

Agenda Item 5

Strategic Risk Register



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Falkirk Integration Joint Board Audit Committee

24 September 2021

Strategic Risk Register

For Consideration and Comment

1. Executive Summary

- 1.1 This paper provides an update on the IJB's strategic risk register.
- 1.2 No new risks have been added to the register since the last version presented to the Audit Committee on 18 June 2021.
- 1.3 As a result, there are currently 9 live risks recorded in the register, 7 are currently considered as high risk and 2 as medium risk.

2. Recommendations

The Audit Committee is asked to consider and comment on:

- 2.1 the high level summary of the strategic risk register presented at section 4.1.
- 2.2 the significant operational service pressures are currently being experienced across the Health and Social Care system pertaining to risk 8 (resilience and business continuity) due to the ongoing impact of the pandemic and BREXIT.
- 2.3 the work to develop the format and content of the 2021/22 detailed strategic risk register has been delayed and will recommence in September.

3. Background

- 3.1 Effective risk management is a fundamental aspect of good corporate governance and plays a key role in supporting delivery of the IJB's strategic plan and associated priorities.
- 3.2 The IJB is responsible for implementing a governance framework and system of internal control which is designed to identify, respond to and manage risk. Material risks which cannot be mitigated to an acceptable level are included in and monitored as part of the IJB's strategic risk register.
- 3.3 The strategic risk register is routinely reviewed and updated by the Leadership Group and Audit Committee on a quarterly basis and is presented to the IJB biannually.

4. Strategic Risk Register

- 4.1 9 active strategic risks have been identified for 2021/22 at this stage (7 are considered as high risk and 2 as medium risk) as summarised in the table below

Risk Heading	Lead Officer(s)	Current Risk (with controls)	Target Risk (after actions)	Last Reviewed	Change
1. Funding and /or demographic pressures	Chief Finance Officer	High	High	July 2021	↔
2. Governance arrangements	Chief Officer	Medium	Medium	July 2021	↔
3. Partnerships	Heads of Integration/Senior Service Manager	High	Low	July 2021	↔
4. Capacity and infrastructure	Chief Officer Heads of HR	Medium	Low	July 2021	↔
5. Assurance	Senior Service Manager/Medical Director/CSWO	High	High	July 2021	↔
6. Commissioning	Heads of Integration/ Head of Procurement, Housing & Property	High	Low	July 2021	↔
7. Whole Systems Transformation	Director of Acute Services/Heads of Integration	High	Low	July 2021	↔
8. Resilience & Business Continuity	Heads of Integration/Chief Finance Officer	High	Medium	July 2021	↔
9. Primary Care	General Manager (primary care)	High	High	July 2021	↔

Risk Categories	Delivery of Strategic Plan (Risks 1-4)					
	Performance, Oversight & Quality Control (Risks 5-6)					
	Specific High Level Risks (Risks 7-9)					
Risk Rating Key	no change	↔	reduced	↓	increased	↑

- 4.2 An in-depth review of risk 8 resilience and business continuity is provided below:

- 4.3 The risk that our resilience and business continuity measures are not effective is currently considered high given the significant service disruption, and potential harm to the health and wellbeing of vulnerable groups, that this may cause.

- 4.4 This is set against the backdrop of an unprecedented global pandemic that has required rapid change in the configuration of health and social care services across Scotland. In addition, it is recognised that the impact of long Covid, combined with the unintended consequences arising from the temporary suspension of services and lock down arrangements, will likely require new services to be developed and enhanced support for existing services in the

near future (such as Mental Health, Adult Support and Protection and waiting list backlogs).

