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

On: 18 June 2021

Report by: Interim Chief Officer

Heading: Update on Risk Register and Implementation of Risk Management Framework

1. Summary

- 1.1. The paper provides an update on the activity being progressed by the HSCP to implement the revised IJB Risk Management Framework, which was agreed on 12 March 2021.
 - 1.2. This report also provides an update to the Audit, Risk and Scrutiny Committee on updates made to the IJB's risk register, reflecting an updated reporting structure.
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2. Recommendations

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

- Note the implementation approach being progressed by the HSCP, including the establishment of a Cross-NHS GGC HSCP Risk Working Group (section 4);
 - Note the updates that have been made to currently identified risks, and additional risks which have been added to the risk register following further assessment (section 5);
 - Note the intention in future reports to include issues as shown separately to risks, whereby issues represent those risks which have already occurred (section 5);
 - Approve the intention to incorporate the risk register into the Non-financial Governance papers brought to the IJB twice a year (section 5); and
 - Approve the proposal to undertake a risk refresher training session with Committee members and wider members of the IJB in September 2021 (section 6).
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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. In particular, the framework sets out the approach to:

- Identifying, assessing and managing emerging risks;
- Defining risks as strategic or operational (including several sub-categories of risk included within these definitions);
- Accountabilities for risk management, covering governance, roles and responsibilities including those of the IJB, the Chief Officer and Chief Financial Officer, the HSCP's Senior Management Team, and individual risk owners where these differ from those listed;
- The approach to be adopted for resourcing the implementation of risk control measures;
- The provision of training, learning and development associated with risk management policies and procedures; and
- Risk monitoring and performance reporting to the IJB.

3.2. The Audit, Risk and Scrutiny Committee approved a revised Risk Management Framework in March 2020. This revised framework has been streamlined and reflects the following changes:

- The definition of the IJB's risk tolerance has been revised to include greater flexibility;
- Additional reporting in exceptional circumstances has been clarified;
- Risk management governance structures and roles and responsibilities have been updated; and
- The risk register template has been updated.

4. Implementing the update framework

4.1. Following the Committee's agreement in March 2021, the HSCP has progressed activity to further embed the Risk Management Framework and updated approach across operational services. A number of key activities have commenced and include:

- The updated risk management framework has been communicated to HSCP staff through Chief Officer update messages and through the HSCP's Leadership Network. These communications have included further steps, as set out below, to embed the updated framework.
- Supporting guidance to underpin the Risk Management Framework is currently being developed. This guidance will translate the agreed policy into meaningful advice for staff.
- Following completion of the guidance, training modules for staff will be launched using the iLearn system. The training required will differ depending on the nature of staff roles (e.g. frontline, team leader and service manager) and associated responsibilities in identifying and managing risk, and will be targeted as required.
- The HSCP has also established the need for the role of 'Risk Champions' within services who will act as key points of contact for identifying and managing operational risks across service areas and liaising with colleagues to ensure consistent application of the Risk Management Framework.

- The Risk Champions will form the membership of a 'Quarterly Risk Review Board' which will be implemented. This Board will support ongoing review of the effectiveness of the framework and of the risk and issue register each quarter. This will be timed to ensure the robustness of risk reporting required for the IJB Audit, Risk and Scrutiny Committee.
- A cross HSCP and GGC 'risk working group' has been established to look at best practice and increase consistency in our risk management approach and to create a collaborative positive risk culture.

4.2. As the implementation of the updated risk framework progresses, the HSCP will seek to continually refine the approach taken and reporting provided. Further updates on progress will be brought to future meetings of the Committee.

5. Updates to IJB Risk Register

5.1. The IJB Risk Register has been updated to reflecting the agreed changes to the structure and presentation of the register, and to the risks currently defined within the Register. Further assessment and review of risks has also identified further risks and issues to incorporate within the Register, which is provided as Appendix 1 to this report.

5.2. In summary, the key updates to existing risks include:

- The description and mitigations for financial sustainability risks have been updated to reflect the extent of planning and financial management processes in place, however the ratings remain the same (RSK01 and RSK02).
- The existing Brexit risk has been updated to reflect that a trade deal has been reached between the UK and European Union and also to encompass other risk aspects with regards supply chain and the EU settlement scheme (RSK04).
- The COVID risk has been updated to reflect the current position of the pandemic and the extent of the mitigating governance and operational delivery actions which are in place (RSK05).
- The description of risks associated with non-delivery of local and strategic plans has been updated to reflect the elements of this (RSK12).
- As highlighted by the above points, all risks have been reviewed and descriptions and classifications have been updated where required in accordance with the new framework.

