

PERTH & KINROSS INTEGRATION JOINT BOARD

23 MARCH 2016

RISK MANAGEMENT REGISTER

Report by Chief Officer

**PURPOSE OF REPORT**

The report updates the Board on the progress of developing a risk management strategy and the proposed initial risks.

**1. BACKGROUND**

- 1.1 The Integration Scheme for Perth and Kinross set out the requirement for the Parties and the Integration Joint Board to develop a Shared Risk Management strategy. The development of a shared strategy will consist of the identification, assessment and prioritization of risk related to the delivery of services, particularly those which are likely to affect the Integration Joint Board's delivery of the Strategic Plan; Identification and description of processes for mitigating these risks and agreed reporting standards.
- 1.2 Following a risk workshop on the 14<sup>th</sup> January for the health and social care partnership and a subsequent meeting on the 24<sup>th</sup> February an approach to developing a detailed risk register was agreed. Both workshops were facilitated by the respective Risk Managers of the partners. Further workshops are planned in March to develop the risks with identified risk managers. The managers with support from corporate and service risk staff will consider the risks identified in section 1.4 and Appendix 1 to determine the risks, owners, managers, controls and actions required. These risks will be reviewed alongside both partners risk registers to ensure consistency and reduce duplication of effort.

1.3 Following a risk workshop the senior officers identified the following main risks for the Partnership:

- Financial resources
- Governance – unclear lines of accountability
- Staff retention/Delayed Discharges
- Information sharing

The risk register attached in Appendix 1 contains further detail for each risk and the owners, controls and actions to manage each of them.

## **2. CONCLUSION AND RECOMMENDATION**

2.1 It is recommended that the Board:

- (a) Endorse the process proposed to develop the shared risk register with the two partner bodies;
- (b) Note the high level risks identified in Appendix 1 to be further developed for the Board;
- (c) Instructs the Chief Officer to report back to the Board at the next meeting with a comprehensive shared risk register.

**Contact Officer:** Name: Colin Crawford, Interim Chief Finance Officer Ext: 75733  
Email: ccrawfordr@pkc.gov.uk

**Address of Service:** Pullar House, 35 Kinnoull Street, Perth, PH1 5DG

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**Appendix 1** Draft Overview of Risks (February 2016)

## Appendix 1

| Risk Heading                                    | Risk Manager  | Areas for Discussion and Risk Identification   |
|---|---|--|
| <b>Waiting Times and Delayed Discharges</b>     | Paul Henderson, Pat Kippen Sue Muir, Julie Flynn, Grace Gilling         | <ul style="list-style-type: none"> <li>➤ Non delivery of standards/targets e.g. waiting times</li> <li>➤ Delayed Discharges               <ul style="list-style-type: none"> <li>• Capacity and Flow</li> <li>• Homecare</li> <li>• Patient Safety</li> <li>• Lack of whole system approach</li> <li>• Community Focus</li> <li>• Private Guardianship = delayed discharges</li> </ul> </li> </ul>   |
| <b>Legislative, Legal and Governance Risk</b>   | Evelyn Devine, Diane Fraser/ Colin Johnson, Grace Gilling, Sarah Rodger | <ul style="list-style-type: none"> <li>➤ Lack of/Failure of resources to meet statutory duties</li> <li>➤ Unclear lines of accountability               <ul style="list-style-type: none"> <li>• Boundaries/Localities</li> <li>• Areas of Responsibility/roles</li> <li>• Corporate Support</li> <li>• Loss of Clinical Governance Standards</li> <li>• Hosted Services working independently</li> </ul> </li> </ul>  |
| <b>Financial Risk</b>                           | Jane Smith, Donna Mitchell  | <ul style="list-style-type: none"> <li>➤ Partners Financial Position               <ul style="list-style-type: none"> <li>• Challenging Climate</li> <li>• ?Resources in balance</li> <li>• Workforce costs</li> </ul> </li> <li>➤ Failure to produce and deliver IJB strategic financial plan               <ul style="list-style-type: none"> <li>• Clear and honest</li> <li>• Start position</li> <li>• Robust planning</li> </ul> </li> <li>➤ Failure of NHST to provide financial information to IJB to enable due diligence and Financial Plan, Strategic Plan &amp; Directions to be achieved in timescale as per Perth &amp; Kinross Integration Scheme. (See Legislative &amp; Legal)</li> </ul> |
| <b>Recruitment and Retention (Nursing) Risk</b> | Jim Foulis, Sandra Gourlay  | <ul style="list-style-type: none"> <li>➤ Recruitment and Retention (inability)               <ul style="list-style-type: none"> <li>• Registered Nurses</li> <li>• Models of Care</li> </ul> </li> </ul>   |
| <b>Information Technology and Data Sharing</b>  | Ken Wilson / Lynne Harris, Alasdair Graham / Iain Hannah                | <ul style="list-style-type: none"> <li>➤ Information Sharing               <ul style="list-style-type: none"> <li>• Systems</li> <li>• Datasets</li> <li>• Access</li> </ul> </li> </ul>   |

