



Meeting of East Renfrewshire Integration Joint Board	Performance and Audit Committee
Held on	16 March 2022
Agenda Item	9
Title	IJB Strategic Risk Register
<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, 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>	

BLANK PAGE

EAST RENFREWSHIRE INTEGRATION JOINT BOARD**PERFORMANCE AND AUDIT COMMITTEE****16 March 2022****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 a 'live' document; the latest version is attached at Appendix 1.
8. The Strategic Risk Register was reported to the last meeting of the Performance and Audit Committee which took place on 24 November 2021. Since last reported:
- Risk control measures in place have been condensed and updated to include any proposed mitigation which has been completed.
 - No new risks have been added
 - No risks have been removed
 - 3 risk scores have been reduced.
9. Members are asked to note the following:-
10. **Death or significant harm to vulnerable individual:** The current risk score has been reduced from 12 (high) to 9 (medium) given the improvements made to our Adult Support and Protection arrangements. The score is expected to reduce further once our new governance framework is in place. This is currently in development and will provide assurance to the Chief Social Work Officer. It is anticipated that this will be in place by August 2022. Risk management frameworks will also be reviewed towards the end of the year as we move back towards recovery.
11. **Scottish child abuse inquiry:** The current risk score has been reduced from 12 (high) to 9 (medium) as the risk appears to be lower than previously reported due to the size and scale of East Renfrewshire in terms of identified individuals. No further mitigations are proposed due to the historic nature of this risk.
12. **Child Protection, Adult Protection and MAPPA Arrangements:** Due to pressures we have had to delay our work around reporting on professional registrations however a short life working group has been established to progress this over the next few months.
13. **Financial Sustainability:** Due to pressures we have extended the deadline for review of hosted service arrangements to June.
14. **Failure of a provider:** Due to pressures we have been unable to progress the development of our strategic commissioning plan and have extended the deadline for this. Now that we have finalised our HSCP Strategic Plan 2022-25 we will work towards the development of the commissioning plan alongside our market facilitation plan.
15. **Increase in frail older population:** Following significant investment from Scottish Government in terms of winter funding we have strengthened our response in care at home, interim care and multidisciplinary team working. This in turn has reduced the current score from 12 (high) to 9 (medium).

Post Mitigation - 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, following mitigation, should be brought to attention of the Performance and Audit Committee by an 'exception report'.

Financial Sustainability

17. Financial Sustainability remains a high/red risk as last reported. Whilst the budget being proposed to the IJB on 16 March 2022 recognises the Scottish Government significant investment in health and social care we still have a legacy savings of £2.9 million.
18. Therefore this risk is still considered red post mitigation reflecting the current economic climate, the uncertainty around ongoing Covid-19 cost implications and the ability of our Recovery and Renewal Programme to support the delivery of this level of saving on a recurring basis.
19. There remains risk that the HSCP could become unsustainable due to one of the following causes:
- Unable to deliver in full the existing savings on a recurring basis
 - Unable to influence future funding to recognise demographic and other pressures, or realise future efficiencies and savings
 - Implications from hosted services should current arrangements change
 - Prescribing volatility

RECOMMENDATIONS

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

REPORT AUTHOR AND PERSON TO CONTACT

Lesley Bairden, Head of Finance and Resources (Chief Financial Officer)
lesley.bairden@eastrenfrewshire.gov.uk
0141 451 0746

March 2022

Chief Officer, IJB: Julie Murray

BACKGROUND PAPERS

PAC Paper: November 2021: IJB Strategic Risk Register Update

https://www.eastrenfrewshire.gov.uk/media/7155/PAC-Item-11-24-November-2021/pdf/PAC_Item_11_-_24_November_2021.pdf?m=637727683985700000

PAC Paper: September 2021: IJB Strategic Risk Register Update

https://www.eastrenfrewshire.gov.uk/media/6844/PAC-item-09-22-September-2021/pdf/PAC_item_09_-_22_September_2021.pdf?m=637673822316270000

PAC Paper: June 2021: IJB Strategic Risk Register Update

https://www.eastrenfrewshire.gov.uk/media/5750/PAC-Item-11-23-June-2021/pdf/PAC_Item_11_-_23_June_2021.pdf?m=637596213490230000

PAC Paper: November 2020: IJB Strategic Risk Register Update

https://www.eastrenfrewshire.gov.uk/media/4339/Performance-and-Audit-Committee-item-8-25-November-2020/pdf/Performance_and_Audit_Committee_item_8_-_25_November_2020.pdf?m=637413112993830000

IJB Paper: January 2020: IJB 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

EAST RENFREWSHIRE INTEGRATION JOINT BOARD

STRATEGIC RISK REGISTER

DATE ORIGINATED: 09.11.2015

DATE REVIEWED: 08.03.2022

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)		Likelihood (probability)
						11-16	HIGH							
						5-10	MEDIUM							
						1-4	LOW							
						L	I				L	I	LxI	
n/a	1	C	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.										
						3	3	9	New Governance Framework providing assurance to CSWO being developed. Review risk management frameworks as we move towards recovery.	31.08.2022 31.12.2022				
											2	3	6	Head of Adult Services / Chief Social Work Officer

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>30/06/2022</p>	<p>Strengthen reporting arrangements around SSSC registrations. (<i>Short-life working group established Mar-22</i>)</p> <p>30/06/2022</p>	<p>Roll out "Safe Together" across Council</p> <p>31/12/2022</p>	1	4