5.3. Following further assessment, three new risks have also been added to the IJB risk register. These are:

- A risk that the Independent Review of Adult Social Care will require significant diversion of HSCP financial and operational resources to support implementation requirements. (RSK06)
- A risk that the local elections in 2022 may result in new Councillors who do not support the IJB's strategic direction as set out in the Strategic Plan scheduled to be agreed by the IJB in March 2022 prior to the elections (RSK08).

- A risk present nationally of future litigation and reputational damage following any public inquiry into the COVID-19 response (RSK09).
- 5.4. Three risks have also been escalated from the HSCP risk register for the awareness of the IJB Audit, Risk and Scrutiny Committee in this period:
- A strategic workforce risk reflecting the impact of prolonged vacancies on the IJB's ability to deliver core services and to meet the objectives set out within the Strategic Plan (RSK07).
 - Failure or loss of major service provider (RSK10)
 - Delivery of the GP Contract / Primary Care Improvement Plan (RSK11).
- 5.5. This report to the Audit, Risk and Scrutiny Committee is focused on providing an update on known risks. Where any of these risks progress to become issues, or separate new issues are identified, future updates to the Committee will also incorporate an issue register as appropriate.
- 5.6. In support of the revised approach to risk management as set out above, it is further proposed that the risk register is incorporated into a refreshed Non-financial Governance report provided to the IJB twice yearly. This will be reviewed and brought to the IJB in September 2021 and every six months thereafter. This paper requests approval from the Committee to proceed with this approach.
- 6. Risk Management refresher training**
- 6.1. A risk management training session was provided to members of the IJB Audit Committee (which preceded the Audit, Risk and Scrutiny Committee) in 2017, led by Renfrewshire Council's Risk Manager. Following approval of the updated risk framework, it is proposed that a refresher training session is provided to Committee members, and extended to wider IJB members, to be undertaken on the date of the Committee's next meeting on 10 September 2021. The Committee is asked to approve this proposal.

Implications of the Report

1. **Financial** – No direct implications from this report
2. **HR & Organisational Development** – Further guidance and training will be developed for staff to support them in understanding their respective roles regards risk management.
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. This refines the IJB’s approach to risk manage and updates the supporting governance in place to ensure consistent application of the framework.
11. **Privacy Impact** – No direct implications from this report*

**Although there are no direct implications adherence to the framework may identify risks which need to be managed across these areas.*

List of Background Papers – Renfrewshire IJB Risk Management Framework Policy

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Risk Register

Introduction and Background

This document has been prepared 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. **Further information on the IJB’s approach can be found in Renfrewshire IJB’s Risk Management Policy and Strategy.**

Approach to assessing risks

All risks identified are assessed considering (i) the likelihood of the risk materialising; and (ii) the consequence 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 particular 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 will simply have a rating of between 1 and 5 where 1 is low/no impact ranging to 5 extreme impact

Risks

Likelihood	Consequence Impact				
	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










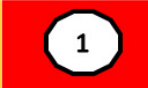















Issues

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

Renfrewshire IJB

Current Risk Overview and Profile

Total Risks	High Risks	Moderate Risks	Low Risks	Very Low Risks
				

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

Current Risk Summary

Risk Ref	Risk Type	Summary Description	Current Risk Score and RAG Rating	Risk Movement
RSK01	Strategic	Changing financial and demographic pressures	15 Moderate	No change
RSK02	Financial	Financial Challenges causing financial instability for the IJB	16 Moderate	No change
RSK03	Operational	Increase in physical and mental health inequalities	06 Low	Decrease
RSK04	Strategic	Evolving impacts of Brexit; supply chain, staffing and financial	12 Moderate	Decrease
RSK05	Operational	Further waves of COVID	12 Moderate	Decrease
RSK06	Operational	Independent review of adult social care	20 High	New
RSK07	Operational	Workforce planning and service provision	16 Moderate	No change
RSK08	Strategic	Impact of 2022 local elections on Strategic Plan	08 Low	New
RSK09	Strategic	National risk of litigation and reputational damage following future public inquiry into COVID response	15 Moderate	New
RSK10	Operational	Failure or loss of major service provider	16 Moderate	Increase
RSK11	Clinical	Delivery of the GP Contract / Primary Care Improvement Plan	20 High	Increase
RSK12	Strategic	Failure to achieve targets and key performance indicators	09 Low	No Change