- 4.5 We are currently experiencing significant operational service pressures within District Nursing, Residential Care and Home Care due to increased demand combined with short staffing issues due to Covid sickness absence and self-isolation requirements (with some services reporting staff absence rates of 40%). This is exacerbated by a high level of vacancies reported by both internal and external/independent social care Providers.
- 4.6 The number of people currently waiting for packages of care is unprecedented with several Providers operating under business continuity measures and 52% of our older people's Care Homes are currently closed to new admissions due to Covid positive cases. This causes a knock-on effect to planned discharges from Forth Valley Royal Hospital which is also facing similar demand and staffing challenges. At the same time, BREXIT related issues are now beginning to emerge in terms of logistics and supply chain management.
- 4.7 Key actions to mitigate risk and support ongoing resilience are outlined below:
- Expanding our recruitment campaigns to reach a wider audience through use of social media, S1 Jobs, indeed, local press and a recruitment fair in conjunction with Forth Valley College (scheduled for 13th Sept). 10 personal carers appointed in the last week.
 - Support from staff bank hosted by NHS Forth Valley for temporary support for your services
 - Supporting Providers to increase their workforce and enhance productivity by identifying and planning walking runs which enables non-drivers, or staff with no access to a vehicle, to be employed.
 - Establishing the Care Home Assurance and Review Team (CHART) on a permanent basis.
 - Provision of increased intermediate/step down care beds (through a 24-bed block contract with Newcarron Court Care Home and Caledonia Court Care Home).
 - Approval of funding proposals to clear the Psychological Therapies waiting list backlog (via the initial Mental Health Recovery and Renewal Fund allocation).
 - Increasing capacity by reviewing Home Care packages in conjunction with Providers with a view to temporarily reducing support (where clinically appropriate and safe to do so).
 - Support from internal audit through the forthcoming review of *"the impact of Covid 19 on existing business continuity and resilience arrangements, as well as the arrangements for recovery and reconfiguration, including a focus on the review and integration of Health and Social Care Partnership resilience planning frameworks"*.
 - Consideration of alternative ways of working to increase capacity, including equipment and training to enable single handed carers to work more effectively and the potential for aspects of "social support" to be provided by the third sector.

- Ring fencing the forecast underspend against Falkirk Community Hospital to test new and increased models of care and support in the community, including the extension of AHP led support in care settings.
- NHS National Services Scotland and Scotland Excel continue to monitor BREXIT related supply chain issues. Current reports of a global shortage of vials used for blood tests is being kept under review. Advice issued by NHS England to GP Practices to temporarily stop blood tests has not been issued in Scotland.

4.8 Note that work to improve the layout and content of the detailed strategic risk register has been delayed as key staff are required to focus on operational service pressures to ensure core services are maintained safely. The work to review the detailed risk register will recommence in September and will incorporate the recommendations of the recent internal audit review of the IJB's risk management framework. The internal audit review is now complete, and the findings have been issued in draft. The finalised report will be brought to the next IJB audit committee meeting.

5. Conclusions

5.1 9 active strategic risks have been identified for 2021/22 at this stage. These will continue to be subject to regular review as part of the IJB's risk management framework.

Resource Implications

There are no specific resource implications arising from this report. However, it is recognised that the ability to successfully incorporate risk management policies and procedures across the IJB is reliant on the provision of specific support from both Partners in line with the requirements of the Integration scheme. This is facilitated by Falkirk Council's Corporate Risk Co-ordinator and NHS Forth Valley's Corporate Risk Manager.

Impact on IJB Outcomes and Priorities

The ability to effectively respond to and manage risk is critical to the achievement of IJB outcomes and priorities.

Legal & Risk Implications

There are a number of legal and risk implications relating to:

- the potential adverse impact on achievement of the IJB's strategic plan and associated priorities if an effective risk management strategy is not embedded across the organisation
- the ability to meet the requirements of the integration scheme
- Corporate assurance that risks are being managed effectively
- potential financial, operational, and reputational risks to the IJB, Falkirk Council and NHS Forth Valley.

Consultation

The Strategic Risk Register has been developed in consultation with the Senior Leadership Team, IJB Audit Committee, Falkirk Council and NHS Forth Valley.

Equalities Assessment
N/A

6. Report Author

Jillian Thomson, Chief Finance Officer

7. List of Background Papers

N/A

8. Appendices

N/A