

REPORT TO ABERDEENSHIRE INTEGRATION JOINT BOARD - 27 FEBRUARY 2019

ABERDEENSHIRE HSCP RISK REGISTER AS AT JANUARY 2019

1 Recommendation

It is recommended that the Integration Joint Board:-

- 1.1 Acknowledge the content of the Risk Register;**
- 1.2 Comment on the risk levels assigned to the 10 risks and any gaps in strategic risks identified; and**
- 1.3 Note that further work will be taken forward in 2019 regarding the Integrated Joint Board risk appetite policy.**

2 Risk

- 2.1 IJB risk 2 Health & Social Care Policy Alignment – assurance that single Risk Register is in place.
- 2.2 IJB risks 1 to 10 - assurance that this document captures all high level risks

3 Background/Discussion

- 3.1 The purpose of this report is to ensure the Integration Joint Board is updated as to the current status and level of the risks within its Risk Register.
- 3.2 The Integration Joint Board is asked to comment on the risks presented and the risk levels assigned.
- 3.3 Ongoing development work regarding the Integrated Joint Board's risk policy, procedures and appetite policy is underway.

4 Equalities, Staffing and Financial Implications

- 4.1 An Equality Impact Assessment is not required for the Risk Register because its purpose is to record the Integration Joint Board's strategic risks and there will be no differential impact, as a result of the report, on people with protected characteristics.
- 4.2 There are no specific staffing implications arising from this report.

Mike Ogg
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Aberdeenshire HSCP Sector Level Risk Register Summary Report

ID	Risk Title	Description	Objectives (Assurance SV)	Context and/or Impact	Risk Owner	Risk Level (current)	Controls (Assurance SV)	Gaps in controls (Assurance SV)	Action	Last Reviewed
1990	Sufficiency and Affordability of Resource (1)	The resources available to Aberdeenshire IJB will not be sufficient to deliver services according to agreed strategic intentions. The risk that dual financial procedures in relation to procurement, commissioning, budgets reporting etc leads to delay.	Achieve financial balance as year end by executing the Medium Term Financial Strategy 2017-22 Involve SMT and OMT regularly in achieving financial targets Ensure savings target is achieved by all staff Continue to review physical assets to maximise utilisation	Current financial authority in the health and social care system, citing efficiency targets, national political agenda and rising public expectation Regarding quality and availability of provision will impact on the ability to achieve adequately resourced services. Strategic Priorities - 1,2,3,8,10	Coldwells, Adam	High	Rebust financial planning and monitoring via Medium Term Financial Strategy 2017-22 Investment in prevention and early intervention to offset downstream costs Ongoing redesign and modernisation of services and supporting resource	Training for all relevant staff in budget management National policy affects budget available to IJB and the reform ability to plan ahead	Financial Action Plan 2017/18 Medium Term Financial Plan Ensure implementation of Medium Term Financial Strategy	22/11/2018
2267	Health & Social Care Policy alignment (2)	Some national and local policies in health and social care are not well aligned leading to contradictory strategic direction	Within legislative and policy frameworks, achieve sustainable, positive health and social care outcomes for people living in Aberdeenshire Work in partnership with the third sector, communities, individuals who use services and the workforce to achieve objectives above within legislative and policy guidelines	Health Policy and Social Work legislation limits the scope for services etc to be shaped locally. Aligning local and national policy may affect the prioritisation/investment which the IJB might apply locally. Strategic Priorities - 4,5,6,7,8,9	Coldwells, Adam	Medium	Contribute to national consultations when policy and legislation is being created Lobby national politicians to influence policy direction Undertake ongoing "horizon scanning" to identify national strategic direction through engagement of local and national politicians, NHS Board non-executive members and officers in national networks Explore with other Partnerships appropriate working relationships Performance measure L2 applies	National policy and legislation is outwith the direct control of the IJB		14/01/2019
1991	Workforce capacity, recruitment, development & staff empowerment (3)	Workforce is insufficient in numbers and skill to deliver all services strategically planned Risk of failure to create and sustain a supportive and empowering organisational climate and culture Risk of not being the employers of choice National and local shortage of key posts eg GP's, MHOs	There is an annual Aberdeenshire H&SCP Workforce Plan in place which recognises local variation The Aberdeenshire H&SCP Workforce & Training Group meets to agree objectives and actions Recruitment and retention difficulties are managed recognising the impact of the shifting demography The integration agenda is managed to maximise the benefits to patients/clients and to both staff groups Systems are in place to support flexible recruitment, training and development Offer workforce benefits associated with good working conditions and a good work/life balance Maintain professional and productive relationships with Trade Unions Inform and influence higher education establishments	Recruitment to some posts nationally and locally due to training, economic and rurality factors Perception of central bias in relation to wider opportunities Impacts on our commitment to workforce planning (Matter/Dignified Workplace, Healthy Working Lives etc) Strategic Priorities 1,3,10	Coldwells, Adam	High	The Aberdeenshire Workforce Plan is updated annually The Aberdeenshire H&SCP Workforce and Training Group meets to agree and monitor actions The Aberdeenshire Partnership Forum meets regularly The Integrated Staff Partnership Group meets regularly A range of recruitment methods are used Regular interaction with higher education establishments to inform courses/numbers etc Approach to staff empowerment & improving staff wellbeing will support improved performance measures L21A, 21B, 41 apply	Some national contracts are outwith our control eg GP contracts The economic situation in NE Scotland is volatile and outwith our direct control Sustainability of posts funded with short term monies posts and sustain staff in posts is difficult to manage	Aberdeenshire H&SCP Workforce Plan GP Practice Risks	15/01/2019
1989	Business Continuity arrangements are fully integrated and harmonised with other control measures (4)	Business continuity arrangements and related plans are fully integrated, tested and harmonised with data legislation, Care for People, CONTEST, organisational resilience, occupational health, fire safety, manual handling, HAI, H&S, governance and winter planning arrangements.	Business Continuity and related plans and arrangements are in place, staff are trained and plans tested Related plans harmonised to ensure response arrangements are robust	Patient and staff safety and organisational resilience A wide range of legislation and guidance applies	Wood, Angie	Medium	Aberdeenshire H&SCP Resilience Group meets regularly to review plans and exercise Aberdeenshire Care of People Group meets regularly Aberdeenshire H&S Group meets regularly & has a detailed action plan Aberdeenshire Clinical Governance Group meets regularly & has a detailed action plan A data control group prepares necessary processes and procedures, such as the Information Sharing Protocol Staff undertake mandatory training in all business continuity and data protection areas	Further work required on cross system planning Agreed programme of testing underway	Adult Protection Action Plan Continue to implement in Aberdeenshire the Children & Young People's Act	04/10/2018

