



**Item No. 12**

**Meeting Date**                      **Wednesday 11<sup>th</sup> December 2019**

**Glasgow City  
Integration Joint Board  
Finance, Audit and Scrutiny Committee**

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**RISK MANAGEMENT QUARTERLY UPDATE**

<b>Purpose of Report:</b>	<p>To provide an update to the IJB Finance, Audit and Scrutiny Committee on the status of the risk registers being maintained within the Glasgow City Health and Social Care Partnership.</p> <p>This report covers the review carried out in October 2019 in respect of changes to risk in the quarter ending September 2019.</p>
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<b>Background/Engagement:</b>	<p>The risk registers maintained within the Partnership are required to be regularly reviewed and updated by the relevant risk owners and risk managers, and reported to this Committee on a quarterly basis.</p>
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<b>Recommendations:</b>	<p>The IJB Finance, Audit and Scrutiny Committee is asked to:</p> <ul style="list-style-type: none"> <li>a) note this report; and</li> <li>b) note the current highest risks on the Integration Joint Board, Social Care and Health Risk Registers.</li> </ul>
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**Relevance to Integration Joint Board Strategic Plan:**

Risks to the delivery of the Strategic Plan are identified in the IJB Risk Register.

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**Implications for Health and Social Care Partnership:**

<b>Reference to National Health &amp; Wellbeing Outcome:</b>	The maintenance of a risk management framework within the Partnership aligns with Outcome 9 (Resources are used effectively and efficiently in the provision of health and social care services).
<b>Personnel:</b>	Risks with a potential impact on staff are identified in the risk registers.
<b>Carers:</b>	N/A
<b>Provider Organisations:</b>	Risks in relation to Provider Organisations are identified in the risk registers.
<b>Equalities:</b>	N/A
<b>Fairer Scotland Compliance:</b>	N/A
<b>Financial:</b>	Risks with a potential financial impact are identified in the risk registers.
<b>Legal:</b>	Risks with a potential legal impact are identified in the risk registers.
<b>Economic Impact:</b>	Risks with a potential economic impact are identified in the risk registers.
<b>Sustainability:</b>	N/A
<b>Sustainable Procurement and Article 19:</b>	N/A
<b>Risk Implications:</b>	Risk implications are detailed in the risk registers.
<b>Implications for Glasgow City Council:</b>	Risk implications to Glasgow City Council are detailed in the Social Care risk register.
<b>Implications for NHS Greater Glasgow &amp; Clyde:</b>	Risk implications to NHS GGC are detailed in the Health risk register.

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### 1. Purpose

- 1.1. The purpose of this report is to provide an update to the IJB Finance, Audit and Scrutiny Committee on the status of the risk registers being maintained within Glasgow City Health and Social Care Partnership.
- 1.2. This report covers the review carried out in October 2019 in respect of changes to risk in the quarter from 1 July 2019 to 30 September 2019.

### 2. Integration Joint Board Risk Register

- 2.1. The Integration Joint Board Risk Register is maintained, updated and reported in line with the Glasgow City IJB Risk Management Policy.
- 2.2. The last quarterly review of this risk register was carried out in **July 2019**.
- 2.3. There was **1** risk on the register where the current risk level decreased since the last quarterly review:

*Ref 0523:* The likelihood of an impact on the IJB due to business support function pressures due to the Cordia transfer has reduced from 'Almost Certain' to 'Likely' and may reduce further. This is due to all mitigation actions being completed and ongoing monitoring now being part of business as usual.

- 2.4. There were **no** risks added to or removed from the register since the last quarterly review.
- 2.5. At the conclusion of the October 2019 review there were **12** 'live' risks on the register, with **1** risk having a current risk level of 'Very High', **5** risks with a risk level of 'High' and **6** risks with a risk level of 'Medium'.
- 2.6. All risks with a current risk level of 'Very High' or 'High' are reviewed every quarter, and these are shown in Appendix A with any recent updates to these highlighted.
- 2.7. Items with a current risk level of 'Medium' or 'Low' can be reviewed less regularly in line with the risk management policy. All of these items were reviewed this quarter.
- 2.8. The next quarterly review of the IJB Risk Register in 2019/20 is scheduled to be carried out in **January 2020**.

### 3. Social Care Risk Register

- 3.1. The Social Care Risk Register is maintained, updated and reported in line with the Glasgow City Council Risk Management Policy and Guidance.
- 3.2. The last quarterly review of this risk register was carried out in **July 2019**.

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- 3.3. There was **1** risk where the current risk level decreased since the last quarterly review:

*Refs 0588:* The likelihood of reduced capacity in Home Care as a result of equal pay settlements has reduced from 'Possible' to 'Unlikely'. This is due to ongoing monitoring continue to highlight that the actual impact is less than was anticipated.

- 3.4. There was 1 risk where the current risk level increased since the last quarterly review:

*Ref 0569:* The likelihood of an ICT system failure increased from 'Possible' to 'Almost Certain' due to the failure of the Home Care system for 13 days that resulted in disruption to service delivery and contingency arrangements being put in place. This increased this risk from High to Very High.

- 3.5. There were **no** risks added to or removed from the register since the last quarterly review.

- 3.6. At the conclusion of the **October 2019** review, there were **32** 'live' risks on the register, with **10** risks having a current risk level of 'Very High', **9** risks with a risk level of 'High', **10** risks with a risk level of 'Medium' and **3** risks with a risk level of 'Low'.

- 3.7. All risks with a current risk level of 'High' or 'Very High' are reviewed every quarter, with the most recent updates to these shown in Appendix A.

- 3.8. Risks with a current risk level of 'Medium' or 'Low' are reviewed less regularly in line with the risk management policy. All of these were reviewed by the risk managers during this quarterly review, and their current risk level was assessed to be accurate.

- 3.9. The next quarterly review of the Social Care Risk Register is scheduled to be carried out in **January 2020**.

