

REPORT TO: HEALTH AND SOCIAL CARE INTEGRATION JOINT BOARD –
30 AUGUST 2016

REPORT ON: HIGH LEVEL RISK REGISTER

REPORT BY: CHIEF FINANCE OFFICER

REPORT NO: DIJB35-2016

1.0 PURPOSE OF REPORT

The purpose of this report is to propose a high level risk register for the Integration Joint Board and to note that work is continuing to prepare an integrated operational register of risks with accompanying reporting arrangements.

2.0 RECOMMENDATIONS

It is recommended that the Integration Joint Board (IJB):

- 2.1 Agrees the proposed high level risk register as noted in appendix 1
- 2.2 Remits to the Chief Finance Officer to bring to the IJB an integrated operational risk register and business continuity plan for operational IJB functions.

3.0 FINANCIAL IMPLICATIONS

There are no financial implications arising from this report.

4.0 MAIN TEXT

- 4.1 The Dundee Health and Social Care Integration Scheme (the Integration Scheme) contains a commitment between the Integration Joint Board, Dundee City Council and NHS Tayside to develop a shared risk management strategy. Dundee Integration Joint Board agreed to adopt such a strategy at its meeting on the 4th May 2016 (Report DIJB22-2016 – Risk Management Policy and Strategy.)
- 4.2 The Risk Management Policy and Strategy Report set out a requirement to develop a risk register for the IJB to be brought back to the IJB for approval. The presentation of this high level risk report is the first step of this process.
- 4.3 In risk management terms there is a requirement to ensure that risk ownership is assumed from a top down approach. A corporate risk or strategic risks register records and monitors the overarching thematic risks faced by the corporate body responsible for the delivery of the service functions. There are fewer risks identified in this high level risk register as the corporate body (i.e. the IJB) will provide the strategic support and commitment required to mitigate against these. The proposed high level risk register is set out in appendix 1. It is important to note that the list of risks identified describe situations which may arise that could impact on the functions of the IJB rather than scenarios which have actually happened to date. In addition, the impact of control actions over time will see a reduction in these risk levels presented.
- 4.4 It is acknowledged that this is a starting point in relation to identification and management of high level risk and this will evolve as the IJB's understanding of the risks it faces matures. The presentation of these and the more detailed risk register will be developed in line with the overarching Risk Management Policy and Strategy throughout the course of the year.

- 4.5 An operational risk register allows the IJB to be assured that frontline service delivery risks are monitored and mitigated against by the appropriate member of the service. Operational risks are defined within the Risk Management Policy and Strategy as:

“Operational risks represent the potential for impact (opportunity or threat) within or arising from the activities of an individual service area or team operating within the scope of the IJBs activities. Parent bodies and the IJB will share responsibility for managing operational risks and the development of activities and controls to respond to these. Where a number of operational risks impact across multiple services areas or, because of interdependencies, require more strategic leadership, then these can be proposed for escalation to ‘strategic risk’ status as above.”

- 4.6 The operational risks will be required to be supported either by or within a Business Continuity Plan in line with the risk requirements for delivery of services. There are currently operational risk registers in place for Dundee City Council social care services and NHS Tayside services and these require to be integrated to reflect the nature of joint working within the Health and Social Care Partnership. The development of the integrated operational risk register will be taken forward by the Head of Service, Health and Community Care to ensure operational ownership and management of the identified risks and actions identified to mitigate these. This development will include recognition of the role of Clinical, Care and Professional Governance in assessing these operational risks thoroughly. In addition, the assessment of risk will form part of a collaborative approach across the three Tayside IJB’s to test various governance scenarios and risk arrangements associated with the creation of the IJB’s.
- 4.7 The high level and operational risk registers will be subject to scrutiny annually through the IJB’s Performance and Audit Committee with regular reports brought to the IJB as set out within the Integration Scheme. The operational risks will be monitored and reviewed regularly at a management team level within the Health and Social Care Partnership. The NHS DATIX system will assist in ensuring these risks are owned and managed accordingly.

5.0 POLICY IMPLICATIONS

This report has been screened for any policy implications in respect of Equality Impact Assessment and Risk Management. There are no major issues.

6.0 CONSULTATION

The Chief Officer and the Clerk were consulted in the preparation of this report.

7.0 BACKGROUND PAPERS

None.

