NHS Forth Valley

Falkirk Council

Title/Subject:	**Strategic Risk Register**
Meeting:	**Integration Joint Board**
Date:	**07 October 2016**
Submitted By:	**Chief Officer**
Action:	**For Decision**

1. INTRODUCTION

1.1 The purpose of this short report is to provide Integration Joint Board members with a revised Strategic Risk Register (SRR), at Appendix 1, for approval.

2. RECOMMENDATION

Integration Joint Board members are asked to:

2.1 approve the update of the Strategic Risk Register at Appendix 1

2.2 review the Strategic Risk Register as part of the Integration Joint Board's broader governance arrangements (including performance and audit reviews)

2.3 note that, whilst assurance can be provided that the Strategic Risk Register reflects current risks, the risk landscape and governance structures are still developing, and therefore, the Strategic Risk Register will continuously evolve

2.4 note that as agreed in June 2016 the Strategic Risk Register now includes:

a) Inherent (Current) Risk (after current mitigation / controls)
b) Net (Target) Risk (after additional mitigation /actions)
c) Progress and Timescales for completing mitigation / additional actions with Lead Officers to develop these further

2.5 note that IJB Risk Management Training will take place on 4 November 2016, as part of the IJB's Development Programme, and it will include broad proposals for embedding the IJB's Risk Management Strategy and risk culture over the medium to long term.

3. BACKGROUND

3.1 The Integration Joint Board approved the Risk Management Strategy in March 2016, and an initial Strategic Risk Register in June 2016.

3.2 The Lead Officers for each risk have reviewed and updated their information.

3.3 The Strategic Risk Register is the mechanism for assessing and monitoring the Integration Joint Board's strategic risks, i.e. the risks to achieving the Integration Joint Board's Strategic Plan and Local Recovery Plan.

4. CONCLUSIONS

4.1 The Strategic Risk Register (at Appendix 1) outlines the key risks to achieving the Integration Joint Board's Strategic Plan and Local Recovery Plan; though the risk landscape and governance structures will continuously evolve.

Resource Implications
The delivery of the Strategic Plan, and effective management of the associated risks, will be dependant on the continued resource commitment of partner organisations.

Impact on Integration Joint Board Outcomes and Priorities
The key risks are failure to effectively identify and manage the risks to achieving the outcomes and priorities detailed within the Integration Joint Board's Strategic Plan and Local Recovery Plan.

Legal & Risk Implications
The key risks are failure to effectively:

1. implement the Risk Management Strategy effectively.
2. identify and assess risks to delivering the Integration Joint Board's Strategic Plan and Local Recovery Plan.
3. meet the commitments made within the Integration Scheme.

Consultation
The Strategic Risk Register has been developed through consultation with the Chief Officer, Forth Valley Programme Board, and Joint Management Group.

Equality and Human Rights Impact Assessment
None.

Exempt reports
None.

_____
Approved for Submission by: Patricia Cassidy, Chief Officer

Authors - Hugh Coyle, Corporate Risk Co-Ordinator, Falkirk Council, and
         Gail Caldwell, Pharmacy Director, NHS Forth Valley

Date: 16 September 2016

List of Background Papers:

*1. Risk Management Strategy, March 2016
Strategic Risk Register, June 2016*

APPENDIX 1: FALKIRK HEALTH & SOCIAL CARE PARTNERSHIP'S STRATEGIC RISK REGISTER

Risk Title / Description	Inherent (Current) Risk (after current mitigation / controls)	Net (Target) Risk (after additional mitigation /actions)	Lead Officer
SHORT-TERM PRIORITIES: SIGNIFICANT INTEGRATION UNCERTAINTIES / CHALLENGES			
1. Financial Stability and Commissioning (including sustainable capacity across all sectors, and co-location / sharing of teams and assets)	High	High	**Chief Finance Officer**
Risks			
a) Current projected overspend within in-scope social care services of c£2.0m			
b) Delivery of 16/17 saving programmes			
c) Full year effect of implementing Living Wage			
d) Delivery of the relevant elements of NHS Scotland Outcomes Framework within reduced resources			
e) Continued uncertainty relating to some Scottish Government allocation where the delivery of outcomes will lie within functions delegated to the IJB			
f) Delivery of Alcohol and Drug services within reduced financial envelope			
g) Potential recurrent shortfall relating to investment of Partnership Funding Streams			
h) Implementation of major service redesign and significant service change			