## 4. Health Risk Register

- 4.1. The Glasgow City Health Risk Register is currently maintained, updated and reported in line with the NHS GGC Risk Management Policy, and collates the most significant risks as identified in locality and service risk registers. The register was last reviewed in **July 2019**.

- 4.2. There were no risks on the register where the current risk level increased or decreased since the last quarterly review.

- 4.3. All risks with a current risk level of 'High' or 'Very High' are shown in Appendix A.

- 4.4. The next quarterly review of the Health Risk Register is scheduled to be carried out in **January 2020**.

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### 5. Recommendations

5.1. The IJB Finance, Audit and Scrutiny Committee is asked to:

- a) note this report; and
- b) note the current highest risks on the Integration Joint Board, Social Care and Health Risk Registers.

IJB Risk Register													
Ref	Title	Description of Risk	Risk Owner	Initial Risk Level				Control Actions	Current Risk Level				Latest Update
				Likelihood	Consequence	Risk Rating	Risk Level		Likelihood	Consequence	Risk Rating	Risk Level	
524	Level of savings required in 2019/20 and beyond	RISK: Inability to deliver appropriate level of essential services due to required level of savings CAUSE: Required level of savings in the Budget Service Plan in 2019/20 and beyond EFFECT: Unable to meet demand for services, failing to ensure safety and prevent harm to service user, failing to meet statutory requirements, failing to deliver part or all of the Strategic Plan	Chief Officer, Finance & Resources	5	4	20	Very High	- Financial position monitored on ongoing basis by SMT, ITB, IJB Finance and Audit committee and full IJB - Transformation Programme for the HSCP in place, with a range of programmes identified to support delivery of Strategic Plan within allocated budgets - HSCP will actively engage with Partner Bodies in budget planning process for 2019-20 and beyond identifying dependencies and risks associated with any proposals.	5	4	20	Very High	October 2019: No change
512	Delivery of Strategic Plan within budget	RISK: The IJB is unable to budget within allocated resources CAUSE: Cost of delivery is higher than budgeted resources made available EFFECT: The IJB is unable to deliver on the Strategic Plan	Chief Officer, Finance & Resources	5	4	20	Very High	- The Integration Scheme details the actions to be taken in the event of this and furthermore the contingency arrangements should parent bodies be unable/unwilling to provide additional funding - Transformation Programme for the HSCP in place, with a range of programmes identified to support delivery of Strategic Plan within allocated budgets - Governance / reporting mechanism for Transformation Programme in development - Financial position monitored on ongoing basis by SMT, IJB Finance and Audit committee and full IJB	4	4	16	High	October 2019: No change
515	Partners' governance arrangements	RISK: Partners put in place revised governance mechanisms between the IJB and themselves EFFECT: Increased bureaucracy in order to satisfy IJB governance arrangements	Chief Officer	4	4	16	High	• Chief Officer to maintain a visible and influencing presence in the development of any future governance arrangements to ensure that such potential arrangements are lean and manageable.	4	4	16	High	October 2019: No change
517	Differing terms and conditions	RISK: Partnership exposed to challenge on employment terms CAUSE: Different employment terms and conditions of partner bodies EFFECT: Detrimental impact on resources in order to investigate, defend and/or settle claims	Chief Officer, Finance & Resources	3	5	15	High	• Staff continue to be employed by 2 separate organisations and do not have the same terms and conditions, however Equal Pay claims don't compare across different employers and no terms and conditions being changed.	3	5	15	High	October 2019: No change
523	Impact on business support functions due to Cordia transfer	RISK: Lack of appropriate level of business support staff in the HSCP to support corporate functions (HR, Finance, Comms, Governance) CAUSE: Inadequate levels of resource being transferred from Cordia to HSCP EFFECT: Reduced capacity to deliver full range of support, delay or compromise priority/critical activity, impact on IJB business, impact on frontline services, affect ability to deliver Strategic Plan	Chief Officer, Finance & Resources	5	4	20	Very High	• Engagement with GCC Corporate Workstreams for Cordia transfer including Steering Group, Operational Delivery, Governance and Compliance, Comms & Engagement, Legal, HR, Finance. • Comms and engagement with staff • Frontline visits to Cordia services by Chief Officer and Chief Officer Strategy & Operations	4	3	12	High	October 2019: The mitigation actions noted on this risk are complete and monitoring of impact is part of our BAU. Probability reduced from Almost Certain to Likely
513	Resources required for integration	RISK: The organisation cannot support the volume of resource required to establish effective integrated arrangements CAUSE: Staff and key individuals with existing operational roles and responsibilities are diverted to integration activities EFFECT: Existing organisational priorities and delivery are delayed or compromised, resulting in not delivering Strategic Plan	Chief Officer, Finance & Resources	4	4	16	High	• Workload and resource monitoring continues to be undertaken across the partnership (for example, through one-to-one supervision) • Ongoing review of support (including work undertaken and resources being used) required for integrated arrangements • Workforce Planning sub-group meets fortnightly to review workforce planning matters (including requests to fill vacancies)	3	4	12	High	October 2019: No change

