

# HEALTH AND SOCIAL CARE MORAY STRATEGIC RISK REGISTER

AS AT **SEPTEMBER** 2023

**RISK SUMMARY**

1. The Moray Integration Joint Board (MIJB) does not function as set out within the Integration Scheme, Strategic Plan and in-line with Standing Orders and fails to deliver its objectives or expected outcomes.
2. There is a risk of MIJB financial failure in that the demand for services outstripping available financial resources. Financial pressures being experienced by the funding Partners will directly impact on decision making and prioritisation of MIJB.
3. Inability to recruit and retain qualified and experienced staff to provide safe care whilst ensuring staff are fully able to manage changes resulting from integration.
4. Inability to demonstrate effective governance and effective communication and engagement with stakeholders.
5. Inability to cope with unforeseen external emergencies or incidents as a result of inadequate emergency and resilience planning.
6. Risk to MIJB decisions resulting in litigation/judicial review. Expectations from external inspections are not met.
7. Inability to achieve progress in relation to national Health and Wellbeing Outcomes. Performance falls below acceptable level.
8. Inability to progress with delivery of Strategic Objectives and Transformation projects as a result of inability to resolve data sharing and data security requirements.
9. Requirements for support services are not prioritised by NHS Grampian and Moray Council.

<b>RISK RATING</b>	<b>LOW</b>	<b>MEDIUM</b>	<b>HIGH</b>	<b>VERY HIGH</b>
<b>RISK MOVEMENT</b>	<b>DECREASE</b>	<b>NO CHANGE</b>	<b>INCREASE</b>	

The process for managing risk is documented out with the MIJB Risk Policy.

1	
<b>Description of Risk:</b> <i>Regulatory</i>	The Integration Joint Board (IJB) does not function as set out within the Integration Scheme, Strategic Plan and Scheme of Administration and fails to deliver its objectives or expected outcomes.
<b>Lead:</b>	Chief Officer
<b>Risk Rating:</b>	Low/ medium/ high/ very high <span style="background-color: yellow; padding: 2px;"><b>MEDIUM</b></span>
<b>Risk Movement:</b>	Increase/ decrease/ no change <span style="background-color: orange; padding: 2px;"><b>NO CHANGE</b></span>
<b>Rationale for Risk Rating:</b>	<p>The strategic plan “Partners in Care 2022 to 2032” was approved by MIJB in November 2022. An amendment to the Scheme to increase membership by one from each of the partner organisations was ratified in March 2022 by the Scottish Government following due process and approval by Moray Council and NHS Grampian Board.</p> <p><i>There is a schedule of weekly meetings with the Chair/Vice Chair, Chief Officer, Chief Financial Officer, Strategic Planning Lead and Corporate Manager.</i></p> <p><i>The delivery plan for the new Strategic Plan “Partners in Care” 2022-32 was presented to MIJB in September 2023.</i></p>
<b>Rationale for Risk Appetite:</b>	<p>The Board, staff and providers across Moray are all committed to ensuring high standards of clinical care &amp; governance through operational policies. Innovation and new ways of working may mean traditional regulations do not exist, or are contradictory.</p> <p>We will only take regulatory risks knowingly, following consultation with the relevant regulatory body and where we have clear risk mitigation in place.</p>
<b>Controls:</b>	<ul style="list-style-type: none"> <li>• Integration Scheme.</li> <li>• Strategic Plan “Partners in Care” 2022-32</li> <li>• Governance arrangements formally documented and approved by MIJB January 2021.</li> <li>• Agreed risk appetite statement.</li> <li>• Performance reporting mechanisms.</li> <li>• Consultation with legal representative for all reports to committees and attendance at committee for key reports.</li> <li>• Standing orders have been reissued to all members</li> </ul>
<b>Mitigating Actions:</b>	<p>Induction sessions <i>are</i> held for <i>any</i> new IJB members. Further sessions <i>are</i> arranged for <i>new</i> appointees. Conduct and Standards training held for IJB Members in June 2022 provided by Legal Services. SMT regular meetings and directing managers and teams to focus on priorities. Regular development sessions held with IJB and System Leadership Group Strategic Plan and locality management structure is in place.</p>

<p><b>Assurances:</b></p>	<ul style="list-style-type: none"> <li>• Audit, Performance and Risk Committee oversight and scrutiny.</li> <li>• Internal Audit function and Reporting</li> <li>• Reporting to Board.</li> <li>• The Moray Transformation Board has recently recommenced and will support an oversight of planned business across HSCM.</li> </ul>
<p><b>Gaps in assurance:</b></p>	<p>The new strategic delivery plan and will incorporate the work being taken forward for Self-Directed support, Hospital at Home and Locality Planning.</p> <p>Mapping of the recently delegated services will take place to ensure the statutory governance requirements and those of MIJB are met.</p>
<p><b>Current performance:</b></p>	<p>The Scheme of Administration is reported when any changes are required.</p> <p>Legal advisors are currently working on the requirements to the integration scheme in relation to the proposed The integrated scheme of delegation of Children’s and Families and Justice Services was presented and accepted by MIJB on 26th January 2023.</p> <p>The Governance Framework was approved by IJB 28 January 2021. Re-appointment of Standards Officer agreed by IJB 31 March 2022.</p> <p>Members Handbook has been updated and circulated to all members in June 2022.</p>
<p><b>Comments:</b></p>	<p>Strategic Planning and Commissioning Group approved the generic Terms of Reference and Chairs of the transformation boards at the meeting on 19 December 2019.-The Interim Strategy and Planning Lead is now taking this forward and prioritising and focusing on strategic planning and priorities over the short and longer term.</p>