RSK01 Changing financial and demographic pressures						
Risk Code	Risk Statement	Owned by	Risk Description	Previous Likelihood Score	Previous Impact score	Previous Evaluation
RSK01	The changing financial and demographic pressures facing services poses a risk to the HSCP being able to successfully deliver services to the most vulnerable people in Renfrewshire.	HSCP SMT	<p>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.</p> <p>This needs to be considered with regards to:</p> <ul style="list-style-type: none"> • Medium- and longer-term financial planning • Corporate and service review activities • Strategic commissioning approach and the strategic planning process • Service design ensuring the development of cost-effective care models and models which encourage prevention and self-management 	03	05	15 Moderate
Category				Current Likelihood	Current Impact	Current Evaluation
Strategic				03	05	15 Moderate
Movement						
No change						
Risk Management Approach						
Treat						
Mitigating / Preventing Actions Complete				Assigned to	Date	Status
<p>A number of actions are in place to help mitigate this risk including:</p> <p>Regular reporting to the Integration Joint Board and the IJB Audit, Risk and Scrutiny committee.</p> <p>Financial Planning and Strategic Planning</p> <ul style="list-style-type: none"> - long term financial planning processes, including strategic commissioning plans and the Medium-term Financial Plan - Budget monitoring processes are in place and regularly reviewed and reported upon to SMT and the IJB <p>Corporate & service review activities</p> <ul style="list-style-type: none"> - programme of service reviews established and ongoing - investment in service re-design opportunities to improve efficiency and effectiveness - ongoing review of care packages to ensure that the provision of support is aligned to individuals' needs - Development of the Recovery & Renewal programme to deliver upon agreed transformation guiding principles. 				NA	Historic	Complete and ongoing
Mitigating / Preventing Actions Planned				Assigned to	Date	Status
Ongoing deployment of the above				NA	Review November 2021	Ongoing

RSK02 Financial Challenges causing financial instability for the IJB						
Risk Code	Risk Statement	Owned by	Risk Description	Previous Likelihood Score	Previous Impact score	Previous Evaluation
RSK02	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 consequent impact to service delivery.	HSCP SMT	<p>There are a number of aspects contributing to this risk as follows:</p> <ol style="list-style-type: none"> 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: <ol style="list-style-type: none"> Pay growth (inflation and annual pay award proposals) Prescribing Sickness & Absence cover Community equipment expenditure Impact arising from Resource Allocation Model Financial impact of any clinical failures Compliance with new statutory requirements Increased service demand 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, the likelihood of this is increasing. 	04	04	16 Moderate
Category				Current Likelihood	Current Impact	Current Evaluation
Financial				04	04	16 Moderate
				Movement		
				No change		
				Risk Management Approach		
				Treat		
Mitigating / Preventing Actions Complete				Assigned to	Date	Status
<p>Supporting frameworks & strategies:</p> <ul style="list-style-type: none"> Financial management framework implemented. Medium-Term Financial Strategy implemented. Recovery and Renewal programme developed. <p>Reporting/monitoring at strategic fora:</p> <ul style="list-style-type: none"> Financial information is reported regularly to the Integration Joint Board and the Senior Management Team. 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. Ongoing discussion at GP forum on importance of prescribing financial break even. Ongoing reporting to Scottish Government on COVID-19 expenditure and discussions on cost recovery. Robust financial monitoring and budget setting procedures including regular budget monitoring with budget holders. 				NA	Historic	Complete
Mitigating / Preventing Actions Planned				Assigned to	Date	Status
<p>Actions pending</p> <p>Suite of savings initiatives for FY21/22 agreed at IJB March 21 meeting to be implemented.</p> <p>Savings to be identified for FY22/23 and beyond within context of HSCP approach to transformation.</p> <p>Development of Strategic Plan for 2022-25</p> <p>Development of updated Medium-term Financial Plan</p>				NA	March 2022	Ongoing