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Ref	Title	Description of Risk	Risk Owner	Initial Risk Level				Control Actions	Current Risk Level				Latest Update
				Likelihood	Consequence	Risk Rating	Risk Level		Likelihood	Consequence	Risk Rating	Risk Level	
514	Service delivery model uncertainty	RISK: Uncertainty around future service delivery models  EFFECT: Resistance, delay or compromise resulting in necessary developments or potential improvement opportunities not being fulfilled	Chief Officer	3	3	9	Medium	<ul style="list-style-type: none"> <li>High-level strategic vision articulated through the 2019-22 Strategic Plan</li> <li>Implementation actions for 2016/17 approved by IJB on 21/3/2016 provide some clarity and a framework for future service delivery.</li> <li>Other proposed transformation projects will be notified to the IJB as a matter of routine. <ul style="list-style-type: none"> <li>Clear guidance on service development during interim period.</li> </ul> </li> <li>Acceptance that ongoing challenges of both organisations mean standstill is not a viable option</li> </ul>	3	3	9	Medium	October 2019: No change
519	IJB business continuity	RISK: IJB unable to fulfill its functions due to a failure of or disruption to property, people and/or infrastructure  CAUSE: Expected or unexpected events such as industrial action, pandemic flu, civil emergency etc  EFFECT: Potential breach of statutory duties, negative impact on the HSCP and its partner bodies	Chief Officer, Finance & Resources	3	3	9	Medium	<ul style="list-style-type: none"> <li>Existing Business Continuity Planning framework for Glasgow City Council is in place in respect of crisis management and continuity of support services within the HSCP</li> <li>Business Continuity for the IJB is incorporated into the Business Continuity Plan for Business Development.</li> <li>Annual assurance statement to the IJB on business continuity arrangements within the HSCP is presented to the Finance, Audit and Scrutiny Committee (last presented on 24 April 2019).</li> </ul>	3	3	9	Medium	October 2019: Recent activity has focussed on refreshing BIAs and BCPs, however, this risk will remain given its nature, i.e. there will always be a risk of disruption
522	Loss of resources due to equal pay settlement	RISK: Loss of resources due to the time and/or value of the equal pay settlement (particularly in respect of resources that have transferred from Cordia to the HSCP)  CAUSE: Equal pay settlement, demographics of the workforce  EFFECT: Loss of workforce, potential industrial action, loss of capacity to deliver services, unable to deliver Strategic Plan	Chief Officer, Finance & Resources	4	5	20	Very High	<ul style="list-style-type: none"> <li>Contingency Planning Group established, with representation from HSCP, GCC and Cordia</li> <li>Data analysis is currently underway to confirm potential impact on service</li> <li>Cordia HR/Training teams are currently preparing revised recruitment and training plan (to increase capacity for both)</li> <li>Currently monitoring the situation on a weekly basis as staff have begin receiving payments</li> </ul>	3	3	9	Medium	October 2019: No change
516	Clinical and professional governance	RISK: Clinical and professional governance arrangements that are being established fail to discharge the duties that are incumbent on them	Chief Officer	4	4	16	High	<ul style="list-style-type: none"> <li>Review of processes established</li> </ul>	2	4	8	Medium	October 2019: No change
518	External Providers financial stability	RISK: Financial challenges faced by some provider organisations (in particular those providing sleepovers) to pay Scottish Living Wage could destabilise them  CAUSE: Introduction of Scottish Living Wage to adult social care  EFFECT: Threat to continuity of service, issues in availability of appropriate provision for service users, serious impact on delivery of Strategic Plan	Chief Officer, Finance & Resources	3	5	15	High	<ul style="list-style-type: none"> <li>We are working closely with provider organisations to monitor impact and ensure continuity of services for our service users.</li> <li>We continue to ensure timeous regular payment to provider organisations <ul style="list-style-type: none"> <li>We have offered 3 SLW increases across all of the purchased service contracts on condition of payment of the SLW including for Sleepovers.</li> </ul> </li> <li>We continue to ensure that the payment of the additional funding for the Scottish Living Wage is made timeously</li> <li>We are developing a transformational change programme on overnight supports which will seek to offer an expanded range of options for providing overnight supports and reduce the reliance on sleepover support. <ul style="list-style-type: none"> <li>Proof of concept work with providers will enable us to ensure that as far as possible we have lean processes in our dealings with providers and that we can co-produce new ways of working to ensure efficiency.</li> </ul> </li> <li>Appeal of legal rulings on sleepover currently state it is not necessary to pay each hour worked at the NLW but the HMRC guidance has not yet changed.</li> </ul>	2	4	8	Medium	October 2019: No change

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				Likelihood	Consequence	Risk Rating		Risk Level	Likelihood	Consequence		Risk Rating	Risk Level
520	Savings arising from budget allocations	RISK: Budget allocations to the HSCP from both partners require unprecedented levels of savings CAUSE: The settlement for both GCC and the NHS in the December 2018 budget is worse than previously included in respective planning assumptions EFFECT: An overspend in the HSCP, impact on the reserves of the IJB, impact on ability to deliver the Strategic Plan	Chief Officer, Finance & Resources	4	5	20	Very High	- Transformation Programme for the HSCP in place, with a range of programmes identified to support delivery of Strategic Plan within allocated budgets - Governance / reporting mechanism for Transformation Programme in development - Financial position monitored on ongoing basis by SMT, IJB Finance and Audit committee and full IJB - Chief Finance & Resources Officer has visibility and awareness of budget setting processes and frameworks in place within council and Health Board.	2	4	8	Medium	October 2019: No change



