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

On: 10 September 2021

Report by: Change & Improvement Manager

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 following the previous update to the Committee in June 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, including any changes to risks previously identified, and any new risks and issues added to the register during this period.
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2. Recommendations

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

1. Note the further work which has been undertaken to implement the revised Risk Management Framework across operational services within the HSCP (section 4); and
 2. Note the updates that have been made to currently identified risks, and the additional risks and issue which have been added to the register following further assessment and engagement within the HSCP and with partners (section 5).
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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. It sets out how risks and issues should be identified, managed and reported and it informs the development of this report and supporting appendix.

4. Implementing the update framework: further activity

4.1. An update was provided to the Committee in June 2021 which outlined the progress made in implementing the updated Risk Management Framework within the HSCP. Work has continued over the summer period to embed the framework within HSCP processes. The key activities which have been undertaken include:

- A Risk Champions Network has been set up with identified 'Champions' from each service area within the HSCP. These Champions are now working with the HSCP's Programme Management Officer to ensure a consistent approach to the management of risk and to identify any additional cross-cutting risks and issues where these may exist. Monthly meetings are now established to ensure accurate escalation and reporting.
- A risk management framework guide and training module has been developed and tested with the Risk Champions Network. These supporting materials have been developed to reflect the different needs and responsibilities of staff at different levels and within different teams within the HSCP. The guide and module will be rolled out to staff during the Autumn.
- A cross HSCP and NHS GGC 'risk working group' has continued to meet and consider best practice approaches to risk management. A number of actions are being progressed to increase consistency in our risk management approaches and to identify risks which are common across HSCPs.

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 HSCP's ongoing assessment and review of risks has identified necessary changes to existing risks and 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 overall risk score for 'Increase in physical and mental health inequalities' has been increased to reflect the emerging and expected impact of the COVID-19 pandemic (RSK03).
- The risk score for 'Evolving Impacts of Brexit; supply chain, staffing and financial' has been reduced to reflect the observed impacts of Brexit to date. This is supported by the decision of NHS GGC to stand down the Brexit risk management group (RSK04).
- The risk score for 'Workforce planning and service provision' has been increased due to the continued prevalence of attrition, absence and

general recruitment issues being experienced. Given the impacts now being incurred across several services, this has now also been included as an issue. (RSK07)

- The risk rating for 'Failure to achieve targets and key performance indicators' has been reduced to reflect activity which has been undertaken to revise the performance management framework (RSK12).

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

- A risk reflecting the increasing likelihood and impact of cyber threats. (RSK13).
- A risk which reflects the potential for limited capital funding, alongside the complexities of creating a consistent property strategy across both the NHS and local authority estate, to create additional challenges in achieving the IJB's medium and long-term strategic objectives; (RSK14).
- A risk reflecting the impact of COVID-19 on the ability and capacity of staff to undertake mandatory training (RSK15).
- A risk relating to the provision of Addictions Support in Renfrewshire and the increase in the number of drug deaths nationally and locally in 2020 (RSK16).
- A risk relating to the potential disruption resulting from COP26 which is due to take place in October and November 2021. (RSK17)

5.4. One issue has also been included in the register:

- Challenges for the HSCP in attracting and retaining staff across a range of roles within HSCP services, due to a range of factors, which is contributing to service delivery constraints (ISS01).

Implications of the Report

1. **Financial** – No direct implications from this report
2. **HR & Organisational Development** – Further guidance and training has been developed for staff to support them in understanding their respective roles regards risk management and will be rolled out over Autumn 2021.
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 further 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 from this report, specific risks are likely to impact on these areas and will have specific mitigations identified.*

List of Background Papers – Renfrewshire IJB Risk Management Framework Policy

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Risk and Issue Register Executive Summary

This document reflects the status of the risks and issues in the IJB log as at the 18 August 2021. This report features issues for the first time as part of the continued implementation of the new risk framework. The summaries reflect the changes to risks since the last report and items which have been identified as new. This update report also highlights those risks and issues have the potential to impact on winter planning.

Introduction and Background

This document is prepared each quarter 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 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 impact.

