



Meeting of East Renfrewshire Integration Joint Board	Integration Joint Board
Held on	21 September 2021
Agenda Item	13
Title	IJB Strategic Risk Register Annual Update 2022
<p>Summary</p> <p>This report provides the Integration Joint Board with the annual update on the IJB Strategic Risk Register.</p> <p>The risk register is reported to all Performance and Audit Committee meetings.</p>	
Presented by	Lesley Bairden, Head of Finance and Resources
<p>Action Required</p> <p>The Integration Joint Board is asked to note and comment on the IJB Strategic Risk Register.</p>	

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EAST RENFREWSHIRE INTEGRATION JOINT BOARD**21 September 2022****Report by Chief Financial Officer****IJB STRATEGIC RISK REGISTER ANNUAL UPDATE****PURPOSE OF REPORT**

1. This report provides the Integration Joint Board with an update on the IJB Strategic Risk Register.

RECOMMENDATION

2. The Integration Joint Board is asked to note and comment on the IJB Strategic Risk Register.

BACKGROUND

3. Good practice in the area of risk management suggest that a risk register should contain between six to eight of the most significant risks to make it a useful working document. The risk register uses a simple, clear and effective 4 x 4 likelihood and severity risk matrix as shown below.

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

4. 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

5. The Performance and Audit Committee receive updates on the IJB Strategic Risk Register at each meeting. Any additions, deletions and changes to the register are reported to the Performance and Audit Committee detailing the reason for each change. A brief summary of the main changes since the Strategic Risk Register was last reported to the IJB in September 2021 are included in this report, however the full audit trail is detailed in the individual Performance and Audit Committee reports available online.

Summary of main changes

6. Since last reported to the Integration Joint Board in September 2021:-
- All risk control measures have been reviewed and updated where necessary and specifics are detailed within Performance and Audit Committee reports.
 - All risk scores have been reviewed
 - 4 risk scores have reduced
 - 1 risk score has increased
 - No new risks have been added
 - No risks have been removed

Death or significant harm to vulnerable individual

7. This risk score reduced from 12 to 9 given the improvements made to our Adult Support and Protection arrangements.

Scottish Child Abuse Inquiry

8. The score has been reduced from 12 to 9 as the risk appears to be lower than previously reported due to the size and scale of East Renfrewshire in terms of identified individuals.

Increase in frail older population

9. This risk score has been reduced from 16 to 9. This is mainly due to the significant investment from Scottish Government for winter funding which we have used to strengthen our response in care at home, interim care and multidisciplinary team working.

In-House Care at Home Service

10. The risk score for care at home was reduced from 12 to 8 following successful recruitment of the Senior Homecare Manager and additional frontline staff, thus reducing the likelihood of the service being impacted due to capacity.

Workforce Planning and Change

11. This score was increased due to the significant ongoing issues within Adult Mental Health due to recruitment and retention of consultants. This is a board wide issue however East Renfrewshire is presently seeing significant impact as a result of reduced capacity. Work is ongoing with professional leads and the Clinical Director for Mental Health to explore solutions, both in the medium and longer term. A short-term contingency plan is in place to help with immediate pressures.

Red and significant risks

1. Risks which score between 11-16 and rated as High/Red/Unacceptable post mitigation and those which the Health and Social Care Partnership Management Team considers significant are brought to the attention of the Performance and Audit Committee by an 'exception report'. There are two risk which are currently red post mitigation:-
- *Financial Sustainability*: Financial Sustainability remains a high/red risk as last reported. This is still considered red post mitigation reflecting the current economic climate, including pressures around fuel, utilities, pay and inflation, combined with the unknown impact of Covid-19 in the longer term. Despite significant investment by Scottish Government in health and social care we still have legacy savings which we need to achieve on a recurring basis.

- Although *Failure of a Provider* is scored as 9 (medium) post mitigation, it is considered a significant risk given the potential impact on service delivery.