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Ref	Title	Description of Risk	Risk Owner	Initial Risk Level				Control Actions	Current Risk Level				Latest Update
				Likelihood	Consequence	Risk Rating	Risk Level		Likelihood	Consequence	Risk Rating	Risk Level	
559	Impact of Welfare Reform on demand for services	RISK: There is an increased demand for social work services due to Welfare Reform including emergency payments, homelessness, welfare rights and general social work support. CAUSE: Implementation of welfare reforms including benefit cap, universal credit, child tax credits and changes to housing benefits EFFECT: Increased deprivation for citizens, reduced ability to meet demands on our services	Susanne Millar	5	5	25	Very High	<ul style="list-style-type: none"> <li>Contribution to the corporate welfare reform group</li> <li>Effective communications with service users and other stakeholders                             <ul style="list-style-type: none"> <li>Information dissemination on rights to appeal</li> <li>Appeals packs for service users developed</li> <li>Welfare Reform training delivered to 3rd sector</li> </ul> </li> <li>Key messages have been refreshed and disseminated again widely in line with the current stage of reform.</li> <li>Significant further training has been provided to voluntary sector organisations.</li> <li>Linkages with the Scottish Welfare Fund has resulted in a significant increase in the number of people appealing benefit sanctions.                             <ul style="list-style-type: none"> <li>Briefings on Universal Credit arranged</li> </ul> </li> </ul>	5	4	20	Very High	October 2019: No change, this risk still remains valid. We expect a time delay between the roll out of Universal Credit and the full impact it will have.
567	Impact of National Abuse Inquiry	RISK: that the Scottish Child Abuse Inquiry could result in adverse legal, financial, reputational and operational impacts to the Service. CAUSE: These could arise from: - being unable to provide historical information requested by the Inquiry being perceived as the Service being ineffective or deliberately obstructive - the level of resources required to provide an appropriate response to the Inquiry's initial information request not being available/sustainable without impact on business as usual activity - an increase in claims for compensation being made due to increased media coverage of the Inquiry's processes - staff and service users required to provide evidence experiencing an adverse emotional impact as a result of recalling experiences which were, or perceived to be, traumatic. EFFECT: Reputational damage, financial/cost implications	Susanne Millar	5	4	20	Very High	<ul style="list-style-type: none"> <li>Internal team established to manage our input to the Inquiry. This team will liaise with the PR office accordingly.</li> <li>Internal team includes legal representatives in order that we manage any claims.                             <ul style="list-style-type: none"> <li>Ongoing monitoring and review of resources utilised to facilitate the Inquiry.</li> <li>Existing employee support mechanisms through HR.</li> </ul> </li> <li>Existing health and social care support services for service users.</li> </ul>	5	4	20	Very High	October 2019: No change
569	Unsuitability or failure of ICT systems	RISK: ICT systems used by SWS (including Home Care Services) for the delivery of statutory duties are not fit for purpose or are not maintained CAUSE:Glasgow City Council arrangements with CGI for the provision of ICT don't meet the specific needs of Social Work Services, ex-Cordia IT staff now in CGI are moved to non-Cordia system work or leave the organisation resulting in loss of expertise and system knowledge. EFFECT: impact on delivery of statutory duties, service users/public/vulnerable people come to harm, significant reputational, financial and operational harm to the organisation, efficiency savings become more difficult to achieve.	Allison Eccles	4	4	16	Very High	<ul style="list-style-type: none"> <li>The Strategic Innovation and Technology Team (SIT) has been established by GCC to oversee the contract with CGI.</li> <li>An HSCP Business Partner to SIT has been appointed.</li> <li>The contract is based on Output Based Specifications (OBSs) and there are OBSs for key systems (including careFirst, iWorld and LS/CMI) and all other ICT provision.</li> <li>There is a transformation programme to significantly improve a number of technologies. The Governance structures for ICT and Digital are being reviewed in light of the change in ICT contract and HSCP requirements.</li> </ul>	5	4	20	Very High	October 2019: The Home Care system was recently unavailable due to a database error that was present on both servers (main and back-up). This caused disruption to service delivery and led to contingency arrangements having to be put in place for 13 days. Residual likelihood increased from 3 (possible) to 5 (almost certain) to reflect this risk has occurred

Social Care Risk Register													
Ref	Title	Description of Risk	Risk Owner	Initial Risk Level				Control Actions	Current Risk Level				Latest Update
				Likelihood	Consequence	Risk Rating	Risk Level		Likelihood	Consequence	Risk Rating	Risk Level	
552	Failure to deliver Budget & Service Plan and service reform outcomes	RISK: the Department's service reform and Budget and Service Plan programmes fail to deliver the required outcomes in terms of delivery of statutory duties; service modernisation and financial savings. CAUSE: EFFECT: necessitating potential drastic and unplanned cuts in order to realise the savings requirements thereby leaving services and service users vulnerable.	Sharon Wearing	5	4	20	Very High	<ul style="list-style-type: none"> <li>Fortnightly Integration Transformation Board meetings</li> <li>Weekly Executive Group meetings to approve critical progress issues</li> <li>CSWO led SMT's in both Adult and Children and family Services review and progress</li> <li>Performance Management Framework incorporating City-wide, local and care group performance reporting</li> <li>Regular planned and structured liaison with providers re: changes                             <ul style="list-style-type: none"> <li>Service User engagement</li> <li>Trade Union liaison at strategic and local levels</li> </ul> </li> </ul>	4	4	16	Very High	October 2019: No change
566	Loss of access to VISOR	RISK: Service loses access to Visor CAUSE: changes to the vetting requirements for new and existing VISOR users at a national level which are incompatible with current recruitment and employment policies EFFECT: the service is less able to manage offenders who pose high risk of serious harm to the public, with subsequent legal and reputational on the service.	Susanne Millar	4	4	16	Very High	<ul style="list-style-type: none"> <li>Issue highlighted to Glasgow's Public Protection Chief Officers Group</li> <li>Impact report completed by Social Work Scotland and further national work under consideration</li> <li>Legal advice taken by HR advising no change to recruitment or employment policies</li> <li>Sufficient staff currently vetted and able to make use of system in collaboration with MAPPAs partners and responsible authorities</li> </ul>	4	4	16	Very High	October 2019: No change
568	Workforce planning/reduction	RISK: that workforce planning/reduction in staffing levels and loss of skilled staff might compromise the Service's ability to deliver services and carry out its statutory duties, including: - Services to LA and LAAC children; - MHO duties; - Duties under S22 of the Children Scotland Act 1995; - Provision of children's hearings reports and reports to Court; - Duties in relation to Adults with Incapacity legislation; - Duties in relation to S12 of the Social Work Scotland Act 1968. CAUSE: EFFECT: service users not receiving services they're entitled to, and which leaves them at increased risk.	Susanne Millar	5	4	20	Very High	<ul style="list-style-type: none"> <li>Trade Union liaison at strategic and local levels.</li> <li>HSCP Workforce Planning Sub-group and Board chaired by Chief Officer (Finance &amp; Resources) which feeds directly into the Executive Group and Leadership Team. It comprises Chief Officer (Planning, Strategy &amp; Commissioning/CSWO), Chief Officer (Operations) and HR reps from SWS and NHS. Chief Officer (Planning, Strategy &amp; Commissioning/CSWO) advises group of any potential risks in relation to staffing reductions.</li> <li>Local performance management and supervision systems in place.                             <ul style="list-style-type: none"> <li>Workforce planning arrangements for care groups being finalised.</li> <li>Training and development programme for MHOs in place.</li> <li>New AWI protocols agreed at HSCP and SWS Governance Groups</li> </ul> </li> <li>Regular updated workforce planning monitoring reports (by Locality) for all care groups in place.</li> </ul>	4	4	16	Very High	October 2019: No change
553	Failure of MAPPAs arrangements	RISK: Glasgow MAPPAs arrangements fail CAUSE: Procedures not followed; staff not appropriately trained; information security breach EFFECT: risk of harm to Glasgow citizens from registered sex offenders; reputational/legal/financial impact to organisation.	Susanne Millar	4	5	20	Very High	<ul style="list-style-type: none"> <li>City-wide Criminal Justice SMT continues to meet regularly to oversee CJ practice.</li> <li>MAPPAs Strategic Oversight Group meets every 3 months                             <ul style="list-style-type: none"> <li>MAPPAs Operational Group meets every 6 weeks</li> <li>MAPPAs national guidance</li> </ul> </li> <li>Multi agency Risk Register in place and standing item on the agenda of both meeting structures                             <ul style="list-style-type: none"> <li>NASSO meeting every quarter with RSL providers</li> </ul> </li> <li>Memorandum of Understanding in place between statutory agencies and reviewed annually</li> </ul>	3	5	15	Very High	October 2019: No change

