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

On: 13 November 2020

Report by: Chief Officer

Heading: IJB Strategic Risk Register

1. Purpose

- 1.1. The purpose of this report is to provide an update to the IJB Audit, Risk & Scrutiny on the status of the IJB Strategic Risk Register as at November 2020.
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2. Recommendation

The IJB Audit, Risk & Scrutiny Committee is asked to:

- Review the content of this report; and
 - Approve the IJB Strategic Risk Register.
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3. Current Position

- 3.1. The IJB Strategic Risk Register is routinely reviewed by Renfrewshire HSCP Senior Management Team (SMT) and brought to this Committee for approval.

- 3.2. The IJB Audit, Risk & Scrutiny Committee received a report on the IJB's existing risk management framework at its meeting on 11 September 2020. The report set out the significant changes in the IJB's operating context as a result of Covid-19 and the commencement of recovery and renewal. It was felt these factors acted as a catalyst to review and update the existing framework to ensure that the IJB's approach to risk management addresses the complexity of the current and future environment. The Audit, Risk and Scrutiny Committee approved this proposal and agreed a new framework would be in place from April 2021.

This report contains the IJB strategic risks as identified by the HSCP SMT.

- 3.3. The HSCP SMT regularly review both the Health and Social Care Operational Risk Registers and Covid-19 Risk Register.

4. Background

- 4.1 The status of the Strategic Risk Register is regularly reported to the HSCP SMT and updated as required by the risk owners.
- 4.2 Scrutiny of the IJB Strategic Risk Register will be undertaken by the Audit, Risk & Scrutiny Committee and information relating to key partnership risks will be provided to the IJB for awareness. Outcomes of this scrutiny will be available via the minutes for this Committee.

5. IJB Strategic Risk Register

- 5.1 The IJB Strategic Risk Register is maintained, updated and reported in line with the Risk Management Policy developed for integration bodies.
- 5.2 The last review of this Risk Register was carried out by the Audit Committee in June 2020. The risk owners update the register on a quarterly basis.
- 5.3 There was 1 risk added to the Risk Register since the last review:
Ref IJBRR.20.03.01 – The risk that decisions could be delayed for emergency measures needed for the Covid-19 pandemic.
- 5.5 There are **6** 'live' risks on the IJB Risk Register with **4** items having a risk level of 'High' and **2** with a risk level of 'Moderate'.
- 5.6 All risks with a current risk level of 'Very High' or 'High' are reviewed quarterly by the risk owners. Items with a current risk level of 'Medium' or 'Low' can be reviewed less regularly in line with the Risk Management Policy.
- 5.7 There have been no risks recommended for closure since the last review.
- 5.8 The IJB Strategic Risk Register as at November 2020 is attached as Appendix 1.

Implications of the Report

1. **Financial** - There are no financial implications arising from the submission of this paper. It is anticipated that costs associated with the management of individual risks will be met through service budgets. Where additional funding is required in the management of specific risks this should be considered by the Chief Financial Officer on a case by case basis.
2. **HR & Organisational Development** - There are no HR & OD implications arising from the submission of this paper

3. **Community Planning** - There are no Community Planning implications arising from the submission of this paper
4. **Legal** - There approval of the Risk Management Policy and Strategy and initial list of risks is in line with the requirements of the Integration Scheme.
5. **Property/Assets** - There are no property/ asset implications arising from the submission of this paper.
6. **Information Technology** - There are no ICT implications arising from the submission of this paper.
7. **Equality and Human Rights** -The recommendations contained within this report have been assessed in relation to their impact on equalities and human rights. No negative impacts on equality groups or potential for infringement have been identified arising from the recommendations contained in the report
8. **Procurement Implications** - There are no procurement implications arising from the submission of this paper.
9. **Privacy Impact** - There are no privacy implications arising from the submission of this paper.
10. **Risk** – Risk implications are detailed in the Risk Registers.
11. **Risk Implications** – As per the subject content of this paper

List of Background Papers – None.