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

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					
3					
2					
1					

Current Issue Overview and Profile

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

Current Risk & Issue Summary

Risk or Issue Ref	Risk or Issue Type	Summary Description	Current Risk / Issue Score and ROYG Rating	Risk or Issue Movement	Winter Impact
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	12 Moderate	Increase	
RSK04	Strategic	Evolving impacts of Brexit; supply chain, staffing and financial	09 Low	Decrease	
RSK05	Operational	Further waves of COVID	12 Moderate	No change	✓
RSK06	Operational	Independent review of adult social care and proposed National Care Service	20 High	No change	
RSK07	Operational	Workforce planning and service provision	25 High	Increase	✓
RSK08	Strategic	Impact of 2022 local elections on Strategic Plan	08 Low	No change	
RSK09	Strategic	National risk of litigation and reputational damage following future public inquiry into COVID response	15 Moderate	No change	
RSK10	Operational	Failure or loss of major service provider	16 Moderate	No change	✓
RSK11	Clinical	Delivery of the GP Contract / Primary Care Improvement Plan	20 High	No change	✓
RSK12	Strategic	Failure to achieve targets and key performance indicators	06 Low	Decrease	✓
RSK13	Strategic	Cyber threats pose an increasing risk	16 Moderate	New	✓
RSK14	Strategic	Capital funding and complexities of property planning in an integrated setting	16 Moderate	New	✓
RSK15	Operational	COVID Impact on compliance with Mandatory Training	12 Moderate	New	✓
RSK16	Strategic	Delivery of Addictions Support in Renfrewshire	16 Moderate	New	
RSK17	Operational	COP26 impact on HSCP or partner service delivery	16 Moderate	New	✓
ISS01	Operational	Issues regards attracting & retaining staff	05 Extreme	New	✓

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 or Ongoing				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. 				N/A	Review January 2021	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 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> <p>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"> 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 Increased costs due to Brexit Additional costs incurred as a result of COVID-19 (those in excess of government funding) <p>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.</p>	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 or Ongoing				Assigned to	Date	Status
<p>Supporting frameworks & strategies:</p> <ul style="list-style-type: none"> - Financial management framework and 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 Renfrewshire 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. 				N/A	Historic	Ongoing
Mitigating / Preventing Actions Planned				Assigned to	Date	Status
Continued delivery of annual 'Tier 1' savings programme Development of Strategic Plan for 2022-25 Development of updated Medium-term Financial Plan				N/A	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.</p> <p>This must be actively considered with regards to the creation of any Health Improvement plans and Partnership working agreements.</p>	02	03	06 Low
Category				Current Likelihood	Current Impact	Current Evaluation
Operational				03	04	12 Moderate
Movement						
Increase						
Risk Management Approach						
Treat						
Mitigating / Preventing Actions Complete or Ongoing				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. 				N/A	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. Projects are underway. Consideration of health, wellbeing and inequalities within development of Strategic Plan 2022-25 				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 clear and will continue to evolve, particularly around the ongoing uncertainty around employers' obligations.	Head of Strategic Planning and Health Improvement Chief Finance Officer	The following impacts are expected as a result of Brexit: <ul style="list-style-type: none"> • Implications on EU staff and their ability to remain in the country/employment post 1st July • 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 is now expected to be ready Sept / Oct. • 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. • Supply chain impacts. Our contractual position with some suppliers and service providers may require change.	03	04	12 Moderate
Category				Current Likelihood	Current Impact	Current Evaluation
Strategic				03	03	09 Low
Movement						
Decrease						
Risk Management Approach						
Treat						
Mitigating / Preventing Actions Complete or Ongoing				Assigned to	Date	Status
The monthly Brexit steering group has now been approved to standdown by the NHS GGC Board. Individual HSCPs continue to monitor areas of exposure relevant to this risk in discussion at the cross risk working group. If required the Brexit steering group can and will be re-established. Specific actions undertaken/underway: <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 - Continue to engage with both NHSGGC and Renfrewshire Council where required. - 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
Monthly Brexit review meetings now closed, however risk liaison across GGC and other HSCPs remains in place monthly				C&I Manager	Review January 2022	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 increasing levels of demand and client expectations The suitability, affordability and stakeholder support to achieve the NHS remobilisation plan, Renfrewshire Council's recovery plans and ultimately the HSCP's overall plan. 	03	04	12 Moderate
Category				Current Likelihood	Current Impact	Current Evaluation
Operational				03	04	12 Moderate
Movement						
No change						
Risk Management Approach						
Treat						
Mitigating / Preventing Actions Complete or Ongoing				Assigned to	Date	Status
<ul style="list-style-type: none"> The IJB are now 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. 				N/A	Historic	Ongoing
Mitigating / Preventing Actions Planned				Assigned to	Date	Status
<ul style="list-style-type: none"> Ongoing monthly review of COVID risks across services, with escalation measures implemented as necessary 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 Jan 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, including the proposed National Care Service result in potentially significant structural, organisational and governance change which could be challenging to resource 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.	04	05	20 High
Category				Current Likelihood	Current Impact	Current Evaluation
Operational				04	05	20 High
Movement						
No Change						
Risk Management Approach						
Treat						
Mitigating / Preventing Actions Complete or Ongoing				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	Ongoing
Mitigating / Preventing Actions Planned				Assigned to	Date	Status
<ul style="list-style-type: none"> IJB response to Scottish Government consultation on proposals for National care Service, released 9 August 2021 				Chief Officer	18 October 2021	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 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. *Please see new Issue ISS01: Issues attracting and retaining staff	HSCP SMT	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: <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. 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. Vacancies or absence within providers 	04	04	16 Moderate
Category				Current Likelihood	Current Impact	Current Evaluation
Operational				05	05	25 High
Movement				Increase		
Risk Management Approach				Treat		
Mitigating / Preventing Actions Complete or Ongoing				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 / overtime 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 – alignment with ongoing business continuity and risk management to identify issues early 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 				N/A	Historic	Ongoing
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.	02	04	08 Low			
Category				Current Likelihood	Current Impact	Current Evaluation			
Strategic				02	04	08 Low			
Movement				No Change					
Risk Management Approach				Treat					
Mitigating / Preventing Actions Complete or Ongoing				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. The IJB approved the strategic planning approach in June 2021 with continued engagement internally, with the SPG, voluntary sector and partners (Council and NHS GGC) to further develop the approach. 				Head of Strategic Planning and Health Improvement	N/A	N/A			
Mitigating / Preventing Actions Planned				Assigned to	Date	Status			
<ul style="list-style-type: none"> Care Planning Groups implemented throughout August and will develop a high-level draft plan by the end of September 2021, with draft brought to IJB in November 2021 for approval. The final plan will be ready by March 2022. 				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>	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 or Ongoing				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. 				N/A	Review November 2021	Ongoing
Mitigating / Preventing Actions Planned				Assigned to	Date	Status
Continuation of the above				N/A	N/A	N/A