Social Care Risk Register													
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				Likelihood	Consequence	Risk Rating	Risk Level		Likelihood	Consequence	Risk Rating	Risk Level	
554	Failure of Child Protection procedures	RISK: failure in the implementation of Child Protection procedures and arrangements CAUSE: Procedures are ineffective; procedures are not followed; staff not appropriately trained; information security breach; lack of/ineffective governance EFFECT: increased and/or avoidable risk/harm to children and/or young people	Susanne Millar	4	5	20	Very High	<ul style="list-style-type: none"> <li>Child Protection Committee and sub groups meet regularly               <ul style="list-style-type: none"> <li>Local area CP forums in place</li> <li>Quarterly meeting of Chief Officers group</li> </ul> </li> <li>Management information produced and reviewed monthly at CP Quality Assurance Sub-group</li> <li>1/2 yearly LMR process overseen and coordinated by CP team</li> <li>ASM structure providing QA, monitoring and objectivity to local practice</li> <li>Robust single agency and multi agency training programme in place</li> </ul>	3	5	15	Very High	October 2019: No change
555	Failure of Adult Protection procedures	RISK: failure in the implementation of Adult Protection procedures and arrangements CAUSE: Procedures are ineffective; procedures are not followed; staff not appropriately trained; information security breach; lack of/ineffective governance EFFECT: increased or avoidable risk/harm to vulnerable adults; reputational/legal/financial implications	Susanne Millar	4	5	20	Very High	<ul style="list-style-type: none"> <li>Adult Protection Committee and sub groups in place</li> <li>Local Area Adult Protection Forums and multi-agency Local Management Reviews embedded               <ul style="list-style-type: none"> <li>Quarterly meeting of Chief Officers Group</li> </ul> </li> <li>ASP management information produced and reviewed quarterly at Adult Services Core leadership and Older People's clinical and care governance meetings</li> <li>ASM structure and multi-agency training programme in place               <ul style="list-style-type: none"> <li>Quality Assurance sub group of Adult Support and Protection Committee now in place, which monitors the work plan and highlights areas for further consideration</li> </ul> </li> </ul>	3	5	15	Very High	October 2019: No change
589	Failure of Care Services staff to register with SSSC	RISK: Failure of relevant staff to register with SSSC prior to summer 2020 CAUSE: Legislation requires that all relevant staff within Care Services must be registered by this date EFFECT: Inadequate staffing numbers which will impact on service provision	Frances McMeeking	5	5	25	Very High	<ul style="list-style-type: none"> <li>Project Group has been established to co-ordinate response to this risk which will include communications plan and process in place for enabling in-scope staff to submit applications               <ul style="list-style-type: none"> <li>Currently engaging with SSSC and trade Union representatives to take a proactive approach to support staff/potential staff throughout the registration process.</li> </ul> </li> </ul>	3	5	15	Very High	October 2019: Home care has an extensive SSSC plan in place , with a range of actions that include extensive communications direct with Home Carers , a programme of sessions at local bases led by Home care Champions . The trade Unions are also proactively communicating with their members. As at Sep 2019 51% of the workforce are registered. No change to risk level.