RSK03 Increase in physical and mental health inequalities						
Risk Code	Risk Statement	Owned by	Risk Description	Previous Likelihood Score	Previous Impact score	Previous Evaluation
RSK03	There is 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	<p>It is recognised that physical and mental health inequalities are highly likely to increase. This may result from long-term conditions, an ageing population, long term impacts of covid on mental health and long covid itself, increasing poverty, 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. The impact of COVID-19 is also expected to contribute to this significantly.</p> <p>This must be actively considered with regards to the creation of any Health Improvement plans and Partnership working agreements.</p>	03	03	09 Low
Category				Current Likelihood	Current Impact	Current Evaluation
Operational				02	03	06 Low
Movement						
Decrease						
Risk Management Approach						
Treat						
Mitigating / Preventing Actions Complete				Assigned to	Date	Status
<p>Actions undertaken:</p> <ul style="list-style-type: none"> There has been an increased focus on inequalities across a range of HSCP initiatives. As a result a number of teams which maintain a focus on this aspect are now in place; including the community link and health improvement teams. In addition, following a review of our strategic plan priorities a number of activities are underway within our Recovery and Renewal Transformation programme; delivery of a community led approach to health and wellbeing with targeted approaches to raise awareness. The HSCP tracks performance within the Health inequalities outcome (number 5 in National H&W Outcomes) and also continues to monitor population data and trends. 				NA	Historic	Complete
Mitigating / Preventing Actions Planned				Assigned to	Date	Status
<p>Actions underway:</p> <ul style="list-style-type: none"> Funding has been secured for 2021/22 to deliver 10 projects which are aimed at reducing specific inequalities and promote health and wellbeing. 				Head of Strategic Planning and Health Improvement	March 2022	Ongoing

RSK04 Evolving impacts of Brexit; supply chain, staffing and financial						
Risk Code	Risk Statement	Owned by	Risk Description	Previous Likelihood Score	Previous Impact score	Previous Evaluation
RSK04	There is a risk that Brexit will adversely impact a number of areas as changes to policies and legislation occur. The full extent of the longer-term challenges that Renfrewshire HSCP will face is not yet understood and will continue to evolve, particularly around the ongoing uncertainty around employers' obligations.	Head of Strategic Planning and Health Improvement Chief Finance Officer	<p>The following impacts are expected as a result of Brexit:</p> <ul style="list-style-type: none"> Implications on EU staff and their ability to remain in the country/employment post 1st Jul Stated employers' liabilities which have been shared then removed. Proposal is that HR heads will need to notify head office within 48 hours of the date, which staff have not obtained EU settlement status. Ongoing uncertainty as enforcement body and procedure will not be ready for the 1st July Economic impact on colleagues and service users (cost of living or service cost increase) Ability to obtain medication and products from within the EU supply chain (Cost/time impact) Ineligibility for EU grants <p>Our contractual position with some suppliers and service providers may require change.</p>	04	04	16 Moderate
Category				Current Likelihood	Current Impact	Current Evaluation
Strategic				03	04	12 Moderate
Movement						
Decrease						
Risk Management Approach						
Treat						
Mitigating / Preventing Actions Complete				Assigned to	Date	Status
<p>The monthly Brexit steering group continues to monitor the situation regards all areas of exposure relevant to this risk with additional ad hoc meetings being placed as required. Specific actions undertaken/underway:</p> <p>Funding related</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 structural funding) 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 <p>Other topics</p> <ul style="list-style-type: none"> 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 manage implications 				NA	Historic	Complete
Mitigating / Preventing Actions Planned				Assigned to	Date	Status
Ongoing monthly Brexit review meetings and liaison across GGC and other HSCP's				C&I Manager	Review Sept 2021	Ongoing

