23 May 2022.

Risk Title	Risk Type	Inherent Risk Rating	Residual Risk Rating	Acceptable Risk Rating
Staffing levels insufficient to maintain core functions and adequate public health outcomes due to infectious disease	Operational risk	Critical	High	High
Midwifery workforce shortage in hospital maternity service leads to reduced level of optimal maternity care for community	Operational risk	High	High	High
Staff members who are members of Public Service Association (PSA) strike meaning limited staff to complete hospital services	Operational risk	Critical	High	High
Short and long-term supply pharmaceutical issues affecting WDHB	Operational risk	Critical	High	High
Filaments left in eyes from ophthalmology injections could lead to discomfort for the patient and potential for further surgical procedures	Operational risk	High	Low	Low
Clinical Coding resource shortage causes incomplete data records for reporting and Inter District Funding income	Operational risk	High	Low	Low
Significant shortage of staff to cover MHAHT (Mental Health Assessment Home Treatment) roster means an inability to provide full service to the community	Operational risk	Critical	Critical	Low
Workforce shortage in Home and Community based support services	Operational risk	High	High	High

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Risk Title	Risk Type	Inherent Risk Rating	Residual Risk Rating	Acceptable Risk Rating
Workforce shortage in Aged Residential Care leading to providers not accepting admissions	Operational risk	High	Medium	Medium
Overcapacity and increased acuity in Te Awhina, with FTE vacancy	Operational risk	Critical	High	Medium
ECG computer software still under Windows 7 and does not support the ICT computer update resulting in problems with reporting on cardiac investigations	Operational risk	High	Medium	Low
Biomedical equipment checks not being completed leading to potential for faults and warranty issues	Operational risk	High	Medium	Low
Increasing MRI waitlist is causing delays to patient diagnosis which may cause treatment delays	Operational risk	High	High	Low
Increasing ultrasound waitlist is resulting in delays to patient's diagnosis and potentially causing treatment delays	Operational risk	High	Low	Low
Medlab contract negotiations may not be successful due to delays and leading to service disruption and potential for patient harm	Operational risk	Critical	High	High
Loans equipment space is not adequate to ensure robust infection prevention measures are followed or ensuring staff and public are not safe	Operational risk	High	High	Low
Patient falls while in our care resulting in minor to severe injuries	Operational risk	High	Low	Low
Patient develops a skin integrity issue while in our care causing harm	Operational risk	High	Low	Low
Non-compliance with legislation, Health and Disability standards and other regulations applicable to the DHB	Operational risk	High	Low	Accepted
The cost to deliver current services is more than the funds available in the assumed funding envelope for the 2021/22 financial year	Operational risk	High	High	Medium
Lack of access to mental health crisis support results in harm to self or others	Operational risk	Critical	High	Low
No emergency alarm system in Radiology causing potential harm from delay in assistance	Operational risk	High	Medium	Low
Aging radiology X-ray and fluoroscopy equipment breakdown will result in inability to provide optimal patient care	Operational risk	Critical	Critical	Low

Risk Title	Risk Type	Inherent Risk Rating	Residual Risk Rating	Acceptable Risk Rating
Short and long-term supply issues affecting WDHB stores of equipment, PPE and general clinical supplies	Operational risk	Critical	High	High
An internal or external party commits fraud against WDHB leading to financial and/or reputation loss	Operational risk	Medium	Low	Low
Medication errors cause harm to patients	Operational risk	Critical	High	Low
Incidents of aggression towards staff, other service users and visitors causes physical harm, diminished health and wellbeing and an unsafe environment	Operational risk	Critical	High	Medium
Depleting storage space for patients' medical records	Operational risk	Medium	Low	Low
Lack of typing resources to manage increased demand for typed dictation for outpatient clinics including community nursing services	Operational risk	High	Medium	Low
Non-compliance with Holidays Act leads to extra costs than anticipated causing budget over-run	Operational risk	Critical	Medium	Low
Fire causes harm and/or property damage	Operational risk	High	Low	Low
ICT hardware and software is compromised due to a security issue causing damage and/or disruption to computer network and hospital functionality	Operational risk	Critical	Medium	Medium
Staff harmed while working in community	Operational risk	Critical	High	Low
Injury to staff from manual handling	Operational risk	Critical	High	Medium
Utilisation of SACAT legislation is compromised due to the inability to access appropriate expertise related to difficulty of staff maintaining competence as a result of low demand for the intervention	Operational risk	High	Medium	Low
Lab and radiology results are not reviewed and followed up in a timely manner leading to patient harm	Operational risk	Critical	Low	Low
Incomplete discharge summaries can lead to failure to follow up on patient and potential harm	Operational risk	High	High	Low
ICT resource is mismatched with current DHB workload needs	Operational risk	Critical	Medium	Low