Current Controls and Additional Actions (including mitigation and response)	Target Date	Progress
a) Establish leadership group and agree membership and terms of reference	30 April 2016	• Complete • Remit evolving and subject to further review
b) Draft Financial Recovery Plan for IJB for approval on 3 June 2016	03-Jun-2016	• Complete
c) Establish financial reporting arrangements including operational reporting to Chief Officer and quarterly reporting to IJB based per terms of Integration Scheme	30 June 2016	• Complete • First report to 5 Aug IJB
d) Establish savings monitoring arrangements	30 Sept 2016	• 1st Stage Complete • Further development required
e) Establish protocols for variations of budgets and directions	31 Oct 2016	• In progress • Linked to financial reporting
f) Monitor Scottish Government and COSLA approach / policy on Living Wage and relationship to IJB	Ongoing	• Ongoing
g) Review and assess deliverability of savings and efficiency programmes	Ongoing	• Ongoing
h) Facilitate an IJB development session on financial issues by 3 June 2016	03-Jun-2016	• Complete • Further sessions to be considered
i) Review and agree relationship with Alcohol and Drugs partnership including financial plan and impact on outcomes.	Ongoing	• Financial Update incorporated with 5 Aug IJB finance report. • Chief Officers invited to ADP
j) Produce and agree evaluation of impact and outcomes form investment of Partnership Funding Streams and agree investment plan for 2016/17 & 2017/18	Ongoing	• Ongoing • Linked to IJB Updates on 5 Aug 2016
k) Develop financial strategy to compliment and support delivery planning that to implement	30 Nov 2016	• Ongoing

	Strategic Plan		• To be incorporated into IJB Business Plan
l)	Examine options and appraisal and prioritisation approaches such as PBMA (Programme Budgeting and Marginal Analysis - a prioritisation tool to aid decision making) and their relevance and applicability to the challenges faced by the partnership	Ongoing	• Ongoing • Linked to Strategic Plan delivery, logic modelling / whole system approach and IJB Business Plan. Possible support via iHub

2. **Leadership, Decision Making and Scrutiny** (including effectiveness of governance arrangements and potential for adverse audits and inspections)	High	High	**Chief Officer**

Risks

Failure to establish effective governance structures and to implement them effectively. This could result in failing to comply with legislation and inability to deliver Strategic Plan outcomes, and criticism by audit and inspection bodies

Current Controls and Additional Actions (including mitigation and response)	Target Date	Progress
a) Governance Framework has been established – currently in implementation phase	Dec 2016	• Governance work stream completed key actions on work plan on schedule • Outstanding action re scheme of delegation proposal included in October IJB papers
b) Establish clear joint management structure arrangements	Dec 2016	• Leadership Group established and has been meeting since April 2016 • Extended arrangements outline in paper to October IJB meeting

3. **Performance of the IJB**	High	Low	**Performance Work Stream Lead**

Risks

Failure to implement the Performance Management Framework and thus:
a) assure the IJB of progress with the delivery of the Strategic Plan
b) achieve the legislative requirements in terms of monitoring against the National Outcomes and Core Indicator set

Current Controls and Additional Actions (including mitigation and response)	Target Date	Progress
a) Maintain Performance Management Work Stream to drive forward Framework implementation	To Be Confirmed	To Be Confirmed
b) Ensure clarity of key priorities within Strategic Plans to ensure focus for the IJB in performance assessment		
c) Ensure proportionality & use of data wisely		
d) Work closely with Strategic Planning Group and influence development of realistic measurement		
e) Minimise duplication and bureaucracy to make performance management and reporting meaningful and realistic		
f) Further develop Covalent and use of shared portal to ensure a consistent approach and minimise multiple entry and manual data capture		

MEDIUM-TERM PRIORITIES: HIGH RISKS, BUT ARE CURRENTLY WELL MANAGED BY PARTNERS			

4. Culture / HR Management / Workforce Planning (including developing culture, behaviours, and values; sustainable change skills / capabilities, and absence)	High	Low	HR Work Stream Lead

Risks

a) The lack of a consistent approach across all partners to workforce planning for the in scope workforce is a potential risk
b) Change can unsettle staff and impact on levels of performance: potential that performance reduces, mistakes are made, and absence rates increase
c) Negative impact on industrial relations as a result of inadequate communication/ consultation
d) Recruitment, retention, and the need to build multi-disciplinary teams

Current Controls and Additional Actions (including mitigation and response)	Target Date	Progress
a) Workforce Group in place to monitor all workforce and ensure implementation of workforce activity	Review Monthly	Workforce Strategy and OD Plan are in place.