APPENDIX 1

ID	Risk Title	Description	Objectives (Assurance SV)	Context and/or Impact	Risk Owner	Risk level (current)	Controls (Assurance SV)	Gaps in controls (Assurance SV)	Action	Last Reviewed
1590	Risk of not adequately involving and engaging with our patients/clients, the public, staff and partners (5)	Risk of failing to ensure public and patients are FULLY informed in a way relevant to their needs Risk of not adequately ensuring all plans, programmes and services demonstrate active and meaningful involvement Risk of not sufficiently embedding a culture of genuine partnership in all services Risk of people not taking ownership for their own health and wellbeing and therefore helping to develop community solutions Risk of not fully engaging with all third sector partners in planning, developing and reviewing services across Aberdeenshire	To ensure Locality Plans are developed involving local people To ensure staff, Partnership, Trade Unions, partners and communities are consulted on strategy, service change etc To ensure that full public engagement processes are used when any service change is proposed To achieve equitable public representation across Aberdeenshire, taking into account age, gender etc To ensure the Aberdeenshire Hi&SCP Intranet/Internet is up to date	People may not see the importance of changing their health behaviour until they become ill and often choose not to engage in personal and community solutions as a result. Some areas/societal groups have a higher degree of involvement than others. Key links with community planning, third sector and technology Strategic Priorities - 1,6,7,8	Ogg, Mike	Medium	Resource invested in preventative work and in actively building community capacity (PFI), Scottish Health Council and Community Engagement Guidance is followed The Communications Group plans internal/patient/public involvement and reports appropriately All relevant topics are taken to the Hi&SCP Partnership & Staff fora Performance measures L20.31.2,2.3.3,34,35,38,39,40 apply	It is difficult to influence and measure change in public beliefs/attitude on wellbeing and health & social care services	Link Communication Sub Group to Integration Agenda Reinvigorate Communications Sub Group Public Engagement Plan	22/11/2018
2296	Working effectively with Partner organisations (6)	There is a risk that Aberdeenshire IJB does not work effectively with its parent organisations, the third sector, other partners, and the commercial sector to maximise opportunities and resource utilisation	Continue to develop shared agreements based on the Christie principles Maintain effective communication mechanisms through a variety of routes Align strategic plans and market these effectively Continue to ensure the CE of the 3rd sector interface is a member of the IJB, Strategic Planning Group etc	The IJB requires constructive joint working in order to offer choice to people and have sufficient capacity to deliver services. Achieving significant change across all sectors, with all working towards the same objective, is a very considerable leadership challenge. The IJB requires partners to work together so that resources - funding and workforce - are optimised. Strategic Priorities - 1,2,6,10	Coldwells, Adam	Medium	3rd sector and partner organisations are actively involved in the IJB and related meetings/events etc	Partner organisations may have different political or work priorities in other areas, that may conflict with the IJB's strategic intentions		15/11/2018
1975	Child, Adult and Public Protection (7)	There is potential for harm to occur if the Hi&SCP does not adequately provide for the legislative arrangements (Adult Support & Protection (Scot) Act 2007) to meet the needs of vulnerable adults who are at risk. Child and adult services must work together effectively to ensure children are protected from harm. Inadequate Public Protection arrangements exacerbate this risk. The public may be at risk if MAPPA is not followed and cross agency work is ineffective.	Working in partnership, carry out duties described under the Act, including inquiries and protection orders. Ensure that actions agreed by the Aberdeenshire Adult Protection Committee are taken forward Provide reporting in line with Scottish Government requirements Implement requirements of Children & Young People (Scotland) Act. Work with all key partners to look at ways of addressing and supporting this, including Police Scotland, Housing, Anti-Social Behavioural team, Social Protection, Care Management, Substance Misuse, Learning Disabilities, Legal Services. We also continue to work in a person centred way addressing each issue as it arises to ensure our most vulnerable are protected and supported the best we can.	Potential adverse impact on public's view and confidence in the Hi&SCP's role. Breach of legislative requirements set out in Adult Support & Protection (Scot) Act 2007; national child protection guidance, Named Person - Children & Young People (Scotland) Act 2014, GIRFEC etc. Integration of health & social care means adult and child services are managed separately - adult behaviour being the biggest contributor to child harm Strategic Priorities - 4,7	Ogg, Mike	Medium	The Aberdeenshire Adult Protection Network coordinates all activity and ensures consistency and quality assurance Approx 100 staff are trained & supported as Adult Protection Council Officers The Grampian Interagency Policy & Procedures for the Support & Protection of Adults at risk of Harm establishes a consistent framework The development of a formal mechanism for the CSWO & SLT to share information and agree approach Increased use of skill mix to address critical situations in child services Mandatory staff training for child protection for appropriate roles Adverse incidents systematically reviewed Performance measures L01 & L02 apply	Adult Protection Action Plan. Continue to implement in Aberdeenshire the Children & Young People's Act. Work with Partner Agencies to support vulnerable adults in the Fraserburgh area.	04/10/2018	
1589	Risk of failure to deliver standards of care expected by the people of Aberdeenshire in the right place at the right time (8)	Risk of failure to provide safe, effective, sustainable services built around people Risk of failure to maximise opportunities arising from integrated working Risk of failing to modernise services to improve outcomes	Work closely with key care partners including the third and private sectors to develop integrated services for the people of Aberdeenshire To deliver person centred anticipatory care Work closely cross-system to improve care for the people of Aberdeenshire Support the development of services closer to home by working collaboratively with secondary care colleagues in shifting the balance of care Ensure that the Scottish Patient Safety Programme and Care Commission requirement are embedded in all services, with a particular emphasis on inspections and action plans	Services are managed operationally via the OMT & SMT. The IJB will be accountable for the strategic and service achievements. Strategic Priorities - 2,4,5,8,9	Coldwells, Adam	Medium	Aberdeenshire Performance Management Framework is in place and being measured Clinical Quality Indicators/Local Inspections/Audits/Variation management/Risk Plan/Complaints process all in place Managers have ongoing training in performance management and are skilled in staff management Benchmarking is undertaken Eligibility criteria are in place Performance measure L03.04.05,07,08,09,11,13,14,15,25,26,27,28,29,30,36,37,43,47 applies	The are separate professional governance standards, which though complex are not contradictory	Continue to implement in Aberdeenshire the Children & Young People's Act	08/03/2018

