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**To:** Renfrewshire Integration Joint Board Audit, Risk and Scrutiny Committee

**On:** 15 March 2024

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**Report by:** Strategic Lead and Improvement Manager

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**Heading:** Update on Risk and Issue Register

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## **1. Summary**

- 1.1. This paper provides an update on ongoing activity to identify and manage strategic and operational risks, following the previous update to the Committee in November 2023. This report notes updates made to the IJB's risk and issues register, including any changes to risks/issues previously identified, and any new items added to the register during this period.
- 1.2. A separate paper presented this period includes an update on actions undertaken to deliver on the recommendations arising from the completed internal audit review of the IJB's risk management arrangements, including an updated IJB Risk Policy and Strategy for approval.
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## **2. Recommendations**

It is recommended that the IJB Audit, Risk and Scrutiny Committee:

- Approve the updates made to the risk and issue register, following further assessment and engagement within the HSCP and with partners (Section 4).
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## **3. Background**

- 3.1. The IJB's risk management framework sets out the principles by which the HSCP and IJB identify and manage strategic and operational risks impacting upon the organisation. This framework forms a key strand of the IJB's overall governance mechanisms and is encapsulated within the IJB's Risk Management Policy and Strategy. It sets out how risks and issues should be identified, managed and reported and it informs the development of this report and supporting appendix. The policy and strategy is underpinned by supporting Risk Framework guidance for HSCP staff which has also been updated to reflect the recommendations from both the internal audit and review.

#### **4. Updates to the IJB Risk Register**

- 4.1. The HSCP's ongoing assessment and review of risks has identified necessary changes to existing risks and issues. In this period there have been no new risks but one new issue added to the IJB Register. This period there has been no changes to any of the risks or issue ratings. All risks and issues have been updated to reflect the latest position regarding completed and outstanding actions. This paper reflects the changes made since the last update.
- 4.2. It should be noted again that the risk outlook continues to remain highly challenging, with all risks and issues remaining within the categories of moderate and high. The current financial and operating context remains extremely difficult across the public sector, and this is reflected in the nature of risks being identified.
- 4.3. In summary, the key updates to existing risks include:
- The risk scores for 'Changing financial and demographic pressures' (RSK01) and 'Financial challenges causing financial instability for the IJB' (RSK02) continue to remain at the highest rating available. These continue to be reinforced by the 'IJB Financial Resilience' issue (ISS02) as the ongoing financial context for the IJB remains highly challenging and uncertain. These risks and issue remain under continual review. As reported previously, the tracking of Sustainable Futures Programme savings approved continues, and further indicative savings options for Phase two were brought to the IJB for consideration in November. However, the risk that savings identified do not fully bridge the financial gap projected in future financial years remains and this has now been included within the IJB Financial Resilience issue. There is also a further element for consideration that the required savings are not achieved at the pace previously anticipated and, reflective of this position, further non-recurring actions will be required to achieve a balanced budget in 2024/25.
  - Although the rating of the risk 'Failure to achieve targets and key performance indicators' (RSK12) remains at 'High' to reflect the difficult financial operating context, it should be noted that good progress has been achieved and in addition that 73% of the year two deliverables from the Strategic Plan are complete or on track. However, there remains a risk that the extent of financial and resource pressures currently projected across the public sector will result in difficult decisions being required, the nature of which are highly likely to impact upon service performance against key indicators.
  - The risks 'National Care Service' (RSK06) and 'National risk of litigation and potential local financial and reputational impact arising from the public enquiry into COVID response' (RSK09) have both been updated to reflect the revised timelines associated with the NCS bill and ongoing Covid enquiry.

- A new risk 'Potential for concerns and challenges on current and future savings proposals' (RSK20) has been added to the log. This risk details the potential for additional factors to impact on the IJB's decision regarding current and future savings proposals, and should the IJB be minded to approve them, potentially impact on their progression. This includes the potential for legal challenge or judicial review to be requested on any decisions and supporting equality impact assessments as has been observed in other IJBs and/or local authorities. The risk sets out the financial implications of this, linking to separate risks and issues, however also notes that a robust approach has been adopted to developing impact assessments to date.

4.4. For the Committee's awareness, the HSCP continues to remove historic mitigations and preventing actions from the quarterly report to streamline the individual risk and issue summaries. Actions completed in the last twelve months will continue to be maintained, with historic actions being available in previous iterations of the report and within the overarching risk and issue log if further detail is required.

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### Implications of the Report

1. **Financial** – No direct implications from this report\*
2. **HR & Organisational Development** – The risk framework guidance and training for staff has been further updated for issue in March 2024, subject to the Committee's approval of the updated risk framework.
3. **Community Planning** – No direct implications from this report\*
4. **Legal** – Supports the implementation of the provisions of the Public Bodies (Joint Working) (Scotland) Act 2014.
5. **Property/Assets** – No direct implications from this report\*
6. **Information Technology** – No direct implications from this report\*
7. **Equality and Human Rights** – No direct implications from this report\*
8. **Health & Safety** – No direct implications from this report\*
9. **Procurement** – No direct implications from this report\*
10. **Risk** – This paper and attachments provide an update to the IJB's Risk Management Framework and associated registers.
11. **Privacy Impact** – No direct implications from this report\*

*\*Although there are no direct implications from this report, specific risks are likely to impact on these areas and will have specific mitigations identified.*

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### List of Background Papers – N/A

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## Risk and Issue Register Executive Summary

This document reflects the status of the risks and issues in the IJB log at the end of February 2024. This report also features issues as part of the agreed risk framework approach. The summaries reflect the changes to risks since the last report and items which have been identified as new or those proposed to close since the last report. For any proposed closures we have included summaries to detail the final position and the rationale for closure. If these are agreeable, they will be removed from the next report.

## Introduction and Background

This document is prepared in advance of each IJB Audit, Risk and Scrutiny Committee meeting to support Renfrewshire Integration Joint Board (IJB), and members of the IJB's Audit, Risk and Scrutiny Committee, in the application of the IJB's Risk Management Policy and Strategy. It sets out those Strategic Risks and Issues currently identified which have the potential to prevent the IJB from achieving its desired outcomes and objectives, and the mitigating actions put in place to manage these risks and issues. **Further information on the IJB's approach can be found in Renfrewshire IJB's Risk Management Policy and Strategy, recently updated, and also submitted to this meeting for approval.**

## Approach to assessing risks.

All risks identified are assessed considering (i) the likelihood of the risk materialising; and (ii) the consequent impact of said risk should it materialise. To reflect the range of eventualities this assessment provides a score of between 1 and 5 for each of these criteria (where 1 is least likely and low impact, and 5 is very likely and very high impact). This enables each risk to have an overall score where the likelihood and impact ratings are multiplied together, and a RAG (Red, Amber, Green rating applied) as per the matrix below. Risk scores guide the IJB's response to risks identified.

## Approach to assessing issues

The same applies regards impact, however for issues, the priority and the resolution is considered instead of likelihood. Issues are simply risks which have occurred and they have a rating of between 1 and 5 where 1 is low/no impact ranging to 5 extreme impacts.

### Risks

Likelihood	Risk Consequence Impact Rating				
	1	2	3	4	5
5	5	10	15	20	25
4	4	8	12	16	20
3	3	6	9	12	15
2	2	4	6	8	10
1	1	2	3	4	5

### Issues

Impact	Issue Rating
1	Insignificant
2	Minor
3	Moderate
4	Major
5	Extreme

## Risk Profile

Total Risks	High Risks	Moderate Risks	Low Risks	Very Low Risks
17	10	7	0	0

Likelihood	Consequence Impact				
	1	2	3	4	5
5	5	10	15	20	25
				5	5
4	4	8	12	16	20
			1	2	
3	3	6	9	12	15
				2	2
2	2	4	6	8	10
1	1	2	3	4	5

## Issue Profile

Total Issues	2
Extreme Issues	2
Major Issues	
Moderate Issues	
Minor Issues	
Insignificant Issues	

Risk or Issue Ref	Risk or Issue Type	Summary Description	Current Risk / Issue Score and ROYG Rating	Risk or Issue Movement
RSK01	Strategic	Changing financial and demographic pressures affecting service provision	25 High	No Change
RSK02	Financial	Financial Challenges causing financial instability for the IJB	25 High	No Change
RSK03	Operational	Increase in physical and mental health inequalities	20 High	No Change
RSK05	Operational	Disruption from further waves of COVID	12 Moderate	No Change
RSK06	Operational	National Care Service	20 High	No Change
RSK07	Operational	Workforce planning and service provision	25 High	No Change
RSK09	Strategic	National risk of litigation and the potential local financial and reputational impact arising from the public inquiry into COVID response	15 Moderate	No Change
RSK10	Operational	Failure or loss of major service provider	25 High	No Change
RSK11	Clinical	Delivery of the GP Contract / Primary Care Improvement Plan	16 Moderate	No Change
RSK12	Strategic	Failure to achieve targets and key performance indicators	20 High	No Change
RSK13	Strategic	Cyber threats pose an increasing risk	20 High	No Change
RSK14	Strategic	Capital funding and complexities of property planning in an integrated setting	25 High	No Change
RSK15	Operational	Compliance with Essential Training	16 Moderate	No Change
RSK16	Strategic	Delivery of Addictions Support in Renfrewshire	12 Moderate	No Change
RSK18	Operational	Impact of potential power outages on critical services	15 Moderate	No Change
RSK19	Operational	Disruption from a further pandemic / outbreak	12 Moderate	No Change
RSK20	Strategic	Concerns and potential challenges on current and future savings proposals	20 High	New
ISS01	Operational	Issues regards attracting & retaining staff	05 Extreme	No Change
ISS02	Financial	IJB budgetary position	05 Extreme	No Change