CONCLUSIONS

2. The Integration Joint Board will continue to receive an annual update on the IJB Strategic Risk Register and Performance and Audit Committee will continue to review at each meeting.

RECOMMENDATIONS

3. The Integration Joint Board is asked to note and comment on the IJB Strategic Risk Register.

REPORT AUTHOR AND PERSON TO CONTACT

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6 September 2022

Chief Officer, IJB: Julie Murray

BACKGROUND PAPERS

IJB Paper: 22.09.2021: Strategic Risk Register Annual Report
https://www.eastrenfrewshire.gov.uk/media/6324/IJB-Item-16-22-September-2021/pdf/IJB_Item_16_-_22_September_2021.pdf?m=637672968724570000

IJB Paper: 12.08.2020: Strategic Risk Register Annual Report
https://www.eastrenfrewshire.gov.uk/media/1786/Integration-Joint-Board-Item-11-12-August-2020/pdf/Integration_Joint_Board_Item_11_-_12_August_2020.pdf?m=637323284404970000

IJB Paper: 29.01.2020: Risk Management Policy and Strategy
https://www.eastrenfrewshire.gov.uk/media/1436/Integration-Joint-Board-Item-14-29-January-2020/pdf/Integration_Joint_Board_Item_14_-_29_January_2020.pdf?m=637284294607930000

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EAST RENFREWSHIRE INTEGRATION JOINT BOARD

STRATEGIC RISK REGISTER

DATE ORIGINATED: 09.11.2015

DATE REVIEWED: 31.08.2022

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)	Impact (Severity)	Risk Score (LxI)	
						11-16	HIGH						
						5-10	MEDIUM						
						1-4	LOW						
						L	I				L	I	LxI
n/a	1	S	Death or significant harm to vulnerable individual										
			Risk of death or significant harm to a service user/ patient as a result of HSCP actions or omissions. Consequences could include: - Loss of life or long term damage and impact on service user & family. - Possible perception of failure of care. - Poor workforce morale. - Reputational damage.	Professional leadership for social work practice strengthened We continue to operate within Clinical and Care Governance Framework ASP Quality Assurance Framework continues to be implemented and reported to APC Quality assurance of Adult Service Improvement Plans Senior Management rota for chairing ASP implemented Continual audit against compliance of MHO standards Professional supervision policy adopted for social work and social care staff. Review of rising demands and pressure points across adult services. Rolling training programme.				New Governance Framework providing assurance to CSWO being developed. Review risk management frameworks as we move towards recovery.	31/12/2022 31/12/2022				Head of Adult Services / Chief Social Work Officer
						3	3	9			2	3	6

4.4	2	S	Scottish Child Abuse Inquiry									
			<p>Children accommodated by East Renfrewshire Council and legacy areas from 1930 may have been the victims of historical abuse whilst in foster care.</p> <p>Capacity to meet the demands of the S21 notice and the possibly increased demand of access to records and potential claims against the Council as Inquiry work progresses.</p>	<p>Adult Protection Committee and Child Protection Committee have been sighted on these issues.</p> <p>Final s21 submission made to the Inquiry in July 2020 in relation to the foster care case study. The Inquiry requested further information which was submitted in Jan-22. The Inquiry will begin to take evidence from Jun-22 onwards – it is unclear at this point whether ER will be cited to court</p> <p>Key learning from S21 work shared with managers</p> <p>Identified leads in HSCP working alongside legal services to manage the progress of any allegations/claims made.</p>	3	3	9				3	3
4.1	3	S	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 Committee (CPC), Adult Protection Committee (APC) and MAPPA meetings deal with strategic and practice issues.</p> <p>"Safe Together" model implemented in HSCP.</p> <p>Regular reporting to COPP in place for adult, children and high risk offenders.</p>	2	4	8	<p>Introduce rolling review of PVGs on 3 yearly basis. Consistent with Care Inspectorate regulations.</p> <p>Strengthen reporting arrangements around SSSC registrations. (<i>Short-life working group established Mar-22 - progressing action plan</i>)</p> <p>Roll out "Safe Together" across Council</p>	30/06/2022	31/12/2022	31/12/2022	1