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2389	Service and business transformation (9)	There is a risk that the H&SCP does not deliver the transformational change needed through the 4 work streams which will effect how services are planned, managed and delivered and fit for the future.	Strategic service change delivered operationally through 4 Work Streams in line with Strategic Plan & within identified resources. Robust governance arrangements in place to manage delivery of projects & monitor use of identified funds Locally driven, sustainable services with staff & public engagement & involvement.	Significant demographic change & increasing pressure on resource means current models of service delivery are unsustainable. The Government has set clear direction for integration and how care should be delivered. Local challenges & opportunities to deliver this change whilst ensuring staff & public are informed, supported & empowered.	Dgg, Mike	Medium	Each Work Stream led by identified Partnership Manager Work Stream plans are supported by under planning groups/project plans with identified lead Reporting structures in place to provide assurance to UB & ensure clarity/ transparency in decision making & communication processes Various mechanisms for staff engagement & public engagement & involvement are being employed to support understanding of need for change & enabling input to the process of service redesign & transformation Locality based approach to service planning	Projects progressing at different rates depending of available capacity & resource. Current service planning assumptions may be impacted by continued demographic, political or other change outside H&SCP's control	Implementation of Work Programme - Reshaping Care at Home Implementation of Work Programme - Enabling Health & Wellbeing Implementation of Work Programme - Facilitating Shared Ownership & Engagement Implementation of Work Programme - Safe, Effective & Sustainable	15/01/2019
2539	Brexit (10)	There is a risk to continuity of services arising from the uncertainty regarding the arrangements for the withdrawal of the UK from the European Union in March 2019	Ensure Aberdeenshire H&SCP are aware of the impacts of Brexit options and contingencies are in place	The main areas of potential impact are to staffing, pharmaceuticals, regulation, fuel and cross border issues	Codwells, Adam	Medium	Initial operational assessments have been undertaken by parent organisations An Aberdeenshire H&SCP wide meeting is scheduled to provide assurance as to potential impacts	Lack of clarity as to UK/Scottish position regarding supply chain and medicines Lack of clear position for EU staff both current and future affecting workforce	Resilience Action Plan 2017/18	22/11/2018