RSK05 Further waves of COVID									
Risk Code	Risk Statement	Owned by	Risk Description	Previous Likelihood Score	Previous Impact score	Previous Evaluation			
RSK05	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	<p>The risk is that further disruption to the delivery of strategic and transformation plans, in addition to operational day to day commitments as a result of:</p> <ul style="list-style-type: none"> The HSCP needing to implement support measures to prevent the spread of COVID-19 The downstream impacts of Covid-19 on services users and demand on services: <ul style="list-style-type: none"> (a) Provision of additional COVID services (b) Provider sustainability payments (c) Uncertainty over length of pandemic and additional funding available (d) increased levels of care required due to long covid and increased mental health issues (e) the impact on staff; sickness, mental health and utilisation to support services Impact of ever-increasing levels of demand and client expectations <p>The suitability, affordability and stakeholder support to achieve the NHS remobilisation plan, Renfrewshire Council's recovery plans and ultimately the HSCP's overall plan.</p>	04	04	16 Moderate			
Category				Current Likelihood	Current Impact	Current Evaluation			
Operational				03	04	12 Moderate			
Movement				Decrease					
Risk Management Approach				Treat					
Mitigating / Preventing Actions Complete				Assigned to	Date	Status			
<ul style="list-style-type: none"> The IJB are now back to meeting within the normal regular cycle. Meetings will continue to be conducted remotely using a video and/or audio service that will enable all members to participate. 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. Public health measures have been implemented; including vaccinations in 2020/2021 and current planning for vaccinations for 2021/2022 is underway. 				NA	Historic	Complete			
Mitigating / Preventing Actions Planned				Assigned to	Date	Status			
<ul style="list-style-type: none"> Ongoing monthly review of COVID risks across services. 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. Delivery of Recovery Plans, including the NHS Remobilisation Plan 				Chief Officer	Review Sept 2021	Ongoing			

RSK06 Independent review of adult social care						
Risk Code	Risk Statement	Owned by	Risk Description	Previous Likelihood Score	Previous Impact score	Previous Evaluation
RSK06	There is a risk that the Independent Review of Adult Social Care recommendations result in potentially significant structural, organisational and governance change which may impact on the ability of the HSCP to deliver alongside operational commitments	Chief Officer	The recommendations included within the review are very wide-ranging and therefore have the ability to place significant demands on HSCP resources to deliver, alongside the delivery of ongoing operational and strategic plans. This will also potentially have an impact on the role and governance regards the IJB.	NA	NA	NA
Category				Current Likelihood	Current Impact	Current Evaluation
Operational				04	05	20 High
				Movement		
				New		
				Risk Management Approach		
				Treat		
Mitigating / Preventing Actions Complete				Assigned to	Date	Status
<ul style="list-style-type: none"> There are likely to be recommendations which are phased for delivery over the term of this parliament, to enable some prioritisation of resource. The HSCP has a Change and Improvement team that can be directed to key areas of activity requiring delivery. Continued review of the progress of recommendations progressing through parliament to assess potential resource and plan implications. Strategic plan to consider known developments and align with principles of the IRASC recommendations and recognise the need for flexibility in delivery. 				Chief Officer	Historic	Complete
Mitigating / Preventing Actions Planned				Assigned to	Date	Status
Above are ongoing				NA	Review Jan 2022	Ongoing

RSK07 Workforce planning and service provision						
Risk Code	Risk Statement	Owned by	Risk Description	Previous Likelihood Score	Previous Impact score	Previous Evaluation
RSK07	There is a risk that failure to prepare and deliver upon an appropriate workforce plan 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.	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 also result in increased financial costs and an effective workforce plan is critical to workforce sustainability:</p> <ul style="list-style-type: none"> Prolonged vacancies within services. Specific pressures exist around medical staffing (specific roles are in national shortage), district nursing and care at home services Sufficient numbers of qualified staff with the correct registrations Pressures resulting from additional planning structures which require managerial and clinical input. (e.g.: Moving Forward Together) GP practice handing back their contract and the HSCP having to run the practice Failure to undertake all relevant checks with regard to applicants seeking recruitment High levels of fatigue and unused annual leave from COVID resulting in increased absence Additional risks to meeting service demand posed by sickness/absence levels and an ageing workforce leading to increased levels of future retirements. 	04	04	16 Moderate
Category				Current Likelihood	Current Impact	Current Evaluation
Operational				04	04	16 Moderate
Movement						
No Change						
Risk Management Approach						
Treat						
Mitigating / Preventing Actions Complete				Assigned to	Date	Status
<ul style="list-style-type: none"> Operational – management of risk and staff deployment through forward planning of rosters, quality assurance re shift good practice and daily/weekly reviews of service staffing. Utilisation of bank/agency staff where required. HR & Recruitment – vacancy risk assessment undertaken, 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); process for monitoring clinical references. Winter planning – 3-month forward plan to ensure adequate staffing and contingency Independent Contractors – collaborative working with Primary Care and cluster support for GP practices / services, through delivery of the Primary Care Improvement Plan Development of an interim one-year workforce plan for 2021/22 				NA	Historic	Complete
Mitigating / Preventing Actions Planned				Assigned to	Date	Status
<ul style="list-style-type: none"> Creation of an integrated workforce plan for 2022 to 25 to support longer term planning and decision making. 				Head of Strategic Planning and Health Improvement	March 2022	Ongoing