Social Care Risk Register													
Ref	Title	Description of Risk	Risk Owner	Initial Risk Level				Control Actions	Current Risk Level				Latest Update
				Likelihood	Consequence	Risk Rating	Risk Level		Likelihood	Consequence	Risk Rating	Risk Level	
544	Failure to meet Health & Safety statutory requirements	RISK: Failure to meet statutory Health & Safety requirements CAUSE: Personnel fail to follow procedures; personal are not appropriately trained EFFECT: major loss of service through establishment fire, major catastrophe or infections; or singular catastrophic incidents which could result in death or serious injury of service users and/or staff.	Christina Heuston	4	5	20	Very High	<ul style="list-style-type: none"> <li>Service is a member of the Council's Asbestos Strategic Management Group that monitors actions regarding the management of Asbestos. The Service has appointed a Health and Safety Co-ordinator who actively monitors the arrangements for the control of Asbestos, Service Control of Asbestos Management Standard issues June 2014</li> <li>The Service has replaced a number of older buildings containing Asbestos with new buildings (asbestos banned from use in new buildings) reducing the possible exposure.                             <ul style="list-style-type: none"> <li>Departmental Health &amp; Safety Policy &amp; manuals</li> <li>Fire safety management system.</li> </ul> </li> <li>H&amp;S risk assessment processes, e.g. fire, legionella, alarms etc.</li> <li>H&amp;S respond to all audit and inspection requirements.</li> <li>Emergency procedures in place for all service user accommodation</li> <li>Range of H&amp;S training in place e.g. Fire Wardens, Manual Handling etc.</li> <li>Regular Fire and Alarms Equipment testing with contracts for maintenance and checks in place.                             <ul style="list-style-type: none"> <li>Monitoring of claims.</li> </ul> </li> <li>Managing Violence at Work Policy Document and monitoring of Violent Incident reports, this monitoring has identified the need to review the Violence training for Fieldwork staff, this review is currently underway with a target date of 6 weeks</li> <li>Legionella risk managed with the assistance of CGI.</li> </ul>	3	4	12	High	
546	Disruption to HSCP services	RISK: Failure of, or disruption to, facilities, infrastructure or staff affecting delivery of mainstream and out-of-hours services. CAUSE: Exceptional, one-off and unexpected events leading to loss of staff, loss of building, loss of access to building, loss of supplier or loss of infrastructure. EFFECT: service users across the city don't receive a service for a period of time that leads to reputational, financial, legal and/or public protection impact.	Susanne Millar	4	4	16	Very High	<ul style="list-style-type: none"> <li>Industrial Relations Strategy in place</li> <li>Monthly meetings at Director level with senior Trade Union officials</li> <li>Business Continuity Reps identified in each service area</li> <li>The quarterly Business Continuity Working Group chaired by the service Business Continuity Champion is on hiatus. BCP is currently being overseen by the HSCP EU Exit Readiness Group</li> <li>Review of Council ICT Disaster Recovery priorities currently being undertaken by GCC SIT (SWS has fed into this process).</li> <li>2019 Business Continuity lifecycle is being actioned by the Heads of Planning                             <ul style="list-style-type: none"> <li>Business Impact Analyses have been reviewed and completed across the HSCP</li> </ul> </li> <li>Business Continuity Plans for localities have been reviewed and completed across the HSCP</li> </ul>	3	4	12	High	October 2019: No change
547	Impact of failure of third parties and partners	RISK: contractor/partner arrangements fail CAUSE: political and socio-economic factors; providers' financial position; failure to comply with regulatory/legislative changes EFFECT: failure to deliver services appropriately with a provider or other agencies leading to a failure to care/protect service users; increased demand on resources; financial implications.	Susanne Millar	5	4	20	Very High	<ul style="list-style-type: none"> <li>Contract Management Framework.</li> <li>Contractor Risk Ratings Matrix.</li> <li>Procurement activity undertaken in accordance with written agreed procedures.</li> <li>All contractual arrangements over the approved thresholds referred to appropriate committee for approval.</li> <li>Ensuring providers/other agencies have health and safety procedures/arrangements in place</li> <li>Regular meetings with key providers regarding strategic provider related issues</li> </ul>	3	4	12	High	October 2019: No change

Social Care Risk Register													
Ref	Title	Description of Risk	Risk Owner	Initial Risk Level				Control Actions	Current Risk Level				Latest Update
				Likelihood	Consequence	Risk Rating	Risk Level		Likelihood	Consequence	Risk Rating	Risk Level	
548	Failure of ICT security	RISK: Loss/misuse/breach of health and social care data within our responsibility CAUSE: IT system security failure, human error, hostile actor (internal or external) EFFECT: breach of confidentiality, a fine from the Information Commissioner, reputational damage, and potential harm to service users affecting public and service user confidence	Allison Eccles	5	5	25	Very High	<ul style="list-style-type: none"> <li>Information Security Governance via Information Security Board.</li> <li>Policies and guidance regularly updated and annual mandatory training provided via GOLD or leaflet.</li> <li>Information sharing protocol with NHS GG&amp;C has been updated and circulated for sign-off</li> <li>All ICT developments progressed through project management methodology which includes risk logs and Data Protection Impact Assessments are undertaken as required.</li> <li>The majority of devices are now encrypted and authorisation process in place for unencrypted devices.</li> <li>Secure email and Objective Connect available for secure data sharing</li> <li>Secure email blueprint (including TLS) now implemented</li> <li>Protective Marking to be rolled out in SWS in 2019</li> <li>Site and Information Security Audit programme in place for SWS establishments and services</li> <li>Containment process in place for accidental email breach</li> <li>Staff briefings on data protection (GDPR) and information security briefings issued regularly</li> <li>Use of is2a and/or is2b procedure and forms for staff removing data from offices</li> </ul>	3	4	12	High	October 2019: No change
558	Failure of Older People Residential Strategy Transition arrangements	RISK: Failure to effectively make transition between current and new care homes CAUSE: Transition arrangements between current and new care homes are not managed effectively EFFECT: impact on levels of care provided affecting vulnerable service users; risk of harm; reputational/financial/legal implications.	Stephen Fitzpatrick	3	5	15	Very High	<ul style="list-style-type: none"> <li>Capital Programme Governance arrangements.</li> <li>Development of transition strategy.</li> <li>Establishment of city-wide reference group for service users.</li> </ul>	3	4	12	High	October 2019: Drumry and Rannoch older peoples care homes have been successfully de-commissioned and residents and staff safely relocated to the new build Victoria Gardens Care Home on the Blawarthill site. Victoria Gardens is now registered with the Care Inspectorate and fully operational. Handover of Meadowburn Care Home on the Leithland Road site took place on 9th September '19 and work is ongoing in respect of de-commissioning of Forfar Avenue, Davislea and Crossmyloof older peoples care homes and safe relocation of residents. No change to the risk level
561	Unexpected costs arising from Leithland site	RISK: Risk of costs outwith original agreed tender agreement arising from resolution of outstanding design issues and adverse site conditions on the Leithland site CAUSE: unforeseen design issues, ground conditions, building defects, lack of design coordination, budget limitations, inflation, rising building costs EFFECT: impact on Social Work Services budget	Sharon Wearing	3	4	12	High	<ul style="list-style-type: none"> <li>Capital Programme Governance arrangements.</li> <li>Regular monitoring of contract by DRS Project Team.</li> <li>Reporting to Social Work Capital Board.</li> <li>Reporting to Council Capital Board.</li> <li>Corporate partners working to develop viable solutions which will be evaluated through the governance process.</li> </ul>	3	4	12	High	October 2019: No change
570	Litigation and/or contractor disputes arising from building defects	RISK: Capital project design issues arise after the defect liability period has ended on capital project sites CAUSE: Construction deficiencies, possible sub contractor failures and poor work standards. EFFECT: could result in operational and health & safety impacts on the HSCP, as well as the potential for litigation with a contractor and/or a financial risk to GCC and the wider new build capital programme.	Sharon Wearing	3	4	12	High	<ul style="list-style-type: none"> <li>Capital Programme Governance arrangements.</li> <li>Regular monitoring of contract by DRS Project Team.</li> <li>Reporting to Social Work Capital Board.</li> <li>Reporting to Council Capital Board.</li> <li>Corporate partners working to develop viable solutions which will be evaluated through the governance process.</li> </ul>	3	4	12	High	October 2019: No change