The Workforce Group meets monthly and their agendas' include a review of progress with the OD Strategy, OD Plan, and risks. |
b) Workforce Group reports to Programme Board		
c) Workforce Strategy in place		
d) OD Plan in place		
e) Chief Officers attend workforce meetings		

5. Experience of a) Service User and b) Unpaid Carers (including engagement, feedback, and complaints. Key challenges: measuring and evidencing change)	High	High	Participation and Engagement Work Stream Lead

Risks

a) Fail to engage adequately and fully with stakeholders, in particular those harder to reach groups
b) Fail to adequately plan and delivery services as a result of limited communication, engagement and participation with stakeholders
c) Fail to take into account the needs of stakeholders
d) Fail to have identified lead who can develop and follow through Participation and Engagement Strategy

Current Controls and Additional Actions (including mitigation and response)	Target Date	Progress
a) Service users, carers, staff and the Third sector are members of the Integration Joint Board and the Strategic Planning Group	Complete	Membership of the group is in line with legislative requirements
b) Participation and Engagement Strategy in place – and an Action Plan is being developed	Dec 2016	Group mapping not current and will develop activity action plan
c) A range of communication arrangements are in place including staff newsletters, articles in the Falkirk News, local newspapers, Health and Social Care web-pages		
d) IJB report template includes sections on Consultation and Equalities Assessment, which ensures that the Board are aware of the extent of this is any reports where decisions are being taken	Ongoing	
e) Equality and Poverty Impact Assessment will be completed where required	Ongoing	
f) Equality Outcomes and Mainstreaming Report produced	April 2017	Report completed and will be reviewed and refreshed in April 2017
g) A range of mechanisms and groups are in place to enable participation and engagement including staff engagement sessions, Joint Staff Forum, the Older People's Forum, Carers Forum, Community Care Health Forum (CCHF)	Ongoing	
h) Complaints and monitoring reports are produced	Ongoing	Links to Performance Framework
i) Identify Lead Officer for Falkirk Participation and Engagement group	Ongoing	Interim lead identified.

6. a) Information Management and b) Governance (including a) ICT systems / infrastructure; and b) Data protection and data sharing)	High	High	Lead Officer – Information

Risks
a) Lack of clear IJB objectives makes it difficult to develop a Forth Valley ICT Work Plan (including financial / capital planning, risk, and resource considerations)
b) Lack of engagement between IJB Work Streams' - and across all Forth Valley Partners including Police, Fire, and Public Protection officers - means that plans may not be aligned and information considerations may not be fully assessed or addressed
c) IJB has a lack of assurance that partners' Business Continuity Plans reflect the needs of the IJB and Forth Valley partners
The consequences include harm to vulnerable people, legal action – including civil claims, project failures – including time / costs / outcomes / value, reputational damage, criticism by auditors / regulators, inadequate resources - including information assets, funding, and staff, inadequate management of risk - failure to identify, communicate, and mitigate strategic information risks, and inadequate governance – leading to failure to deliver strategic / project / work stream outcomes.

Current Controls and Additional Actions (including mitigation and response)	Target Date	Progress
a) Develop Forth Valley IJB ICT objectives and a Forth Valley ICT work-plan. This should be reflected in each partners' existing Corporate ICT Strategies and take account of the priorities set out within e.g. the IJBs' Strategic Plans, Local Delivery Plans, and the Programme Board's Work Stream plans. Strategic, financial, and resource planning arrangements should also be aligned	To be confirmed	• Joint ICT Technical Work Plan drawn up and being implemented • Proof of Concept Portal Proposal Developed - awaiting funding • Refer to DSP's detailed work plan
b) Review Forth Valley ICT governance arrangements, including consideration of an ICT Program Board, relevant (short life) sub-groups (e.g. data sharing and technology), and self-assessment and audit arrangements. The ICT Program Board should have a clear terms of reference and ensure there is attendance, commitment, and accountability at a strategic level from all partners	To be confirmed	• Technical Sub group of DSP Established. • TOR of DSP established and reviewed. • Annual information sharing assessment reviewed by DSP.
c) The Forth Valley should develop a strategic ICT Risk Register, and progress and risks should be monitored at all meetings	Ongoing Review	• In place - requires more work.
d) Improve engagement and consultation between IJB and other partners' work streams, e.g. – the ICT Program Board should be consulted on information and technology implications before reports to the IJB, Programme Board, and Management Team; and the Program Board should consider all relevant IJB, work-stream, and partner papers	To be confirmed	• Standing item agenda on main DSP • Members of group extended to include PMs
e) The ICT Program Board should ensure that all partners' Business Continuity Plans adequately reflect the needs of the IJB; and partners should provide regular assurance that all plans have been reviewed and tested	To be confirmed	• ICT Programme Board not established – requires discussion

LONG-TERM PRIORITIES			
7. Effective Links with Other Partnerships (e.g. Community Planning, Third and Voluntary sectors, Criminal Justice, and Housing)	High	Low	**Chief Officer**

Risks
There is a risk of lack of cohesive planning between partners. This could lead to ineffective use of staff resources, and potential failure to meet Strategic outcomes.