<b>2</b>	
<b>Description of Risk:</b> <i>Financial</i>	There is a risk of MIJB financial failure in that the demand for services outstrips available financial resources. Financial pressures being experienced both by the funding Partners and Community Planning Partners will directly impact on decision making and prioritisation of MIJB.
<b>Lead:</b>	Chief Officer/Chief Financial Officer
<b>Risk Rating:</b>	Low/ medium/ high/ very high <b>VERY HIGH</b>
<b>Risk Movement:</b>	Increase/ decrease/ no change <b>INCREASE</b>
<b>Rationale for Risk Rating:</b>	<p>The <b>2023/24</b> settlement <b>only</b> saw funding for recurring commitments. There remains a significant pressure due to the recurring core overspend, since most of the new investment related to new commitments. Financial settlements are set to continue on a one year only basis, which does not support sound financial planning. In addition, the carried forward ear marked reserves <b>have been significantly reduced</b> with the clawback of the Covid reserve and reduction of the PSIF funding in 2022/23 . The impact of which will be to reduce the level of ear marked reserves in the MIJB.</p> <p>The Revenue Budget 2023/24 was approved by MIJB on 30 March 2023 as a balanced budget. A significant ambitious savings plan of £4.1 million was approved. Additional Scottish Government funding was provided again for 2023/24, this is to meet additional recurring policy commitments in respect of adult social care pay uplift for externally provided services and free personal and nursing care rates. <b>As at quarter 1 a forecasted overspend of £3.7m is expected and with both partners having financial challenges a recovery plan and additional savings will be required to balance the budget.</b> The update medium Term Financial Framework was presented as part of the budget papers on the 30th March 2023 this will be further reviewed during the 2023/24 year to ensure alignment with the recently reviewed Strategic Plan and for the delegation of Childrens Services and Criminal Justice.</p>
<b>Rationale for Risk Appetite:</b>	<p>The Board recognises the financial constraints all partners are working within. While we are cautious and open about accepting financial risks this will be done:</p> <ul style="list-style-type: none"> <li>• Where a clear business case or rationale exists for exposing ourselves to the financial risk</li> <li>• Where we can protect the long term sustainability of health &amp; social care in Moray</li> </ul>
<b>Controls:</b>	<p>There is an interim arrangement for CFO cover from Moray Council. Permanent recruitment efforts have not been successful. The Chief Officer is working with both the Council and NHS Finance Leads to secure a longer term interim arrangement.</p> <p>The CFO and Senior Management Team have worked together to address <del>further</del> savings which were approved by the Board as part of the budget setting procedures for 2023/24. This will be a focus of continuous review to ensure any investment is made taking cognisance of existing budget pressures. A revised Financial Framework was presented to</p>

	<p>the MIJB on 30 March 2023, and a further review will take place <b>during the year</b>. The Senior Management Team will continue to consider and plan for the financial challenges for <b>2023/24</b> and beyond.</p>
<b>Mitigating Actions:</b>	<p>Risk remains of the challenge that the MIJB can deliver transformation and efficiencies at the pace required whilst dealing with the emerging financial pressures.</p> <p>Financial information is reported regularly to both the MIJB, Senior Management Team and System Leadership Group.</p> <p>The Chief Officer and Chief Financial Officer (CFO) continue to regularly engage in finance discussions with key personnel of both NHS Grampian and Moray Council.</p> <p>Chief Officer and CFO will continue to engage with the partner organisations in respect of the financial position throughout the year. Cross partnership performance meetings are in with partner CEOs, Finance Directors and the Chair/Vice Chair of the MIJB.</p>
<b>Assurances:</b>	<p>MIJB oversight and scrutiny of budget. Reporting through MIJB, NHS Grampian Board and Moray Council.</p>
<b>Gaps in assurance:</b>	<p>None known</p>
<b>Current performance:</b>	<p>An overspend of <b>£2,306,993 on Core services as at 30 June 2023 and for the 2023/24 financial year a provisional forecast of a £3,729,822 overspend</b> was reported to the IJB on <b>28 September 2023</b>.</p>
<b>Comments:</b>	<p>Senior managers continue to work with Chief Officer and Chief Financial Officer to address the continuing financial challenge, continuing to seek efficiencies and opportunities for real transformation as we look to make efficient and effective investment in services that are truly transformational. There are additional pressures from the cost of living crisis, increasing energy bills, inflation and staff pay awards.</p>

<b>3</b>		
<b>Description of Risk:</b> <i>Human Resources (People):</i>	Inability to recruit and retain qualified and experienced staff to provide and maintain sustainable, safe care, whilst ensuring staff are fully able to manage change resulting from response to external factors such as the impact of Covid and the actions that arose from the recommendations from the Independent Review of Adult Social Care 2021.	
<b>Lead:</b>	Chief Officer	
<b>Risk Rating:</b>	Low/ medium/ high/ very high	<b>HIGH</b>
<b>Risk Movement:</b>	Increase/ decrease/ no change	<b>NO CHANGE</b>
<b>Rationale for Risk Rating:</b>	<p>There continues to be issues with recruitment to front line services that require specific skills and experience. This continues to place pressure on existing staff. Allied Health Professions, Social Work and Nursing are some of the particular areas experiencing difficulties with obtaining people with the appropriate skills and training. Care at Home staffing levels are pressured for Internal services and externally with local providers all experiencing the same difficulties. There are also impacts on recruitment of Dentists and other graduates arising from Covid as the number graduating reduced during that period.</p> <p>The various impacts of Covid-19 has placed a significant strain on the Partnerships resources across frontline and support functions and this has resulted in delays for the progress of projects relating to the achievement of strategic objectives. HSCM continues to review the large number of fixed term and seconded posts. This will continue as temporary contracts conclude. It is hoped that this will improve some of the instability teams felt during the pandemic response. This will also allow consideration of post redesign, service needs and potential financial savings. This will continue to be reviewed by the Senior Management Team.</p> <p>Care Homes in Moray continue to face difficulties with recruitment and retention of staff. Efforts are being made to provide support but the situation remains challenging.</p> <p>The transition from EU membership has not presented any specific concerns for workforce and this will continue to be monitored.</p> <p>The impact of budget allocations and the withdrawal of all Covid funding will also mean that HSCM are facing challenging <b>recruitment</b> decisions in 2023.</p> <p>The impact of budgetary decisions by the Council in relation to reducing staffing levels has reduced levels of support provided in some key areas Health and Social Care Moray (HSCM), such as ICT, HR, Legal and design.</p> <p>The lack of suitable housing for Health and Social Care staff has resulted in people not being able to take up posts in Moray.</p> <p>GP sustainability remains a national issue.</p>	