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.	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 or Ongoing				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 the end of September and we await SG guidance as to any which will continue beyond this point. 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	Review November 2021	Ongoing
Mitigating / Preventing Actions Planned				Assigned to	Date	Status
Ongoing monitoring and the above				N/A	N/A	N/A

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>	05	04	20 High
Category				Current Likelihood	Current Impact	Current Evaluation
Clinical				05	04	20 High
Movement						
No Change						
Risk Management Approach						
Treat						
Mitigating / Preventing Actions Complete or Ongoing				Assigned to	Date	Status
<ul style="list-style-type: none"> Updated MoU published on 2nd August 2021. 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	Review October 2021	Ongoing
Mitigating / Preventing Actions Planned				Assigned to	Date	Status
Continuation with the above				N/A	N/A	N/A

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				02	03	06 Low
Movement						
Decrease						
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	Review November 2021	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 				Head of SP&HI	Review November 2021	Ongoing

RSK13 Cyber threats pose an increasing risk						
Risk Code	Risk Statement	Owned by	Risk Description	Previous Likelihood Score	Previous Impact score	Previous Evaluation
RSK13	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 IT	Cyber threats are a dynamic and growing threat to the HSCP and our partner organisations; NHS 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 we will be targeted in order to disrupt a key component of critical National or Local infrastructure. This risk has heightened during the COVID-19 pandemic as we have seen a 40% increase in attempts. 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.	N/A	N/A	N/A
Category				Current Likelihood	Current Impact	Current Evaluation
Strategic				04	04	16 Moderate
				Movement		
				New		
				Risk Management Approach		
				Treat via Partners		
Mitigating / Preventing Actions Complete or Ongoing				Assigned to	Date	Status
<ul style="list-style-type: none"> HSCP staff are reminded to follow the relevant GDPR and Information Security policies for their employment organisation. Renfrewshire Council have recently (Q2 2021) reenforced their Information security policy and released several comms to staff regarding security of data and data protection generally. The council have also conducted a council wide phishing scam test to raise awareness of the practice and inform lessons learned. NHS GGC operates a multi layered security model to defend against cyber threat. Both NHS GGC and Renfrewshire Council maintain appropriate information governance controls and governance structures to monitor and manage risks. The eHealth Directorate and Renfrewshire Council continue to build upon cyber defences with controls in place. 				NHS - Director of eHealth Council – Head of IT	Historic	Ongoing
Mitigating / Preventing Actions Planned				Assigned to	Date	Status
<ul style="list-style-type: none"> Continuation of the above Further discussion with NHS and Council regards ongoing work in this space and also regards Business Continuity Planning review elements. 				NA	Review November 2021	Ongoing