Dave Berry
Chief Finance Officer

DATE: 5th August 2016

Appendix 1

Ref	Risk Type	Description of Risk	Risk Owner	Initial Risk Level				Control Actions	Current Risk Level			
				Likelihood	Consequences	Risk Ranking	Risk Level		Likelihood	Consequences	Risk Ranking	Risk Level
1	Financial	Continuing restrictions on public sector funding will impact on Local Authority and NHS budget settlements in the medium term impacting on the ability to provide sufficient funding required to support services delivered by the IJB. This could lead to the IJB failing to meet its aims within anticipated timescales as set out in its Strategic Plan.	Chief Finance Officer	5	4	20	Very High	- Budget negotiations with the local authority and NHS Tayside to ensure a fair and proportionate share of resources - Continuing development of IJB transformation programme to deliver service efficiencies	4	4	16	Very High
2	Financial	IJB is unable to maintain spend within allocated resources which could lead to being unable to deliver on the Strategic Plan	Chief Finance Officer	5	4	20	Very High	- Development of robust financial monitoring systems to highlight key pressure areas and enable action to be taken at an early stage - The Integration Scheme details the actions to be taken in the event of a projected overspend and the contingency arrangements should these actions be insufficient	4	4	16	Very High
3	Workforce	The volume of staff resource required to develop effective integrated arrangements while continuing to undertake existing roles / responsibilities / workload of key individuals may impact on organisational priorities and operational delivery	Chief Officer	4	4	16	Very High	- ensure organisational development strategy is agreed, implemented and monitored - ensure appropriate provision of corporate support from Dundee City Council and NHS Tayside as set out within the Integration Scheme	2	4	8	Medium
4	Workforce	Negative staff perception of integration due to historical experiences and lack of communication will lead to an adverse affect on engagement / buy-in to new partnership	Chief Officer	4	4	16	Very High	- Continued communication disseminated to staff highlighting key issues - Creation of new communication tools, such as graphic animation used to explain the purpose and aims of integrating services to the workforce and general public	3	3	9	Medium
5	Workforce	Differing employment terms could expose the Partnership to equality claims and impact on staff's morale	Chief Officer	3	5	15	High	- Continue to monitor through staff feedback/surveys and align conditions where opportunities present	3	5	15	High
6	Governance	Relevant stakeholders have not been included and adequately consulted with during the development and subsequent implementation of the Strategic Plan which may lead to adverse political and/or reputational impact.	Chief Officer	2	4	8	Medium	- ensure consultation around the development and implementation of the Strategic Plan is as comprehensive as practically possible and compliant with statutory requirements as a minimum - development of participation and engagement strategy which promotes wide stakeholder consultation and engagement throughout the planning, implementation and review cycle - A number of strategic planning events arranged and undertaken to ensure stakeholder engagement and contribution is included in the preparation of the plan	1	3	3	Low
7	Governance	Revised governance mechanisms between the IJB and Partners could lead to increased bureaucracy in order to satisfy the arrangements required to be put in place.	Chief Officer	3	4	12	High	- Continue to monitor - ensure clarity of respective roles of the IJB, Dundee City Council and NHS Tayside - ensure appropriate corporate support provided by Dundee City Council and NHS Tayside - development and testing of a range of governance scenarios to provide clarity over responsibilities	3	3	9	Medium
8	Governance	Clinical, Care and Professional Governance arrangements being established fail to discharge the duties required.	Chief Officer	4	4	16	Very High	- Review of processes established - 'Double running' of existing arrangements while revised structures are established - development and testing of a range of governance scenarios to provide clarity over responsibilities	2	4	8	Medium
9	Governance	Uncertainty around future service delivery models may lead to resistance, delay or compromise resulting in any necessary developments or potential opportunities for improvement not being fulfilled	Chief Officer	3	3	9	Medium	- High-level strategic vision to be articulated. Clear guidance on service development during interim period. - Continued use of co-production training and organisational development of integrated groups of staff	3	3	9	Medium
10	Legal	Amendment of legislation or publication of further guidance from government which conflicts with planning assumptions, requiring decisions already made to be revisited which may lead to further slippage of previously agreed timescales	Chief Officer	3	3	9	Medium	- Continue to monitor	3	3	9	Medium

RISK TOLERANCE MATRIX

				CONSEQUENCES				
				1	2	3	4	5
				Insignificant	Minor	Moderate	Major	Catastrophic
LIKELIHOOD	5	Almost Certain	90%	5-1	5-2	5-3	5-4	5-5
	4	Likely	70%	4-1	4-2	4-3	4-4	4-5
	3	Possible	50%	3-1	3-2	3-3	3-4	3-5
	2	Unlikely	30%	2-1	2-2	2-3	2-4	2-5
	1	Rare	10%	1-1	1-2	1-3	1-4	1-5