<p><b>Rationale for Risk Appetite:</b></p>	<p>Safety risks that could result in harm to service users, staff or the public are inherent in Health &amp; Social Care services. The safety of individuals is paramount therefore standards of safety management and clinical care have to be high, and the Board will continue to seek assurances this is the case.</p> <p>The Board's ambition is for health &amp; social care to be people centred. This means supporting people in decision making about their own health &amp; care, which may expose individuals to higher risk where they make an informed decision.</p> <p>The Board will also seek to balance individual safety risks with collective safety risks to the community.</p>
<p><b>Controls:</b></p>	<p>Management structure in place with updates reported to the MIJB.</p> <p>Organisational Development plan in place and Workforce Plans are being updated to align to the new strategic plan. Continued activity to address specific recruitment and retention issues.</p> <p>Management competencies continue to be developed through Kings Fund training although this was suspended due to Covid19. A 2 day event was held on 16/17 May 2023, attended by the Senior Management Team as part of a Grampian wide event.</p> <p>Communications &amp; Engagement Strategy was approved in November 2019 and continues.</p> <p>Council and NHS performance systems in operation with HSCM reporting being further developed and information relating to vacancies, turnover and staff absences is integral to this.</p> <p>Managers are highlighting any areas of concern and where appropriate this is identified in operational risk registers.</p> <p>Moray Council are carrying out a study of accommodation needs, including people working in the Health and Care sector.</p>
<p><b>Mitigating Actions:</b></p>	<p>System re-design and transformation.</p> <p>Organisational Development Plan and Workforce plan were updated and approved by MIJB in November 2019. The updated Workforce plan has been submitted to Scottish Government and comments were received by the HSCP in October 2022. These are currently being worked through.</p> <p>Staff Wellbeing is a key focus and there are many initiatives being made available to all staff including training, support, information and access to activities.</p> <p>Locality Managers have developed Multi-disciplinary teams in their areas and project officer support was been provided to develop the locality planning model across Moray.</p> <p>Lead Managers are involved in regional and national initiatives to ensure all learning is adopted to improve this position.</p> <p>Lead Managers and Professional Leads are linked to University Planning for intakes and programmes for future workforce development.</p>



	<p>HSCM are working with Digital Health and Care Innovation Centre as partners on the Digital Health Improvement programme to research and design innovative ways to address the needs of citizens, versus the challenges of recruitment and skills available within Moray.</p> <p>Incentives have been secured to try and attract additional NHS dentists and dental practices to our area. The Scottish Dental Access Initiative now includes Moray, with grants of £50,000 and above available to allow dental practices to be established or extended– provided there is a seven-year commitment to providing NHS treatment. A recruitment and retention bonus is also being offered to eligible new dentists in Moray.</p> <p>GP sustainability Group and Primary Care Vision for the Future Groups in situ.</p> <p>Work is underway across the system to consider the implications of the Health and Care (Staffing) (Scotland) Act 2019.</p>
<p><b>Assurances:</b></p>	<p>Operational oversight by Moray Workforce Forum has resumed and will report to MIJB in accordance with the agreed Governance framework.</p> <p>The HSCM Response Group <b>continues to</b> focus on leadership around emerging issues and resolving them, <b>including staffing</b>. The Heads of Service are co-ordinating and escalate to SMT where necessary. These meetings have been increased as service needs dictate.</p>
<p><b>Gaps in assurance:</b></p>	<p>Further work required to develop workforce plans to reflect strategic plan implementation programmes.</p>
<p><b>Current performance:</b></p>	<p>The iMatter survey results for 2023 were received by managers for review and action plans <b>are now in place for implementation and review</b>.</p> <p>Discussions are underway with HR in both Council and NHS to develop access to appropriate HR information at a summarised level to facilitate the necessary workforce planning and subsequent monitoring of plans.</p> <p>There continues to be a need for more streamlining in recruitment processes as the delay in approval to recruit to having a member of staff available is in excess of 8 weeks.</p> <p>There is also a lack of suitable applicants for various posts which is impacting on ability to appoint for some roles.</p>
<p><b>Comments:</b></p>	<p>Staffing issues are owned by the Systems Leadership Group who will work collaboratively across the system to seek opportunities to make jobs more attractive where it has proved difficult to recruit in the past.</p> <p>For some professions there is a potential risk that staff move from one position to a new position within HSCM will just move the vacancy to elsewhere in the system, so Senior Management Team are aware of this risk and taking it into</p>

	<p>account in considerations for vacancies. This needs to be considered when fixed term contracts and secondments are planned, consideration needs to be given to the whole of HSCM and not services in isolation. Many of our staff may have transferrable skills and experience.</p> <p>The continuing system issues and lack of available beds may mean operations cannot be scheduled to reduce the backlog and key staff may not have the necessary time in surgery to maintain essential skills. This in turn may add to the staff retention issues within certain specialties.</p>
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<b>4</b>		
<b>Description of Risk:</b> <i>Reputation:</i>	Inability to demonstrate effective governance and effective communication and engagement with stakeholders.	
<b>Lead:</b>	Chief Officer	
<b>Risk Rating:</b>	low/medium/high/very high	<b>MEDIUM</b>
<b>Risk Movement:</b>	increase/decrease/no change	<b>NO CHANGE</b>
<b>Rationale for Risk Rating:</b>	<p>Performance framework to be further developed from a planning perspective to show the links through operational service delivery to strategic objectives.</p> <p>Feedback from community representatives and third sector organisations, across a variety of forums, highlighted issues. Clear focus and communications is required to ensure engagement and outcome needs are met.</p>	
<b>Rationale for Risk Appetite:</b>	<p>The Board is aware of the importance of good relationships with stakeholders. It recognises many of our ambitions require effective collaboration, co-production and partnership working with a range of stakeholders. The board also recognises that not all partners will be able to move at the same pace, all the time.</p> <p>We are aware of the need to protect and maintain good working relationships with all partners and stakeholders in order to deliver the outcomes set out in our strategic plan.</p>	
<b>Controls:</b>	<p>Governance Framework approved by IJB January 2021. <b>A refresh of the Framework will be presented to Committee in November 2023.</b></p> <p>Communication and Engagement Strategy approved November 2019</p>	