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Renfrewshire IJB Strategic Risk Register

Report Type: Risks Report

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HSCP Senior Management Team

01. Financial Sustainability

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
IJBRR.20.01.02 Demographic pressures <u>Context:</u> (1) Medium and longer term financial planning (2) Corporate and service review activities (3) Strategic commissioning approach (4) Development of cost effective care models and models which encourage prevention and self-management	There is a risk that if financial and demographic pressures of 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 to the most vulnerable people in Renfrewshire.	HSCP Senior Management Team	<ul style="list-style-type: none"> * Demand management review undertaken * Long term financial planning processes, including strategic commissioning plans * Budget monitoring processes in place and subject to ongoing review * Client group budget management meetings held * Eligibility criteria established as appropriate * Programme of service reviews in place * Investment in service redesign opportunities to improve efficiency and effectiveness. * Development of Recovery and Renewal programme to deliver upon agreed transformation guiding principles * Regular reporting to the IJB Audit, Risk & Scrutiny Committee and Integration Joint Board 	03	05	15 High

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
<p>IJBRR.20.01.03 Key financial risks</p> <p><u>Context:</u> 1. Service Areas individually, or in combination, experience expenditure levels which exceed funding allocations and threaten achievement of HSCPs key financial objectives due to: (a) Pay growth (b) Prescribing (c) Sickness & Absence cover (d) Community equipment expenditure (e) Impact arising from Resource Allocation Model (f) Financial impact of any clinical failures (g) Compliance with new statutory requirements (h) increased service demand 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, likelihood of this is increasing.</p>	<p>There are a number of financial challenges facing the IJB and if not adequately addressed, could lead to financial instability within the partnership and potential impact to service delivery.</p>	<p>HSCP Chief Finance Officer</p>	<ul style="list-style-type: none"> *Financial management framework implemented. *Regular monitoring by Chief Finance Officer. *Budget meetings across all service areas. *Finance issues to be discussed at SMT and IJB meetings. *Daily reviews of patients on special observations, together with detailed monitoring on a weekly basis remains in place and regular meetings between management and clinical staff are held. *Regular financial performance meetings in place with HSCP Chief Officer, Chief Finance Officer, NHS Director of Finance and Council Director of Finance and Resources *Regular meetings of Medicines Management Group with a focus on prescribing year end out-turn. *Discussion at GP forum on importance of prescribing financial break even. *Financial situation to be discussed at GP Forum to highlight prescribing cost reduction measures. *Continued vigilance particularly around effect of generic drug price fluctuations. *Risk assessments undertaken to ensure unacceptable clinical risks are avoided. *Close vigilance and reporting around all Covid-19 expenditure *Development of recovery and renewal programme to align with financial planning processes and savings requirements *Financial information is reported regularly to the Integration Joint Board and the Senior Management Team. *Robust financial monitoring and budget setting procedures including regular budget monitoring & budget meeting with budget holders *Development of a Medium-Term Financial Strategy (approved by the IJB at its meeting on the 22 November 2019) 	<p>04</p>	<p>04</p>	<p>16 high</p>

02. Strategic Plan

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
IJBRR.20.02.04 Health Inequalities	There is a risk that health inequalities increase. This may result from long-term conditions, poverty, 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. The impact of COVID-19 is also expected to contribute to health inequalities.	Head of Strategic Planning & Health Improvement	<ul style="list-style-type: none"> *EQIA support service policies and redesign on an ongoing basis *Increase focus on equalities issues across range of HSCP initiatives. *Health Improvement Team in place *Community Links Team in place *Support for community led health activities *Targeted events to raise awareness * Focus and review of strategic plan priorities *Implementation of community-led approach to improving health and wellbeing in Renfrewshire under Strand 1 of recovery and renewal programme *Performance measures included in the Health Inequalities outcome (number 5 within the 9 National Health and Wellbeing Outcomes) *HSCP funding of third sector *Population data and trends monitored and reported on a regular basis *HSCP funding of third sector 	03	04	12 Moderate
<u>Context:</u> (1) Health Improvement (2) Partnership working (3) Changing age profile of the population						