RSK01 Changing financial and demographic pressures affecting service provision					
Risk Statement	Risk Owner	Risk Description	Movement	Reason for Movement if applicable	
The changing financial and demographic pressures facing services poses a significant risk to the HSCP being able to successfully deliver services at the current level to the most vulnerable people in Renfrewshire.	HSCP SMT	There is a risk that if financial and demographic pressures on services are not effectively planned for and managed over the medium to longer term, there would be an impact on the ability of the HSCP to deliver services at the current to the most vulnerable people in Renfrewshire. This needs to be considered with regards: <ul style="list-style-type: none"><li>• Medium- and longer-term financial planning</li><li>• Corporate and service review activities including Sustainable Futures activity.</li><li>• Strategic commissioning approach and the strategic planning process</li><li>• Service design ensuring the development of cost-effective care models and models which encourage prevention and self-management.</li><li>• Increasing costs such as utilities, salaries, and supplies are also having an impact on budgets across the HSCP and our partners. Partners and providers are managing additional costs which may lead to an increase in our costs and further budget constraints.</li><li>• Increasing impacts of cost-of-living crisis on some demographics has the potential to further increase service demands and levels of need.</li><li>• Core inflation remains high, and the overall financial outlook for the next financial year and beyond remains uncertain and challenging.</li></ul>	No Change	Not applicable	
			Risk Code	Category	Risk Management Approach
			RSK01	Strategic	Treat
			Current Likelihood	Current Impact	Current Evaluation
			05	05	25 High
			Previous Likelihood	Previous Impact	Previous Evaluation
			05	05	25 High
Mitigating / Preventing Actions Complete or Ongoing			Assigned to	Date	Status
A number of actions are in place to help mitigate this risk including:  Regular risk reporting to the Integration Joint Board and the IJB Audit, Risk and Scrutiny committee.  <b>Financial Planning and Strategic Planning</b> <ul style="list-style-type: none"><li>- Long term financial planning processes</li><li>- Budget monitoring processes are in place and regularly reviewed and reported upon</li><li>- Implementation of the IJB’s Strategic Plan 2022-25 and Medium-Term Financial Plan 2022-25 with Tier 1 rolling savings programme</li><li>- Implementation of the Sustainable Futures Programme (approval of proposals to be further developed in November, with further information to be provided to support decision making at the next meeting in March 2024).</li><li>- Continuous review and assessment of changes within the external economic and funding context</li></ul>			HSCP Senior Management Team	Subject to continual review under Sustainable Futures programme	Subject to ongoing review
Mitigating / Preventing Actions Planned			Assigned to	Date	Status
Ongoing deployment of the above			N/A	N/A	N/A

RSK02 Financial Challenges causing financial instability for the IJB					
Risk Statement	Risk Owner	Risk Description	Movement	Reason for Movement if applicable	
There are a number of financial challenges facing the IJB and if not adequately addressed, these could affect the financial sustainability of the partnership with a potential consequent impact to service delivery.	HSCP SMT	<p>There are a number of aspects contributing to this risk as follows:</p> <p>1. Service Areas individually, or in combination, experience expenditure levels which exceed funding allocations negatively impacting on the overall financial position of the partnership due to:</p> <ul style="list-style-type: none"><li>a) Pay growth (inflation, annual pay award proposals).</li><li>b) Prescribing.</li><li>c) Sickness &amp; Absence cover.</li><li>d) Community equipment expenditure.</li><li>e) Impact arising from Resource Allocation Model.</li><li>f) Financial impact of any clinical failures.</li><li>g) Compliance with new statutory requirements.</li><li>h) Increased service demand.</li><li>i) Ongoing increased supply chain costs.</li><li>j) Ongoing challenging financial outlook for IJB.</li><li>k) Significant levels of non-recurring funding does not support long term service sustainability</li><li>l) Additional rate uplifts requested arising from external providers.</li><li>m) The implications of the Verity House Agreement (on our future funding for Adult Social Care), approved in June 2023, remain unclear.</li><li>n) The regrading of care at home staff will incur additional costs.</li></ul> <p>2. The requirement for savings to be delivered as part of the Medium-term Financial Plan could have an impact on the delivery of existing front-line services, subject to options identified and related decisions made by the IJB. The need for savings has been confirmed and a range of options are being progressed for consideration. The Sustainable Futures paper which encompassed a range of savings proposals was approved at IJB in March 2023. A further update on the programme was provided to IJB in September 2023, and a range of indicative savings proposals and non-recurring actions were considered and approved by the IJB in November 2023 for further assessment and progression. Updates on these proposals will be reviewed by the IJB in March 2024. The risk that savings identified may not fully bridge the financial gap projected is now included in Issue 02, and this has been further updated to reflect the fact that the pace and rate of savings has been slower than anticipated.</p> <p>3. As widely reported, Councils and Health Boards across Scotland all face significant financial challenges. Increasingly difficult choices about spending priorities will be required in this financial year and future years.</p> <p>4. As at the March 2023 IJB a balanced budget was agreed including the potential need to draw down from the IJB's reserves in order to achieve financial balance at year end. Further updates on this will be included in the financial reporting provided separately to each IJB meeting. Work remains underway for the 2024-25 budget with partner budget allocations due following the submission of this paper to pre-agenda.</p>	No Change	Not applicable	
			Risk Code	Category	Risk Management
			RSK02	Financial	Treat
			Current Likelihood	Current Impact	Current Evaluation
			05	05	25 High
			Previous Likelihood	Previous Impact	Previous Evaluation
			05	05	25 High
			Mitigating / Preventing Actions Complete or Ongoing		



<b>Supporting frameworks &amp; strategies:</b> <ul style="list-style-type: none"> <li>- Financial management framework implemented.</li> <li>- Strategic Plan 2022-2025 approved by IJB March 2022 and Strategic Delivery Plan in June 2022</li> <li>- Medium Term Financial Plan for 2022-2025 approved by IJB March 2022</li> </ul> <b>Reporting/monitoring at strategic fora:</b> <ul style="list-style-type: none"> <li>- Financial information is reported regularly to the Integration Joint Board and the Senior Management Team.</li> <li>- Financial performance meetings in place with HSCP Chief Officer, Chief Finance Officer, NHS Director of Finance and Council Director of Finance and Resources.</li> <li>- Regular meetings of Medicines Management Group with a focus on prescribing year end out-turn.</li> <li>- Ongoing discussion at GP forum on importance of prescribing efficiencies</li> <li>- Robust financial monitoring and budget setting procedures including regular budget monitoring with budget holders.</li> <li>- Prudent application of our reserves policy</li> </ul> <b>Savings programme</b> <ul style="list-style-type: none"> <li>- Savings for FY21/22 agreed at IJB March 21 fully delivered by year end (circa £1.135M)</li> <li>- Sustainable Futures paper and balanced budget signed off 31 March 2023 (proposal to deliver £2.49m of savings in 23/24, supported by use of reserves). The agreed savings are being tracked as part of phase one of the Sustainable Futures Programme.</li> </ul>	HSCP Senior Management Team	Historic	Ongoing
<b>Mitigating / Preventing Actions Planned</b>	<b>Assigned to</b>	<b>Date</b>	<b>Status</b>
<ul style="list-style-type: none"> <li>- Implementation and ongoing monitoring of identified savings and transformation options to help to achieve balanced budget this FY.</li> <li>- Approval of phase 1 savings for delivery within 2024/2025 which are tracked on an ongoing basis.</li> <li>- Presentation of Sustainable Futures programme update at September 2023 IJB, and submission of savings proposals at subsequent IJB meetings. Indicative savings proposals and refined approach for phase 2 brought and approved by IJB on 24 November 2023. Detailed analysis, impact assessment and equality impact assessments will be completed and output from the full options appraisals submitted to the IJB in March 2024, for consideration.</li> <li>- Active vacancy management continues. All vacancies reviewed by Finance and approved by CFO prior to recruitment.</li> <li>- Ongoing budget discussions with funding partners.</li> <li>- Inclusion in the NHS GGC working group around prescribing to contain spend</li> <li>- NHSGGC has implemented new cost control measures to limit spend in this financial year, and these are applied by the HSCP as required.</li> </ul>	N/A	Subject to continual review under Sustainable Futures programme workstreams	Ongoing