Social Care Risk Register													
Ref	Title	Description of Risk	Risk Owner	Initial Risk Level				Control Actions	Current Risk Level				Latest Update
				Likelihood	Consequence	Risk Rating	Risk Level		Likelihood	Consequence	Risk Rating	Risk Level	
572	Failure of Carefirst Disaster Recovery arrangements	RISK: Interim DR solution for Carefirst may not operate as expected CAUSE: Interim DR solution cannot be tested without either extended downtime or considerable cost EFFECT: Major disruption to operations, essential information not available possibly leading to harm for service users, staff or the public and/or failure to carry out statutory duties	Allison Eccles	3	4	12	High	<ul style="list-style-type: none"> <li>Continuing to liaise with SIT regarding implementation of a more robust and tested solution</li> </ul>	3	4	12	High	October 2019: No change
571	Community Alarms affected by telephone provider(s)	RISK: Service user(s) community alarms do not function as required due to telephone line being switched from analogue to digital CAUSE: Telephone providers such as BT/Virgin switching customer line from analogue to digital, Provider not having information about which customers have community alarms that rely on telephone line being analogue EFFECT: service user unable to activate alarm, service user comes to serious harm or fatality, significant reputational, legal and financial harm to the organisation, loss of trust from public on the effectiveness of community alarms, may impact on delivery strategic priorities of the organisation.	Frances McMeeking	3	5	15	Very High	<ul style="list-style-type: none"> <li>Service has shared telephone numbers of all community alarm service users with the telephone providers (BT, Virgin etc) to ensure their records are correct and up to date.</li> <li>Service has written to all Community Alarm service users to advise that if they are changing their telephone provider they must let them know that there is an alarm dependant on the line and it cannot be converted to a digital line otherwise their alarm will not function properly</li> </ul>	2	5	10	High	October 2019: No change



## Extract of HSCP/Health risks from Datix (1st October 2019)

Ref	Title	Description of Risk	Risk Owner	Initial Risk Level			Control Actions	Current Risk Level			Latest Update		
				Likelihood	Consequences	Risk Rating		Risk Level	Likelihood	Consequences		Risk Rating	Risk Level
2414	Shortage of Health Visiting Staff	Shortage of appropriate / competent staff compromising ability to deliver service	Forsyth, Ann	5	5	25	Very High	FORMAL CONTINGENCY PLAN WITH MAINSTREAM C&F SERVICE MANAGERS, INTRUIM CHIEF NURSE AND HoS ADULT. HFHCT PROVIDING CO-ORDINATION ROLE I.E. SCREEN NOTIFICATIONS AND LINK TO MAINSTREAM SERVICE. UPDATES VIA C&F, HOMELESSNESS MANAGERS AND LEAD NURSE. IN EVENT FAILED CONTACT THEN TIME LIMITED ON CASELAD TO BRIDGE TO MAINSTREAM C&F SERVICE, SWS AND EDUCATION. USE OF BANK COVER UNSUCCESSFUL AND USING SESSIONS B5 FROM AHBT. REQUEST TO REVIEW FAMILY RESPONSE NOT SUPPORTED IN AT ASPB AND TO BE LINKED TO WIDER HAHS DEVELOPMENTS. 2 x WTE HV now recruited and in post. Recruitment for HV's has been completed subject to Homelessness HS R/V due for completion November 2019.	5	5	25	Very High	October 2019: No change
2456	Psychological Therapies	Risk of deterioration of clients health due to lack of psychology services	McNeill, Fiona	5	4	20	Very High	Clients are seen by CMHT / Crisis Team but may result in admission	5	4	20	Very High	October 2019: No change
2458	Perinatal Mental Health Access to Badgernet	Perinatal Mental Health staff cannot access Badgernet, impacting on information available when undertaking liaison or ward visits.	McNeill, Fiona	5	4	20	Very High	Pregnancy plan can be uploaded to badgernet so available to other professionals Letters can be uploaded to Clinical Portal Discussion with Supplier nationally re Perinatal Module for system Explore EDT link to Badgernet	5	4	20	Very High	October 2019: No change
1428	Prescribing costs	Prescribing costs exceeding the allocated budget threatening HSCP services	Groden, Richard	5	4	20	Very High	Budget performance monitoring HSCP Prescribing Monitoring Group supports budget monitoring	5	4	20	Very High	October 2019: No change
1048	Psychological Therapies	Risk of targets not continuing to be met because of increase in workload.	McNeill, Fiona	4	4	16	High	Psychological Therapies Project Group Finance requires approval needed by CHP.	4	4	16	High	October 2019: No change
1670	Medical and Nursing Cover	There is a risk that there is not enough medical or nursing cover for Sexual Assault Examinations provided by Archway and that contracted forensic Physicians are unable to fill the gap	Macleod, Rhoda	5	4	20	Very High	New Forensic contract Recent service review recommends further development of service model	4	4	16	High	October 2019: No change
2081	System Change	Rapid system change and in particular staff turnover is a recognised factor potentially compromising patient safety.	Smith, Michael	4	4	16	High	Local governance arrangements and clinical networks created as part of the patient safety programme will help monitor and manage change, sharing findings with local managers and HSCP systems as appropriate	4	4	16	High	October 2019: No change
1704	Court Liaison	Lack of cover for the court Liaison services causes delay in assessing those with apparent Mental Health problems in the system. This may lead to complaints from the Court System	Smith, Michael	4	4	16	High	Review and strengthen the current service, this may take some time to implement	4	4	16	High	October 2019: No change
2457	Adult Admissions	Risk of demand exceeding capacity for adult admission beds	McNeill, Fiona	4	4	16	High	Local contingency plans Use of beds across system when required Escalation process	4	4	16	High	October 2019: No change

