



Meeting of East Renfrewshire Integration Joint Board	Performance and Audit Committee
Held on	26 June 2019
Agenda Item	7
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****26 June 2019****Report by Chief Financial Officer****IJB 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.

New Risks

8. One new risk 'In-house Care at Home Service' has been added to the Strategic Risk Register. This has been incorporated to reflect the significant pressures within our in-house care at home service.

Updated / Removed Risks

9. Some minor changes to wording have been made throughout and mitigation timescales added. The HSCP will continue to review the control measures to ensure these are in line with SMART methodology.
- Specific
 - Measureable
 - Achievable
 - Relevant
 - Time-based
10. Risks scores have been reviewed, however no changes have been made to the scores.

Red and Significant Risks Exception Report

11. 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'.
12. 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

13. The IJB Strategic Risk register has been reviewed and one new risk has been incorporated:-
 - 11. In-house Care at Home Service

RECOMMENDATIONS

14. 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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June 2019

Chief Officer, IJB: Julie Murray

BACKGROUND PAPERS

PAC Paper: March 2019: IJB Strategic Risk Register Update

<https://www.eastrenfrewshire.gov.uk/CHttpHandler.ashx?id=24115&p=0>

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: 18.06.2019

ERC Ref	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)	Completion date for proposed Risk Control Measure	Assessment of Residual Risk (with proposed control measures implemented)			Risk Owner
					Risk Score	Overall rating				Likelihood (probability) L	Impact (Severity) I	Risk Score (LxI) L	
5	11	N	In-House Care at Home Service										
			Significant pressures and lack of service capacity (vacancies and absence) impacts on service delivery and quality standards Impact on service users and carers Reputational risk to HSCP and Council	Movement of some packages to external providers Increased resource to support robust absence management				Improvement Task Force overseeing implementation of improvement activity supported by additional funding including revised care planning and risk documentation	30/9/2019				
					4	4	16	Recruitment of additional care at home staff	31/08/2019	3	3	9	Chief Officer HSCP
								Ensure all Care at Home clients have an up to date review	30/11/2019				
								Commence implementation of medication management policy and rollout of training	31/08/2019				

1	S	Death or significant harm to service user / patient										
		<p>Risk of death or significant harm to a service user/patient as a result of HSCP actions.</p> <p>Consequences could include:</p> <ul style="list-style-type: none"> - loss of life or long term damage and impact on service user & family - possible perception of failure of care - poor workforce morale - reputational damage 	<p>Quality assurance of adult support and protection has identified a number of issues for improvement.</p> <p>Improvement Plan in place and new pathway to manage ASP referrals and investigations implemented.</p> <p>Refresher training for Council Officers and frontline managers delivered.</p> <p>Risk assessments for service users are carried out by staff as and when required</p> <p>Statutory inspection reports</p> <p>Senior Manager ASP responsibility for chairing Case Conferences and leading on self-evaluation and audit activity. Some refresher training delivered</p> <p>Council officer and managers forums established</p> <p>Risk assessment is now an integral part of assessment process</p> <p>Appointment of new Chair of APC (Apr'19)</p> <p>Priorities and proposal for new structure and increased frequency of APC meetings agreed (06.06.19)</p>	3	4	12	<p>Creation of new dedicated trainer for adult services</p> <p>ASP improvement plan to be finalised at ASP Committee 16.7.19.</p> <p>Introduction of new practice standards and new programme of single agency audit commencing September 2019</p>	<p>31/06/2019</p> <p>16/07/2019</p> <p>31/09/2019</p>	2	4	8	<p>Head of Adult Health and Social Care Localities / Chief Social Work Officer</p>

4.4	2	S	Historical Sexual Abuse Enquiry									
			<p>Adult Protection Committee and Child Protection Committee have been sighted on these issues.</p> <p>Clear process for managing historical cases and protocol in place with Legal Services.</p> <p>Risk although low may be difficult to determine due to historical nature</p>	2	4	8	<p>Identified leads in HSCP will work alongside legal services to manage the progress of any allegations/claims made</p> <p>Public Protection sub group to quality assure training and awareness raising for staff</p>	<p>Ongoing</p> <p>31/03/2020</p>	1	4	4	Chief Social Work Officer
4.1	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- MAPPAs) may result in risk of children or vulnerable adults being harmed and lead to non-compliance with legislative standards.</p>	2	4	8	<p>The operation of Child Protection, Adult Protection committees and MAPPAs meetings to deal with the strategic and practice issues.</p> <p>Senior Manager ASP responsibility for chairing Case Conferences and leading on self-evaluation and audit activity.</p> <p>Council officer and managers forums established</p> <p>Risk assessment is an integral part of assessment process</p> <p>New Chair of APC appointed Apr '19</p> <p>PVG scheme in place</p> <p>Partnership working at advanced stage with Police Scotland, NHS, Scottish Prison Service and other statutory partners.</p>	<p>Introduction of new practice standards and new programme of single agency audit commencing September 2019</p> <p>Engagement with 4 social workers not yet vetted to NPPV status</p> <p>Introduce rolling review of PVGs on 3 yearly basis</p>	<p>31/09/2019</p> <p>31/12/2019</p> <p>30/06/2019</p>	1	4	4