RSK03 Increase in physical and mental health inequalities					
Risk Statement	Risk Owner	Risk Description	Movement	Reason for Movement if applicable	
There are a risk that physical and mental health inequalities increase, meaning that service users and patients present with higher levels of need, lower levels of resilience and fewer opportunities to participate fully in their communities.	Head of Strategic Planning & Health Improvement	It is recognised that physical and mental health inequalities are increasing and are highly likely to continue to increase. These may result from long-term conditions, an ageing population, long term impacts of COVID on mental health and Long COVID itself, increasing poverty due to the cost-of-living crisis, increased deprivation or individual risk-taking behaviours resulting in a population with higher levels of need, lower levels of resilience and fewer opportunities to participate fully in their communities.  This must be actively considered with regards to the creation of any Health Improvement plans and Partnership working agreements.	No Change	Not applicable	
			Risk Code	Category	Risk Management Approach
			RSK03	Operational	Treat
			Current Likelihood	Current Impact	Current Evaluation
			05	04	20 High
			Previous Likelihood	Previous Impact	Previous Evaluation
			05	04	20 High
Mitigating / Preventing Actions Complete or Ongoing			Assigned to	Date	Status
<ul style="list-style-type: none"><li>There has been a continued focus on inequalities across a range of HSCP initiatives. A number of teams which maintain a focus on this aspect are in place, including the Community Link and Health Improvement teams.</li><li>In addition, following a review of our Strategic Plan priorities several activities are underway which includes delivery of a community-led approach to health and wellbeing with targeted approaches to raise awareness.</li><li>The HSCP tracks performance within the health inequalities outcome (number 5 in National H&amp;W Outcomes) and continues to monitor population data and trends.</li><li>Inclusion of health, wellbeing, and inequalities within development of Strategic Plan 2022-25.</li><li>Additional monies secured as part of winter funding directed to equalities projects, befriending.</li><li>Supporting strategic development plans to underpin the Strategic Plan approved by IJB in June 2022.</li><li>The HSCP worked with partners to develop and implement cost-of-living and community-based support through the winter 22/23 period (through the Winter Connections Programme), supporting the aims of the Fairer Renfrewshire Committee. The Winter Connections programme has continued through winter 2023/2024.</li></ul>			Strategic Planning & Health Improvement	Historic	Complete
Mitigating / Preventing Actions Planned			Assigned to	Date	Status
<ul style="list-style-type: none"><li>Ongoing work with SPG partners to focus on improving health and wellbeing.</li><li>Health Improvement Team continue to progress local priorities and have established an equalities action planner.</li><li>Health conditions local employability partnership sub-group has supported improving access to low level mental health support and is developing a toolkit for staff.</li><li>Ongoing projects continue; infant feeding, oral health, tackling child poverty and mental health &amp; wellbeing.</li><li>Two new projects now making good progress; 'Thrive under five' which focuses on tackling child health weight, healthy eating, and poverty in two neighbourhoods, and also a further project 'Stronger Start' which aims to embed a money and advocacy service within the Royal Alexandra Hospital to support the most vulnerable maternity groups.</li><li>Continuing work on the STAR project with ROAR to provide volunteer befriending to clients identified through the assessment process as requiring some additional contact.</li><li>Bereavement network established to support those who experienced loss through COVID, has continued.</li><li>Macmillan partnership remains and continues to offer clients support via the 'Improving the Cancer Journey' pathway.</li></ul>			Head of SP & HI	Next Review June 2024	Ongoing

RSK05 Disruption from further waves of COVID					
Risk Statement	Risk Owner	Risk Description	Movement	Reason for Movement if applicable	
There is a risk that further waves of COVID could have significant impacts on HSCP operational arrangements, particularly staffing, service provision, and overarching IJB governance.	Chief Officer	The risk is that further disruption to the delivery of strategic and transformation plans, in addition to operational day to day commitments because of: <ul style="list-style-type: none"><li>The HSCP needing to implement support measures to prevent the spread of a new variant of COVID-19</li><li>The impact of COVID-19 on services users and demand on services arising from:<ul style="list-style-type: none"><li>a) Increased levels of care required due to Long Covid and increased mental health issues.</li><li>b) The impact on staff; sickness, mental health, and utilisation to support services.</li><li>c) Impact of increasing levels of demand and client expectations</li><li>d) The suitability, affordability, and stakeholder support to achieve the NHS Recovery Plan, Renfrewshire Council's recovery plans and ultimately the HSCP's overall plan.</li><li>e) Any requirement to re-introduce Covid measures and adjust service provision</li></ul></li></ul>	No Change	Not Applicable.	
			Risk Code	Category	Risk Management Approach
			RSK05	Operational	Treat
			Current Likelihood	Current Impact	Current Evaluation
			04	03	12 Moderate
			Previous Likelihood	Previous Impact	Previous Evaluation
			04	03	12 Moderate
Mitigating / Preventing Actions Complete or Ongoing			Assigned to	Date	Status
<ul style="list-style-type: none"><li>Meetings will continue to be conducted in person, in hybrid format, and remotely using a video and/or audio service that will enable participation.</li><li>The risk management framework and policy has been updated to reflect on learnings from COVID and provide the flexibility needed regards risk tolerance required within a pandemic. This is in the process of being rolled out.</li><li>Public health measures have been implemented; including vaccinations in all years since 2020/2021 and current planning for and delivery of vaccinations in Winter 2023/24 is now underway.</li><li>Winter plans incorporated the necessary staffing response to manage increased levels of staff absence which were evidenced in the first months of 2023, and the plan for winter 2023/24 was updated to reflect this. Festive staffing rotas for services included contingency to cater for increased absence rates.</li></ul>			N/A	Historic	Ongoing
Mitigating / Preventing Actions Planned			Assigned to	Date	Status
<ul style="list-style-type: none"><li>The ongoing monthly review of risks across services, with escalation measures implemented as necessary – continues to consider staff absence and the impact that higher levels of COVID pose. These have been carefully monitored through the risk network.</li><li>If required in the future additional meetings of the IJB can take place and / or delegations to the Chief Officer can be revisited if deemed appropriate.</li><li>Delivery of Recovery Plans, including the NHS Recovery Plan and the Sustainable Futures Programme.</li><li>National Guidance continues to be monitored and any necessary adjustments reflected locally across services.</li></ul>			Chief Officer	Next Review April 2024	Ongoing

RSK06 National Care Service					
Risk Statement	Risk Owner	Risk Description	Movement	Reason for Movement if applicable	
There is a risk that the creation of a National Care Service results in potentially significant structural, organisational and governance change which could be challenging to resource alongside operational commitments.	Chief Officer	<p>The published analysis of NCS consultation responses showed support for the wide-ranging proposals made and the implementation of these is therefore likely to place significant demands on HSCP resources to deliver, alongside the delivery of ongoing operational and strategic plans. The Scottish Government have now published a high-level Bill to enable creation of the NCS. Detail remains lacking but this is expected to have significant impact on IJBs role and governance through creation of Local Care Boards. Further impacts on staffing, finance, property, and technology may also occur.</p> <p>There remains a significant number of questions which still cannot be answered at the current stage of the process. Parliamentary Committees have also released reports setting out their views on the current status of the Bill. The level of risk therefore remains high, though this has reduced with the introduction of the initial partnership agreement which sets out a proposed accountability framework for the creation of an NCS, establishing legal accountability between NHS, Scottish Government and Local Government. This also confirmed that staff and assets would remain with Local Government.</p> <p>Next steps and timelines for the NCS Bill continue to change. Stage 1 scrutiny of the Bill had been postponed from March 2023 to 31<sup>st</sup> January 2024, and now extended further to complete by 1<sup>st</sup> March 2024. Significant amendments to the proposed bill are expected post the completion of Stage One. Following this, as part of Stage 2 amendments during the period to June 2024, there will be further discussion on the reform of IJBs, establishment of the National Social Work Agency, defining the approach to primary and community healthcare and the scope of the NCS as noted above.</p> <p>The timescale for implementation for NCS at an operational local level has now shifted from 2025/26 to 2028/29 – with the National Care Service Board expected to be established in 2025/26.</p>	No Change	Not Applicable	
			Risk Code	Category	Risk Management Approach
			RSK06	Operational	Treat
			Current Likelihood	Current Impact	Current Evaluation
			05	04	20 High
			Previous Likelihood	Previous Impact	Previous Evaluation
			05	04	20 High
Mitigating / Preventing Actions Complete or Ongoing			Assigned to	Date	Status
<ul style="list-style-type: none"><li>There are likely to be recommendations which are phased for delivery over the term of this and the next Parliament, to enable some prioritisation of resource.</li><li>The HSCP has a Change and Improvement team that can be directed to key areas of activity requiring delivery, and to work alongside the local authority.</li><li>Continued review of the progress of recommendations progressing through Parliament to assess resource implications.</li><li>Implementation of Strategic Plan to consider the need for flexibility in delivery.</li><li>IJB response submitted to Scottish Government consultation on proposals for National Care Service</li></ul>			Chief Officer	Historic	Ongoing
Mitigating / Preventing Actions Planned			Assigned to	Date	Status

