



Item No. 18

Meeting Date: Wednesday 6th September 2017

Glasgow City Integration Joint Board Finance and Audit Committee

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RISK MANAGEMENT UPDATE REPORT

Purpose of Report:	To provide an update to the IJB Finance and Audit Committee on the status of the Risk Registers currently being maintained within the Glasgow City Health & Social Care Partnership.
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Recommendations:	The IJB Finance and Audit Committee is asked to: a) review the content of this report, and; b) note the current Integration Joint Board, Social Work and Health risk registers.
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Relevance to Integration Joint Board Strategic Plan:

Risks to the delivery of the IJB Strategic Plan are identified in the risk registers.

Implications for Health and Social Care Partnership:

Reference to National Health & Wellbeing Outcome:	N/A
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Personnel:	Human Resources Risks are identified in the Registers.
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Carers:	N/A
Provider Organisations:	Risks in relation to provider organisations are identified in the Registers.
Equalities:	N/A
Financial:	Financial risks are identified in the Registers.
Legal:	Legal impacts of risks are identified in the Registers.
Economic Impact:	Economic impacts of risks are identified in the Registers.
Sustainability:	N/A
Sustainable Procurement and Article 19:	N/A
Risk Implications:	Risk implications are detailed in the Risk Registers.
Implications for Glasgow City Council:	Risk implications are detailed in the Risk Registers
Implications for NHS Greater Glasgow & Clyde:	Risk implications are detailed in the Risk Registers

1. Purpose

- 1.1. The purpose of this report is to provide an update to the IJB Finance & Audit Committee on the status of the Risk Registers currently being maintained within the Glasgow City Health & Social Care Partnership (GCHSCP).

2. Integration Joint Board Risk Register

- 2.1. The Integration Joint Board Risk Register is maintained, updated and reported in line with the Risk Management Policy developed for integration bodies.

- 2.2. There were no items added to or removed from the register since the last quarterly update report.
- 2.3. There were **2** items on the register where the current risk increased since the last quarter:
- (Ref. 9) The risk that funding provided by the Scottish Government to cover the Living Wage is insufficient has increased from 'Medium' to 'High' due to work being ongoing to implement elements of the Proof of Concept with providers.
 - (Ref. 10) The risk that provider organisations could be destabilised by financial challenges of paying the Living Wage has increased from 'Medium' to 'High' due to an increasing likelihood that the sleepover support element will be implemented
- 2.4. There were **2** items on the register where the current risk decreased since the last quarter:
- (Ref. 1) The risk that GCC and NHS budget settlement will lead to increased savings requirements and / or overspend impacting on ability to deliver Strategic Plan has decreased from a risk score of 16 to 12 (still remains 'High'). This is due to the GCC budget being confirmed and ongoing discussions with NHS to finalise their contribution to the IJB's budget, and Integration Transformation Board meetings being increased in frequency.
 - (Ref. 12) The risk of a delay in agreeing the IJB budget with NHS will impact on ability to achieve financial balance has decreased from 'Very High' to 'High' due to discussions with Health nearing a conclusion.
- 2.5. There are **13** 'live' risks on the IJB Risk Register, with **2** items having a current risk level of 'Very High', **6** items with a risk level of 'High' and **5** items with a risk level of 'Medium'.
- 2.6. The most recent version of the IJB Risk Register is attached as Appendix A.

3. Social Work Risk Register

- 3.1. The Social Work Risk Register is maintained, updated and reported in line with the Glasgow City Council Risk Management Policy and Guidance.
- 3.2. There were no items added to or removed from the register since the last quarterly update report.
- 3.3. There is **1** item where the current level of risk has increased since the last quarter:
- (Ref. 6) The risk that ICT security fails resulting in a loss/misuse of data or other breach of confidentiality has increased from 'High' to 'Very High'. This is due to the recent 'cyber-attacks' (and the increasing sophistication of these)

which have highlighted that not all devices within the GCC and NHS estate are patched to the required level.

- 3.4. There is 1 item where the initial level of risk has reduced since the last quarter:
 - (Ref. 21) The risk that outstanding design and site conditions on the Leithland site could have an operational and financial impact has reduced from 'Very High' to 'High'. This is due to the project progressing well and reduced issues in relation to the design concerns and ground conditions.
- 3.5. There were **2** items which had minor updates to their Control Actions (Refs. 3 & 21) which did not affect the risk level of these items.
- 3.6. At the end of July 2017 there were **30** live items on the Social Work Risk Register. There are **3** items on the register with a current risk of 'Very High', **14** items with a current risk of 'High', **12** items with a current risk of 'Medium' and **1** item with a current risk of 'Low'.
- 3.7. The current highest risks on the Social Work Risk Register are attached as Appendix B.
- 3.8. The next quarterly update of this risk register is due in October 2017.

