



Meeting of East Renfrewshire Integration Joint Board	Performance and Audit Committee
Held on	20 March 2019
Agenda Item	5
Title	IJB Strategic Risk Register Update
<p>Summary</p> <p>This report provides the Performance and Audit Committee with an update on the IJB Strategic Risk Register.</p>	
Presented by	Lesley Bairden, Head of Finance and Resources (Chief Financial Officer)
<p>Action Required</p> <p>Performance and Audit Committee is asked to note and comment on the IJB Strategic Risk Register.</p>	

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EAST RENFREWSHIRE INTEGRATION JOINT BOARD**PERFORMANCE AND AUDIT COMMITTEE****20 March 2019****Report by Chief Financial Officer****STRATEGIC RISK REGISTER UPDATE****PURPOSE OF REPORT**

1. This report provides the Performance and Audit Committee with an update on the IJB Strategic Risk Register.

RECOMMENDATION

2. Performance and Audit Committee is asked to note and comment on the IJB Strategic Risk Register.

BACKGROUND

3. In accordance with the agreed monitoring policy this report provides the Performance and Audit Committee with an update on the strategic risk register.
4. Good practice in the area of risk management suggest that a risk register should contain between six to eight of the most significant risk to make it a useful working document.
5. The risk register uses a simple, clear and effective 4 x 4 likelihood and severity risk matrix as shown below.

Risk levels considering Likelihood and Severity

Likelihood	Score								
Certain	4	Low (Green)		Medium (Yellow)		High (Red)		High (Red)	
Likely / probable	3	Low (Green)		Medium (Yellow)		Medium (Yellow)		High (Red)	
Possible/could happen	2	Low (Green)		Low (Green)		Medium (Yellow)		Medium (Yellow)	
Unlikely	1	Low (Green)		Low (Green)		Low (Green)		Low (Green)	
Impact		Minor	1	Significant	2	Serious	3	Major	4

6. In normal circumstances the policy states the tolerance for risk is as follows:

Risk Score	Overall rating
11-16	High/Red/Unacceptable
5-10	Medium/Yellow/Tolerable
1-4	Low/Green/Acceptable

REPORT

7. The Strategic Risk Register is attached as Appendix 1.

Updated / Removed Risks

8. Some minor changes to wording have been made throughout.
9. No risk scores have been amended.
10. Risk no 9. *Children and Young People (Scotland) Act* has been removed as it is no longer a risk.
11. Three risks have been updated:
12. Risk no. 3 *Child Protection, Adult protection and Multi-Agency Public Protection Arrangements* has been updated to include proposed mitigation in relation to Non-Police Personnel Vetting requirements for criminal justice social workers accessing the VISOR system as Police Scotland have indicated a review will be undertaken by December 2019 of the current ViSOR accounts with a view to removing those inactive for 12 months or where no vetting is in place.
13. All criminal justice social workers have access to ViSOR but not all are vetted. All future recruitment to statutory criminal justice social work posts in East Renfrewshire will have to be amended to require candidates to be eligible to achieve NPPV level 2 vetting status.
14. Engagement with the four social workers not yet vetted will take place in March/ April 2019 to articulate the position of the Assistant Chief Constable and stress the necessity of criminal justice social workers in statutory services attaining NPPV level 2 vetting.
15. Risk no. 4 - *Financial Sustainability* has been updated to include possible financial impacts relating to Brexit.

Red and Significant Risks Exception Report

16. Risks which score between 11-16 and rated as High/Red/Unacceptable and those which the Health and Social Care Partnership Management Team considers significant, should be brought to attention of the PAC by an 'exception report'.