RSK08 Impact of 2022 local elections on Strategic Plan									
Risk Code	Risk Statement	Owned by	Risk Description	Previous Likelihood Score	Previous Impact score	Previous Evaluation			
RSK08	There is uncertainty arising from the 2022 local elections which may result in new members of the IJB who have a different perspective on the direction set out in the Strategic Plan which is scheduled for approval by the IJB in March 22.	Chief Officer	There is uncertainty relating to the 2022 local elections as these may result in new members of the IJB, who may have a different perspective on the priorities and direction set out in the Strategic Plan which is scheduled to be approved by the IJB in March 2022.	NA	NA	NA			
Category				Current Likelihood	Current Impact	Current Evaluation			
Strategic				02	04	08 Low			
Movement				New					
Risk Management Approach				Treat					
Mitigating / Preventing Actions Complete				Assigned to	Date	Status			
<ul style="list-style-type: none"> Focused session held with Strategic Planning Group to discuss and agree the approach to developing the Strategic Plan, and associated consultation requirements. 				Head of Strategic Planning and Health Improvement	NA	NA			
Mitigating / Preventing Actions Planned				Assigned to	Date	Status			
<ul style="list-style-type: none"> The Strategic Plan development process will follow statutory requirements and consult widely in line with these, with the SPG, IJB, Council, providers and service user representatives. Further detail on the strategic planning approach is being provided to the IJB in June, setting out the role of the SPG and Care Planning Groups in the development of the Strategic Plan. 				Head of Strategic Planning and Health Improvement	March 2022	Ongoing			

RSK09 National risk of litigation and reputational damage following future public inquiry into COVID response						
Risk Code	Risk Statement	Owned by	Risk Description	Previous Likelihood Score	Previous Impact score	Previous Evaluation
RSK09	There is a national risk of litigation and reputational damage across integrated health and social care services following the UK-wide public enquiry into the handling of the COVID pandemic, commencing in 2022. We are not aware of any increased comparative risk in Renfrewshire.	HSCP SMT	<p>There is a risk 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 which it has been confirmed will start in March 2022. There will continue to be significant media interest nationally.</p> <p>There is no evidence that this risk is any higher for Renfrewshire than for any other integrated health and social care service.</p>	NA	NA	NA
Category				Current Likelihood	Current Impact	Current Evaluation
Strategic				03	05	15 Moderate
				Movement		
				New		
				Risk Management Approach		
Treat						
Mitigating / Preventing Actions Complete				Assigned to	Date	Status
<ul style="list-style-type: none"> Implementation of Local Response Management Team and Recovery and Renewal governance, and ongoing input into NHS GGC and Renfrewshire Council governance. Vaccination programme rolled out across Renfrewshire; all staff and care home residents have been offered the vaccine. Programme also performing well for residents and service users. Commissioning Teams & Community Services are supporting care homes to ensure that they remain open for admission and are prepared for the care of patients with possible or confirmed COVID19. Significant support also being provided by Public Health, Infection Control and Procurement. Testing of all residents and staff in care homes implemented and regularly re visited. Testing of all staff implemented as per National Guidance Daily huddles and multi-agency assurance and support for Care Homes in place. Clinical support and leadership through general practice and district nursing. 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. PPE arrangements established and monitored locally Dashboards and reports developed to allow identification of any COVID 'hotspots' and trends Regular reporting from Renfrewshire Council, NHS GGC and Renfrewshire HSCP to Scottish Government. 				NA	Historic	Ongoing
Mitigating / Preventing Actions Planned				Assigned to	Date	Status
Continuation of the above				NA	Review November 2021	Ongoing

