



**ANGUS HEALTH AND SOCIAL CARE**

**INTEGRATION JOINT BOARD AUDIT COMMITTEE – 7 DECEMBER 2022**

**RISK & RESILIENCE MID YEAR UPDATE**

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**ABSTRACT**

The purpose of this report is to provide a mid-year summary to the Integration Joint Board on the risk and resilience activity within the Partnership from April 2023-September 2023.

**1. RECOMMENDATIONS**

It is recommended that the Integration Joint Board Audit Committee:-

- i) Review and accept the strategic risk profile and risk rating matrix;
- ii) Acknowledges progress made in relation to Internal Audit Review of Risk Management;
- iii) Accepts the new and emerging strategic risks;
- iv) Acknowledge the progress that has made in relation to resilience planning; and
- v) Acknowledge the requirement to review the IJB Risk Appetite and agree to a joint development session with Angus IJB in February 2024.

**2. BACKGROUND**

The IJB Audit Committee's Terms of Reference states that the remit of committee is to fulfil an oversight function on behalf of the IJB regarding Risk Management activity through receipt of relevant reports. The IJB Audit Committee fulfil this role by:

- Having oversight of the IJB risk management arrangements.
- Receipt, review, and scrutiny of reports on corporate strategic risks and any key operational risks.
- Ensuring they are aware of any risks linked to recommendations from the Chief Officer covering new priorities/policies.

The Chief Officer, as Accountable Officer, has responsibility for maintaining a sound system of Internal Control and reviewing the effectiveness of the risk management system within the organisation, facilitating the preparation of an Annual Governance Statement. In addition, IJB's are subject to the requirements of the Scottish Public Finance Manual and must operate a risk management strategy.

Angus IJB has a Risk Management Strategy in place (see report 6/21, IJB April 2021). The IJB monitors a series of corporate strategic risks using agreed methodologies. The risks monitored include:

- Financial,

- Quality of care,
- Compliance/legislative/regulatory
- Workforce

The scrutiny and management of risks is devolved to Angus HSCP Clinical, Care and Professional Governance Group, chaired by Angus HSCP's Associate Medical Director / Clinical Director. Monitoring of risk performance is undertaken on a bi-monthly basis with an overview provided to Angus HSCP Executive Management Team and NHS Tayside Care Governance Committee.

The IJB Strategic Risk Register is to be reported to Angus IJB Audit Committee twice a year. The annual risk report was considered at the Angus IJB Audit Committee Meeting in June 2023. A process was developed in order to exception report any new risks, scoring over 20, or where a risk has increased to >20 to the IJB Audit Committee, outwith the timetabled updates. This process will be reviewed over the coming months.

### 3. CURRENT POSITION

The Angus Integration Joint Board Strategic Risk Register (Appendix 1) is maintained, updated and reported in line with the IJB Risk Management Strategy. Between the period of **April 2023 – September 2023**, the Angus Clinical, Care and Professional Governance Risk Group met on following dates to consider key risks.

- 15 May 2023
- 10 July 2023
- 11 September 2023

**The highest risks on the IJB Strategic Risk Register during April 2023 – September 2023 were:**

- SR01 Sustainability of Primary Care Services with a risk score of 20 (red/major)
- SR03 Financial Management with a risk score of 20 (red/major)

**As a result of effective controls and planned mitigation the risk score for the following risks reduced during April 2023 – September 2023:**

- SR11 Commissioned Service Provider Failure – the risk score reduced from 20 (red/major) to 12 (amber/moderate) – following a further review in November 2023 this risk has increased from 12 (amber/moderate) to 16 (amber/major)
- SR24 Commissioned Services – Unmet Need – the risk score reduced from 25 (red/extreme) to 9 (yellow/minor)
- SR08 Workforce Optimisation – the risk score reduced from 25 (red/extreme) to 16 (amber/major)
- SR14 Adult Support and Protection – the risk score reduced from 16 (amber/moderate) to 8 (yellow/minor)
- SR21 Equalities – the risk score reduced from 20 (red/major) to 9 (yellow/minor)

**SR01 Sustainability of Primary Care Services - As a result of an inability to:**

- Reliably recruit, train, and retain workforce,
- Have appropriate premises to deliver clinical and support services, and
- Have in place adequate digital systems to support clinical care and communication between teams, patients and across the services.

There is a risk we will be unable to deliver safe, effective, high quality, person centred primary care services. This will result in inadequate care, reputational damage, and failure to meet legal requirements.

This risk encompasses all Primary Care Services:

- Dental
- Optometry
- General Practice
- Community Pharmacy

The inability to provide a reliable standard of healthcare to the population could result in subsequent pressures elsewhere in the healthcare system. In addition, there is a risk of significant adverse publicity, reputational damage, and unsatisfactory patient experience.

An update report on the progress in relation to the development of the Tayside Primary Care Strategy was presented at Angus IJB and Dundee IJB on 27 October 2023 and Perth & Kinross IJB on 29 November 2023. It was agreed that the final version of the Tayside Primary Care Strategy will be brought to the IJB's for approval in February 2024.

This Sustainability of Primary Care Services Audit reviewed and provided constructive commentary on the adequacy of risk and performance management mechanisms.

The Internal Audit identified several areas of good practice and a number of areas for improvement.

An update on the actions identified by Sustainability of Primary Care Services Audit was provided to the Principal Auditor on 5 September 2023.

Action Point	Date of Expected Completion	Status
Facets of Primary Care Risk	March 2023	Complete
Owners and impact of Primary Care Risk	February 2024	Ongoing
Structures	February 2024	Partially Complete
Assurance	March 2023	Complete
Sustainability of GP practices	December 2023	Ongoing
Primary Care Board	December 2023	Ongoing
Roles and Responsibilities (OMD)	August 2023	Complete

Further planned/proposed controls have been identified to ensure ongoing effective management/mitigation of this risk. All actions are on track for completion. A Sustainability of Primary Care Services Risk Assurance Report will be presented to NHST Care Governance Committee on 6 December 2023.