## Extract of HSCP/Health risks from Datix (1st October 2019)

		Initial Risk Level				Current Risk Level							
2464	Shortage of Appropriate / Competent Staff Compromising Ability to Deliver Service - Admin	Recruitment arrangements delay process of appointing staff Fixed Term contracts due to Admin review making posts difficult to fill. No Bank staff available.	Buchanan, Alasdair	5	5	25	Very High	2 sessions per week from ADRS ARBD to cover staff breaks New TL covering duties with support from B4 where grade appropriate Senior admin meeting every 2 weeks to monitor work and risk areas. The HAHS Admin Team is made up of 12.6 WTE posts (B3 Admin Assistant 10 WTE of which 0.5 is dedicated admin support to the CBRS; B4 Admin Supervisor 2.6 WTE) with 2 of these posts from GCC SWS; and supported by a B5 Assistant Admin Manager. As agreed at the ACLG / WFPG level during recent months – new staff have now been appointed (permanent) which has helped to build the team. At time of writing 1 F/T fixed term vacancy remains. Various training has been arranged to help staff acquire necessary skill set to provide all clinical teams with support at agreed level.	3	5	15	High	October 2019: No change
2479	Project 100	Increasing the prison population by 100 would have a wholly negative impact on the NHS ability to meet the standards expected to provide healthcare to the patients at HMP Low Moss having huge ramifications of service delivery. This will bring an increased burden on staff as the focus will remain on basic service delivery which will again bring NHS Prison healthcare under further scrutiny considering the negative outcome from HMP Inspection report in 2017. The healthcare manager has escalated this announcement of increased intake to low moss population to NHS senior management to review and discuss contingency in current service delivery in relation the existing staff cohort. Please find a list of concerns highlighted the still remain but will be exacerbated.	Simson, Karan	5	3	15	High	NHS/SPS Heads of Service meeting weekly to discuss risks associated with the implementation of said proposal and an action plan of the potential impact and ramifications is being collated.	5	3	15	High	October 2019: No change
2459	CMHT Staff Shortage	Due to shortage of nursing and OT staff within the CMHT unable to meet the demands of clinical activity. 16/09/19 - Risk is unchanged. We have system wide bed management arrangements and regular review of clinical activity in wards with ability to close to admissions if unable to meet safe staffing levels. Caseload mgt is completed monthly but due to high turnover of staff in both CMHT's and inpatients recruitment process takes around 7 months from raising vacancy to staff in post . This means by time we recruit we have lost more staff and have consistently run with 4-6 WTE shortages per team across nursing and medical staffing.	Phillips, Katrina	5	3	15	High	Caseload management	5	3	15	High	October 2019: Risk is unchanged. We have system wide bed management arrangements and regular review of clinical activity in wards with ability to close to admissions if unable to meet safe staffing levels. Caseload mgt is completed monthly but due to high turnover of staff in both CMHT's and inpatients recruitment process takes around 7 months from raising vacancy to staff in post . This means by time we recruit we have lost more staff and have consistently run with 4-6 WTE shortages per team across nursing and medical staffing.
2460	MHO Pressures	Pressure on MHO activity due to on-going vacancies and staff turnover.	Phillips, Katrina	5	3	15	High	Workload prioritisation	5	3	15	High	October 2019: Issue is due to recruitment authorisation process/PVG/reference checks and is under constant review. Workforce data shows high turnover is impacted by number of staff having MHO status who can retire at 55 and are opting to do so. This is likely to continue to impact over next 2 years when all staff with MHO pension status will have gone. Universities only have one intake a year so availability of newly qualified staff is more limited. Re: MHO pressures in Social Work - this is due to increased demand and ability to recruit. We are encouraging existing staff to undertake MHO training and attempting to recruit additional staff and reviewing our duty system. This risk remains high.



## Extract of HSCP/Health risks from Datix (1st October 2019)

				Initial Risk Level		Current Risk Level							
1429	Failure to meet Access/Discharge Targets	Failure to meet Access/discharge targets	Kerr, Jacqueline	4	4	16	High	Working group established, Links with Social work, Funding, Continue to monitor/audit delayed discharges with acute	3	4	12	High	October 2019: No change
1511	GP practices	Glasgow City HSCP may experience local GMS practice unable to fulfil its contractual obligations requiring intervention and support sometimes at short notice	Groden, Richard	5	4	20	Very High	Developing a response "toolkit" for practices "in distress" and seeking support in terms of an initial assessment and what might be offered by way of further in depth assessment and identifying a suitable range of responses. Developing an approach to pro-actively identify/support practices that might be approaching an "in distress" state, including mechanisms and possible responses	3	4	12	High	October 2019: No change
1705	Mental Health inpatient beds	Lack of beds(especially IPCU)in Greater Glasgow and neighbouring Boards impairs patient access to appropriate care	Smith, Michael	4	4	16	High	Robust bed management system to highlight problems proactively in time to resolve	3	4	12	High	October 2019: No change