4. Health Risk Register

- 4.1. The Glasgow City HSOP Health Risk Register is currently maintained, updated and reported in line with the NHS GGC Risk Management Policy.
- 4.2. Updates are incorporated into this risk register following quarterly review by the City Wide Operational Management Team and information received from individual Risk Managers.
- 4.3. There have been no changes to the Health Risk Register since the last quarterly update report.
- 4.4. The current highest risks on the Health Risk Register are attached as Appendix C.
- 4.5. The next quarterly update of this risk register is due in October 2017.

5. Recommendations

- 5.1. The IJB Finance and Audit Committee is asked to:
 - a) note this report, and;
 - b) note the current Integration Joint Board, Social Work and Health risk registers.

Ref	Status	Description of Risk	Risk Owner	Initial Risk Level				Control Actions	Current Risk Level				Latest Update
				Likelihood	Consequences	Risk Ranking	Risk Level		Likelihood	Consequences	Risk Ranking	Risk Level	
2	Live	There is a risk of the IJB being unable to budget within allocated resources which could lead to being unable to deliver on the Strategic Plan	Chief Finance & Resources Officer	5	4	20	Very High	<ul style="list-style-type: none"> - 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 	5	4	20	Very High	July 2017: No change
13	Live	There is a risk that, due to the level of savings in 2017-18 that we need to achieve, any slippage in the year could present as a financial challenge to the budget being in balance at the end of the financial year	Chief Finance & Resources Officer	5	4	20	Very High	<ul style="list-style-type: none"> - Financial position monitored on ongoing basis by SMT, ITB, IJB Finance and Audit committee and full IJB 	5	4	20	Very High	July 2017: Ongoing monitoring of plan through the ITB which has now been rescheduled to meet fortnightly. ITB added to control actions.
9	Live	There is a risk that the funding provided by the Scottish Government to cover the Scottish Living Wage is not sufficient, creating a financial challenge which could lead to reputational issues to the Partnership	Chief Finance & Resources Officer	4	5	20	Very High	<ul style="list-style-type: none"> - We are involved in a proof of concept with provider organisations around a different model of procurement, administration and modelling. The aim of this is to find different ways of working focussing on outcomes as opposed to inputs and make best overall use of resources whilst delivering efficiencies. 	4	4	16	High	July 2017: POC reported to the IJB in June 2017. Some elements have been implemented and work is ongoing with regards to further implementation. Current risk likelihood increased from 3 (possible) to 4 (likely), current impact increased from 3 (moderate) to 4 (major). These changes increased the current risk score from 9 to 16, increasing the risk level from Medium to High.
10	Live	There is a risk that the financial challenges faced by some provider organisations (in particular those providing sleepovers) to pay the Scottish Living Wage could destabilise them significantly, resulting in a threat to the continuity of services. This could create issues in the availability of appropriate provision for our service users which could seriously impact on the delivery of the IJB's strategic plan.	Chief Finance & Resources Officer	4	5	20	Very High	<ul style="list-style-type: none"> - We are working closely with provider organisations to monitor impact and ensure continuity of services for our service users. - Ensure timeous regular payment to provider organisations - Ensure that the payment of the additional funding for the Scottish Living Wage is made timeously - 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. 	4	4	16	High	July 2017: It is increasingly likely that the requirement to £8.45 per hour to staff providing sleepover support could be implemented. As a result the current risk likelihood has increased from 3 (possible) to 4 (likely), current impact increased from 3 (moderate) to 4 (major). These changes increased the current risk score from 9 to 16, increasing the risk level from Medium to High. Advice will be sought from legal services regarding the potential impact of this in relation to the framework tender.
12	Live	There is a risk that a delay in agreeing the IJB budget with Health for 2017-18 will impact on the IJB's ability to achieve financial balance in 2017-18	Chief Finance & Resources Officer	5	4	20	Very High	<ul style="list-style-type: none"> - Chief Officer (Finance & Resources) to continue discussions with the Health Board in regard to agreeing the IJB budget allocation for 2017-18 	4	4	16	High	July 2017: Discussion with Health are nearing conclusion, therefore the current likelihood has been reduced from 5 (almost certain) to 4 (likely), reducing the current risk score from 20 (Very High) to 16 (High)
8	Live	There is a risk that differing employment terms could expose the Partnership to challenge. This could lead to a detrimental impact on resources in order to investigate, defend and/or settle these.	Chief Finance & Resources Officer	3	5	15	High	<ul style="list-style-type: none"> - 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. Head of Corporate Services to check with Legal. 	3	5	15	High	July 2017: No change
1	Live	There is a risk that, as a result of the December 2016 budget, the settlement for both GCC and the NHS will be worse than had been previously included within respective planning assumptions. This could lead to budget allocations to the HSCP from both Partners requiring unprecedented levels of savings, resulting in an overspend within the HSCP and impact on ability to deliver the Strategic Plan.	Chief Finance & Resources Officer	5	4	20	Very High	<ul style="list-style-type: none"> - 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. 	3	4	12	High	July 2017: GCC budget is confirmed and discussions taking place with NHS regarding finalising the 2016/2017 budget. Current risk likelihood has consequently changed from a 4 (likely) to a 3 (possible), reducing the current risk score from 16 to 12. Current risk level remains High. ITB meetings have been rescheduled fortnightly with alternate meetings focussing on tracking of the current transformation programmes and development of other transformation programmes.
3	Live	There is a risk that the volume of staff resource required to establish effective integrated arrangements while continuing to undertake existing roles / responsibilities / workload of key individuals may impact on organisational priorities and operational delivery	Chief Finance & Resources Officer	4	4	16	High	<ul style="list-style-type: none"> - 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 	3	4	12	High	July 2017: No change
4	Live	There is a risk that 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	<ul style="list-style-type: none"> - High-level strategic vision articulated through the 2016-19 Strategic Plan. - Implementation actions for 2016/17 approved by IJB on 21/3/2016 provide some clarity and a framework for future service delivery. - Other proposed transformation projects will be notified to the IJB as a matter of routine. - Clear guidance on service development during interim period. - Acceptance that ongoing challenges of both organisations mean standstill is probable 2017 	3	3	9	Medium	July 2017: No change