<ul style="list-style-type: none"><li>• Scottish Government consultation results have been shared and these have been reviewed and discussed across the HSCP to understand the impacts. Impacts have since changed due to the new partnership agreement.</li><li>• Draft Bill published by the Scottish Government and engagement sessions are now complete.</li><li>• Review of all published resources and attendance at all NCS briefings and seminars continues to ensure understanding of the breadth of change and any preparation actions that can be undertaken.</li><li>• Continued monitoring of emerging information and stakeholder engagement.</li><li>• RHSCP representation at the Annual NCS forum 30<sup>th</sup> October</li><li>• Continued engagement in related fora by CO, CFO, and partnership staff.</li></ul>	Chief Officer	Review May 2024	Ongoing
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RSK07 Workforce planning and service provision					
Risk Statement	Risk Owner	Risk Description	Movement	Reason for Movement if applicable	
<p>There is a risk that a range of factors may impact on the ability to fully implement workforce plans and could lead to longer term workforce difficulties, shortages in some skill sets, therefore potential impact on service delivery and the IJB's ability to deliver upon the strategic plan.</p> <p>*Please also see Issue ISS01: Issues attracting and retaining staff</p>	HSCP SMT	<p>A flexible, skilled, and suitably certified workforce is essential to service provision and delivery of the IJB's Strategic Plan. Workforce risks can result in increased financial costs and include:</p> <ul style="list-style-type: none"><li>• Prolonged vacancies within services. Specific pressures exist around medical staffing (specific roles are in national shortage), District Nursing and Care at Home services.</li><li>• Sufficient numbers of qualified staff with the correct registrations</li><li>• Pressures resulting from additional planning structures which require managerial and clinical input.</li><li>• GP practice handing back their contract and the HSCP having to run the practice on a temporary basis.</li><li>• High levels of fatigue within staff groups resulting in increased absence</li><li>• Additional risks to meeting service demand posed by sickness/absence levels and an ageing workforce leading to increased levels of future retirements.</li><li>• Vacancies or absence within providers, and or providers making decisions to hand back care agreements or not accept new packages/residents.</li><li>• Timely access to the correct tools and accommodation for staff; laptops, mobiles, systems access, uniform, and sufficient space for services to undertake their roles.</li><li>• Utilisation of non-recurring funding for roles does not make the roles attractive due to their temporary nature.</li></ul>	No Change	Not applicable	
			Risk Code	Category	Risk Management Approach
			RSK07	Operational	Treat
			Current Likelihood	Current Impact	Current Evaluation
			05	05	25 High
			Previous Likelihood	Previous Impact	Previous Evaluation
			05	05	25 High
Mitigating / Preventing Actions Complete or Ongoing			Assigned to	Date	Status
<ul style="list-style-type: none"><li>• Operational – management of risk and staff deployment through forward planning of rosters, quality assurance re shifts good practice and daily/weekly reviews of service staffing. Utilisation of bank/agency staff / overtime where required.</li><li>• HR &amp; Recruitment – vacancy risk assessment undertaken, reduced timescales from request to advert, robust application of absence management processes, regular review / refresh of statutory and essential training and professional registration / revalidation and adherence to application checklists (e.g., disclosure), process for monitoring clinical references. Completion of two job fairs to attract staff and service meetings established to manage recruitment and retention issues collaboratively.</li><li>• Business Continuity – winter planning alignment with ongoing business continuity and risk management to identify issues early. Staffing review undertaken to understand staff willingness to volunteer and deploy in other services should the need arise.</li><li>• Winter funding – specific group established to track the progress regards spend / recruitment of additional and new roles.</li><li>• Independent Contractors – collaborative working with Primary Care and cluster support for GP practices / services, through delivery of the Primary Care Improvement Plan.</li><li>• Integrated workforce plan for 2022 to 25 was approved by the IJB in November 2022.</li><li>• Workforce planning group met on the 16<sup>th</sup> October where year 1 progress was reviewed and year 2 actions agreed. Updates to the year 1 and 2 plan were submitted to the Scottish Government on 28<sup>th</sup> November 2023.</li><li>• Workforce planning group again met on the 16<sup>th</sup> January where a review of at risk deliverables were undertaken.</li></ul>			N/A	Historic	Ongoing
Mitigating / Preventing Actions Planned			Assigned to	Date	Status
<ul style="list-style-type: none"><li>• Integrated workforce delivery plan created and continues to be monitored by the HSCP's Workforce Planning Group.</li><li>• The next meeting is scheduled for 24<sup>th</sup> March 2024.</li></ul>			Head of SP&HI	June 2024	Ongoing

RSK09 National risk of litigation and potential local financial and reputational impact arising from the public inquiry into COVID response					
Risk Statement	Risk Owner	Risk Description	Movement	Reason for Movement if applicable	
There is a national risk of litigation and reputational damage across integrated health and social care services following the UK-wide and Scottish public enquiries into the handling of the COVID pandemic, commencing from 2022. We are not aware of any increased comparative risk in Renfrewshire.	HSCP SMT	There is a risk of litigation and reputational damage applicable across health and social care nationally and facing all integrated health and social care service providers, as a result of the UK-wide public inquiry into the handling of the COVID pandemic. The Scottish Government has also committed to completing an inquiry in Scotland and the Terms of Reference for this was updated on 9 June. There continues to be significant media interest both locally and nationally, and there have been some recent cases which have resulted in financial award.	No Change	Not applicable	
			Risk Code	Category	Risk Management Approach
			RSK09	Strategic	Treat
			Current Likelihood	Current Impact	Current Evaluation
			03	05	15 Moderate
			Previous Likelihood	Previous Impact	Previous Evaluation
			03	05	15 Moderate
Mitigating / Preventing Actions Complete or Ongoing			Assigned to	Date	Status
<ul style="list-style-type: none"><li>Implementation of Local Response Management Team and Recovery and Renewal governance during pandemic, and ongoing input into NHS GGC and Renfrewshire Council governance.</li><li>Vaccination programme rolled out across Renfrewshire; in alignment with National Vaccination guidance; all staff and care home residents have been offered the vaccine and a third vaccination/booster. Programme also performing well for residents and service users.</li><li>Testing of all residents and staff in care homes implemented as per National Guidance</li><li>Daily huddles and multi-agency assurance and support for Care Homes in place.</li><li>Clinical support and leadership through general practice and district nursing.</li><li>Local proactive support arrangements for infection control, training, practice, supervision and for implementing social distancing and other measures such as reduced or no visiting policies.</li><li>PPE arrangements established and monitored locally.</li><li>Dashboards and reports developed to allow identification of any COVID 'hotspots' and trends.</li><li>Regular reporting from Renfrewshire Council, NHS GGC and Renfrewshire HSCP to Scottish Government.</li><li>Contribution to partner-led responses to requests for UK enquiry evidence.</li></ul>			HSCP Senior Management Team	Historic	Complete
Mitigating / Preventing Actions Planned			Assigned to	Date	Status
<ul style="list-style-type: none"><li>Continuation of relevant actions above.</li><li>Ongoing working with partners to submit responses and evidence as required.</li></ul>			N/A	N/A	N/A

RSK10 Failure or loss of major service provider or independent contractors					
Risk Statement	Risk Owner	Risk Description	Movement	Reason for Movement if applicable	
There is a risk that we may experience failure, loss, or reduced quality (either permanent or temporary loss) of a major service provider, which may impact on our capacity to deliver services, protect vulnerable children and adults, and may impact on additional costs to cover key services.	HSCP SMT	<p>The context of this risk is with regards to the failure, removal of or reduced quality of provision by independent providers of care homes, care services, mental health provision or GP practices. There is financial instability within the sector due to longer-term impacts of COVID-19, the cost-of-living crisis, and additional impacts from Brexit.</p> <p>Since the recording of this risk independent contractors were added to due to increased pressures within this area. For example, some providers confirmed they were unable to take new commitments, cancelled all current outreach and or reduced other commitments. In addition, GP practices were reflected as to the HSCP was required to manage a practice as a 2c practice prior to its closure, after which patients were migrated to other local practices. The HSCP also supported a practice merger in Oct 2023.</p> <p>Providers and contractors continue to notify the HSCP of financial challenges. Since the last report period we are actively dealing with multiple rate uplift requests from external providers. This continues to result in some providers considering the return of existing hours of service provision to the HSCP. For 2024-2025 it remains unclear if the NCHC rate uplift will be accepted by Scottish Care and current members.</p>	No Change	Not Applicable	
			Risk Code	Category	Risk Management Approach
			RSK10	Operational	Treat
			Current Likelihood	Current Impact	Current Evaluation
			05	05	25 High
			Previous Likelihood	Previous Impact	Previous Evaluation
05	05	25 High			
Mitigating / Preventing Actions Complete or Ongoing			Assigned to	Date	Status
<p><b>Procurement and commercial processes</b></p> <ul style="list-style-type: none"><li>Appraisal of providers and independent contractors conducted as part of procurement process.</li><li>Purchasing patterns monitored by Finance Team and senior managers.</li><li>Programme of reviews of all service providers.</li><li>Contract compliance, performance monitoring and reviews for service providers and the two hospices</li></ul> <p><b>Support arrangements</b></p> <ul style="list-style-type: none"><li>Provider Sustainability programme continued until the end of June 22, with the Social Care Staff fund extended to September 2022 and financial support for testing and vaccinations extended until end March 2023.</li><li>Main providers registered and monitored by Care Inspectorate, with reports accessible for review. Participation in local and national contingency arrangements relating to providers facing financial uncertainty to ensure minimal impact on local service users. Care Inspectorate also included in discussions.</li><li>Providers have also been directed to the National and Scottish Government guidance which outlines these various actions including ensuring links to their supply chains and ensuring robust business continuity arrangements are in place.</li><li>Enhanced governance arrangements for care homes implemented across Health Boards at the direction of the Cabinet Secretary in response to COVID-19 and extended beyond the pandemic.</li><li>The options for managing disruption to GP practices have been documented and clear processes are in place.</li></ul>			N/A	Historic	Complete
Mitigating / Preventing Actions Planned			Assigned to	Date	Status
<p><b>Procurement and commercial processes</b></p> <ul style="list-style-type: none"><li>Appraisal of providers and independent contractors conducted as part of procurement process.</li><li>Purchasing patterns monitored by Finance Team and senior managers.</li><li>Programme of reviews of all service providers.</li><li>Contract compliance, performance monitoring and reviews for service providers and hospices to ensure best value.</li><li>Frequent sessions are being undertaken with partners and independent providers at which they can discuss risks and issues.</li></ul>			N/A	Review June 2024	Ongoing