	<p>Annual Governance statement produced as part of the Annual Accounts 2022/23 and submitted to External Audit. The unaudited accounts and governance statement for 2022/23 were presented to MIJB June 2023 and the audited accounts will return to committee in October 2023 for agreement.</p> <p>Annual Performance Report for 2022/23 was published in July 2023.</p> <p>Performance reporting mechanisms in place and being further developed through performance support team, home first group and system leadership team.</p> <p>Community engagement in place for key projects areas such as Forres, Keith and Lossiemouth with information being made available to stakeholders and the wider public via HSCM website.</p> <p>Participation of stakeholders in a variety of meetings such as Home First project, carer strategy, Strategic, Planning and Commissioning groups.</p>
<b>Mitigating Actions:</b>	<p>Schedule of Committee meetings and development days in place and implemented.</p> <p>New relationships are currently being established with Grant Thornton, the MIJB's newly appointed external auditor for 2022/23. The principles of the Equalities Impact Assessment are now embedded in the business as usual processes within Health and Social Care Moray.</p> <p>Social media is actively used as a method of engaging with the public, with short videos focussing on particular services being trialled.</p> <p>SMT have considered the existing arrangements for engagement with stakeholders and work is being undertaken to align our framework with the Scottish Government "Planning with people guidance" and ensure that mechanisms are in place across services to evidence and evaluate their impact. A Public Engagement Communications Officer has now been appointed and started in post mid August 2023.</p>
<b>Assurances:</b>	<p>Oversight and scrutiny by Clinical and Care Governance Committee, Audit Performance and Risk Committee and MIJB.</p> <p>Summary reports of minutes of MIJB meetings are submitted to Council committee and NHS Board.</p>
<b>Gaps in assurance:</b>	<p>Progress on implementation of the Communication and Engagement Strategy was impacted by the Covid 19. More use is being made of social media and Microsoft teams and other options and methods for engagement with staff are being used via NHSG such as videos on YouTube and one question surveys.</p> <p>Going forward there may be more opportunity for face to face meetings to take place again but it should be considered that this will not be beneficial for all.</p>
<b>Current performance:</b>	<p>Communication, Engagement &amp; Participation Framework was reviewed approved by IJB November 2019. This will be reviewed by the new Public Engagement and Communication Officer.</p>

	<p>The Unaudited Accounts for 2022/23 were approved in March 2023, presented to MIJB and APR Committee in June 2023 and are now being audited, with the audited accounts to be presented in <b>October</b> 2023. The Annual Performance Report for 2022/23 was published in July 2023 after being presented to MIJB in June 2023.</p>
<b>Comments:</b>	<p>A communication cell is now established as part of the Local Resilience Partnership response with representation from Emergency Services, Councils, HSCP and NHSG. This forum provides assurance that messages to all stakeholders are consistent.</p>

<b>5</b>	
<b>Description of Risk:</b> <i>Environmental:</i>	Inability to cope with unforeseen external emergencies or incidents as a result of inadequate emergency and resilience planning.
<b>Lead:</b>	Chief Officer
<b>Risk Rating:</b>	low/medium/high/very high <b>HIGH</b>
<b>Risk Movement:</b>	increase/decrease/no change <b>NO CHANGE</b>
<b>Rationale for Risk Rating:</b>	<p>As a result of the Covid 19 response, progress was made in a number of areas. SMOC information is updated, control room guidance updated and expanded, control centre protocols were implemented and remain in place and management teams have responded in an agile, responsive and collaborative way under very challenging conditions.</p> <p>Teams continue to do their best but there are areas where they still feeling overwhelmed and service delivery is challenging.</p> <p>With effect from March 2021 MIJB is defined as a Category 1 responder under the Civil Contingencies (Scotland) Act and there are additional requirements for preparedness that is being taken forward in partnership with NHSG and Moray Council emergency planners.</p>
<b>Rationale for Risk Appetite:</b>	The MIJB understand the requirement to meet the statutory obligations set out within the Civil Contingencies Act and the Category 1 status applied in March 2021, and work with partner organisations to meet these obligations.
<b>Controls:</b>	<p>Winter Preparedness <b>Plans are being updated</b> (but not tested as in previous years) <b>with a delivery element sitting alongside the strategic plans. This is being rolled out via monthly meetings across all operational teams. Annual planning continues to dovetail with NHSG plans, and addressing the priorities outlined by Scottish Government.</b></p> <p>HSCM Civil Contingencies group meeting regularly to address priority subjects.</p> <p>NHS Grampian Resilience Standards Action Plan approved (3 year).</p> <p>Business Continuity Plans are now updated for most services and this review continues across HSCM.</p> <p>Knowledge of critical functions and ability to respond quickly and effectively has been in evidence during incidents such as Gas outages in Keith (January and February 2021) and Covid response, Storms (Arwen, Malik and Corrie) – debriefs carried out and learning identified.</p> <p>A Resilience Newsletter <b>is now embedded as part of the winter planning and will inform</b> staff of some personal resilience information together with resources for teams to plan.</p> <p>Regular updates to SMT and SLG regarding potential power outages across the country. Additional sessions <b>were</b> delivered to Primary Care Contractors to assist with their Business Continuity Planning around power outages.</p> <p>Regular system wide meetings to discuss potential Industrial Action implications and service planning.</p>