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.</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. Financial risks relate to staffing, purchase of care, drugs, equipment, consumables and food and utilities/other inflation</p> <p>5) Financial risks relating to Covid-19 There is a significant financial implication to the IJB if the costs of the response to the crisis are not fully funded. There are likely to be longer term implications with associated financial impact. The post Covid landscape is unclear</p> <p>6) Complexity of funding sources with some allocations late in the year and some instability from non-recurring funding.</p>	<p>The CFO provides regular financial advice and reporting to IJB, including savings progress.</p> <p>Detailed financial planning and monitoring for COVID 19 is in place and costs are considered by the Scottish Government as part of the NHSGCC response.</p> <p>Budget seminars are held with IJB Members.</p> <p>The regular budget updates and medium term financial plan set out funding pressures and scenarios. The HSCP is involved in the budget setting process with each of our partners.</p> <p>Medium Term Financial Plan latest revision March 22</p> <p>A local network and the National CFO Section meeting provide a discussion and decision making forum for wider issues impacting on partnerships, including prescribing and hosted services.</p> <p>The use of earmarked reserves allows us to deal with prescribing volatility in any one year.</p> <p>Review of hosted services is ongoing and this is a longer term review across all six HSCPs within NHSGCC.</p> <p>Ongoing monitoring of wider economic factors and inflation impacts</p> <p>Regular monitoring and planning combined with our reserves strategy allows us to maximise funding streams.</p>	3	4	12	<p>Conclude review of hosted service arrangements (indicative date)</p> <p>Refresh Medium Term Financial Plan for any significant changes during 2022/23 (including impact of fuel, utilities, pay award, prescribing short supply and other inflation costs)</p> <p>Develop the tri-partite financial planning discussions with partners as included in Strategic Improvement Action Plan.</p> <p>Covid funding exit strategy being discussed locally and nationally to manage the cessation of covid support funding.</p>	31/03/2023	Ongoing (review 31/03/2023)	Ongoing (review 31/03/2023)	31/03/2023	<p>3</p> <p>4</p> <p>12</p> <p>Chief Financial Officer</p>

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 significant care concerns financial instability, staff recruitment and retention difficulties.</p> <p>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>We work with providers at risk to agree phased and managed approach to closure if required. Escalation process in place.</p> <p>Work with Scottish Government, Scotland Excel and Cosla on care home market.</p> <p>Scotland Excel framework provides larger provider base to mitigate risk.</p> <p>Care Home assurance group established May 2020 (meets twice weekly).</p> <p>Care homes reporting key information which is reviewed by the care home assurance group to allow management of risk and support.</p> <p>Two community hubs established to provide range of support to care homes within Greater Glasgow and Clyde e.g. nursing, infection control support.</p>	4	3	12	<p>Reshape strategic commissioning plan based on outcome of the work exploring models of service delivery. Annual progress will inform our longer term approach.</p> <p>Increased monitoring by Commissioning and Contracts service (reviewed Sep22)</p>	30/09/2022	Ongoing (Review-31.03.2023)	3	3	9	Chief Financial Officer / Heads of Service