RSK11 Delivery of the GP Contract / PCIP					
Risk Statement	Risk Owner	Risk Description	Movement	Reason for Movement if applicable	
There is a risk that the HSCP will not be able to deliver services as outlined within the GP Contract / PCIP by the required timelines, due to the scale of work required, workforce availability and allocated funding.	Clinical Director and Chief Officer	Current proposed funding will not cover the full cost implementation of the contract and therefore we have created a model which is affordable against the Primary Care Improvement funding (PCIF) provided.  Initial scope included 6 MOU areas. There remains a greater priority on 3 of these: pharmacotherapy, VTP and CTAC which have all been delivered by the required date; end of March 2023. The 3 remain but with no firm timeline for full transfer of responsibility.  In order to deliver the GP Contract additional fit for purpose property accommodation is required and also to support the growth in the sizes of the teams created for the purpose of multi-disciplinary service delivery.  There is an ongoing risk that transitional payments may need to be applied. Work is ongoing to determine this.	No Change	Not Applicable	
			Risk Code	Category	Risk Management Approach
			RSK11	Clinical	Treat
			Current Likelihood	Current Impact	Current Evaluation
			04	04	16 Moderate
			Previous Likelihood	Previous Impact	Previous Evaluation
			04	04	16 Moderate
Mitigating / Preventing Actions Complete or Ongoing			Assigned to	Date	Status
<ul style="list-style-type: none"><li>Updated MoU published on 2<sup>nd</sup> August 2021.</li><li>Clinical Director providing support and guidance to GP services reporting challenges in recruitment and capacity Regular reporting to the Scottish Government regards progress and to inform National direction. Deep dives are planned with the government to look at the needs within some of the key MOU areas.</li><li>Property audit has identified suitable space to accommodate teams and services; treatment rooms and pharmacotherapy which has supported feasibility studies regards delivery of service.</li><li>Issue regarding funding available to support delivery of the GP Contract / PCIP has been escalated to the NHS GGC Primary Care Board and also SMT.</li><li>Additional funding of £550K secured in a Scottish Government bid as part of 'Winter Funding' which will help to fund the Primary Care Improvements. This is recurring funding.</li><li>We have now delivered the required treatment rooms to support all 28 practices, however issues with available space in Bridge of Weir have arisen and are being actively responded to. Work is ongoing to put in place a mobile facility to support the provision of treatment to patients in this area.</li><li>Responsibility for vaccinations that were previously delivered in GP practices have now transferred from GPs to the HSCP, this was a key requirement for delivery under the contract by March 2022.</li><li>The Renfrewshire pharmacy hubs went live from August 2022, with plans for longer-term accommodation needs continuing to be developed.</li></ul>			Clinical Director	Complete	Ongoing
Mitigating / Preventing Actions Planned			Assigned to	Date	Status
<ul style="list-style-type: none"><li>Continuation with the above</li><li>Projects continue to complete feasibility studies via NHS capital planning to identify suitable accommodation.</li><li>Ear Care offering is now implemented in one geographical location with further sites to be identified.</li><li>Assuring the ongoing offering of the treatment rooms and continued service improvement.</li></ul>			Clinical Director	Review May 2024	N/A

RSK12 Failure to achieve targets and key performance indicators					
Risk Statement	Risk Owner	Risk Description	Movement	Reason for Movement if applicable	
There is a risk that failure to deliver upon the required Strategic Plan targets and standards, and other key performance indicators, could result in a decreased level of service for patients and service users.	HSCP SMT	There are multiple components to this risk: <ul style="list-style-type: none"><li>• The IJB and HSCP’s ability to achieve all indicators could be at risk as the financial context remains challenging.</li><li>• The IJB and HSCP’s ability to define appropriate local Strategic Plan</li><li>• The IJB and HSCP’s ability to deliver upon said Strategic Plan</li><li>• The IJB and HSCP’s ability to evidence that we have achieved the outcomes required within the Strategic Plan.</li><li>• There is also a risk that the dependencies between our strategic plan and national planning, and partner strategies are not aligned.</li><li>• The ability to continue to deliver upon key national and partner targets, for example in relation to delayed discharges.</li><li>• The potential for increased focus on particular targets or savings proposals to divert resource away from other activities.</li><li>• The dependencies between the delivery of targets and wider risks relating to financial and workforce challenges remain (Risks 1, 2, 7 and Issue 1 and 2)</li></ul> We continue to have strong alignment between our strategic, medium term financial and workforce plans. National policy changes pose a risk but mitigated by annual review of Strategic Plan. However, it is now recognised that financial and workforce challenges may impact delivery.	No Change	Not Applicable	
			Risk Code	Category	Risk Management Approach
			RSK12	Strategic	Treat
			Current Likelihood	Current Impact	Current Evaluation
			05	04	20 High
			Previous Likelihood	Previous Impact	Previous Evaluation
			04	04	16 Moderate
Mitigating / Preventing Actions Complete or Ongoing			Assigned to	Date	Status
<ul style="list-style-type: none"><li>• Performance reports presented to all IJB meetings with full scorecard presented 6-monthly and annual reports produced to support monitoring and planning.</li><li>• Organisational Performance Reviews with Chief Executives of NHSGGC and Renfrewshire Council</li><li>• National, NHSGGC, Ministerial Steering Group and local performance measures</li><li>• Regular review of key performance indicators with performance support available to all service areas</li><li>• Review of systems used to record, extract and report data and development of data capture systems to inform local planning.</li><li>• Needs Assessment carried out.</li><li>• Review of integration scheme in line with legislation and development of strategies in line with statutory guidance</li><li>• Undertaking equality impact assessments to evidence how plans and strategies will support those in need.</li><li>• Ongoing budget monitoring and management to meet service demands.</li><li>• Staffing resources are flexed to meet priorities/demand.</li><li>• Quality care and professional governance arrangements</li><li>• Ongoing work developing a culture of performance management and link to recovery and transformational activity.</li><li>• Ongoing maintenance of performance management framework agreed by IJB September 2021, with further updates to the scorecard for 23/24 approved by IJB in September 2023.</li><li>• Strong alignment between our Strategic Plan, Medium-term Financial Plans, and our Workforce Plan</li><li>• Annual Performance update provided to IJB in January 2024.</li></ul>			SMT	Review June 2024	Complete or Ongoing

Mitigating / Preventing Actions Planned	Assigned to	Date	Status
<ul style="list-style-type: none"><li>Continuation of the above</li><li>Ongoing alignment of the Strategic Plan within action plans and performance monitoring processes</li><li>Further meeting scheduled for 7<sup>th</sup> March 2024, following which the Annual Performance Report for 23/24 will be developed and submitted to the IJB in June 2024.</li></ul>	Head of SP&HI	Review June 2024	Ongoing