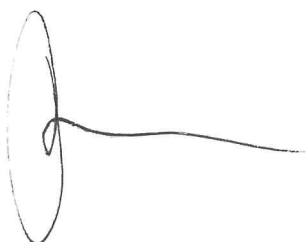
Risk Title	Risk Type	Inherent Risk Rating	Residual Risk Rating	Acceptable Risk Rating
Ultrasound is not offering carotid scans and very limited access to 2nd and 3rd trimester scans leading to delays	Operational risk	High	Low	Low
ICT hardware and software is compromised due to aging systems, end of support, technology lifecycle	Operational risk	High	Low	Low
Delays in Faster cancer treatment (FCT) process leads to patient harm and non-compliance with the Ministry of Health FCT timeframes	Operational risk	Critical	High	Accepted
Inaccuracies in Mental Health Act documents can lead to breach of consumer rights regarding MHA status and/or leave status resulting in complaints, cost and consumers coming off the act unplanned	Operational risk	High	Low	Accepted
WDHB is unable to provide Echo Cardiography Service increasing waiting lists and potential for patients not to receive scans in reasonable timeframe	Operational risk	High	Medium	Low
Shortage in Lead Maternity Carers (LMC) in Whanganui region resulting in growing number of pregnant women unable to secure the service of a community based LMC	Operational risk	Critical	High	Low
Damage to Mental Health facilities from service users leads to unplanned costs and interruption to services	Operational risk	Medium	Low	Accepted
Challenges with recruitment to vacancies and retention of Mental Health clinical staff	Operational risk	High	High	Low
Inadequate restraint processes result in patient harm and breach of rights	Operational risk	High	Low	Accepted
Inadequate delivery of safe core mental health services	Operational risk	Critical	Low	Accepted
Patient safety and staff performance risks identified in general medicine department credentialing could lead to sub optimal patient care	Operational risk	High	High	Low
WDHB does not undertake pro-equity action to improve equity in health outcomes for Maori following implementation of the recommendations from the WDHB Pro Equity Check-up Report Dec 2018	Strategic risk	High	High	Low
Financial - Inability to achieve the organisation's objectives within the funding available	Strategic risk	High	High	Low
Commercial contracting - Contractual failure or inadequacy adversely impacts on organisational performance	Strategic risk	High	Low	Low

Risk Title	Risk Type	Inherent Risk Rating	Residual Risk Rating	Acceptable Risk Rating
Reputational and image - Loss of stakeholder confidence in our services or organisation	Strategic risk	High	Low	Low
Facilities and equipment - That failures of facilities and equipment prevent the organisation meeting its objectives	Strategic risk	High	Low	Low
Health and safety - Staff, or a person on our site, suffers preventable harm	Strategic risk	Critical	High	Low
Workforce - Insufficient competent staff resource to fulfil our organisational objectives	Strategic risk	High	Low	Low
Service access and transfer of care - People are harmed or disadvantaged either by a lack of ability to access the service or a lack of effective transfer process	Strategic risk	High	High	Low
Quality of service - Patients or service users suffer preventable harm, are dissatisfied with care, experience disadvantage or material inconvenience	Strategic risk	High	Low	Low
Emergency preparedness - Inability to carry out the DHB's critical functions following a natural disaster, emergency or organisational failure	Strategic risk	Critical	Low	Low
Privacy breaches arising from human error and unauthorised access to health information leading to reputation damage and lack of community trust	Strategic risk	High	Low	Accepted

Under section 28(3) of the Act you have the right to ask the Ombudsman to review any decisions made under this request. The Ombudsman may be contacted by email at: info@ombudsman.parliament.nz or by calling 0800 802 602.

Should you have any further queries about the above information, please contact our OIA co-ordinator Anne Phoenix at anne.phoenix@wdhb.org.nz

Ngā mihi



Russell Simpson
Kaihautū Hauora – Chief Executive
Whanganui District Health Board