			<p>The extension of MAPPA to include Category 3 violent offenders - Risk of Serious Harm training completed.</p> <p>Job descriptions for statutory criminal justice social work posts in East Renfrewshire have been amended & candidates are required to be eligible to achieve NPPV level 2 vetting status.</p> <p>'Safe Together' model implemented.</p> <p>All front line managers provided with refresher training concerning statutory compliance.</p> <p>Multi Agency Risk Assessment Conference (MARAC) fully operational (5th March 2019)</p> <p>ASP priorities for 2019/20 improvement and proposal for new structure and increased frequency of APC meetings agreed (06.06.19)</p>									
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4	C	Financial Sustainability										
		<p>Risk of being unsustainable due to one of the following causes:</p> <p>1) Unable to deliver in full the existing savings and achieve new savings to deliver a balanced budget. The timing of the NHS GGC budget contribution continues to be a challenge</p> <p>2) Unable to influence future funding to recognise demographic and other pressures, or realise future efficiencies & savings</p> <p>3) Implications of cessation of prescribing risk share and changes from hosted services funding structure.</p> <p>4) Financial Impacts relating to Brexit and other wider economic issues.</p>	<p>1) The CFO provides regular reporting to IJB and savings progress reviewed as part of budget seminars and revenue monitoring report as well as periodically at DMT</p> <p>2) The regular budget updates and medium term financial plan set out funding pressures and scenarios are taken to IJB seminars. The HSCP is involved in the budget setting process with each of our partners. We need to develop a process for a more proactive approach with earlier discussions on financial planning.</p> <p>3) A local network and CFO section meeting is a discussion and decision making forum for wider issues impacting on partnerships, with these two areas included. The previous NHSGGC prescribing risk share ceased in March 2018 and prescribing volatility impacts directly on the HSCP revenue budget.</p> <p>4) This is a national risk and is reported in detail elsewhere. The financial risks will relate to staffing, purchased of care, drugs, equipment, consumables and food.</p>	3	4	12	<p>1) The CFO will provide advice on corrective action required in year to manage the budget. The use of reserves supports longer term change and allows for phased implementation of savings delivery and management of prescribing volatility.</p> <p>2) Continue partner engagement with budget setting and financial plan and processes.</p> <p>3) An earmarked reserve allows us to deal with prescribing volatility in any one year. Hosted arrangements will be reviewed to coincide with review of the integration schemes during 2020 and preparatory work has commenced.</p> <p>4) The potential Brexit implications and contingency planning is taking place at both national and local levels.</p>	<p>Ongoing (with 2019 /20 budget agreed).</p> <p>Ongoing – regular meetings</p> <p>Ongoing</p>	3	4	12	Chief Financial Officer

5.2	5	C	Failure of a Provider									
			<p>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:</p> <ul style="list-style-type: none"> - disruption to service delivery - requirement to implement contingency plans - impact on individuals and families with potential disruption to care arrangements 	<p>We work with the Care Inspectorate to ensure robust action plans for improvement are in place</p> <p>Work with Scottish Government, Scotland Excel and Cosla on care home market.</p> <p>Consideration of balance of market share across external market providers</p> <p>Company Credit Health Checks undertaken</p>	4	3	12	<p>Implement learning from independent review of recent provider failure, due to be completed summer 2019.</p> <p>Work with providers at risk to agree phased and managed approach to closure if required</p>	31/12/2019	Ongoing	3	3
	6	C	Access to Primary Care									
			<p>Insufficient primary care practice list capacity due to increased population size, new housing development and new developments to support older people including retirement homes and care homes.</p> <p>Inability to recruit/cover posts resulting in poor access for local residents.</p>	<p>Primary Care Improvement Plan agreed by IJB</p> <p>Local practices are supported to manage list size by encouraging patients from out with the practice's contracted catchment area to register with a GP more local to them.</p> <p>Work with practices to maximise premises capacity to enable them to extend primary care team</p>	3	3	9	<p>Work with planning department to consider impact and mitigation for new housing developments</p> <p>Meet regularly with GPs in practices most likely to be impacted by rise in new registrations due to new housing development to agree short term measures and discuss and longer term options to increase capacity.</p> <p>Within clusters explore space availability within practices to support the extending Primary Care team as outlined in the PCIP.</p>	Ongoing	Ongoing	Ongoing	3