RSK10 Failure or loss of major service provider						
Risk Code	Risk Statement	Owned by	Risk Description	Previous Likelihood Score	Previous Impact score	Previous Evaluation
RSK10	There is a risk that failure or loss of a major service provider 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	The context of this risk is with regards to the failure of independent providers of care homes, care services or mental health provision. There is financial instability within the sector due to COVID-19 and potential additional impacts from Brexit.	03	04	12 Moderate
Category				Current Likelihood	Current Impact	Current Evaluation
Operational				04	04	16 Moderate
Movement						
Increase						
Risk Management Approach						
Treat						
Mitigating / Preventing Actions Complete				Assigned to	Date	Status
Procurement and commercial processes <ul style="list-style-type: none"> Appraisal of providers conducted as part of procurement process. Purchasing patterns monitored by Finance Team and senior managers. Programme of reviews of all service providers. Contract compliance, performance monitoring and reviews for service providers and the two hospices Support arrangements <ul style="list-style-type: none"> Provider Sustainability programme will continue until June 2021. 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. 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. Enhanced governance arrangements for care homes have been implemented across Health Boards at the direction of the Cabinet Secretary in response to covid-19. These arrangements have significantly increased monitoring of commissioned services and include multi-disciplinary daily huddles and assurance visits. Emergency legislation enacted to enable Health Boards and local authorities to step in to manage failing care homes if during the COVID-19 pandemic. 				NA	Historic	Complete
Mitigating / Preventing Actions Planned				Assigned to	Date	Status
Ongoing monitoring and the above				NA	Review September 2021	Ongoing

RSK11 Delivery of the GP Contract / PCIP						
Risk Code	Risk Statement	Owned by	Risk Description	Previous Likelihood Score	Previous Impact score	Previous Evaluation
RSK11	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	<p>Current proposed funding will not cover the full cost implementation of the contract.</p> <p>Staffing is under pressure due to the pandemic, high turnover and also recruitment issues (availability of specific staff).</p> <p>Initial scope included 6 MOU areas. There is now greater priority on 3 of these where the timeline has accelerated: pharmacotherapy, VTP and CTAC which need to be delivered by 2022/23. The remaining 3 require to be delivered by 2023/24 and additional professional roles by the end of 2021.</p> <p>In order to be able to deliver the GP Contract additional property accommodation is required for treatment rooms and also to support the growth in the size of the teams created for the purpose of multi-disciplinary service delivery.</p>	NA	NA	NA
Category				Current Likelihood	Current Impact	Current Evaluation
Clinical				05	04	20 High
Movement						
Increase						
Risk Management Approach						
Treat						
Mitigating / Preventing Actions Complete				Assigned to	Date	Status
<ul style="list-style-type: none"> 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. Property audit will aim to identify suitable space to accommodate teams and services 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. 				Clinical Director	Historic	Complete
Mitigating / Preventing Actions Planned				Assigned to	Date	Status
Continuation with the above				NA	Review September 2021	Ongoing

RSK12 Failure to achieve targets and key performance indicators						
Risk Code	Risk Statement	Owned by	Risk Description	Previous Likelihood Score	Previous Impact score	Previous Evaluation
RSK12	There is a risk that failure to deliver upon the required Local Delivery Plan / 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	This risk is threefold: <ul style="list-style-type: none"> The IJB and HSCP's ability to define appropriate local delivery plans and strategic plans The IJB and HSCP's ability to deliver upon said local and strategic plans The IJB and HSCP's ability to evidence that we have achieved the outcomes required within the local and strategic plans. 	03	03	09 Low
Category				Current Likelihood	Current Impact	Current Evaluation
Strategic				03	03	09 Low
				Movement		
				No Change		
				Risk Management Approach		
				Treat		
Mitigating / Preventing Actions Complete				Assigned to	Date	Status
<ul style="list-style-type: none"> Performance reports presented to all IJB meetings with full scorecard presented 6-monthly and annual reports produced to support monitoring and planning. Organisational Performance Reviews with Chief Executives of NHSGGC and Renfrewshire Council National, NHSGGC, Ministerial Steering Group and local performance measures Regular review of key performance indicators with performance support available to all service areas Review of systems used to record, extract and report data Needs Assessment carried out Review of integration scheme in line with legislation and development of strategies in line with statutory guidance Undertaking equality impact assessments to evidence how plans and strategies will support those in need Ongoing budget monitoring and management to meet service demands Staffing resources are flexed to meet priorities/demand Development of data capture systems to inform local planning. Quality care and professional governance arrangements Ongoing work developing a culture of performance management and link to Recovery and Renewal Programme 				SMT	Historic	Complete and ongoing
Mitigating / Preventing Actions Planned				Assigned to	Date	Status
<ul style="list-style-type: none"> Continuation of the above Further development of the performance management framework 				NA	Review November 2021	Ongoing