Ref	Status	Description of Risk	Risk Owner	Initial Risk Level				Control Actions	Current Risk Level				Latest Update
				Likelihood	Consequences	Risk Ranking	Risk Level		Likelihood	Consequences	Risk Ranking	Risk Level	
5	Live	There is a risk that negative staff perception of integration due to previous experience of CHCPs may lead to an adverse affect on engagement / buy-in to new partnership	Chief Officer	4	4	16	High	- Comms messages acknowledge previous experience and outline how new partnership is different - OD events to engage staff in development of integrated arrangements and build new culture - Workforce development and OD strategy to be developed within 1st year of establishment of IJB	3	3	9	Medium	July 2017: No change
6	Live	There is a risk that the Partners put in place revised governance mechanisms between the IJB and themselves which could lead to increased bureaucracy in order to satisfy the alternative arrangements that require to be put in place.	Chief Officer	3	4	12	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.	3	3	9	Medium	July 2017: No change
7	Live	There is a risk that the clinical and professional governance arrangements that are being established fail to discharge the duties incumbent upon them	Chief Officer	4	4	16	High	- Review of processes established	2	4	8	Medium	July 2017: No change
11	Live	There is a risk of the IJB being unable to fulfill its functions due to a failure of, or disruption to, property, people and/or infrastructure. This could be caused by expected or unexpected events (such as strike action, pandemic flu, civil emergency etc) and could result in a breach of statutory obligations as well as subsequent negative impact on the HSCP and it's constituent partners.	Chief Finance & Resources Officer	3	3	9	Medium	- 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 - Development of specific Business Continuity Plan for the IJB - Late summer 2017	2	3	6	Medium	July 2017: No change