RSK13 Cyber threats pose an increasing risk					
Risk Statement	Risk Owner	Risk Description	Movement	Reason for Movement if applicable	
Cyber threats are an increasing risk to the HSCP and our respective partner organisations and there is a risk that either partner could be targeted to disrupt key infrastructure.	NHS - Director of eHealth  Council - Head of Digital, Transformation and Customer Services	Cyber threats are a dynamic and growing threat to the HSCP and our partner organisations; NHS GGC and Renfrewshire Council. Until recently, much of the focus of such threats was the theft of financial data, not personal or patient/service user information. However, there is now a growing risk that public bodies will be targeted in order to disrupt a key component of critical national or local infrastructure. As the HSCP's ICT infrastructure is provided by NHS GGC and Renfrewshire Council, the responsibility for addressing this risk sits with our partner organisations however shall be maintained in this log for monitoring. NHS GGC and Renfrewshire Council continue to identify and address any attempts to cause cyber disruption.  The HSCP continues to focus our Business Continuity Review on how the Partnership would operate in the event of a data or systems breach and work with partners is ongoing. We now have access to a cloud-based solution, and we are working to create the appropriate file structure and data provision to support our services in any data outage/loss scenario.	No Change	Not applicable	
			Risk Code	Category	Risk Management Approach
			RSK13	Strategic	Treat via Partners (Transfer)
			Current Likelihood	Current Impact	Current Evaluation
			05	04	20 High
			Previous Likelihood	Previous Impact	Previous Evaluation
			05	04	20 High
Mitigating / Preventing Actions Complete or Ongoing			Assigned to	Date	Status
<ul style="list-style-type: none"><li>HSCP staff are reminded to follow the relevant GDPR and Information Security policies for their employment organisation.</li><li>Renfrewshire Council continue to reinforce their Information Security Policy and release regular comms to staff regarding security of data and data protection generally. The Council have also conducted several Council-wide phishing scam tests to raise awareness of the practice and inform lessons learned.</li><li>NHS GGC operates a multi layered security model to defend against cyber threat.</li><li>Both NHS GGC and Renfrewshire Council maintain appropriate information governance controls and governance structures to monitor and manage risks.</li><li>The eHealth Directorate and Renfrewshire Council continue to build upon cyber defences with controls in place.</li><li>Further implementation of additional cyber security prevention in alignment with National guidance by both partner organisations in light of the additional Ukraine risk.</li><li>A recent Cyber Risk deep dive performed against the Council infrastructure and processes although assured as controlled, identified actions for implementation through 2023, which are now being progressed.</li></ul>			NHS - Director of eHealth  Council – Head of Digital, Transformation and Customer Services	Historic	Ongoing
Mitigating / Preventing Actions Planned			Assigned to	Date	Status
<ul style="list-style-type: none"><li>Continuation of the above</li><li>Further discussion with NHS e-Heath and Council regards the availability of key systems and alternative data access in the event of a cyber event.</li><li>Robust plans to assure access to critical service data in the event of a data/systems breach with supporting operational processes have been developed and will be implemented through winter 2023-24.</li></ul>			N/A	Review June 2024	Ongoing

RSK14 Capital funding and complexities of property planning in an integrated setting					
Risk Statement	Risk Owner	Risk Description	Movement	Reason for Movement if applicable	
There is a risk that limited capital funding and the complexities of co-ordinating relevant property strategies and planning between partner organisations could create additional challenges in delivering the IJB's Strategic Plan in the medium- to long-term.	Chief Officer and CFO	<ul style="list-style-type: none"><li>There is a risk that limited capital funding, and the complexities of coordinating a property strategy consistently across both NHS and Council properties, could create additional challenges in delivering the IJB's strategic aims in the medium to long term.</li><li>Capital planning is reserved to the IJB's partner organisations. As such the ability to influence property strategies on an ongoing basis is required.</li><li>Ongoing maintenance requirements across the estate.</li><li>An increase in staff to support service recovery is also adding accommodation pressure.</li><li>Budget challenges will require ongoing assessment of the property portfolio currently in use.</li></ul> <p>Since the last report, the Scottish Government has paused all new NHS capital planning projects for two years, pending the publication of a revised healthcare infrastructure programme in the Spring. NHS Boards have been advised to prioritise essential maintenance works.</p>	No Change	Not applicable	
			Risk Code	Category	Risk Management Approach
			RSK14	Strategic	Treat via Partners (Transfer)
			Current Likelihood	Current Impact	Current Evaluation
			05	05	25 High
			Previous Likelihood	Previous Impact	Previous Evaluation
			05	05	25 High
Mitigating / Preventing Actions Complete or Ongoing			Assigned to	Date	Status
<ul style="list-style-type: none"><li>Property Strategy workstream established within the HSCP to gather key data to understand the current position across all our services including the challenges faced. Working directly with Renfrewshire Council to determine staff workplace requirements and NHS Estates team regards the property actions required.</li><li>Primary Care Property Strategy submitted to IJB 25 June 2021.</li><li>A property data gathering exercise completed to support the determination of property priorities.</li><li>Refreshed HSCP Property Strategy Group commenced 11<sup>th</sup> May 2022.</li><li>Ongoing attendance at the NHS Board/HSCP Capital Planning Group.</li></ul>			Chief Finance Officer	Review June 2024	Ongoing
Mitigating / Preventing Actions Planned			Assigned to	Date	Status
<ul style="list-style-type: none"><li>Refreshed assessment of service and team needs as HSCP transitions in line with Scottish Government Strategic Framework</li><li>Next Capital Planning Group scheduled for March 2024.</li><li>An update paper was brought to IJB in September 2023, with a draft Property Strategy expected to follow when the required information is available from our partner organisations. Work remains underway with the partner organisations and good progress has been made through a series of accommodation moves and remedial works. These have been undertaken to improve and maximise the use of spaces available and in turn helping to mitigate some operational accommodation risks and issues.</li></ul>			Chief Finance Officer	Review June 2024	Ongoing

RSK15 Compliance with Essential Training					
Risk Statement	Risk Owner	Risk Description	Movement	Reason for Movement if applicable	
There is a risk ongoing pressures on staffing caused by service demands and workforce constraints following the pandemic, and differences in reporting systems, will impact on the timeous completion of and accurate reporting of mandatory training. This could impact on the provision of a safe working environment for staff and patients / service users.	SMT	Staff within the HSCP are required to undertake a range of essential training as part of their duties and responsibilities.	No Change	Not Applicable	
		Initially when recorded this risk was in relation to the pressures introduced by the pandemic, however it has now been updated to reflect:	Risk Code	Category	Risk Management Approach
		1. Recruitment and retention issues and the subsequent increased demands on staff which make it very challenging for appropriate time and devices to be allocated to undertake training; and	RSK15	Operational	Treat with Partners (Transfer)
		2. Differences in our reporting systems which can make recording and comparison between employing organisations difficult.	Current Likelihood	Current Impact	Current Evaluation
		3. The availability of appropriate courses, trainers, and venues to complete the required number of hours required.	04	04	16 Moderate
		4. The recent change in the Council's training system platform has temporarily removed reporting.	Previous Likelihood	Previous Impact	Previous Evaluation
			04	04	16 Moderate
Mitigating / Preventing Actions Complete or Ongoing			Assigned to	Date	Status
<ul style="list-style-type: none"><li>Continued compliance with Staff Governance standards.</li><li>Creation of a dashboard underway to present consolidated view of Health and Safety information for the HSCP in a single view. This will enable trends and areas of concern to be easily identified and action taken.</li><li>Collaborative working between the NHS and Council regards to Health and Safety, via a network of advisors ensures that the partnership correctly applies the required H&amp;S standards.</li><li>Recording of incidents, including violent incidents are reviewed by Service Managers with data presented on a regular basis prior to them being reviewed via the Joint Health and Safety Committee (includes trade unions)</li><li>Workforce planning activity will reinforce Health and Safety as a core objective.</li><li>Completion of individual risk assessments for clients and warning flag system in place on electronic care records.</li><li>Guidance for safe clinical and care environments is regularly reviewed and maintained.</li><li>Ongoing programme of staff training, including essential and statutory training, on health and safety issues (sharps, manual handling, and fire)</li><li>Appropriate processes have been created and are invoked in cases of adverse weather for community-based services.</li><li>Following investigations of significant adverse events (including RIDDOR reportable), process improvements are identified and implemented, being overseen via the most appropriate governance structure.</li><li>Occupational Health services and staff support services are available and regularly communicated to staff.</li><li>Renfrewshire Council policies and procedures regards DSE assessments are regularly monitored</li></ul>			Head of Health and Social Care	Historic	Ongoing
Mitigating / Preventing Actions Planned			Assigned to	Date	Status
<ul style="list-style-type: none"><li>Monthly review of training compliance has continued in 2024.</li><li>Additional course providers are being identified and train the trainer events taking place.</li></ul>			SMT	Review June 2024	Ongoing