17. Financial Sustainability remains a high/red risk as last reported. This is still considered red post mitigation reflecting the current economy and unknown Brexit implications. There remains the future year risk that the HSCP could become unsustainable due to one of the following causes:
- Unable to deliver in full the existing savings and achieve new savings to deliver a balanced budget
 - Unable to influence future funding to recognise demographic & other pressures, or realise future efficiencies & savings
 - Implications from hosted services
 - Prescribing volatility

CONCLUSIONS

18. The IJB Strategic Risk register has been reviewed and changes in relation to the following risks:
- 3. Child Protection, Adult protection and Multi-Agency Public Protection Arrangements
 - 4. Financial Sustainability
 - 9. Children and Young People (Scotland) Act

RECOMMENDATIONS

19. Performance and Audit Committee is asked to note and comment on the IJB Strategic Risk Register.

REPORT AUTHOR AND PERSON TO CONTACT

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March 2019

Chief Officer, IJB: Julie Murray

BACKGROUND PAPERS

PAC Paper: November 2018 IJB Strategic Risk Register Update
<https://www.eastrenfrewshire.gov.uk/CHttpHandler.ashx?id=23475&p=0>

IJB Paper: August 2018 IJB Strategic Risk Register – Annual Update
<http://www.eastrenfrewshire.gov.uk/CHttpHandler.ashx?id=22835&p=0>

PAC Paper: June 2018 Strategic Risk Register
<http://www.eastrenfrewshire.gov.uk/CHttpHandler.ashx?id=22723&p=0>

IJB Paper: August 2016: Risk Management Policy and Strategic Risk Register
<http://www.eastrenfrewshire.gov.uk/CHttpHandler.ashx?id=17355&p=0>

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EAST RENFREWSHIRE INTEGRATION JOINT BOARD

STRATEGIC RISK REGISTER

DATE ORIGINATED: 09/11/2015

DATE REVIEWED: 11/03/2019

No.	Risk Status S/C/N (Same, Changed, New)	Risk (Threat/Opportunity to achievement of business objective)- include the consequence of the risk in this description	Risk Control Measures currently in place (need to be SMART e.g. detail of what type of training took place with dates in evidence column)	Assessment of Risk (As it is now)			Proposed Risk Control Measures (should be SMART with detail included)	Assessment of Residual Risk (With proposed control measures implemented)			Responsible Officer
				Likelihood (Probability) L	Impact (Severity) I	Risk Score (LxI)		Likelihood (Probability) L	Impact (Severity) I	Residual Risk Score (LxI)	
1	S	Death or significant harm to service user / patient Risk of death or significant harm to a service user/patient as a result of HSCP actions. Consequences could include: - loss of life or long term damage and impact on service user & family - may be perceived to have been failure of care - poor workforce morale - reputational damage	Line manager checks as part of periodic supervision Quality assurance of adult support and protection has identified a number of issues for improvement. Improvement Plan in place and new pathway to manage ASP referrals and investigations implemented. Refresher training for Council Officers and frontline managers also delivered. Risk assessments for service users are carried out by staff as and when required Statutory inspection reports	3	4	12	Improvement plan in place for Adult support and Protection and actions being progressed.	2	4	8	Head of Adult Health and Social Care Localities/ /Chief Social Work Officer
2	S	Historical Sexual Abuse Enquiry	Adult Protection Committee and Child Protection Committee have been sighted on these issues. Protocol in place with Legal Services commencing the future risk that may be posed. Risk although low may be difficult to determine due to other indeterminate factors.	2	4	8	Employees have an awareness of the process to follow.	1	4	4	Chief Social Work Officer

3	C	Child Protection, Adult protection and Multi-Agency Public Protection Arrangements									
		<p>Inconsistent assessment and application of the public protection agenda (Child Protection, Adult protection and Multi-Agency Public Protection Arrangements-MAPPA) may result in risk of children or vulnerable adults being harmed and lead to non-compliance with legislative standards.</p>	<p>The operation of Child Protection, Adult Protection committees and MAPPA's meetings to deal with the strategic and practice issues.</p> <p>PVG scheme in place</p> <p>Partnership working is at an advanced stage with Police Scotland, NHS, Scottish Prison Service and other statutory partners.</p> <p>The requirement to produce and publish reports of activities.</p> <p>The availability of data with varying limitation for analysis and evaluation.</p> <p>Domestic abuse pathway being reviewed for adults without children.</p> <p>The extension of MAPPA to include Category 3 violent offenders - Risk of Serious Harm training completed.</p> <p>there are links for learning opportunity within the protection agenda.</p> <p>Framework developed for reporting to the community planning partnership.</p> <p>Proposal paper for Domestic Abuse with HSCP DMT. Interface with "Fit for Future" to be considered.</p> <p>Implementation of "Safe Together" model implemented.</p>	2	4	8	<p>All front line managers to be provided with refresher training concerning statutory compliance.</p> <p>Refresher training taking place and procedures updated as a result of Adult Support and Protection (ASP) Review</p> <p>Adult Support and Protection (ASP) process being reviewed.</p> <p>Future recruitment to statutory criminal justice social work posts in East Renfrewshire will be amended to require candidates to be eligible to achieve NPPV level 2 vetting status.</p> <p>Engagement with 4 social workers not yet vetted to NPPV status taking place March/April 2019</p> <p>Introducing rolling review of PVGs on 3 yearly basis</p>	1	4	4	Chief Officer / Chief Social Work Officer