APPENDIX B: SWS Risk Register

Ref	Status	Description of Risk	Risk Owner	Position Held	Initial Risk Level				Control Actions	Current Risk Level				Review Period	Most recent update
					Likelihood	Consequences	Risk Ranking	Risk Level (HSCP)		Likelihood	Consequences	Risk Ranking	Risk Level (HSCP)		
6	Live	There is a risk that ICT security fails resulting in loss/misuse of data, breach of confidentiality, a fine from the Information Commissioner, reputational damage, and potential harm to service users affecting public and service user confidence	Sharon Wearing	Chief Officer - Finance and Resources (GHSCP)	4	4	16	High	- Information Security Governance via Information Security Board. Policies and guidance regularly updated and annual mandatory training provided via GOLD or leaflet. New screensavers being implemented for 2016. - Information sharing protocol with NHSGG&C in place. - All ICT developments progressed through project management methodology which includes risk logs and Privacy Impact Assessments are undertaken as required. - The majority of devices are now encrypted and authorisation process in place for unencrypted devices. - Disclosure process in place for PSN compliance. Secure email piloted and will be rolled out alongside protective marking.	5	4	20	Very High	Quarterly	Update Jul 2017: GCC has had an external cyber security review and the recommendations will be turned in to an action plan. There are also ongoing actions to update security to allow PSN certification to be granted, and a plan has been established for the implementation of GDPR. In addition a communications campaign on cybercrime has been launched. This was launched earlier than planned following the NHS cyber attack. The recent cyber attacks have highlighted that not all devices are patched to the required level (which has has also been highlighted in the PSN health check). The risk manager has therefore assessed that the combination of this and the increasing sophistication of the cyber attacks means that the "risk profile is currently higher". Current likelihood therefore increased from 3 to 5, overall current risk increased from High to Very High.
18	Live	There is a risk that the implementation of welfare reform will lead to increased deprivation for the most vulnerable citizens, thereby leading to an increased demand for social work services including emergency payments, homelessness, welfare rights and general social work support. This could affect the ability of the service to meet demand.	Susanne Millar	CSWO & Chief Officer - Planning, Strategy and Commissioning (GHSCP)	5	5	25	Very High	- Contribution to the corporate welfare reform group; - Effective communications with service users and other stakeholders; - Information dissemination on rights to appeal; - Appeals packs for service users developed; - Welfare Reform training delivered to 3rd sector. - Key messages have been refreshed and disseminated again widely in line with the current stage of reform. - Significant further training has been provided to voluntary sector organisations. - Linkages with the Scottish Welfare Fund has resulted in a significant increase in the number of people appealing benefit sanctions.	5	4	20	Very High	Quarterly	Update Jul 2017: Risk remains very high due to schedule change to Universal Credit in Glasgow (see Future Issues) and introduction of two child policy for Tax Credits and UC. This is impacting on the Kinship Care Policy with a potential impact on HSCP costs where carers are unable to secure level of benefit currently available. The Welfare Rights Team has been maximising the income of carers and working with the HSCP to explore ways to minimise the impact of these cuts. The further reduction in the benefit cap means 730 households in Glasgow will have their social security entitlement reduced, with 90% percent of households including children (more details in Future Issues). WR are visiting all those in private landlord accommodation to make Discretionary Housing Benefit claims and help access exemption categories. RSLs are assisting their tenants. There will be a continued requirement for a significant focus on the impact of welfare reform and any associated mitigation that can be implemented for the foreseeable future.
28	Live	There is a risk that the National-Scottish Child Abuse Inquiry could result in adverse legal, financial, reputational and operational impacts to the Service. 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 compensaton 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.	Susanne Millar	CSWO & Chief Officer - Planning, Strategy and Commissioning (GHSCP)	5	4	20	Very High	- Internal team established to managed our input to the Inquiry. This team will liaise with the PR office accordingly. - This internal team includes legal representatives in order that we can manage any claims. - Ongoing monitoring and review of resources utilised to facilitate the Inquiry. - Existing employee support mechanisms through HR. - Existing health and social care support services for service users.	5	4	20	Very High	Quarterly	Update Jul 2017: Have been successful in meeting all deadlines from the SCAI to date - all control actions still in place
10	Live	There is a risk that 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. This would have the impact of necessitating potential drastic and unplanned cuts in order to realise the savings requirements thereby leaving services and service users vulnerable.	Sharon Wearing	Chief Officer - Finance and Resources (GHSCP)	5	4	20	Very High	- Fortnightly Integration Transformation Board meetings - Weekly Executive Group meetings to approve critical progress issues - CSWO led SMT's in both Adult and Children and family Services review and progress - Performance Management Framework incorporating City-wide, local and care group performance reporting - Regular planned and structured liaison with providers re changes - Service User engagement - Trade Union liaison at strategic and local levels	4	4	16	High	Quarterly	Update Jul 2017 (C Christie): No change Update Jul 2017 (A Eccles): No change