RSK14 Capital funding and complexities of property planning in an integrated setting						
Risk Code	Risk Statement	Owned by	Risk Description	Previous Likelihood Score	Previous Impact score	Previous Evaluation
RSK14	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"> 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. Capital planning is reserved to the IJB's partner organisations. As such the ability to influence property strategies on an ongoing basis is required. Ongoing maintenance requirements across the estate. 	NA	NA	NA
Category				Current Likelihood	Current Impact	Current Evaluation
Strategic				04	04	16 Moderate
				Movement		
				New		
				Risk Management Approach		
Treat via Partners						
Mitigating / Preventing Actions Complete or Ongoing				Assigned to	Date	Status
<ul style="list-style-type: none"> 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. Primary Care Property Strategy submitted to IJB 25 June. A property data gathering exercise underway within HSCP to create a detailed database for all property utilised across the HSCP. When complete this will support determination of property priorities. 				Chief Finance Officer	Review November 2021	Ongoing
Mitigating / Preventing Actions Planned				Assigned to	Date	Status
<ul style="list-style-type: none"> Refreshed HSCP Property and Capital Planning Group to be implemented. 				Chief Finance Officer	Review November 2021	Ongoing

RSK15 COVID Impact on compliance with Mandatory Training						
Risk Code	Risk Statement	Owned by	Risk Description	Previous Likelihood Score	Previous Impact score	Previous Evaluation
RSK15	There is that the pressures on staffing caused by the demands of the COVID-19 pandemic will impact on timeous completion 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 mandatory training as part of their duties and responsibilities. However, the demands of the COVID-19 pandemic on staff time in response to the pandemic, on staff absence and current increased levels of annual leave where staff have previously been unable to take this, limits the time staff may have available to undertake mandatory training.	NA	NA	NA
Category				Current Likelihood	Current Impact	Current Evaluation
Operational				03	04	12 Moderate
Movement						
New						
Risk Management Approach						
Treat via Partners						
Mitigating / Preventing Actions Complete or Ongoing				Assigned to	Date	Status
<ul style="list-style-type: none"> Continued compliance with Staff Governance standards 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. 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&S standards. 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) Workforce planning activity will reinforce Health and Safety as a core objective Completion of individual risk assessments for clients and warning flag system in place on electronic care records. Guidance for safe clinical and care environments is regularly reviewed and maintained Ongoing programme of staff training, including mandatory and statutory training, on health and safety issues (sharps, manual handling and fire) Appropriate processes have been created and are invoked in cases of adverse weather for community-based services Following investigations of significant adverse events (including RIDDOR reportable), process improvements are identified and implemented, being overseen via the most appropriate governance structure. Occupational Health services and staff support services are available and regularly communicated to staff. Renfrewshire Council policies and procedures regards DSE assessments are regularly monitored 				Head of Health and Social Care	Historic	Ongoing
Mitigating / Preventing Actions Planned				Assigned to	Date	Status
<ul style="list-style-type: none"> Monthly review of training compliance 				SMT	Review October 2021	Ongoing

RSK16 Delivery of Addictions Support in Renfrewshire									
Risk Code	Risk Statement	Owned by	Risk Description	Previous Likelihood Score	Previous Impact score	Previous Evaluation			
RSK16	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 related deaths within the area.	SMT	<p>The National Records of Scotland recently published the drug related death figures for 2020 and in Renfrewshire 67 people sadly lost their lives. This is an increase of 49% compared to 2019. Every life lost because of drug or alcohol harm is a tragedy.</p> <p>Statistics show that around 66% drug deaths are individuals not known to services or in treatment at time of death. Partners across Renfrewshire 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 review existing strategy and plans to ensure that those at risk can be reached and supported as early as possible to prevent drug related deaths in future.</p>	NA	NA	NA			
Category				Current Likelihood	Current Impact	Current Evaluation			
Strategic				04	04	16 Moderate			
Movement				New					
Risk Management Approach				Treat with ADP					
Mitigating / Preventing Actions Complete or Ongoing				Assigned to	Date	Status			
<ul style="list-style-type: none"> Completion of the review of 2019 drug deaths with Renfrewshire The implementation of a recovery hub Extended distribution of Naloxone Working with Peer Navigators Use of Near Me to encourage engagement Extended access to residential rehabilitation services. Close collaboration with colleagues from the emergency department at the RAH following near fatal overdoses. Ensure that rapid restart of treatment is available following relapse. Adopted an assertive outreach approach for service users. Have a clear pathway in place for those who are released from prison. Developing and implementing the Drug Deaths Prevention Action Plan Continuing to implement the recommendations of the Alcohol and Drug Commission 				ADP Head of MH, LD and Addictions	Review November 2021	Ongoing			
Mitigating / Preventing Actions Planned				Assigned to	Date	Status			
<ul style="list-style-type: none"> A review of the 64 drug deaths to be completed to understand contributing factors A review of plans needs to be undertaken with the ADP Multiagency review and discussions required regards further actions needed (session being scheduled) Updated figures on drug deaths to be received quarterly rather than annually to support quick review and identification of learning for partner organisations 				ADP Head of MH, LD and Addictions	Review November 2021	Ongoing			

