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**To: Renfrewshire Integration Joint Board**

**On: 18 March 2016**

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**Report by: Chief Officer**

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**Heading: Risk Management Update**

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**1. Summary**

- 1.1. During 2015/16, members have received regular risk management update reports.
- 1.2. This paper provides a further risk update to members on the progress being made to mitigate risk in relation to the activities of the Integration Joint Board (IJB) up to 1 April 2016.
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**2. Recommendation**

Integration Joint Board members are asked to:

- Note the progress being made with regards to managing the key risks identified
  - Note the position regarding the IJB's delegated budget, and that the associated risks are set out in the Chief Finance Officer's Due Diligence Update.
  - Note the updated risk management arrangements, to reflect the IJB's strategic and operational responsibilities in relation to the delivery of health and adult social care services from 1 April 2016, will be brought to the next meeting of the IJB on 24 June 2016 for consideration and approval
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**3. Background**

- 3.1. During 2015/16, the Health and Social Care Partnership (HSCP) has proactively monitored and managed the key risks in relation to the activities of the IJB up to 1 April 2016, namely:
- The programme of work to ensure all legal requirements and commitments are in place in line with legislation; and
  - The IJB's organisational readiness for the delegation of health and adult social care functions from 1 April 2016.

- 3.2. The table that follows provides a further update on the progress being made to mitigate the risks identified to date.
- 3.3. This report highlights a programme risk in relation to agreeing the IJB's 2016/17 delegated budget, which is required to deliver the IJB's Strategic Plan and supporting services from 1 April 2016. The Council's budget setting process and adult social care budget to be delegated was agreed on 3 March 2016, the 2016/17 budget for delegated health functions has not yet been approved by NHS GGC, and it is possible that the IJB's 2016/17 delegated budget will not be finalised by 1 April 2016.
- 3.4. The Chief Finance Officer's Due Diligence Update sets out the risks which this delay creates for the IJB in its preparations for the 1 April 2016 and provides advice to the IJB moving into 2016/17 without this financial clarity.

Risk Area and Risk Issues	How this is being addressed	Progress since November Report to Board
<p><b>PROGRAMME MANAGEMENT</b> - Delivering on legal requirements and commitments</p> <p><b>!</b> A failure in delivering in any of the undernoted aspects could result in challenges in effective decision making, breaches in legislative compliance and significant reputational harm to the IJB</p>		
1. Legal requirements and commitments as set out in the Integration Scheme	Structured programme of work undertaken to ensure key legislative requirements set out in the Act and Integration Scheme, which must be in place by 1 April 2016.	<p> <b>WORK IN PROGRESS AND ON TARGET.</b> A programme closure report will be submitted to the IJB Meeting in June 2016.</p>
2. Joint budget, financial governance and due diligence	<p>IJB to agree financial governance arrangements in line with national guidance</p> <p>IJB to agree Audit arrangements</p> <p><b><u>Due for completion by 1 April 2016:</u></b></p> <ul style="list-style-type: none"> <li>• Draft proposal for the delegated Budget based on the Strategic Plan presented to the Council and the Health Board for consideration as part of their respective annual budget setting process</li> <li>• IJB report on due diligence on delegated baseline budgets moving into 2016/17</li> <li>• Resources for delegated functions will transfer to IJB</li> <li>• Draft proposal for the 2016/17 delegated Budget based on the Strategic Plan approved by IJB</li> <li>• Financial statement to be published with Strategic Plan</li> <li>• IJB issue Directions to constituent authorities</li> <li>• Audit Committee will be established - the Committee cannot meet until post 1 April 2016 when functions are delegated from the parent bodies</li> </ul>	<p> <b>COMPLETED</b></p> <p> <b>COMPLETED</b></p> <p> <b>SIGNIFICANT ISSUE:</b> agreeing the IJB's 2016/17 delegated budget. The Council's budget setting process and adult social care budget to be delegated was agreed on 3 March 2016. The 2016/17 budget for delegated health functions has not yet been approved by NHS GGC. The IJB's delegated budget will not be finalised by 1 April 2016.</p> <p>The Chief Finance Officer's Due Diligence Update sets out the risks which this delay creates for the IJB in its preparations for the 1st April 2016 and provides advice to the IJB moving into 2016/17 without this financial clarity.</p>
3. Clinical and care governance	The IJB to approve its quality, care and professional governance framework for their duties under the Act.	<p> <b>COMPLETED</b></p>

		<p><b><u>Due for completion by 18 March 2016:</u></b></p> <ul style="list-style-type: none"> <li>The IJB to implement robust quality, care and professional arrangements.</li> </ul>	<p>✓ COMPLETED, SUBJECT TO IJB APPROVAL</p>
4.	Performance management	<p>A list of targets and measures in relation to delegated and non delegated functions will be prepared.</p> <p>Partners will develop proposals on targets and measures for 2015/16 'interim' performance framework to be submitted to an early meeting of the IJB</p> <p>IJB will agree its reporting arrangements and supporting plan to develop 2016/17 performance framework with partners</p> <p><b><u>Due for completion by 26 June 2016:</u></b></p> <p>IJB agree 2016/17 performance framework, taking account of localities, reporting arrangements and plans to publish the annual performance report.</p>	<p>✈ COMPLETED</p> <p>✓ WORK IN PROGRESS AND ON TARGET - 2016/17 Performance Framework to be submitted to the IJB Meeting in June.</p>
5.	Decisions around the Strategic Plan to ensure it is fit for purpose and deliverable (localities, finance and performance)	<p>Establish a Strategic Planning Working Group</p> <p><b><u>Due for completion by 18 March 2016:</u></b></p> <p>The IJB to develop its first Strategic Plan in consultation with the Strategic Planning Group and other prescribed stakeholders in line with legislative requirements.</p>	<p>✈ COMPLETED</p> <p>✓ COMPLETED, SUBJECT TO IJB APPROVAL</p>
<b>Risk Area and Risk Issues</b>		<b>How this is being addressed</b>	<b>Progress since November Report to Board</b>
<b>READINESS - Partnership and IJB's readiness to deliver all delegated services by 1 April 2016 in line with its Strategic Plan</b>			
<p><b>! Moving beyond the programme management phase, if the IJB and individual partners are not ready to deliver all delegated services under the direction of the IJB with effect from April 2016, this could result in challenges around operational decisions, maintaining effective links with relevant services in the partner organisations, service continuity issues and significant reputational harm to the IJB</b></p>			
6.	IJB decision	Chief Officer to oversee the development of Organisational Development plans for	<p>✓ WORK IN PROGRESS -ONGOING</p>