APPENDIX B: SWS Risk Register

Ref	Status	Description of Risk	Risk Owner	Position Held	Likelihood	Consequences	Risk Ranking	Risk Level (HSCP)	Control Actions	Likelihood	Consequences	Risk Ranking	Risk Level (HSCP)	Review Period	Most recent update
27	Live	There is a risk that changes to the vetting requirements for new and existing VISOR users at a national level, which are incompatible with the council's recruitment and employment policies will lead to the service losing access to the system. This could result in the service being 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	CSWO & Chief Officer - Planning, Strategy and Commissioning (GHSCP)	5	4	20	Very High	- Issue has been highlighted to, and is being considered by, the MOG and SOG (locally) and at a national level by National Strategic Group - Impact report is currently being drafted by Social Work Scotland - HR are consulting GCC legal in relation to recruitment and employment policies	4	4	16	High	Quarterly	Update Jul 2017: No change
29	Live	There is a 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. This could result in service users not receiving services they're entitled to, and which leaves them at increased risk.	- David Williams - Alex Mackenzie	- Chief Officer - Chief Ops Officer	5	4	20	Very High	- Trade Union liaison at strategic and local levels. - HSCP Workforce Planning Sub Group and Board chaired by Chief Officer (Finance & Resources) which feeds directly into the Executive Group and the Leadership Team. It comprises CO Planning Strategy & Commissioning / CSWO, CO (Ops) and SWS and NHS HR reps. CO PS&C / CSWO advises group of any potential risks in relation to staffing reductions. - Local performance management and supervision systems in place - Workforce planning arrangement for care groups being finalised - Training and development programme for MHOs in place - New AWI protocols agreed at HSCP and SWS Governance Groups. - Regular updated workforce planning monitoring reports by Locality for all care groups in place	4	4	16	High	Quarterly	Update Jul 2017 (JK): No change Update Jul 2017 (AMR): No change
1	Live	There is a risk of failure to meet statutory Health & Safety requirements. This may result in 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	Head of Corporate Services (GHSCP)	4	5	20	Very High	- 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 - Departmental Health & Safety Policy & manuals - Fire safety management system. - H&S risk assessment processes, e.g. fire, legionella, alarms etc. - H&S respond to all audit and inspection requirements. - Emergency procedures in place for all service user accommodation - Range of H&S training in place e.g. Fire Wardens, Manual Handling etc. - Regular Fire and Alarms Equipment testing with contracts for maintenance and checks in place. - Monitoring of claims. - 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 - Legionella risk managed with the assistance of ACCESS.	3	5	15	High	Quarterly	Update Jul 2017: No change
11	Live	There is a risk that the Glasgow MAPPA arrangements fail resulting in risk to Glasgow citizens from registered sex offenders	Susanne Millar	CSWO & Chief Officer - Planning, Strategy and Commissioning (GHSCP)	4	5	20	Very High	- City-wide Criminal Justice SMT continues to meet regularly to oversee CJ practice. - MAPPA Strategic Oversight Group meets every 3 months - MAPPA Operational Group meets every 6 weeks - MAPPA national guidance - Multi agency Risk Register in place and standing item on the agenda of both meeting structures - NASSO meeting every quarter with RSL providers - Memorandum of Understanding in place between statutory agencies and reviewed annually	3	5	15	High	Quarterly	Update Jul 2017: No change
12	Live	There is a risk of failure in the implementation of Child Protection procedures and arrangements resulting in increased and/or avoidable risk/harm to children and/or young people	David Williams	Chief Officer (GHSCP)	4	5	20	Very High	- Child Protection Committee and sub groups meet regularly - Local area CP forums in place - Quarterly meeting of Chief Officers group - Management information produced and reviewed monthly at C&F Core Leadership Group - 1/2 yearly LMR process overseen and coordinated by CP team - ASM structure providing QA, monitoring and objectivity to local practice - Robust single agency and multi agency training programme in place	3	5	15	High	Quarterly	Update Jul 2017: No change

