

Date	1 December 2021
Agenda Item	7



## Report to Audit, Risk and Governance Committee

**Report Title: High Risks**

**Report By: Chief Officer**

Summary of Report and Implications	
<b>Purpose</b>	This report: (tick any that apply).
	- seeks a decision <input type="checkbox"/>
	- is to provide assurance <input type="checkbox"/>
	- is for information <input checked="" type="checkbox"/>
	- is for discussion <input checked="" type="checkbox"/>
	To inform the Committee of the IJB's high risks.
<b>Recommendations</b>	<p>It is recommended that the Committee:</p> <ul style="list-style-type: none"> <li>• considers the high risks identified, the control measures in place, and the risk actions in progress to mitigate their impact;</li> <li>• makes recommendations it thinks appropriate to the Chief Officer in relation to those risks, controls and actions;</li> <li>• makes recommendations it thinks appropriate to the Integration Joint Board in relation to the risk register and the degree of assurance it provides.</li> </ul>
<b>Directions to NHS Lothian and/or West Lothian Council</b>	A direction is not required.
<b>Resource/ Finance/ Staffing</b>	None.

<b>Policy/Legal</b>	The IJB's Policy is to effectively mitigate risks to the achievement of its objectives by implementing robust risk management strategies, policies and procedures, which enable managers to effectively identify, assess, and mitigate risk.
<b>Risk</b>	Directly relevant. This report sets out the IJB's high risks.
<b>Equality, Health Inequalities, Environmental and Sustainability Issues</b>	The report has been assessed as having little or no relevance with regard to equality or the Public Sector Equality Duty. As a result, an equality impact assessment has not been conducted.
<b>Strategic Planning and Commissioning</b>	Effective risk management is a pre-requisite for good performance and outcomes.
<b>Locality Planning</b>	None.
<b>Engagement</b>	IJB Senior Management Team.

<b>Terms of Report</b>	
<b>1.1</b>	The IJB's Risk Management Strategy requires the Committee to review the IJB's risk register every six months. In between, the Committee asked that the IJB's high risks be reported to its meetings, and this report fulfils that obligation.
<b>1.2</b>	Risks are assessed on the basis of a five by five grid of likelihood and impact, and therefore the lowest possible score is one and the highest is 25. The IJB's high risks are defined as those risks which have a current risk score of 12 or more.
<b>1.3</b>	The IJB currently has three high risks, one more than previously reported. Arising from the IJB meeting on 9 November a risk in relation to care at home has been added as risk IJB009.
<b>1.4</b>	<p>The three high risks are as follows:</p> <ul style="list-style-type: none"> <li>• IJB009 Care at Home (score 16);</li> <li>• IJB007 Sustainability of Primary Care (score 12);</li> <li>• IJB008 Delayed Discharge (score 12).</li> </ul> <p>The risks are set out in detail in appendix one.</p>

<b>1.5</b>	<p>In relation to appendix one:</p> <ul style="list-style-type: none"> <li>• The traffic light icon represents the risk ranking based on the score; these are explained in the table at the start of Appendix 1;</li> <li>• There is a code, title and description for each risk;</li> <li>• The original risk score represents the uncontrolled risk, that is to say the risk without controls in place, and provides an appreciation of the potential impact if controls are absent or fail;</li> <li>• The current risk score represents the current risk, i.e. assuming that current controls are in place and effective;</li> <li>• The internal controls are those processes in place to reduce the risk from original risk score to current risk score;</li> <li>• The risk actions are those measures which are intended to further reduce the current risk. The report only includes those which are in progress. Once marked as complete, risk actions should be included as internal controls and taken account of when assessing the current risk score.</li> </ul>
<b>1.6</b>	The standard risk assessment methodology is attached as appendix two.

<b>Appendices</b>	<ol style="list-style-type: none"> <li>1. IJB High Risks</li> <li>2. Risk Assessment Methodology</li> </ol>
<b>References</b>	Report to Integration Joint Board 9 November 2021: Risk Management
<b>Contact</b>	<p>Kenneth Ribbons, IJB Risk Manager  <a href="mailto:Kenneth.ribbons@westlothian.gov.uk">Kenneth.ribbons@westlothian.gov.uk</a>  01506 281573</p>



## Appendix 1 IJB High Risks

**Report Author:** Kenneth Ribbons




**Generated on:** 19 November 2021 10:11


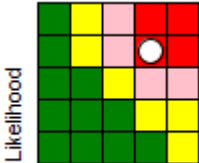
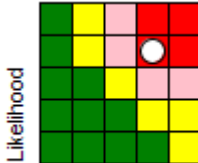
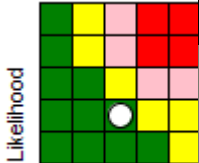
**Report Layout:** .. 12 (previously R09d) Original Score, Current Score, Target Score, Internal Controls with linked actions (outstanding only)