	<p>A review of the Festive season arrangements was completed and as a result all services are now required to provide information about service cover available over holiday long weekends which enables a more collaborative and supportive approach.</p>
<b>Mitigating Actions:</b>	<p>Information from the updated BIA/BCP informed elements of the Winter Preparedness Plan</p> <p><b>Daily Response Group</b> continues, this allows the status of services across the whole system to provide information and contact details to the Senior Manager on Call (SMOC) over the weekend. If any potential issues are highlighted the relevant Persons at Risk Data is compiled and if appropriate, shared with relevant personnel.</p> <p>NHSG have introduced system wide daily huddles to manage the flow and allocation of resources which require attendance from Dr Grays and HSCM. <b>The format and regularity of these are under review.</b></p> <p>HSCM continues to monitor the local situation regarding impacts on staffing and is engaged with NHSG emergency planning arrangements and Council Response and Recovery management team to be ready to escalate response if required. Work was undertaken within NHSG, Aberdeenshire HSCP and Aberdeen City HSCP to look at Surge flows and establish a mechanism that will provide easy identification of “hot spots” across the whole system in Grampian, to facilitate a collaborative approach to addressing the issues through the use of a common Operational Pressure Escalation approach. This work could underpin surge responses in winter and at other times of pressure and having a standard approach across Grampian could aid communication and understanding.</p> <p><b>NHSG and the three Health and Social Care Partnerships completed a considerable amount of planning for potential Industrial Action from staff groups. This has allowed for testing of a range of communications and plans to be tested and will continue to develop.</b></p> <p><b>A System Networking Over Winter (SNOW) Event took place 28 September, the event was attended by health and social care partners across Grampian and also some Local Resilience Partner Agencies. A tabletop exercise event was carried out to exercise how the partners might work together.</b></p>
<b>Assurances:</b>	<p>Audit, Performance and Risk Committee and NHS Grampian Civil Contingencies Group oversight and scrutiny. HSCM Civil Contingencies group review specific risks and action plans to mitigate, developing plans and testing arrangements in partnership with NHSG and Council</p>
<b>Gaps in assurance:</b>	<p>Moray Integrated Joint Board (MIJB) was designated as a Category 1 responder under the Civil Contingencies Act 2004 from March 18<sup>th</sup> 2021. That designation imposed a number of statutory duties in terms of the Act and the associated</p>

	<p>Scottish Regulations<sup>1</sup>. MIJB has no dedicated, specialist in post and is reliant on the Corporate Manager covering this increasingly demanding role in addition to other duties without the necessary background, knowledge, skills and experience. This presents a potential organisational risk in terms of compliance, and our ability to provide assurance on discharging our civil contingency arrangements. This has been highlighted to the Chief Officer and IJB.</p> <p>The debriefs from the storms in 2021/22 have identified lessons learnt for Grampian Local Resilience Partnership and more locally for the response co-ordination within Moray. Actions were developed in collaboration with Moray Council's emergency planning officer to address the issues identified. The main issues related to developing wider awareness of roles and responsibilities, and improving general awareness of response structures and meeting protocols. This will be incorporated into training schedules going forward. It has also highlighted the need for a robust arrangement for out of hours contact and clarity of roles and responsibilities across the system which is being discussed at SMT. Option Appraisal discussions have commenced.</p> <p>Progress has been made however further work is required to address the targets in the implementation plan that have not been met and the Resilience standards as identified by the NHSG Civil Contingencies Group.</p> <p>The 'Care for People' strategic document has been approved by HSCM SMT and CMT. It <b>was</b> presented to MIJB in September <b>2023</b>. A draft operational response plan has been drawn up and has been circulated within the Senior Leadership Group for comment. An information session including the 'Care for People' element was delivered on 2 May 2023, to senior managers who carry out the role of SMOc, this included input from Moray Council Emergency Planning Officer and NHS Grampian. <b>An additional session was delivered 26 September, with a specific focus on the draft Care for People framework. A further tabletop exercise is planned for November 2023.</b></p> <p>Table top style exercises were carried out with some services who had submitted their finalised Business Continuity plans in February 2023.</p> <p>Development of a HSCM Persons at Risk Database (<b>PARD</b>) continues and all partners are now involved, looking to improve the quality of the data held. HSCM is also working with Aberdeen City, Aberdeenshire and NHS Grampian at a system wide approach. <b>The system that currently records the data used for PARD is to be replaced, this function is integral to responding to incidents.</b></p>
<p><b>Current performance:</b></p>	<p>The Senior Management Team <b>have undertaken</b> 'Strategic Leadership in a Crisis' training since 2020 and continue to do so as the programme is delivered.</p>

<sup>1</sup> Civil Contingencies Act 2004 (Contingency Planning) (Scotland) Regulations 2005

	<p>Many services have business continuity arrangements and some are overdue for an update. Work has progressed in identification of a critical functions list for agreement by System Leadership Group that will inform planning arrangements going forward. There will need to be changes made to business continuity plans following the implementation of additional ICT resources in services which have provided a greater deal of resilience for some services and functions – albeit reliant on electricity supply. A schedule of review and exercising of business impact assessments and plans has been scheduled for this year across services. All services have been requested to prioritise their Business Continuity planning with a particular lens on power outages.</p> <p>Annual report on progress against NHS resilience standards was presented to the APR committee on 30 March 2023.</p> <p>Report on the implications <b>and risks</b> of the designation as a Category 1 responder was presented to MIJB 25 November 2021.</p> <p>Work is currently underway to plan for possible National Power Outages across the UK. This is being co-ordinated across Grampian to ensure all Partners are involved. Information/planning sessions were also delivered via HSCM to our Primary Care partners. They were invited to share emergency plans with the partnership.</p>
<p><b>Comments:</b></p>	<p>The requirements of a Category 1 Responder continue to increase in demand placing increased pressures across already overstretched services and managers. <b>The Manchester Arena Inquiry has resulted in a focus on Category 1 responders responsibilities, together with an increase of additional policies and procedures to be written and implemented with no additional resource.</b> MIJB does not have a subject matter expert leading on these topics.</p> <p><b>NHS Grampian identified that 54 buildings/areas within their estate may potentially have Reinforced Autoclaved Aerated Concrete (RAAC) within the structure. This is a lightweight form of concrete used mainly in roof, floor and wall construction in the UK from mid 1950s to mid 1990s and has been found to be at risk of destabilising. Surveys have not identified RAAC in any of the buildings within Moray. However, Primary Care Contractors, which is a hosted service within HSCM, may occupy buildings within Grampian that are affected. Work is ongoing to identify this. Only NHSG buildings have been surveyed to date.</b></p>