	<p>the Senior Leadership Group, Integration Joint Board, Strategic Planning Group and workforce</p> <p>Regular IJB Development sessions to be scheduled between formal meetings</p>	<p>WORK IN PROGRESS -ONGOING</p>
<p>7. Partnership and Partner Organisation readiness to run with new, fit for purpose operational arrangements from 1 April 2016</p>	<p>IJB to develop a participation and engagement strategy to enable users, patients, carers and partners to shape the new organisation.</p> <p>Non-financial governance arrangements to be agreed in preparation for the delivery of integrated health and adult social care services</p> <p>Structured programme of work is underway to ensure all the necessary processes, policies and plans are in place as required to allow local implementation of integrated health and social care services in terms of the Public Bodies (Joint Working)(Scotland) Act 2014 by 1 April 2016</p> <p>There has been a financial due diligence exercise underway involving the Chief Officer, Chief Finance Officer and the Finance Directors of the parent bodies to gain a mutual understanding of how the budgets have been developed and seek assurance that the budgets being transferred by the parent organisations are adequate to meet the costs of operational service delivery in 2016/17, taking into account any underlying assumptions</p>	<p>COMPLETED</p> <p>COMPLETED</p> <p>WORK IN PROGRESS AND ON TARGET. A programme closure report will be submitted to the IJB Meeting in June 2016.</p> <p>WORK IN PROGRESS</p>
<p>8. Information Governance</p>	<p>The Chief Officer will act as SIRO for the IJB.</p> <p>Information sharing protocols between NHS GGC and Renfrewshire Council have to be updated to meet the requirements of the Integration Scheme.</p>	<p>COMPLETED</p> <p>COMPLETED</p>
<p>9. Data Security</p>	<p>As IJB data will be stored on the parent organisation systems, the Council and NHS GCC have provided assurance statements setting out the security controls already implemented on their networks and infrastructure to provide assurance to</p>	<p>COMPLETED</p>

		the IJB that their data will be appropriately protected from a malicious attack or data loss.	
10.	Continuity in the transition of Council functions which currently sit outwith Adult Social Work Services e.g. Addictions, Domestic Abuse and Housing Adaptations	Develop the most appropriate and pragmatic approaches and supporting mechanisms/ structures for each of the following functions: Addictions Services Gender Based Violence / Domestic Violence  Housing Adaptations Gardening Assistance	<p>✔ WORK IN PROGRESS.</p> <p>✔ WORK IN PROGRESS</p>
11.	Children's Services and Housing Services interface	<p>There are already close working relationships between the RHSCP, Children's Services and Housing Services and these will continue.</p> <p>To further support integrated revised arrangements have been agreed -</p> <ul style="list-style-type: none"> <li>• The Chief Officer and the Director of Children's Services as Chief Social Work Officer (CSWO) have a schedule of regular meetings.</li> <li>• Chief Social Work Officer (CSWO) has a schedule of regular meetings with operational Social Work managers in adult services.</li> <li>• A joint management group of Heads of Service from across Children's Services, the RHSCP and Housing Services has been established and will meet regularly.</li> </ul>	<p>✔ COMPLETED</p>
12.	Acute interface	Formal arrangements are being put in place by the Chief Officer.	<p>✔ WORK IN PROGRESS</p>

#### **4. Risk Management from 1 April 2016**

- 4.1. The Chief Finance Officer's Due Diligence Update sets out the risks which this delay creates for the IJB in its preparations for the 1st April 2016 and provides advice to the IJB moving into 2016/17 without this financial clarity.
- 4.2. The HSCP Senior Management Team has been holding a series of risk management workshops to consider in more detail the recognised risks relating to the activities of the IJB from 1 April 2016, their likelihood and impact, and identify what appropriate mitigation treatments can be put in place.
- 4.3. As requested by the IJB as its meeting on 15 January 2016, staff governance will be picked up as potential area of risk to be considered for inclusion within the HSCP Strategic Risk Register.
- 4.4. In line with the IJB's agreed risk management strategy and policy, a report setting out the proposed risk management arrangements, reflecting the IJB's strategic and operational responsibilities in relation to the delivery of health and adult social care services from 1 April 2016, will be brought to the next meeting of the IJB on 24 June 2016 for consideration and approval.

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#### **Implications of the Report**

##### **1. Financial**

There are no financial implications arising from the submission of this paper.

- 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 provision of this report is in keeping with 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. Health & Safety** – There are no health and safety implications arising from the submission of this paper.

- 8. Equality and Human Rights** - There are no equality and human rights implications arising from the submission of this paper.

- 9. Procurement Implications** - There are no procurement implications arising from the submission of this paper.

- 10. Risk Implications** – As per the subject content of this paper.

- 11. Privacy Impact** - There are no privacy implications arising from the submission of this paper.

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**List of Background Papers – None**

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