APPENDIX B: SWS Risk Register

Ref	Status	Description of Risk	Risk Owner	Position Held	Likelihood	Consequences	Risk Ranking	Risk Level (HSCP)	Control Actions	Likelihood	Consequences	Risk Ranking	Risk Level (HSCP)	Review Period	Most recent update
13	Live	There is a risk of failure in the implementation of Adult Protection procedures and arrangements resulting in increased or avoidable risk/harm to vulnerable adults	David Williams	Chief Officer (GHSCP)	4	5	20	Very High	- Adult Protection Committee and sub groups in place - Local Area Adult Protection Forums and multi-agency Local Management Reviews embedded - Quarterly meeting of Chief Officers Group - ASP management information produced and reviewed quarterly at Adult Services Core leadership and Older People's clinical and care governance meetings - ASM structure and multi-agency traiing programme in place - City-wide multi-agency learning event held (June 2016) Actions and work plan developed from this event, monitored by the APC Quality assurance sub group.	3	5	15	High	Quarterly	Update Jul 2017: No change
20	Live	There is a risk that resolution of outstanding design issues on the Commonwealth Games site could result in an operational and financial impact on SWS.	Sharon Wearing	Chief Officer - Finance and Resources (GHSCP)	3	5	15	High	- Capital Programme Governance arrangements.	3	5	15	High	Quarterly	Update Jul 2017: No change
2	Live	There is a risk of negative media publicity resulting in loss of public support and low staff morale affecting our ability to deliver services to vulnerable children and adults and the confidence of service users in the services upon which they rely.	Sharon Wearing	Chief Officer - Finance and Resources (GHSCP)	4	5	20	Very High	- Glasgow City HSCP Joint Media Protocol for media enquiries and proactive communications in place - Links with Glasgow City Council and NHS Greater Glasgow and Clyde Corporate Communications Teams, including PR Teams - Glasgow City HSCP Joint Communications Strategy in place, with key communications channels for the corporate partner organisations and the Partnership (e.g., Health and Social Care Integration Newsletter and Bulletins, website presence, email announcements) - Regular communications survey in place - Glasgow City HSCP Brand Identity Guidelines in place - Communications guidelines developed as required; Twitter guidelines (completion June 2016) and email signature guidelines (June 2016) - Development of further communications channels for stakeholders; Twitter (completion June/July 2016) and external website (completion summer 2017) - Process in place to identify and publish 'Good News' stories to promote a positive image for the Glasgow City HSCP - Weekly joint meetings between Social Work and Health staff within the Glasgow City HSCP supporting communications to ensure a co-ordinated approach - Arrangements in place to disseminate joint communications in a consistent and timely manner across the Glasgow City HSCP - Individual communications strategies or plans for projects/change programmes in place as required	3	4	12	High	Quarterly	Update Jul 2017: No change
3	Live	There is a risk of an inability to respond to needs for services on a 24 hour basis due to failure of or disruption to facilities or staff affecting mainstream and out-of-hours services. This is as a consequence of exceptional, one-off and unexpected events such as strike action, pandemic flu, extreme weather events. The impact of this is that service users in significant numbers across the city may not be able to receive a continuing service for a limited period of time.	Susanne Millar	CSWO & Chief Officer - Planning, Strategy and Commissioning (GHSCP)	4	4	16	High	- Business Continuity Plans for SWS functions in place based on Business Impact Analysis exercise - Industrial Relations Strategy in place. - Monthly meetings at Director level with senior Trade Union officials. - Business Continuity Reps identified in each service area - Business Continuity Working Group chaired by the service Business Continuity Champion (Head of Business Development) - Review of Council ICT Disaster Recovery priorities currently being undertaken by GCC Compliance. SWS has fed into this process. - Revised approach to monitoring / visibility of Business Continuity developed - quarterly reporting to SMT proposed	3	4	12	High	Quarterly	Update Jul 2017: Updated control actions
5	Live	There is a risk that contractor/partner arrangements fail. This may result in a failure to deliver services appropriately with a provider or other agencies leading to a failure to care/protect service users	Susanne Millar	CSWO & Chief Officer - Planning, Strategy and Commissioning (GHSCP)	5	4	20	Very High	- Contract Management Framework. - Contractor Risk Ratings Matrix. - Data sharing & GHA/RSL protocols. - Data Processing Agreements with Health/SCRA/Education. - Procurement activity undertaken in accordance with written agreed procedures. - All contractual arrangements over the approved thresholds referred to appropriate committee for approval. - Ensuring providers/other agencies have health and safety procedures/arrangements in place - Regular meetings with key providers and the Social Care Ideas Factory regarding strategic provider related issues	3	4	12	High	Quarterly	Update July 2017: Currently working with provider to test joint approach to learning from an FAI. Development of Alliance Commission model intended to strengthen relationships and provide additional stability for providers. Development of a Commissioning Strategy and Workplan.
21	Live	There is a risk that resolution of outstanding design issues and adverse site conditions on the Leithland site could result in an operational and financial impact on SWS programme.	Sharon Wearing	Chief Officer - Finance and Resources (GHSCP)	3	4	12	High	- Capital Programme Governance arrangements. - Regular monitoring of contract by DRS Project Team. - Reporting to Social Work Capital Board. - Reporting to Council Capital Board. - Corporate partners working to develop viable solutions which will be evaluated through the governance process.	3	4	12	High	Quarterly	July 2017: The programme is now underway, with construction now coming out of the ground and the overall project is progressing well in terms of the wider programme, and reduced issues around ground conditions and design concerns thereby reducing the initial risk likelihood from 5 to 3. This changes the initial risk score from 20 to 12 (Very High to High)