<b>6</b>	
<b>Description of Risk:</b> <i>Regulatory</i>	Risk to MIJB decisions resulting in litigation/judicial review. Expectations from external inspections are not met.
<b>Lead:</b>	Chief Officer
<b>Risk Rating:</b>	low/medium/high/very high <b>MEDIUM</b>
<b>Risk Movement:</b>	increase/decrease/no change <b>NO CHANGE</b>
<b>Rationale for Risk Rating:</b>	<p><del>Considered medium risk due to the impact of Covid-19 and resultant efforts required to remobilise services and/or the increase in workloads stretching a workforce that has been under sustained pressure for a considerable time.</del></p> <p>The ongoing impact of the Covid-19 pandemic <b>recovery from the Covid-19 pandemic</b> is stretching resources to deliver care in the community across all providers (internal and external) so there is a potential <del>increased</del> risk of expected standards not being achieved despite the best efforts of all concerned.</p>
<b>Rationale for Risk Appetite:</b>	<p>The Board, staff and providers across Moray are all committed to ensuring high standards of clinical care &amp; governance through operational policies. Innovation and new ways of working may mean traditional regulations do not exist and require to be developed, no longer apply, or are contradictory.</p> <p>We will only take regulatory risks knowingly, following consultation with the relevant regulatory body and where we have clear risk mitigation in place.</p>
<b>Controls:</b>	<p>Clinical and Care Governance (CCG) Committee established and future reporting requirements identified Clinical Risk Management and Practice Governance group has oversight of their respective professional standards and links into Clinical and Care Governance Group, which escalates to CCG Committee as necessary. High and Very High operational risks are reviewed by NHS Grampian Clinical Risk Management and System Leadership Group monthly and a review of all risks will be undertaken as part of the risk management framework. Workshops took place in January and February 2023, 'A conversation about Clinical Governance'.</p> <p><b>A session on Risks and Risk Management was delivered to a wide ranging group of managers in HSCM in September 2023 by NHSG Risk Advisor.</b> <b>A trial has been started to transfer all risks onto Datix Risk Register platform to give oversight of all operational risk registers. This will be reviewed before rolling out across all services.</b> <b>Complaints, compliments and enquiry procedures are in place and are being reviewed and monitored.</b></p> <p>Clinical incidents and risks are being reviewed on a fortnightly basis to ensure processes are followed appropriately and consistently and responses are recorded in a timely manner.</p>

	<p>Adverse events and duty of candour procedures in place and being actioned where appropriate and summary reports submitted to CCG committee.</p> <p>Reports from external inspections reported to appropriate operational groups and by exception to SMT for subsequent reporting to CCG or Audit Performance and Risk Committee as appropriate.</p> <p>Care Home Collaborative Support Group meets to oversee and manage risks in care homes.</p> <p>Children and Adult Protection services are being delivered and reported to their respective committee on a regular basis.</p>
<b>Mitigating Actions:</b>	<p>This risk is discussed regularly by the three North East Chief Officers.</p> <p>Additional resource has been allocated to support the analysis of information for presentation to CCG committee</p> <p>All High and Very High risks are now brought before <b>the Senior Leadership Group</b> in Moray.</p> <p>Process for sign off and monitoring actions arising from Internal and External audits has been agreed</p>
<b>Assurances:</b>	<p>Audit, Performance and Risk and Clinical and Care Governance Sub-Committees oversight and scrutiny.</p> <p>Governance Framework in place and operational. This is currently being refreshed and will be presented to the CCGG Committee in November 2023.</p>
<b>Gaps in assurance:</b>	<p>Process for highlighting recurring themes or strategic expectations from external inspections requires further development to ensure Committee has sight of significant issues.</p>
<b>Current performance:</b>	<p>External inspection reports are reviewed and actions arising are allocated to officers for taking forward.</p> <p>Two Days of Care Survey took place across Moray on 25<sup>th</sup> and 26<sup>th</sup> January, 2023 respectively. These were led by the Clinical Service Leads. The findings of these events were compiled and outcomes are assessed by the relevant service leads and SMT. A further round of audits on Social Care will now be completed and a full report will be considered if necessary, dependant on outcomes. <b>It is also planned to schedule this as a possible annual event.</b></p> <p>A summary of inspections is included in the Annual Performance report.</p>
<b>Comments:</b>	<p>No major concerns have been identified for HSCM services in any audits or inspections during 2021/22.</p> <p>An inspection of Childrens Services commenced in August 2023, this will take place over a number of months.</p>

<b>7</b>	
<b>Description of Risk:</b>	Inability to achieve progress in relation to national Health and Wellbeing Outcomes.

<p><i>Operational Continuity and Performance:</i></p>	<p>Performance of services falls below acceptable level.</p>	
<p><b>Lead:</b></p>	<p>Chief Officer</p>	
<p><b>Risk Rating:</b></p>	<p>low/medium/high/very high</p>	<p><b>HIGH</b></p>
<p><b>Risk Movement:</b></p>	<p>increase/decrease/no change</p>	<p><b>NO CHANGE</b></p>
<p><b>Rationale for Risk Rating:</b></p>	<p>Potential impacts to the wide range of services in NHS Grampian and Moray Council commissioned by the MIJB arising from reductions in available staff resources as budgetary constraints impact.</p> <p>Unplanned admissions and delayed discharges place additional cost and capacity burdens on the service.</p> <p>The level of delayed discharges has remained <b>challenging</b>, reflecting the sustained pressure in the system following the Covid -19 pandemic impact and the lack of availability of care in the community. There are sustained focussed and collective efforts by all those working in the pathway. However this is a complex area and will require continued effort to realise reductions and maintain them.</p>	
<p><b>Rationale for Risk Appetite:</b></p>	<p>The Board is cautious but open about risks that could affect outcomes that are priorities for people in Moray. There is a slightly higher appetite to risks that may mean nationally set outcomes – that by design are not given a high priority in Moray - are not met. There is new focus on addressing positive risk taking to ensure the most appropriate and timely measure of care for the population of Moray, this is being supported through various work streams across the system.</p> <p>This will only be accepted where there is a clear rationale, and preferably also a way of demonstrating what the IJB is doing to meet the aspiration the outcome was created for.</p>	
<p><b>Controls:</b></p>	<p>Performance Management reporting framework.</p> <p>2022 to 2032 “Partners in Care” Strategic Plan was approved and <b>the delivery plan is now complete and was presented to MIJB in September 2023.</b></p> <p>Performance is regularly reported to MIJB. Revised Scorecard being developed to align to the new strategic priorities. Best practice elements from each body brought together to mitigate risks to MIJB’s objectives and outcomes. Chief Officer and SMT managing workload pressures as part of budget process.</p> <p>A daily Huddle and write up circulates the picture on performance across community and acute services for the Portfolio and service managers have a shared understanding of the pressures in the system and mitigations taking place. Work continues on refinement of G-OPES (Grampian Operating Pressures and Escalation System) led by NHSG but being developed locally to identify the triggers and resultant actions required in services to respond to pressure points.</p>	