4	S	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.</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 Mar-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>Planning for and monitoring of post Brexit impact at both national and local levels.</p> <p>Regular monitoring and planning combined with our reserves strategy allows us to maximise funding streams.</p>				<p>Conclude review of hosted service arrangements (indicative date).</p> <p>Refresh Medium Term Financial Plan for any significant changes during 2022/23</p> <p>Develop the tri-partite financial planning discussions with partners as included in Strategic Improvement Action Plan.</p>	<p>30/06/2022</p> <p>Ongoing (review 31/03/2023)</p> <p>Ongoing (review 31/03/2023)</p>				<p>Chief Financial Officer</p>	
		3	4	12		3	4	12			

5.2	5	S	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>	30/09/2022	3	3	9	<p>Chief Financial Officer / Heads of Service</p>

	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>Ongoing (review Sep 22)</p> <p>Ongoing (review Sep 22)</p> <p>Ongoing (review Sep 22)</p> <p>Ongoing (review Sep 22)</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 providing 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 presented to IJB in March-22 for approval</p> <p>Concluded redesign work focusing on rehabilitation</p> <p>Annual budget setting takes account of demographic projections.</p>	3	3	9	<p>Reopen and further rollout of Talking Points as part of Community Led Support programme diverting people to community resources and building own assets. (Reviewed Mar-22)</p> <p>Reviewed front door arrangements to ensure fit for purpose in terms of recovery – new model launching Summer</p>	<p>Ongoing (review Aug 22)</p> <p>31/07/2022</p>	3	2	6	Chief Officer HSCP

8	S	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>	3	4	12	<p>Submit draft 3-Year HSCP Workforce Plan to Scottish Government by 31 July 2022</p> <p>Develop workforce information to include data on staff with long term health conditions to better understand the impact of covid-19 on service delivery. Continue to monitor covid and long covid absence to help inform service delivery (Reviewed Mar-22)</p> <p>Continue providing personalised supports to workforce in relation to trauma experienced during covid. (Reviewed Mar-22)</p>	<p>31/07/2022</p> <p>Ongoing (review Aug22)</p> <p>Ongoing (review Aug22)</p>	2	4	8	Chief Officer HSCP
2.2	10	S	Increase in children & adults with additional support needs									
			<p>Increase in the number of children and adults with additional support requirements leading to a rise in demand on services.</p>	<p>Advanced Practitioner post to improve practice across adult and children services in preparing young people with additional support needs for adulthood.</p> <p>Analysis of demographic changes and increased financial forecasting.</p> <p>Education Resource Group manage specialist resources and admission to specialist provision.</p> <p>Resource Allocation Group (RAG) strengthened membership to include educational psychologist and occupational therapist.</p> <p>Concluded work to review transitions and new strategy developed</p>	4	3	12	<p>Present Transitions Strategy to Children Services Partnership Group for sign off</p> <p>Implement Transitions Strategy - transition team to be developed to lead delivery of strategy</p> <p>Continued monitoring and Covid support to partly offset increased demand.</p>	<p>30/04/2022</p> <p>30/09/2022</p> <p>Ongoing (review Sep 22)</p>	4	2	8

5.3	11	S	In-House Care at Home Service									
			<p>Significant pressures and lack of service capacity (vacancies and absence) 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>	3	4	12	<p>Re-mobilise the service redesign activity.</p> <p>30/04/2022</p> <p>Appoint Senior Manager – Interviews scheduled end March</p> <p>30/04/2022</p> <p>Conclude work to realign staff work patters in order to maximise resource</p> <p>30/04/2022</p> <p>Complete current phase of frontline staff recruitment and on boarding and induction</p> <p>31/05/2022</p> <p>Enhance data availability and reporting capability of hospital referrals</p> <p>31/03/2022</p>	2	3	6	Chief Officer HSCP
		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.</p> <p>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> <p>TBC</p>	2	2	4	IT Business Partner

	S	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. Reviewed by senior management on a daily basis</p> <p>Resilience Management Team continues to meet regularly with regular sit rep reporting.</p> <p>HSCP represented at local and national groups as well as integral part of our partners (ERC & NHSGGC) response and recovery.</p> <p>Regular testing regime in place for care home 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 supporting Care Homes.</p> <p>Revised Initial Contact Team procedures to alleviate pressures at 'front door' with further review underway</p> <p>Redeployment of staff to support critical functions.</p> <p>Infection control procedures and arrangements for PPE in place.</p> <p>Monthly Covid-19 cost monitoring informs our revenue reporting as well as reporting to the Scottish Government through NHSGGC.</p>	4	3	12	<p>Scoping of accommodation and resource requirements and increased use of buildings</p> <p>30/05/22</p> <p>Recommendation Recovery and Renewal Programme (paused during response phase).</p> <p>30/04/22</p>	3	3	9	

S ANALOGUE TO DIGITAL SWITCHOVER												
			<p>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.</p>	<p>Programme board established and full project team in place to take forward the transition to analogue to digital.</p> <p>HSCP representation on programme board.</p> <p>Analogue to digital implementation plan.</p> <p>ARC (Alarm Receiving Centre) system procured Nov 21</p> <p>Decision made re first tranche of dispersed alarm units</p> <p>Recruited HSCP Senior User</p>	3	3	9	<p>ARC Go Live date 22/6/22</p> <p>There is a Capital Project with our partner East Renfrewshire Council to manage replacement of analogue devices and peripherals within people's houses.</p> <p>Monitoring global supply issues in relation to chip shortages</p>	<p>22/06/22</p> <p>Ongoing</p> <p>Ongoing</p>	2	3	6

BLANK PAGE