APPENDIX B: SWS Risk Register

Ref	Status	Description of Risk	Risk Owner	Position Held	Likelihood	Consequences	Risk Ranking	Risk Level (HSCP)	Control Actions	Likelihood	Consequences	Risk Ranking	Risk Level (HSCP)	Review Period	Most recent update
22	Live	There is a risk that the renewal of the OLM contract will not be concluded by the 31st of March and the current proposal for a standard one year extension will not meet the business needs and cost significantly more than a partnership contract resulting in a lack of support from the supplier, potentially affecting all areas of social work services if careFirst fails and cannot be fixed by ACCESS, and additional costs to the Council, and decreasing the ability to implement transformational change for the Health and Social Care Partnership	Sharon Wearing	Chief Officer - Finance and Resources (GHSCP)	4	4	16	High	- ACCESS are dealing with the contract renewal, and the concerns around the implications of the current situation have been raised with Senior Management.	3	4	12	High	Quarterly	Update Jul 2017: 1 year extension in place until March 2018 but uncertainty around the position after that due to the lack of clarity on the Council's new ICT provider.
30	Live	There is a risk that ICT systems used by Social Work Services are not fit for purpose, or fail which would impact on our ability to undertake statutory duties and meet business objectives (including the protection of and care for vulnerable children and adults). One potential cause is that the Glasgow City Council arrangements with ACCESS for the provision of ICT don't meet the specific needs of Social Work Services.	Sharon Wearing	Chief Officer - Finance and Resources (GHSCP)	4	4	16	High	- Carefirst and ICT Strategy Board (4 weekly) - Carefirst Technical Board (4 weekly) - (ACCESS and supplier both present at the above meetings) - ICT Operational meeting now in place - Improvement actions from job swap underway - Development of maintenance of pipeline plan - CareFirst is designated a Platinum system. - I-World has been designated Top Gold. - Service Level Agreements on availability for key systems with ACCESS. - Ongoing training programme. - Regular review and updating of systems and technologies to ensure compliance with technical strategy and supplier maintenance agreements.	3	4	12	High	Quarterly	Update Jul 2017: Development work has been hampered by the ACCESS industrial action, PSN requirements and lack of certainty in the contractual position.

APPENDIX C: Health Risk Register

Division	ID	Title	Description	Manager	Likelihood (initial)	Consequence (initial)	Rating (initial)	Risk level (initial)	Controls in place	Likelihood (current)	Consequence (current)	Rating (current)	Risk level (current)	Review date
GCHSCP	1428	Prescribing costs-Financial	Prescribing costs exceeding the allocated budget threatening HSCP services	Richard Groden	5-Will undoubtedly recur, possibly frequently	4 - Major	20	Very high risk	Budget performance monitoring Prescribing monitoring, risk sharing across HSCP, prescribing plan to identify and generate savings if required	5 - Will undoubtedly recur, possibly frequently	4 - Major	20	Very high risk	03/10/2017
GCHSCP	1706	Financial risk - implementation of Scottish Living Wage	There is a risk that the funding provided by the Scottish Government to cover the Scottish Living Wage is not sufficient, creating a financial challenge which could lead to reputational issues to the Partnership	Sharon Wearing	5-Will undoubtedly recur, possibly frequently	4-Major	20	Very high risk	Different model of procurement, administration and modelling in development in consultation with provider organisations. Aims to find different ways of working focussing on outcomes as opposed to inputs and make best overall use of resources whilst delivering efficiencies.	3- May recur Occasionally	4- Major	12	High risk	03/10/2017
GCHSCP	1511	GP practices	Glasgow City HSCP may experience a local GMS practice unable to fulfil its contractual obligations, requiring intervention and support sometimes at short notice	Richard Groden	5-Will undoubtedly recur, possibly frequently	4 - Major	20	Very high risk	Developing a response "toolkit" for vulnerable practices 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 a vulnerable state, including mechanisms and possible responses	3- May recur Occasionally	4 - Major	12	High risk	03/10/2017
GCHSCP	1670	Medical and Nursing cover	There is a risk that there is not enough medical and nursing cover for Sexual Assault Examinations provided by Archway and that contracted Forensic Physicians are unable to fill the gap	Rhoda MacLeod	5-Will undoubtedly recur, possibly frequently	4-Major	20	Very high risk	New Forensic Contract. Recent service review recommends further development of service model	4- Will probably recur, but is not a persistent issue	4- Major	16	High risk	03/10/2017
GCHSCP	1418	Financial HSCP Wide	Failure to deliver transformation programmes in 2017/18 which may result in not meeting financial targets.	Alex MacKenzie	5-Will undoubtedly recur, possibly frequently	4-Major	20	Very high risk	Regular financial monitoring at Sector and HSCP level. Reviewing and reforming of services as part of savings plans to meet targets.	4- Will probably recur, but is not a persistent issue	4 - Major	16	High risk	03/10/2017
GCHSCP	1429	Failure to meet Access/ Discharge Targets	Failure to meet Access/discharge targets	Jackie Kerr	4 - Will probably recur, but is not a persistent issue	4 - Major	16	High risk	Working group established, Links with Social work, Funding, Continue to monitor/audit delayed discharges with acute	3 - May recur occasionally	4 - Major	12	High risk	03/10/2017