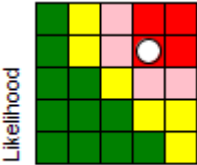
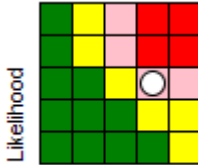
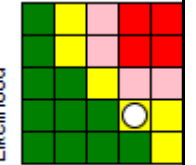


### Key to Risk Scores


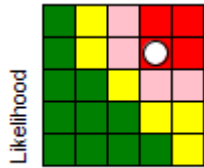
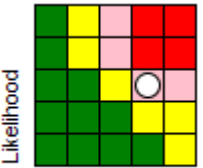
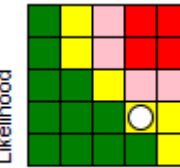

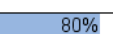
Icon	Score	Meaning
	16-25	High
	12-15	Medium High

### Key to Action Status

Icon	Status
	Overdue
	Approaching Due Date
	In progress

	IJB009 Care at Home	Insufficient supply of care at home to meet service demands arising from lack of availability of carers. This is a national and local issue. The challenges relate to recruitment and retention of care at home staff. This impacts on capacity to deliver care for existing and new service users. Currently this risk is highest in respect of older peoples service. These capacity issues impact on people in the community needing care at home provision and also on capacity to discharge people from hospital where a care at home service is required. ( also noted as risk IJB008) The risk is closely monitored by the Care at Home Oversight Group.									
		Internal Controls:		Weekly care at home oversight group comprising senior staff with analysis of unmet need and additional data to monitor trends, rising demand. Update on the position of each care at home provider in relation to staffing levels and capacity to deliver. Close working with care at home commissioned providers to explore measures to improve the situation and regular provider forums in place. Close links between integrated discharge hub, review team and commissioning team to ensure available resources are effectively managed and make best use of resources we have. Dedicated in box established for providers to allow for the geographic clustering of packages of care to enable providers to exchange packages that no longer fit their runs to create capacity and make them more efficient. Targeted recruitment of health and social care staff to support internal resilience to support external providers where required. Engagement with the Council's Access2Employment Team and arranged targeted meeting with the providers to ensure that the providers have access to national and local employment programmes and associated subsidies and support. Development of plan to utilise additional funds provided by Scottish government to increase care at home capacity, including supportive role of TEC in this. Benchmarking and connections with other local authorities, Scottish Care and Social Work Scotland to identify effective care at home capacity building elsewhere and apply learning where appropriate. Review current care at home framework arrangements to inform the future approach to the commissioning of care at home services.							
Risk Score	Original Risk Matrix	Risk Score	Current Risk Matrix	Risk Score	Target Risk Matrix	Linked Risk Actions		Original Due Date	Due Date	Progress	Description
16		16		6							

	IJB007 Sustainability of Primary Care			There is a risk that GP service provision will be disrupted, restricted or unavailable because of increasing capacity and demand issues as a result of population growth and/or GP practices experiencing difficulties in recruitment, retention or absence of medical staffing leading to significant capacity issues and inadequate and insufficient service provision.							
Internal Controls:				Risk register at HSCP level of all practices identifying vulnerability rating. Programme of support measures developed and available to be tailored to each practices individual circumstances to increase their resilience and maintain service provision. Additional investment to support practices through LEGUP, primary care investment fund. Buddy practice arrangements in place across all practices. Cluster working arrangements established. Primary Care Implementation and Improvement Plan prepared and submitted to the IJB on 26/6/18.							
Risk Score	Original Risk Matrix	Risk Score	Current Risk Matrix	Risk Score	Target Risk Matrix	Linked Risk Actions		Original Due Date	Due Date	Progress	Description
16		12		8		 IJB18011_Ar Implementation of Primary Care Improvement Plan 2018-2021		30-Sep-2021	31-Mar-2022		Phased investment and improvement plan to support implementation of the new 2018 GMS contract with focus on development of new roles and professionals within the wider Primary Health Care Team, transfer of vaccination services and development of community treatment and care centres, development of mental well-being hubs, use of technology and support of leadership development of GP and practice teams.