<b>Mitigating Actions:</b>	<p>Service managers monitor performance regularly with their teams and escalate any issues to the System Leadership Group (SLG) for further discussion to provide wider support, developing shared ownership and a greater understanding across the whole system.</p> <p>Key operational performance data is collated and circulated daily to all managers. A Daily dashboard is held on illuminate for managers to access to ensure any potential issues are identified quickly so action can be taken. This dashboard is being reviewed and will be further developed with the intention of further dashboards to provide a whole system overview. This has been discussed at SLG and agreed.</p> <p>Performance information is presented to the Performance sub group of Practice Governance Group to inform Social Care managers of the trends in service demands so that resources can be allocated appropriately.</p>
<b>Assurances:</b>	<p>Audit, Performance and Risk Committee oversight. Operationally managed by service managers, summary reports to Practice Governance and clinical and care governance group and to System Leadership Group. Strategic direction provided by Senior Management Team.</p> <p>HSCM Response Group continues to meet and reviews the key performance information and actions that are required to deliver the priority services.</p>
<b>Gaps in assurance:</b>	<p>Development work in performance to establish clear links to describe the changes proposed by actions identified in the Strategic Plan has recommenced but is at an early stage. This will be progressed as the revised outcomes are determined and associated KPI are identified. Progress will be reported to future Board meetings.</p> <p>Review of systems and processes will commence across HSCM to ensure they are fit for purpose and ensure that there are no indirect consequences of structure changes resulting in any gaps in assurance processes.</p>
<b>Current performance:</b>	<p>Services continue to recover from the pandemic and discover a new 'battle rhythm', taking into account all new learning and experience from the pandemic.</p> <p>There are likely to be changes to ways of working and this may also have impact on the performance information required. The Unmet need report continues to show improvement in a number of Performance Indicators, with a number of them now showing continued improvement over the longer-term.</p>
<b>Comments:</b>	<p>Locality profile information has been provided to Locality Steering Group/Locality Manager to inform potential priorities for consideration in Localities and work will be taken forward regarding development of performance monitoring and reporting of key performance indicators in relation to Localities once it has been determined what the intended outcomes are. Locality plans are now scheduled to report to MIJB on a quarterly basis.</p> <p>The Portfolio Flow Group has produced an action plan for implementation and progress is being made.</p>

	<p>Practice Governance have reviewed their operational performance requirements and have a comprehensive data set used to inform operational priorities.</p> <p>The Home First priorities are being taken forward and updates are reported to this committee or MIJB on a regular basis. This work is being undertaken across the Moray Portfolio to improve wider system flow.</p> <p>Progress in this area has been hampered due to the increased demand for urgent or critical services requiring staff resource to be prioritised to frontline service delivery.</p> <p>The Council has procured new modules for their performance reporting system Pentana and HSCM performance team have been developing its use for reporting.</p> <p>HSCM are working in partnership with the Rural Centre of Excellence on transformation projects, the foundation of planning is addressing how we can improve the delivery of health and wellbeing outcomes and also the strategic aims of 'Partners in Care'.</p>
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<b>8</b>		
<b>Description of Risk:</b> <i>Transformation</i>	Inability to progress with delivery of Strategic Objectives and Transformation projects.	
<b>Lead:</b>	Chief Officer	
<b>Risk Rating:</b>	low/medium/high/very high	<b>HIGH</b>
<b>Risk Movement:</b>	increase/decrease/no change	<b>NO CHANGE</b>
<b>Rationale for Risk Rating:</b>	<p>There are many issues that will impact on the ability to progress to deliver Strategic Objectives.</p> <p>The Strategic Planning &amp; Commissioning group has been refreshed and re-launched and key work is being progressed. There was an initial meeting held on 22 September 2021 to consider terms of reference and the proposed structure for oversight, prioritisation and assurance in relation to key developments, their fit with IJB strategy and enabling elements. <del>The interim appointment of the Strategic and Planning Lead provides capacity to take this forward and to align the priorities arising nationally, Grampian-wide and locally.</del></p> <p>The remobilisation plan for HSCM services that were suspended or reduced is progressing with Providers services and social work implementing the IJB decision to return to delivery of both substantial and critical eligibility criteria. Work has progressed risk assessments are completed and assessments have been or are in the process of being reviewed to ensure equality.</p> <p>The impact of Covid 19 on the population of Moray is still not fully realised. It is therefore not possible to predict the extent of the impact on the ability to progress with delivery of Strategic Objectives. There are some aspects that have progressed very well such as introduction of Near Me consultations but there are others that are more difficult to progress.</p> <p>There is concern that due to the workloads and challenges over the last year that teams are weary and/or do not have capacity at this moment in time, to progress with delivery of development plans at this moment in time. In addition the pandemic is still present in the community so services are still responding to the impacts it has for the population of Moray. Managers are working with teams to establish “readiness” and their capacity and sense of wellbeing and the collated output will inform plans going forward.</p> <p>One key aspect to facilitate transformation is the need for progress in relation to ICT infrastructure, data sharing and data security across the whole system. Work was undertaken by NHS Grampian and partners to address the needs for ICT kit and information during the response to Covid.</p>	