<ul style="list-style-type: none"><li>• A number of ad hoc training requirements have also been identified which have had to be accommodated; changes to SFRS legislation and incident response as examples.</li><li>• Work being undertaken to assess availability of devices upon which staff can complete their training.</li></ul>			
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RSK16 Delivery of Addictions Support in Renfrewshire					
Risk Statement	Risk Owner	Risk Description	Movement	Reason for Movement if applicable	
There is a risk that the support provided to those with Addictions in Renfrewshire by the range of partners within the ADP, and the recommendations being implemented from the Alcohol and Drug Commission, may not prevent future increases in the number of drug and alcohol related deaths within the area.	SMT	The National Records of Scotland published drug related death figures for 2020 and in Renfrewshire 67 people sadly lost their lives. For 2021, figures show 50 people died, and in 2022 recently published statistics from NRS show that 39 people died.  Statistics released by NRS on 29 August 2023 identified 42 alcohol-related deaths in Renfrewshire in 2022. This was a reduction from 53 in 2021. Every life lost because of drug or alcohol harm is a tragedy.  Statistics show that around 66% drug deaths are individuals not known to services or in treatment at time of death. Partners across Renfrewshire continue to work closely and collaboratively to develop services to support to those with addictions, and a range of actions are outlined in the mitigating / preventing actions below. However, in response to the latest figures on drug deaths, it is important that the HSCP and ADP partners continue to review existing strategy and plans to ensure that those at risk can be reached and supported as early as possible to prevent drug and alcohol-related deaths in the future	No Change	Not Applicable	
			Risk Code	Category	Risk Management
			RSK16	Strategic	Treat with ADP
			Current Likelihood	Current Impact	Current Evaluation
			03	04	12 Moderate
			Previous Likelihood	Previous Impact	Previous Evaluation
			03	04	12 Moderate
Mitigating / Preventing Actions Complete or Ongoing			Assigned to	Date	Status
<ul style="list-style-type: none"><li>Extended distribution of Naloxone and establishment of a Naloxone action plan to ensure safe and wide distribution.</li><li>Continued access to residential rehabilitation services which has increased in their take up.</li><li>Close collaboration with colleagues from the emergency department at the RAH following near fatal overdoses, and near fatal overdose pathway implemented.</li><li>Ensure that rapid restart of treatment is available following relapse.</li><li>Assertive outreach approach is embedded within the service.</li><li>Prison release Standard Operating Procedure approved which also includes a prison to rehab pathway.</li><li>Drug Deaths Prevention Action Plan implemented.</li><li>Continuing to implement the recommendations of the Alcohol and Drug Commission</li><li>Harm reduction unit established in December 2021 remains in place (HaRRT - Harm and reduction response team)</li><li>Specialist Alcohol Outreach Team project complete and learnings / best practice embedded within service delivery.</li></ul>			ADP  Head of MH, LD, and Addictions	Review May 2024	Ongoing
Mitigating / Preventing Actions Planned			Assigned to	Date	Status
<ul style="list-style-type: none"><li>Updated figures on drug deaths to be received quarterly rather than annually to support quick review and identification of learning.</li><li>A multi-agency Drug Death Review Group (DDRG) is now operational in Renfrewshire. The DDRG will be held accountable for the production, implementation and monitoring of review processes, and findings of investigations into to drug-related deaths. Outcomes reports completing following case reviews will be submitted to the ADP Drug Death Prevention Group.</li><li>A Near Fatal Overdose Pathway has been established to ensure engagement, assessment, support, and management of people with problematic substance use who have recently experienced a non-fatal overdose or addiction related crisis intervention.</li><li>The Drug Death Prevention Group continue to progress activity outlined within the Renfrewshire Preventing Drug Deaths Action Plan, which covers the period 2021 – 2024.</li><li>Ongoing planning continues around alcohol and drug services to address the requirements of the wider Renfrewshire community. This work will address any requirements aligned to the delivery of the National MAT standards and alcohol quality principles.</li><li>Renfrewshire ADRS recently completed the impact assessment for the implementation of the alcohol recovery pathway as requested by ADRS Care Governance Committee. This benchmarking assessment will inform the Alcohol Specific Deaths Action Plan when the dedicated post is recruited.</li></ul>			ADP  Head of MH, LD, and Addictions	Review May 2024	Ongoing



<ul style="list-style-type: none"><li>• There is now an Alcohol Provision Standard Operating Procedure in place which addresses some of the deficits we have e.g., alcohol home detox is now a routine treatment option. Ongoing consideration of the next steps for the alcohol transition team.</li><li>• Renfrewshire's Naloxone training calendar has been widely distributed to ensure safe and effective distribution and administration.</li><li>• ADRS Social Care Staff require Hepatitis A and B vaccinations, and this is being progressed in conjunction with Health and Safety colleagues via Occupational Health</li><li>• Use of Locum Consultant Psychiatrist, however recognition that this has a significant financial impact and is not a long-term solution to the stability of medical provision within ADRS.</li><li>• CIRCLE Recovery Hub is currently under review</li></ul>			
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RSK18 Impact of potential power outages on critical services					
Risk Statement	Risk Owner	Risk Description	Movement	Reason for Movement if applicable	
The Scottish Government have requested that Category One Responders create plans to cater for the impacts of potential power outage on our critical services. This should reflect both planned and unplanned power outages.	Chief Officer	<p>The Scottish Government have requested that Category One Responders prepare plans to ensure, as far as possible, the delivery of critical services during instances of power outage.</p> <p>This risk arises from two potential scenarios:</p> <ul style="list-style-type: none"><li>Planned power outages being possible over the winter period due to energy shortages (in a reasonable worst-case scenario)</li><li>Unplanned power outages due to a network failure or severe weather event e.g., an event like Storm Arwen.</li></ul> <p>This has been widely reported within the media. The UK Government recently completed the testing of a UK alert system via the mobile network and a test exercise in readiness for Winter 2023-24.</p> <p>The National UK Risk Register reflects an increase in the likelihood and impact of this risk.</p>	No Change	Not applicable	
			Risk Code	Category	Risk Management Approach
			RSK18	Operational	Treat
			Current Likelihood	Current Impact	Current Evaluation
			03	05	15 Moderate
			Previous Likelihood	Previous Impact	Previous Evaluation
			03	05	15 Moderate
Mitigating / Preventing Actions Complete or Ongoing			Assigned to	Date	Status
<ul style="list-style-type: none"><li>Planning activity has been undertaken across the partners and services to look at the potential impacts of a power outage on our operational service delivery.</li><li>Services have undertaken a RAG process to understand the level of service user needs and service provision within a power outage event.</li><li>An approach to data management has been signed off to support service management and maintenance in such events, and work is underway to fully implement this.</li></ul>			Chief Officer	Historic	Ongoing
Mitigating / Preventing Actions Planned			Assigned to	Date	Status
<ul style="list-style-type: none"><li>Work remains underway to develop communications and robust plans for staff to support in the event of such an event. Additional planning includes but is not limited to:<ul style="list-style-type: none"><li>Review of our buildings with back-up generators, and completion of a business case and feasibility studies in support of procuring generators. Council tender has been issued in February 2024 for our Care Home estate.</li><li>Agreement of (and subsequent testing of) a contingency catering provision with our NHS partner.</li><li>Working with the Council and other partners regards any humanitarian responses required.</li><li>Sessions completed with our independent providers and contractors to support them with their planning.</li><li>Training for staff on loggist requirements and incident response protocols</li><li>Winter planning preparations commenced in August 2023, with draft plans in place for all services with a range of actions underway to finalise these plans, whilst recognising that they remain 'live' documents. Winter planning 2024-2025 will commence again in August 2024.</li></ul></li></ul>			Chief Officer	Next review June 2024	Ongoing

RSK19 Disruption from a further pandemic / outbreak					
Risk Statement	Risk Owner	Risk Description	Movement	Reason for Movement if applicable	
The UK Government have re-introduced a new risk to the annual National Risk Register, published on the 3 <sup>rd</sup> of August 2023, which indicates that there is a moderate likelihood of a new pandemic /outbreak occurring.	Chief Officer	<p>The risk from any further pandemic is that an emergency response would be required which would direct resources away from day-to-day operational commitments and would cause further disruption to the delivery of strategic and transformation plans as a result of:</p> <ul style="list-style-type: none"><li>• The HSCP needing to implement support measures to prevent and manage the spread of any outbreak.</li><li>• The impact of any outbreak on local communities, service users / patients and any associated increased demand on services.</li><li>• The impact of any outbreak on staffing levels.</li></ul>	No Change	Not Applicable	
			Risk Code	Category	Risk Management Approach
			RSK18	Operational	Treat
			Current Likelihood	Current Impact	Current Evaluation
			03	04	12 Moderate
			Previous Likelihood	Previous Impact	Previous Evaluation
			03	04	12 Moderate
Mitigating / Preventing Actions Complete or Ongoing			Assigned to	Date	Status
<ul style="list-style-type: none"><li>• The work undertaken through the COVID-19 pandemic has changed the approach to service delivery and supported preparation for a further pandemic.</li><li>• The ongoing business continuity and winter planning work being undertaken to support national power outage also provides us with the foundation from which to prioritise services and service users across the HSCP.</li><li>• Winter plans created for 2023-2024 have staffing contingency actions identified.</li></ul>			Chief Officer	Historic	Ongoing
Mitigating / Preventing Actions Planned			Assigned to	Date	Status
<ul style="list-style-type: none"><li>• Ongoing monitoring of the situation alongside risk RSK05, further waves and variants of COVID will continue. Ongoing work to support services regards winter planning; staff shortages and redeployment for severe weather will also complete and be supportive of mitigating this risk.</li></ul>			Chief Officer	Next Review May 2024	Ongoing