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
IJBRR.20.02.05 Meeting targets and maintaining standards	There is a risk that failure to meet/define? Local Delivery Plan/ Strategic Plan targets and standards, and other key performance indicators could result in a decreased level of service for patients and clients	HSCP Senior Management Team	<ul style="list-style-type: none"> *Performance reports presented to all IJB meetings with full scorecard presented 6-monthly *Organisational Performance Reviews with Chief Executives of NHSGGC and Renfrewshire Council *Annual Performance Reports produced *National, NHSGGC and local performance measures *Regular review of key performance indicators *Review of systems used to record, extract and report data *Monitoring by planning groups and SMT *Needs Assessment carried out *Frameworks guidance/circulars *Legislation *Equality Scheme Action Plans *Flexible Budgets *Staffing resources are flexed to meet priorities/demand *Development of data capture systems to inform local planning. *Learning and education plans reflect need for anti-discriminatory practice *Quality care and professional governance arrangements *Impact of safe staffing legislation/workload tools *Performance support available to all service areas *Ongoing work developing a culture of performance management and evaluation throughout the Recovery and Renewal Programme 	03	03	9 Moderate
<u>Context:</u> Lack of relevant disaggregated data hinders detailed analysis and planning.						

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
<p>IJBRR.20.02.06. Preparing for the longer-term impacts of Brexit</p> <p><u>Context:</u> *Economic growth and employment *EU funding *Suppliers and markets which may impact the provision of services *The financial position of the HSCP *Poverty (including food poverty) *Potential increased numbers of citizens returning to the UK where previously resident in an EU country *The EU Settlement scheme *Impact on workforce planning</p>	<p>Regardless of whether the UK leaves the European Union with a deal or with no deal, there will be longer term challenges for Renfrewshire HSCP that require to be effectively managed with partners, otherwise there could be sustained impact in several areas including unemployment, the local economy, manufacturing, grant funding, research and development, food instability, and increases in the cost of living and vulnerability.</p>	<p>HSCP Senior Management Team</p>	<ul style="list-style-type: none"> ▪ Maintaining a high level of understanding of the current position in relation to EU funding and maximising current benefits ▪ Maximum drawdown of existing funds identified ▪ Ongoing engagement in development process for new funds (successor to EU funding) ▪ HSCP's financial position ▪ Analysis and ongoing review of the HSCP's financial position based on independent advice of investments and reserves ▪ Procurement/ budget monitoring for increase in supplier costs ▪ Development of workforce action plan by March 2021, and detailed workforce plan by March 2022 in line with Scottish Government requirements – in partnership with Renfrewshire Council and NHS GGC ▪ Medicines and medical devices being addressed at national level ▪ Engage with both NHSGGC and Renfrewshire Council on working groups around Brexit ▪ As the Partnership does not directly employ staff, the Chief Officer will work closely with partners to ensure that as implications become clear, the HSCP are able to best represent and meet the needs of all staff. 	<p>04</p>	<p>04</p>	<p>16 High</p>

03. Covid-19 Emergency Arrangements

Context	Risk Statement	Owned by	Current Risk Control Measures	Likelihood	Impact	Evaluation
IJBRR.20.03.01 Covid-19 Emergency Arrangements <u>Context:</u> (1) Support measures to prevent the spread of the Covid-19 virus (2) Impact of Covid-19: (a) Provision of additional COVID services (b) Provider sustainability payments (c) Uncertainty over length of pandemic and additional funding available (3) Impact of ever increasing levels of demand and client expectations	In view of guidance and support measures to prevent the spread of Covid-19, delegation to the Chief Officer to enable decisions to be taken without there being a requirement for the IJB to meet.	Chief Officer	*The IJB are now back to meeting within the normal regular cycle. However, the delegation to the Chief Officer with Chair/Vice Chair will need to be reviewed *Additional meetings of the IJB to take place if required *Meetings will be conducted remotely using a video and/or audio service that will enable all members to participate	04	04	16 High