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GCHSCP	1431	External providers	External care providers not recognising health needs/ not seeking appropriate advice Impact of personalisation on staffing levels	David Walker	4 - Will probably recur, but is not a persistent issue	4 - Major	16	High risk	Provider training, professional specific advice, medication protocols, clear transfer of information into provider care plans, monitoring via Care Inspectorate Provider services to be monitored and reviewed by the Contract and Management and Commissioning Teams	3 - May recur occasionally	4 - Major	12	High risk	03/10/2017
GCHSCP	1434	Clinical Records	Delays or errors in clinical information being transferred leading to medication errors or failings in care and treatment of an individual. Potential for complaints, litigation and adverse publicity. Sensitive personal information being inappropriately disclosed in error. This risk is evident in mental health as they move towards EMIS. Lack of consistent and documented procedure for the storage and destruction of community health records	Mari Brannigan	4 - Will probably recur, but is not a persistent issue	4 - Major	16	High risk	Guidelines and protocols in place. Audits of practice by clinical teams. awareness of Data Protection Principles. Review in progress of current arrangements	3 - May recur occasionally	4 - Major	12	High risk	03/10/2017
GCHSCP	1435	Capital Developments - financial	Capital Developments- Insufficient revenue to cover on-going costs of projects	Alex MacKenzie	4 - Will probably recur, but is not a persistent issue	4 - Major	16	High risk	Project governance structures in place to minimise risk Risk register within project areas identified costs associated with risk at regular intervals Risks escalated though capital governance structure On-going discussions with social work	4 - Will probably recur, but is not a persistent issue	3-Moderate	12	High risk	03/10/2017
GCHSCP	1439	Information Governance MAPPA information sharing	Sensitive or confidential information is inappropriately shared resulting in adverse media impact and loss of public confidence	Alex MacKenzie	4 - Will probably recur, but is not a persistent issue	4 - Major	16	High risk	Information sharing protocols have been developed with relevant agencies and the directorate regularly remind staff of their responsibilities	4 - Will probably recur, but is not a persistent issue	3-Moderate	12	High risk	03/10/2017
GCHSCP	1708	Winter planning Primary Care	Seasonal difficulties for GP practices which may occur due to severe weather conditions, staff shortages and increased demands	Richard Groden	4- Will probably recur, but it is not a persistent issue	4-Major	16	High Risk	Business continuity plans , pandemic flu plans. Use of buddy system for staff.	3- May recur occasionally	4-Major	12	High Risk	
GCHSCP	1703	Junior Doctors Cover	Junior doctors out of hours rotas are stretched due to relatively low numbers on the rotas. Their viability may be impaired by vacancies or sickness absence	Michael Smith	4 - Will probably recur, but is not a persistent issue	4-Major	16	High risk	Liaison with NES regarding recruitment, reviewing service configuration and employing locum staff when necessary. Unscheduled Care Review will consider service changes to address this issue	3 - May recur occasionally	4- Major	12	High risk	03/10/2017

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GCHSCP	1705	Mental Health Inpatient Beds	Lack of beds (especially IPCU) in Greater Glasgow and neighbouring Boards impairs patient access to appropriate care	Michael Smith	4 - Will probably recur, but is not a persistent issue	4-Major	16	High risk	Using robust bed management system to highlight problems in time to resolve. Key issue for the Core leadership and other for a to manage.	3 - May recur occasionally	4- Major	12	High risk	03/10/2017
GCHSCP	1417	Shortage of Staff	Future Shortage of appropriate/competent staff e.g. retirement compromising the ability to deliver service.	Sybil Canavan	4 - Will probably recur, but is not a persistent issue	4- Major	16	High risk	Recruitment arrangements. Succession and workforce planning.	4 - Will probably recur, but is not a persistent issue	4 - Major	16	High risk	03/10/2017