RSK20 Potential for concerns and challenges on current and future savings proposals					
Risk Statement	Risk Owner	Risk Description	Movement	Reason for Movement if applicable	
<p>Concerns raised regarding Sustainable Futures proposals have been reflected in local petitions and a motion considered at the Council meeting on 29 February. Other IJBs have been subject to legal challenge and judicial review on EQIA processes.</p> <p>These factors may impact on the IJB's decision to approve proposals, or the progression of proposals should the IJB be minded to approve them for implementation at its March meeting. This would require further savings to be identified and would impact on Risk 1, Risk 2 and Issue 2.</p> <p>This risk relates to existing and future savings proposals.</p>	IJB / Chief Officer	<p>This risk notes the concerns raised regarding savings proposals through the Sustainable Futures programme and the potential impact that wider factors may have on the IJB's decision to approve proposals or the progression of such proposals should the IJB be minded to approve them. This risk considers both existing and possible future savings proposals.</p> <p>Should any proposals not be deliverable, alternative savings will require to be found to mitigate the financial gap. This may require higher level of savings to be delivered in a shorter timeframe, impacting on the IJB's ability to deliver a sustainable financial plan.</p> <p>This risk considers the following factors:</p> <p>1) A motion at the Full Council meeting on 29 Feb asked HSCP officers to reconsider Mirin and Milldale and Flexicare proposals and look at alternative savings options.</p> <p>2) The IJB's decisions and EQIAs underpinning the proposals may be subject to judicial review or legal challenge. Examples of this have been seen relating to decisions made by other IJBs or Local Authorities in Scotland.</p> <p>3) A petition regarding the Mirin and Milldale proposal will be considered at the Council Petitions Board on 25 March.</p> <p>In mitigating this risk, a robust process to developing equality impact assessments (EQIAs) and options appraisals has been undertaken, including review by expert colleagues, but there also remains a risk that these could be subject to external challenge.</p>	New	New to log	
			Risk Code	Category	Risk Management Approach
			RSK20	Strategic	Treat
			Current Likelihood	Current Impact	Current Evaluation
			05	04	20 High
			Previous Likelihood	Previous Impact	Previous Evaluation
			N/A	N/A	N/A
Mitigating / Preventing Actions Complete or Ongoing			Assigned to	Date	Status
<ul style="list-style-type: none"><li>Proposal documentation including options appraisals and equality impact assessments have been prepared to the best standard possible using the available data and feedback from engagement sessions. This is in alignment with the approvals granted by IJB in November 2023.</li><li>The Programme Board and SMT have been briefed and the materials / papers prepared for the March 2024 IJB during which considerations of the options analysis is expected and decisions made.</li><li>Ongoing management of externally received enquiries, complaints, and FOIs (Freedom of Information Act requests)</li><li>Completion of an extensive period of engagement, offering multiple sessions in person and online, and also offline submission of engagement feedback forms or emails to a centrally managed mailbox.</li><li>Drafting of EQIAs in line with good practice and including review by NHSGGC's dedicated team.</li><li>IJB development session undertaken on 23<sup>rd</sup> February 2024</li><li>Sustainable Futures Programme Board on 1<sup>st</sup> March 2024</li></ul>			IJB/Chief Officer	Next review end March 2024	Ongoing

Mitigating / Preventing Actions Planned	Assigned to	Date	Status
<ul style="list-style-type: none"><li>Update of EQIAs as required as they will remain live documents.</li><li>A further development day has been planned for the IJB voting members on 13<sup>th</sup> March.</li></ul>	IJB (Chief Officer)	Next Review March 2024	Ongoing

ISS01 Issues regards attracting & retaining staff					
Issue Statement	Issue Owner	Issue Description	Movement	Reason for Movement if applicable	
Challenges in attracting and retaining staff across a range of roles within HSCP services, because of a range of factors, is contributing to constraints in service delivery.	SMT	It has become increasingly difficult to attract and retain the right staff for various roles across the HSCP.  A number of services are now experiencing significant challenges with recruitment due to the following: <ul style="list-style-type: none"><li>Changes due to the Scottish Government nursing agenda has resulted in some posts more attractive than others and also altering the role requirements (specified nursing degrees). District and School nursing are particularly affected.</li><li>Varying rates of pay and conditions across HSCPs.</li><li>A general shortage locally and nationally for specific roles.</li><li>A perceived reduction in number of applicants for frontline roles such as Care at Home in light of the impact of the pandemic and its associated challenges.</li><li>The amendments to accountability for services under draft NCS proposals may reduce the current uncertainty for the future of social care roles.</li></ul>	No Change	Not applicable	
			Issue Code	Category	Issue Management Approach
			ISS01	Operational	Treat
			Current Impact	Current Evaluation	
			05	Extreme	
			Previous Likelihood	Previous Evaluation	
			05	Extreme	
Mitigating and Recovery Actions Complete or Ongoing			Assigned to	Date	Status
<ul style="list-style-type: none"><li>HR &amp; Recruitment – risk assessment undertaken re vacancies, reduced timescales from request to advert, robust application of absence management processes, regular review / refresh of statutory and mandatory training and professional registration / revalidation and adherence to application checklists (e.g., disclosure)</li><li>Implementation of alternative recruitment routes where possible in agreement with HR &amp; OD</li><li>Development of interim workforce plan 2021-22, and a workforce plan for 2022 to 25 which approved by the IJB in November 2022</li><li>Winter planning – 3-month forward plan completed to ensure adequate staffing and contingency. Scenario planning completed with services – to identify any possible additional staffing mitigations. This has been revisited for Winter Plan 2023/24.</li><li>Contingency exercise completed to identify staff who are willing to volunteer to support other services should the situation arise.</li><li>Completion of two job fairs to attract staff completed with a good success rate.</li><li>Ongoing delivery of action plan underpinning workforce plan for 2022-25, Year 2 of which was provided to IJB on 24 November</li></ul>			HSCP SMT	Review July 2024	Ongoing
Mitigating / Recovery Actions Planned			Assigned to	Date	Status
<ul style="list-style-type: none"><li>Work continues with services and partners to work collaboratively to identify and complete actions to improve staff retention and recruitment, defining innovative approaches to recruitment.</li><li>NHS GGC work to 'grow our own' professionals underway allowing candidates to earn whilst they train.</li><li>Independent Providers – collaborative working continues with Primary Care and cluster support for GP practices / services.</li></ul>			HSCP SMT	Review July 2024	Ongoing

ISS02 IJB Financial Resilience					
Issue Statement	Issue Owner	Issue Description	Movement	Reason for Movement if applicable	
The IJB's Budgetary position in 2023/24 and future financial years is extremely challenging. Utilisation of reserves is likely to be required to deliver a balanced budget in this financial year, alongside the delivery of a programme of financial savings.	SMT	<p>In March 2023, the IJB agreed the proposed budget and the Sustainable Futures paper which outlined phase 1 savings proposals for delivery in this (23/24) and the next financial year (24/25). To deliver a balanced budget in this financial year, the IJB will be required to draw down a proportion of its general reserves alongside utilisation of earmarked reserves.</p> <p>The likely use of reserves to facilitate budgetary balance in 2023/24 may leave the IJB with a general reserve below the 2% target outlined in the IJBs Reserves Policy. This an ongoing significant risk to the IJB's financial resilience. The use of non-recurring support to balance the 2023/24 budget also means savings required in future years will need to bridge this gap plus the additional projected gap. As noted in Risk 2, the recurring savings identified through Sustainable Futures phase 2 activity will not at present fully bridge the financial gap projected in 24/25 and therefore a series of non-recurring actions would be required to further address the gap. Detailed updates continue to be provided to the IJB.</p> <p>This will have an impact on our ability to deliver on the IJB's Strategic Plan, what can be delivered and when. As we go into 2024/25 and beyond this will require the IJB to continue to make difficult decisions on the prioritisation of activity and the delivery of services.</p> <p>The approval of the Verity House Agreement in June 2023, in advance of further detail being developed, also creates further uncertainty over future Adult Social Care budget settlements. However, a statement from COSLA has indicated that the budget passed over to HSCPs must be incremental.</p>	No Change	Not Applicable	
			Issue Code	Category	Issue Management Approach
			ISS02	Financial	Accept
			Current Impact	Current Evaluation	
			05	Extreme	
			Previous Likelihood	Previous Evaluation	
			05	Extreme	
Mitigating and Recovery Actions Complete or Ongoing			Assigned to	Date	Status
<ul style="list-style-type: none"><li>Due diligence on proposed recharges completed.</li><li>Savings for 23/24 agreed by IJB in March 2023</li><li>Direction of travel for Sustainable Futures agreed by IJB in March 2023</li><li>Programme approach and scope brought to IJB in June 2023 for approval, with an update in September, followed by a series of indicative cost savings proposals for consideration from November onwards.</li></ul>			HSCP SMT	Review March 2024	Ongoing
Mitigating / Recovery Actions Planned			Assigned to	Date	Status
<ul style="list-style-type: none"><li>A programme of activity to identify, scope and implement a range of savings proposals is under development through a Sustainable Futures programme.</li><li>A range of proposals were approved for further consideration and investigation in November 2023. The outcomes of all of the analysis, impact assessments and equality impact assessments will be reviewed by the Programme Board on 1<sup>st</sup> March 2024, and shared with IJB at its meeting in March.</li></ul>			HSCP SMT	Review March 2024	Ongoing

[This concludes the RHSCP Risk and Issue Report for 15 March 2024 IJB Audit, Risk & Scrutiny Committee]