6	S	Access to Primary Care										
		<p>Insufficient primary care practice list capacity due to increased population size. This is a result of new housing developments which include family housing, increasing the number of children in the area and specific developments for older people.</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> <p>Back scanning completed for practices to ensure all East Renfrewshire practices notes are scanned to free up space.</p>	3	3	9	<p>Work with planning department to consider impact and mitigation for new housing developments.</p> <p>Support 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>Signpost new residents to Practices registering patients for postcode area.</p> <p>Scoping ways to increase capacity for PCIP staff at existing sites, and exploring potential other sites</p> <p>Exploring revenue funded solutions around GP space in Newton Mearns and Neilston</p> <p>Working with NHSGG to developing strategy to support GP practice sustainability</p>	<p>Ongoing (review Sep 22)</p> <p>Ongoing (review Sep 22)</p> <p>Ongoing (review Sep 22)</p> <p>Ongoing (review Sep 22)</p> <p>Ongoing (review Mar 23)</p>	3	2	6	Clinical Director
5.1	7	S Increase in frail older population										
		<p>Increase in frail older people, particularly very old, 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 provides additional resources (winter planning) 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 wider council prevention and early intervention strategy for older people.</p> <p>UCC Delivery Plan approved by IJB in March-22.</p> <p>Concluded redesign work focusing on rehabilitation</p>	3	3	9	<p>Review Talking Points approach as part of winter planning.</p> <p>Monthly reporting to Scottish Government on winter planning funding.</p>	<p>31/10/22</p> <p>Monthly</p>	3	2	6	Chief Officer HSCP

			<p>Annual budget setting takes account of demographic projections.</p> <p>Reviewed front door arrangements to ensure fit for purpose in terms of recovery – new model launched Summer and making significant positive impact on waiting list for assessment</p> <p>Re-started Talking Points as part of Community Led Support programme, diverting people to community resources and building own assets.</p>									
8	C	Workforce Planning and Change										
		<p>Lack of appropriately skilled workforce due to combination of loss of experience from retirement of ageing workforce and changes to registration and job requirements leads to a reduction in service levels and inability to deliver redesigns in line with Strategic Plan requirements. Use of temporary contracts as mitigation for financial uncertainty impacts on ability to recruit and retain staff.</p>	<p>Workforce planning group restarted and includes 3rd / independent sector reps</p> <p>HSCP management team actively review of all request to recruit and the number of temporary contracts have been minimised.</p> <p>Overarching workforce workstream in our recovery plan (as we have had some capacity issues resulting from Covid-19 and our response to the emergency).</p> <p>Recovery and Renewal Programme established (Jun’21)</p> <p>Interim HSCP workforce plan developed and work commenced on 3-Year Plan</p> <p>Trauma Steering Group continues to meet regularly</p> <p>Working with professional leads and MH Clinical Directors to explore medium and longer term cover. In addition re-advertising vacant posts and close monitoring.</p>	4	4	16	<p>Finalise 3-Year HSCP Workforce Plan following comments from Scottish Government (Submitted 31 July 2022)</p> <p>Medium term cover arrangements in place, however longer term recruitment plan to be developed board wide and we continue to work closely with the associated medical director.</p>	<p>30/11/2022</p> <p>30/09/22</p>	2	4	8	<p>Chief Officer HSCP</p>

2.2	10	S	Increase in children & adults with additional support needs										
			Increase in the number of children and adults with additional support requirements leading to a rise in demand on services.	Advanced Practitioner post to improve practice across adult and children services in preparing young people with additional support needs for adulthood. Analysis of demographic changes and increased financial forecasting. Education Resource Group manage specialist resources and admission to specialist provision. Resource Allocation Group (RAG) strengthened membership to include educational psychologist and occupational therapist. Concluded work to review transitions and new strategy developed									
					4	3	12	Present Transitions Strategy to Children Services Partnership Group for sign off Implement Transitions Strategy - transition team to be developed to lead delivery of strategy – transitions team currently being recruited and transition planning to feature in R&R programme (reviewed Sep) Continued monitoring and Covid support to partly offset increased demand.	30/12/2022 30/12/2022 Ongoing (review Mar 23)				
										4	2	8	Chief Officer HSCP