<b>Rationale for Risk Appetite:</b>	<p>The Board has a high appetite for risks associated with delivery of transformational redesign. The following should be considered when accepting these risks:</p> <ul style="list-style-type: none"> <li>• We understand and can mitigate other risk types that may arise, e.g. safety or financial within appetite</li> <li>• Service users are consulted and informed of changes in an open &amp; transparent way</li> <li>• We will monitor the outcome and change course if necessary</li> </ul>
<b>Controls:</b>	<p>It is recognised that there will be significant changes taking place in Social Work practice with the implementation of the Self Directed Support standards and the move to outcomes based services, so governance arrangements are being set up to facilitate the same type of oversight and communication that is in place for the Home First programme.</p> <p><b>The Strategic Delivery Plan has been developed by the Heads of Service and Interim Strategic Planning Lead.</b></p>
<b>Mitigating Actions:</b>	<p>Integrated Infrastructure Group previously established, with ICT representation from NHSG and Moray Council, to consider and provide solutions to data sharing issues and ICT infrastructure matters which is an area that will be taken forward alongside the Moray Growth Deal projects. The Moray Transformation Board has recently restarted and will link to all relevant groups.</p>
<b>Assurances:</b>	<p>Strict ICT and data sharing policies and protocols in place with NHS Grampian and Moray Council.</p> <p>A Moray Portfolio Infrastructure Programme Board has been established to support the operational delivery of the aims and objectives set e.g. Analogue to Digital changeover, Buildings and Assets oversight and Smarter Working will support this agenda.</p>
<b>Gaps in assurance:</b>	<p>Protocol for access to systems by employees of partner bodies are in place.</p> <p>Information Management arrangements to be developed and endorsed by MIJB.</p> <p>Process of identification of issue and submission to data sharing group requires to be reinforced to ensure matters are progressed.</p> <p>The strict information sharing protocols can cause issues when trying to work across system in an open and transparent way.</p> <p>Smarter Working programmes are being progressed in partnership with Council and NHSG.</p> <p>The Strategy and Planning Lead Vacancy will likely cause disruption to the transformation and implementation planning required in the delivery of the Strategic Plan</p>
<b>Current performance:</b>	<p><b>Training to promote records management, data protection and related issues for staff working across and between partners using the learning and development resources of NHS Grampian and Moray Council.</b></p>
<b>Comments:</b>	<p>Where national systems are involved it may not be possible to identify a solution however the issues will be able to be raised at the appropriate level via the Grampian Data Sharing Group where all three partnerships are represented.</p>

<b>9</b>	
<b>Description of Risk:</b> <i>Infrastructure</i>	Requirements for support services are not prioritised by NHS Grampian and Moray Council.
<b>Lead:</b>	Chief Officer
<b>Risk Rating:</b>	low/medium/high/very high <b>HIGH</b>
<b>Risk Movement:</b>	increase/decrease/no change <b>NO CHANGE</b>
<b>Rationale for Risk Rating:</b>	<p>Changes to processes and necessary stakeholder buy-in still bedding in.</p> <p>Moray Council is undertaking a Property review of office and depot accommodation and the potential impact for HSCM services requires consideration. The output was anticipated in October 2019 however due to changes with roles and responsibilities within the Council however the paper has been out for consultation. NHSG have advised that staff should continue to work from home at present whilst policies and protocols are developed. Moray Council have a dedicated MC officer leading on a hybrid working plan with input from HSCM on their requirements. It is anticipated that this will conclude December 2023.</p> <p>ICT infrastructure service plans in NHS Grampian and Moray Council are not yet visible to HSCM and development of communication and engagement process is required.</p>
<b>Rationale for Risk Appetite:</b>	Low tolerance in relation to not meeting requirements.
<b>Controls:</b>	<p>Chief Officer has regular meetings with partners.</p> <p>Computer Use Policies and HR policies in place for NHS and Moray Council and staff.</p> <p>PSN accreditation secured by Moray Council</p> <p>Infrastructure Programme Board was established with Chief Officer as Senior Responsible Officer/Chief Officer member of CMT. Process for submission of projects to the infrastructure board approved and implemented to ensure appropriate oversight of all projects underway in HSCM. The Board has only recently restarted, so in the interim, project requests are being processed via Senior Management Team. The interim Strategy and Planning Lead will support the Infrastructure Programme Board for Moray portfolio.</p>
<b>Mitigating Actions:</b>	Membership of the Board was reviewed and revised to ensure representation of all existing infrastructure processes and funding opportunities.



	Process for ensuring infrastructure change/investment requests developed
<b>Assurances:</b>	<p>Infrastructure Programme Board functions to provide robust governance and assurance that proposed projects have a robust business case and meets requirements of the respective partner organisations. This board reports to Strategic Planning and Commissioning Group. Both of these groups have been recently refreshed and remobilised.</p> <p>Workforce Forum meeting regularly with representation of HR and unions from both partner organisations</p>
<b>Gaps in assurance:</b>	<p>Further work is required on developing the process for approval for projects so that they are progressed timeously. Need to review all existing processes in relation to infrastructure changes/projects/investments and streamline to avoid duplication of effort.</p> <p>Infrastructure Board is in development and priority issues are being addressed in relation to infrastructure and premises risk. Due to staff changes this work will now be incorporated into other roles. This will likely mean that this work will complete with other priorities of already busy roles.</p> <p>Legal services have reduced capacity to provide support due to budget cuts and vacancies so any requests are taking longer.</p> <p>Internal Audit Services have indicated that their capacity to complete all work required by MIJB may be an issue. This is being discussed with Moray Council.</p> <p>Recruitment for vacancies takes considerable time due to various factors and is presenting a strain on services to maintain normal service whilst covering vacancies. There have been several posts that have had to go out to advert more than once extending the time other staff are covering gaps.</p>
<b>Current performance:</b>	No update.
<b>Comments:</b>	<p>Existing projects will be reviewed as part of the development of the transformation plans for the Strategic Plan to ensure resources are being dedicated appropriately and aligned to the emerging Strategic priorities. Our requirements for support will be communicated via appropriate channels</p> <p>The delegation of Childrens and Families and Justice Services should continue to be supported by the corporate services within Moray Council.</p>