



Meeting of East Renfrewshire Integration Joint Board	Performance and Audit Committee
Held on	4 April 2018
Agenda Item	7
Title	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****4 April 2018****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 (SRR).

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 the bi annual update of 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.

Red and Significant Risks Exception Report

8. 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'.
9. Financial Sustainability remains a high/red risk. Whilst the outlook for 2018/19 is an improved position on previous scenarios 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 if current practice of risk sharing for prescribing ceases or changes from hosted services funding structure
10. The HSCP's Chief Finance Officer provides regular updates on partnership funding, actions and risks to the Integration Joint Board and discussed the emerging issues in seminar briefings. The reserves strategy recognises longer term change is required to ensure future sustainability and allows for phased implementation of saving delivery.
11. The workforce risk is being mitigated through the Fit for the Future change programme. In the interim recruitment to permanent posts where appropriate ensures that any post considered by the HSCP senior management team to be vital is filled.

Removed Risks

12. The risk regarding the sale of Bonnyton House has been removed as the IJB agreed to consider alternative options for this project.

CONCLUSIONS

13. The IJB Strategic Risk register has been reviewed and updated to reflect the changes to financial information, workforce and Bonnyton House.

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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March 2018

HSCP Chief Officer: Julie Murray

BACKGROUND PAPERS

PAC Paper: September 2017 Strategic Risk Register Update
<http://www.eastrenfrewshire.gov.uk/CHttpHandler.ashx?id=20984&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: 20/03/2018

No.	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)	
			Risk Score Overall Rating 11 - 16 High 5 - 10 Medium 1 - 4 Low							
1	Death or significant harm to service user / patient									
	Risk of death or significant harm to a service user/patient as a result of HSCP action/inaction. 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 Risk assessments for service users are carried out by staff as and when required Statutory inspection reports	3	4	12	Improvement plan om place fp Adult support and Protection	2	4	8	Head of Health and Community Care/Head of Children's Services & Criminal Justice
2	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. Risk although moderate only lies within the foster care sector.	1	4	4	Chief Social Work Officer

3	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>MAPPA extension to include violent offenders who present a serious risk of harm fully implemented. Audit process in place.</p> <p>Development of protection of vulnerable groups scheme (new employees then existing employees) with replacement of enhanced disclosures.</p> <p>Training on MAPPA extension completed.</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>Adult Support and Protection (ASP) process being reviewed.</p>	<p>2</p>	<p>4</p>	<p>8</p>	<p>Following the extension of MAPPA to include Category 3 violent offenders, 3 employees have completed Risk of Serious Harm training, 3 employees are awaiting training dates.</p> <p>Negotiate with Scottish Government on the whole protection agenda for uniformity</p> <p>Ensure the links are made for learning opportunity within the protection agenda.</p> <p>Develop a framework 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. Implementation of "Safe Together" model will be implemented.</p> <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>1</p>	<p>4</p>	<p>4</p>	<p>Chief Officer / Chief Social Work Officer</p>

4	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</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>The CFO provides regular reporting to IJB and savings progress reviewed as part of budget seminars and report as well as periodically at DMT</p> <p>The Financial Strategy and Budget Updates set out funding expectations and scenarios. The HSCP will influence budget setting process with each of our partners.</p> <p>A local network and CFO section meeting is a discussion and decision making forum for wider issues impacting on partnerships</p>	3	4	12	4	3	12	Chief Financial Officer
5	<p>Failure of a Provider</p> <p>Risk of an operational or financial failure to a key provider. 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>Work with Scottish Government, Scotland Excel and Cosla on care home market.</p> <p>Local contractual frameworks reflect fair work practice.</p>	4	3	12	3	3	9	

6	Primary Care Capacity	<p>1. The HSCP is supporting development of GP clusters, including quality and tests of change initiatives to increase capacity</p> <p>2. 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</p>	3	3	9	<p>We will support the development of the new GP contract locally.</p> <p>Work with planning department to consider impact and mitigation for new housing developments</p>	2	3	6	Clinical Director
7	Demographic Changes	<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	Workforce Planning and Change	Development of Workforce plan to support current Strategic Plan	3	4	12	<p>1. Fit for the Future Workforce Planning reviewing processes and structures to ensure HSCP has right staff with right skills in right place for future.</p> <p>2. Active review of all request to recruit by HSCP senior management team</p> <p>3. Improve partnership workforce planning working with providers by March 2018</p>	2	4	8	<p>Chief Officer</p> <p>HSCP Management Team</p> <p>Head of Strategic Services</p>
9	Children & Young People (Scotland) Act	COSLA negotiations on schedule of financial support The Chief Social Worker attends Scottish Government Working Groups.	3	2	6	Resource alignment to support additional duties to comply from 2016 regarding named person, child's plans and additional corporate parenting responsibilities for young people up to 26 years old.	2	2	4	Chief Officer HSCP
10	Increase in Vulnerable Adults	<p>Analysis of demographic changes. Increased financial forecasting.</p> <p>Increase in foster carers through local recruitment campaign.</p> <p>Education Resource Group to manage specialist resources and admission to specialist provision</p> <p>Learning disability supported living redesign</p> <p>Implemented Children's Services redesign</p>	4	3	12	<p>Review transition arrangements - child to adult services</p> <p>Inclusive Support redesign</p> <p>Fit for Future redesign</p> <p>Council continues to contribute to funding to demographic cost pressures</p>	4	2	8	Chief Officer HSCP

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