5.3	11	C	In-House Care at Home Service										
			<p>Ongoing pressures and limited service capacity impacts on service delivery and quality standards Impact on service users and carers</p>	<p>Increased resource to support robust absence management.</p> <p>Single base operating for Care at Home</p> <p>Ongoing quality assurance and monitoring activity.</p> <p>Significant frontline recruitment progressing</p> <p>Increased OT resource to maximise outcomes and reduce supports required</p> <p>Payment of carried over annual leave made to increase staff availability</p> <p>Enhanced recruitment and advertising arrangements continuing</p>	2	4	8	<p>Re-mobilise the service redesign activity – engagement event schedule for august</p> <p>Conclude work to realign staff work patters in order to maximise resource</p> <p>Enhance data availability and reporting capability of hospital referrals</p>	31/08/2022	2	3	6	Chief Officer HSCP
	12	S	Failures within IT System										
			<p>Critical information not been received due to failures in IT system</p> <p>Emails from outside the East Renfrewshire domain have been blocked or receipt failed due to ERC and 3rd party technical system issues.</p>	<p>Specific email addresses can be added to whitelist if required.</p> <p>Emails can be manually released. Analysis completed of referral source and destination mapping, to ensure information can be shared with ICT mailboxes and specific senders / emails prioritised, should an issue arise.</p> <p>Phase 1 of ICT Clearswift Review (looking at setup of rules and configuration within the email gateway solution) concluded 14.4.20 with changes to rules that should reduce some of the technical complexity with regards to email blocking.</p> <p>HSCP continue to work with ICT BRMs for both partner organisations to highlight and address both intermittent and known ICT issues</p>	3	2	6	<p>Conclusion of ICT Clearswift Review (Phase 2) on the Clearswift Gateway infrastructure.</p>	TBC	2	2	4	IT Business Partner

13	C	COVID19 & RECOVERY										
		<p>The significant impact of the pandemic on our workforce, supply chain, demand for and availability of services, delayed discharge targets, IT, accommodation, and resultant impact on financial and service planning.</p>	<p>Business Continuity and Operational Recovery Plans are in place and are reviewed by senior management regularly. Resilience Management Team continues to meet fortnightly.</p> <p>HSCP represented at local and national groups as well as integral part of our partners (ERC & NHSGGC) response and recovery.</p> <p>Testing regimes remain in place for care homes and health and social care staff Majority of staff fully vaccinated</p> <p>Use of intermediate care beds to allow discharge from hospital for those awaiting care at home service.</p> <p>Increased communication and intelligence sharing with partners other statutory bodies implemented.</p> <p>Ongoing engagement and reporting with partner providers including Care Homes.</p> <p>Revised Initial Contact Team procedures to alleviate pressures at 'front door' with further review underway</p> <p>Infection control procedures and arrangements for PPE in place.</p> <p>Regular Covid-19 cost monitoring informs our revenue reporting as well as reporting to the Scottish Government through NHSGGC.</p> <p>Recommended Recovery and Renewal Programme – new team now in place.</p> <p>Removal of social distancing restrictions at the end of August is allowing more staff to adopt hybrid approach to working</p>	4	3	12	<p>Following scoping of accommodation and resource requirements develop proposals of how accommodation will be utilised to meet service needs and demands in line with NHSGGC Hybrid working and ERC The Way we Work – further work is required to understand the longer term impact on accommodation; both clinical and non-clinical</p>	30/12/2022	3	3	9	

	14	C	ANALOGUE TO DIGITAL SWITCHOVER									
			Vulnerable adults left without access to Telecare as a means of support due to accelerated switch from analogue to digital phone lines and associated financial implications.	Programme board established and full project team in place to take forward the transition to analogue to digital. HSCP representation on programme board. Analogue to digital implementation plan. ARC (Alarm Receiving Centre) system procured Nov 21 Decision made re first tranche of dispersed alarm units Recruited HSCP Senior User	3	3	9	ARC Go Live date There is a Capital Project with our partner East Renfrewshire Council to manage replacement of analogue devices and peripherals within people's houses. Monitoring global supply issues in relation to chip shortages	30/09/2022 Ongoing Ongoing	2	3	6