5	S	Failure of a Provider Risk of failure of a key care provider, including care home, care at home and other care providers due to financial instability or significant care concerns. Consequences could include: - disruption to service delivery - requirement to implement contingency plans - impact on individuals and families with potential disruption to care arrangements	Work with Care Inspectorate to ensure robust action plans for improvement are in place Work with Scottish Government, Scotland Excel and Cosla on care home market. Consideration of balance of market share across external market providers Company Credit Health Checks	4	3	12	Mitigation of impact to include close working with care inspectorate to review and learn from recent provider failure and contingency planning arrangements Work with providers at risk to agree phased and managed approach to closure if required.	3	3	9	Head of Adult Health and Social Care Localities
6	S	Access to Primary Care Insufficient primary care practice list capacity due to increased population size and new developments for older people and/or inability to recruit/cover posts resulting in poor access for local residents.	Agreed Primary Care Improvement Plan We support local practices to manage list size by encourage patients from out with the practice's contracted catchment area to register with a GP more local to them. Work with practices to maximise premises capacity to enable them to extend primary care team	3	3	9	Work with planning department to consider impact and mitigation for new housing developments Regular meetings with GPs in most affected cluster to agree short term measures and discuss and longer term options to increase capacity.	3	2	6	Clinical Director

7	S	Demographic Changes									
		<p>Increase in older people due to demographic changes leads to an over demand on certain services and failure to meet legislation, overspend and negative publicity.</p>	<p>Scottish Government -providing additional resources for Health and Social Care with emphasis on managing demographic pressures.</p> <p>Outcome Delivery Plan (ODP) and HSCP strategic plans build on foundation of CHCP and wider council prevention and early intervention strategy for older people.</p> <p>Agile working for HSCP employees improves efficiency.</p> <p>Annual budget setting takes account of demographic projections.</p> <p>Partnership with various professional agencies and community/public to support hospital admission avoidance and safe hospital discharge for older people. This has led to creation of various posts that refocus on preventions and early intervention.</p>	4	4	16	<p>HSCP fit for the future review and redesign</p> <p>Community Led Support programme diverting people to community resources and building own assets.</p> <p>Review of balance of care to be undertaken as part of new Integrated Joint Board (IJB) Strategic Plan.</p> <p>Council continues to contribute funding to demographic cost pressures</p>	4	2	8	Chief Officer HSCP

8	S	Workforce Planning and Change	Development of Workforce plan to support current Strategic Plan	3	4	12	Fit for the Future Workforce Planning reviewing processes and structures to ensure HSCP has right staff with right skills in right place for future. Active review of all request to recruit by HSCP senior management team Improve partnership workforce planning working with providers in line with developing strategic commissioning plan	2	4	8	Chief Officer HSCP Management Team Head of Adult Health & Social Care Localities
10	S	Increase in Vulnerable Adults	Analysis of demographic changes. Increased financial forecasting. Increase in foster carers through local recruitment campaign. Education Resource Group to manage specialist resources and admission to specialist provision Learning disability supported living redesign Implemented Children's Services redesign	4	3	12	Review transition arrangements - child to adult services Inclusive Support redesign Fit for Future redesign Council continues to contribute to funding to demographic cost pressures	4	2	8	Chief Officer HSCP