RSK17 COP26 impact on HSCP or partner service delivery									
Risk Code	Risk Statement	Owned by	Risk Description	Previous Likelihood Score	Previous Impact score	Previous Evaluation			
RSK17	There is a risk that HSCP and partner organisations may experience some service disruption due to the COP26 event due to take place in Glasgow in Oct/Nov 2021.	SMT	<p>COP26 will take place in Glasgow from 31 October to 12 November 2021, with an expectation that some delegate and required staff may start to arrive in the area from the 25 October. The event is planned for 30k delegates, 140 VVIP's and potentially up to 500K protestors arriving in the city and surrounding areas therefore having potential impacts on all GGC HSCP's.</p> <p>Such impacts include:</p> <ul style="list-style-type: none"> Potential for hospital / site visits for treatment by VVIP's, delegates and protestors Road closures and congestion impacting the flow of patients, service users, staff, and goods/equipment Potential for Terror, Security and or Cyber events Potential for the spread of flu, COVID and other viruses due to thigh numbers of visitors 	NA	NA	NA			
Category				Current Likelihood	Current Impact	Current Evaluation			
Operational				04	04	16 Moderate			
Movement				New					
Risk Management Approach				Treat					
Mitigating / Preventing Actions Complete or Ongoing				Assigned to	Date	Status			
<ul style="list-style-type: none"> The resilience group continues to meet every two months and there is a small working group liaising regards the planning and management of impacts from COP 26. These are being shared through various fora Business Continuity plans have been updated across GGC and the HSCP network. Reviews underway on RHSCP BCP plans and winter planning. Work is ongoing with many groups and bodies to ensure the event planning is as robust as possible and potential risks are mitigated. Work with accommodation providers underway (all HSCP councils advised of potential for homeless and emergency accommodation to be impacted) Work with Public Health Scotland undertaken regards outbreaks of COVID or other aspects. Further training provided to GGC staff in preparation Major incident and mass casualty plans reviewed and updated. Site escalation and Hospital decontamination plans reviewed and updated. 				Working groups across the HSCP network and NHS GGC Resilience Planning	Review end September 2021	Ongoing			
Mitigating / Preventing Actions Planned				Assigned to	Date	Status			
<ul style="list-style-type: none"> As above, ongoing 									

ISS01 Issues regards attracting & retaining staff									
Issue Code	Issue Statement	Owned by	Issue Description	Previous Impact score	Previous Evaluation				
ISS01	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	<p>It has become increasingly difficult to attract and retain the right staff for various roles across the HSCP.</p> <p>A number of services are now experiencing significant challenges with recruitment due to the following:</p> <ul style="list-style-type: none"> 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. Varying rates of pay and conditions across HSCPs A general shortage locally and nationally for specific roles, exacerbated by current retention challenges in services such as District Nursing. 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. 	N/A	N/A				
Category				Current Impact	Current Evaluation				
Operational				05	Extreme				
				Movement					
				New					
				Issue Management Approach					
				Treat					
Mitigating and Recovery Actions Complete				Assigned to	Date	Status			
<ul style="list-style-type: none"> HR & 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) Implementation of alternative recruitment routes where possible in agreement with HR & OD Development of interim workforce plan 2021-22 				HSCP SMT	Review November 2021	Ongoing			
Mitigating / Recovery Actions Planned				Assigned to	Date	Status			
<ul style="list-style-type: none"> Winter planning – 3 month forward plan to ensure adequate staffing and contingency Independent Providers – collaborative working with Primary Care and cluster support for GP practices / services. Creation of an integrated workforce plan for 2022 to 25 to support longer term planning and decision making. 				HSCP SMT	Review November 2021	Ongoing			