	<b>IJB008 Delayed Discharge</b>	There is a risk that patients are not being discharged in a timely manner resulting in suboptimal patient flow, impacting on poor patient and staff experience and poorer outcomes of care.									
<b>Internal Controls:</b>		Community health and social care teams working with discharge hub to facilitate timely discharge; daily MDT meetings Frail Elderly Programme to take forward key actions designed to improve performance Care at Home contract in respect of adequate supply and responsiveness of provision National Care Home Contract in respect of adequate supply of provision Contract monitoring procedure Regular reports to Contracts Advisory Group Regular meetings with providers and Scottish Care Review of contract rates Joint Commissioning Plans Close partnership working with St John's hospital and other NHS Lothian colleagues Strategic Commissioning Plan for Older People Quarterly performance reports to Community Care Management Group Monthly performance reports to SMT Performance reports to IJB Single point of access for acute care Integrated discharge hub now operational									
<b>Risk Score</b>	<b>Original Risk Matrix</b>	<b>Risk Score</b>	<b>Current Risk Matrix</b>	<b>Risk Score</b>	<b>Target Risk Matrix</b>	<b>Linked Risk Actions</b>		<b>Original Due Date</b>	<b>Due Date</b>	<b>Progress</b>	<b>Description</b>
16		12		8			IJB19008_Ar Adults with Incapacity	31-Oct-2020	31-Mar-2022		Whilst fewer in number the length of delay can be significant for those requiring guardianship. Review the policy and procedures for Adults with Incapacity to ensure effective decision making supporting use of least restrictive options and coordinate guardianship process where required

			▶	IJB18014_Ar Intermediate Care	31-Dec- 2020	30-Nov- 2021	<div><div>75%</div></div>	Review intermediate care provision and determine future requirements to establish the type and capacity of intermediate care to be commissioned to meet the population needs.
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## APPENDIX 2

### RISK ASSESSMENT METHODOLOGY

#### RISK MATRIX

<b>LIKELIHOOD</b>	Almost Certain 5	5 Low	10 Medium	15 High	20 High	25 High
	Very Likely 4	4 Low	8 Medium	12 High	16 High	20 High
	Likely 3	3 Low	6 Low	9 Medium	12 High	15 High
	Possible 2	2 Low	4 Low	6 Low	8 Medium	10 Medium
	Unlikely 1	1 Low	2 Low	3 Low	4 Low	5 Medium
		Insignificant 1	Minor 2	Significant 3	Major 4	Catastrophic 5
		<b>IMPACT</b>				

## LIKELIHOOD TABLE

Score	Description	Estimated Percentage Chance
1	Unlikely	0-10
2	Possible	10-50
3	Likely	50-70
4	Very Likely	70-90
5	Almost Certain	90-100

Each risk is scored 1-5 for likelihood.

In assessing likelihood consider a three year time horizon and use your knowledge and experience of previous issues, both within the council and elsewhere.

## IMPACT TABLE

Each risk is scored 1-5 for impact. In assessing impact each column is independent. Use the highest score.

<u>Hazard / Impact of Risk</u>	<b>Personal safety</b>	<b>Property loss or damage</b>	<b>Regulatory / statutory / contractual</b>	<b>Financial loss or increased cost of working</b>	<b>Impact on service delivery</b>	<b>Personal privacy infringement</b>	<b>Community / environmental</b>	<b>Impact on Reputation</b>
<b>Insignificant 1</b>	Minor injury or discomfort to an individual	Negligible property damage	None	<£10k	No noticeable impact	None	Inconvenience to an individual or small group	Contained within service unit
<b>Minor 2</b>	Minor injury or discomfort to several people	Minor damage to one property	Litigation, claim or fine up to £50k	£10k to £100k	Minor disruption to services	Non sensitive personal information for one individual revealed / lost	Impact on an individual or small group	Contained within service
<b>Significant 3</b>	Major injury to an individual	Significant damage to small building or minor damage to several properties from one source	Litigation, claim or fine £50k to £250k.	>£100k to £500k	Noticeable impact on service performance.	Non sensitive personal information for several individuals revealed / lost	Impact on a local community	Local public or press interested
<b>Major 4</b>	Major injury to several people	Major damage to critical building or serious damage to several properties from one source	Litigation, claim or fines £250k to £1m	>£500k to £2m	Serious disruption to service performance	Sensitive personal information for one individual revealed / lost	Impact on several communities	National public or press interest
<b>Catastrophic 5</b>	Death of an individual or several people	Total loss of critical building	Litigation, claim or fines above £1m or custodial sentence imposed	>£2m	Non achievement of key corporate objectives	Sensitive personal information for several individuals revealed / lost	Impact on the whole of West Lothian or permanent damage to site of special scientific interest	Officer(s) and/or members dismissed or forced to resign