Current Controls and Additional Actions (including mitigation and response)	Target Date	Progress
Links are currently established with partners, including: a) Criminal Justice Authority (CJA) and Community Planning Partnership (CPP) (note: these are Statutory links) b) Alcohol and Drugs Partnership (ADP) and Public Protection fora c) Third and Independent Sectors – representation as appropriate at IJB and Strategic Planning Group d) Other Integration Authorities – via the Chief Officer and Chief Finance Officer Networks	Ongoing Review	▪ Chief Officer; member of Leadership board of CPP ▪ Chief Officer; member of Community Justice Partnership ▪ IJB Strategic Plan is embedded with SOLD plan and joint planning mechanisms are in place

8. Harm to Vulnerable People / Public Protection / Clinical Care (including patients and Service users, staff and Volunteers, and c) Unpaid Carers)	High	High	**Chief Social Work Officer and Medical Director**

Risks
There is a risk of harm to people, due to the IJB failing to meet its' statutory clinical care, Adult Support and Protection, and public protection duties, which could lead to: a) Death or serious harm to a vulnerable person b) Significant case reviews, prosecution or other legal interventions c) Potential compensation claims external criticism / intervention (e.g. Care Inspectorate or Criminal Justice Authority) d) Reputational damage to the IJB (and individual partners) In the NHS, there are a large number of clinical incidents which have a significant impact on individual's, but good controls are place to mitigate the impact on the NHS. In the Council, there is the potential for harm to vulnerable people despite to have a significant impact on the Council's reputation (even if the likelihood is low and subsequent enquiries establish that the Council were unable to prevent the incident).

Current Controls and Additional Actions (including mitigation and response)	Target Date	Progress
a) NHS Forth Valley Clinical Care Risk and Governance Framework	Ongoing Review	In place and monitored by NHS FV
b) Falkirk Council – Social Work Adult Services risk and governance framework		In place and monitored by Falkirk Council
c) Public Protection Chief Officers' Strategy Group (PPCOSG)		In place and monitored by PPCOSG
d) Clinical & Care Governance Work Stream Action Plan to be developed	Dec 2016	Further information to be provided in next update

9. Self-Management / Independent Living (including the effectiveness of prevention activities and support for unpaid carers)	High	To Be Confirmed	Community Services Directorate, General Manager and Head of Social Work Adult Services

Risks
The risks will be reviewed further between partner organisations

Current Controls and Additional Actions (including mitigation and response)	Target Date	Progress
a) Further development and embedding of Reablement approach in practice	Ongoing	• Multi Agency workshops have been held • A benchmarking exercise has been undertaken to learn from Reablement practice in other Partnership areas • Work is ongoing on development of an Options Appraisal for a Reablement Model
b) Staff development and training	Ongoing	• Staff development workshop has been delivered on Reablement to the Occupational Therapy Forum • A training programme is being developed to support widening assessors' access to items of community equipment
c) Enhancement of scheduled support overnight	Ongoing	• An exercise is underway to research the scope of current unmet demand for overnight support
d) Prevention of Admission to Hospital and enhancing support at other times of increased Health and Social Care need	Ongoing	• ALFY, Closer to Home, Enhanced Community Team and Rehab at Home are in place
e) Ongoing work on Falls preventions	Ongoing	• An implementation group on falls prevention is overseeing work in this area
f) Frailty Pathway	Ongoing	• Further details to be included in next update

10. Service Demand	High	Low	Chief Finance Officer

Risks
There is a risk of a lack of effective demand planning, monitoring, and co-ordination amongst partners. This could result in gaps in resources (including financial, workforce, asset, and information resources) to meet the needs of Service Users. The consequences could include over / under capacity, poor outcomes, harm, financial costs, inefficiency, reputational damage, and criticism by audit and inspection bodies

Current Controls and Additional Actions (including mitigation and response)	Target Date	Progress
Demand planning will need to be embedded within various strategies and work plans - including financial, workforce, asset, information resources, and service planning.	To Be Confirmed	This risk was added to the Strategic Risk Register in October 2016 and further work will be undertaken to assess the risk and develop effective mitigating actions

	ADDITIONAL NOTES
1 **Culture, Values, and Behaviours**	These permeate throughout all risks above. The risk involves failure to appreciate differences and work towards and enabling a shared culture.
2 **Risk Type and Outcomes**	All risks affect multiple National and Local Outcomes. Falkirk Joint Management Group also suggested that Lead Officers may, in future, also want to consider mapping risks to priorities.
3 **Impact / Consequences**	The consequences / impacts of each risk can be multiple – including reputation, harm, and financial. The Risk Scoring Guidance (which will be provided to Lead Officers) should assist in assessing impact.