**SR02 Prescribing Management** - As a result of the increasing medicine costs and volumes of prescribing within Angus beyond the funded uplift, prescribing costs will exceed the available resource. This could impact on wider service provision by the Angus IJB.

Angus currently spends more than £22m per year on prescribing costs from General Practices (more than 10% of AHSCP's overall spend). Prescribing is experiencing financial pressure from increased prices, short supply, volume changes and the introduction of new drugs.

In the Prescribing Report to the Integrated Joint Board on 21 June 2023 the Associate Clinical Director highlighted the trends in the current prescribing costs per item and the stable volumes of usage, whilst reassuring the IJB that prescribing is not increasing in an older and frailer population. Further work is required to reduce prescribing costs, particularly in relation to reducing medicines waste. The IJB supported the actions set out in the Prescribing Report. The Angus Prescribing Management Quality Assurance Group met on the 3 August 2023 to affirm the operational details of putting the agreed actions in place.

**SR03 Financial Management** - Failure to develop and implement a balanced financial plan will lead to a risk of unsustainable services.

Angus Health and Social Care Partnership, alongside Angus Council and NHS Tayside, are facing significant financial challenges. This reflects a combination of cost, volume and service requirement pressures contrasting with the forecast of available funding.

There has been no change in the risk score. Current circumstances have resulted in a reduced short-term risk, but the longer term/ strategic risk remain. Opportunities to close out financial planning gaps have not been identified during the development of the Strategic Commissioning Plan (SCP) and Strategic Delivery Plan. This requires further remedial work. There are a number of financial issues within the IJB that are not being resolved on anticipated timelines. Reports to the IJB note that later in this financial year the IJB may need to return to the option of considering the need to undertake a more fundamental review of the IJB's SCP.

**SR08 Workforce Optimisation** - As a result of changing demographics, national workforce issues, new duties affecting our staff and people who use our services, including the consequences of the COVID-19 Pandemic there is a risk that Angus HSCP will be unable to develop and sustain its workforce to meet its legal obligations under the Public Bodies (Joint Working) (Scotland) Act 2014 and any other relevant legislation.

The current risk score has been reduced to 16, which is the planned risk score. The rationale for this includes strong oversight of the issues, regular meetings of the Workforce Steering Group, 4 active workforce subgroups that are focussed on mitigating risk and addressing workforce challenges, an increase in new posts across the AHSCP and reasonable assurance being received from the Internal Audit report.

The AHSCP Workforce Plan, Action Plan and Annual Update ensures a focused approach to improvement on workforce risks. The establishment of the four work streams has been effective.

- Recruitment and Retention
- Workforce Learning and Development
- Staff Health and Wellbeing
- Data

Each work stream has a focused action plan to drive forward work in relation to the workforce challenges. A Programme Board has been established for the Health and Care (Staffing) (Sc) Act 2019 and a Tayside Workforce Group is in place to address regional workforce issues collaboratively. Workforce Service Risks have been developed.

A programme for qualified Advanced Nurse Practitioners (ANPs) is being developed for those moving on to services they may not have had experience in before.

There is an imbalance between demand and our supply of staff, partly due to the age profile of our workforce and shortages of key professionals. Challenges remain in relation to difficulties recruiting to specific posts, the significant growth in care at home demand, vacancies in care homes, timescales for recruitment processes, staff retention in specific areas such as care at home, shortages of GPs and pharmacists and increasing demand and complexity of need.

The introduction of new models allows opportunities to ensure that AHSCP have the right staff, in the right numbers, working in the right places at the right time. Improvement activity is targeted at achieving this aim as well as identifying and addressing those areas where there is difficulty in recruiting to specific posts.

**SR11 Commissioned Service Provider Failure** - As a result of shortage of suitably qualified staff, a large-scale adult protection investigation leading to embargo and the increased cost of

living, there is a risk that commissioned providers of personal care at home, residential care or supported housing, may be unable to continue to provide services. This could result in a shortage of care provision and unmet service user need.

Providers still face significant workforce challenges and increasing economic challenges, so the risk of provider failure remains high. There are a number of actions being taken forward to support the recruitment and retention of staff working within health and social care and there is an increasing focus on business continuity planning in the event that a provider becomes unsustainable. As there is evidence of increased likelihood of providers becoming unsustainable, the risk level has increased in this area.

Controls are in place in respect of supporting recruitment activity within the care sector in Angus – including the production of a short film that will be used to promote care as a career. The shortages within the care workforce are a national issue, with no straightforward solutions to the workforce shortages. A recent decision by the Scottish Government to increase minimum pay for those in Adult Social Care has received a mixed response within the care sector, so is unlikely to be the catalyst for any significant employee growth within the sector.

Ongoing monitoring and quality assurance of care at home and care homes is in place.

**SR24 Commissioned Service Provider – Unmet Need** - Unmet need for care at home services occurs when assessed services required by a service user as needed to help them remain at home are not being received due to providers lack of available hours or lack of providers in particular localities across Angus. The unavailability of services in the community, particularly for critical priorities, can lead to delayed hospital discharges; admission to respite care home placements; and vulnerable people being left unsupported in the community.

Whilst there has been a significant reduction in the number of unmet need hours within AHSCP, there are still concerns in respect of our ability to ‘capture’ unmet need and report accurately on the levels.

A significant exercise in data cleansing of unmet need has taken place. This has seen a reduction from over 1,600 hours to less than 100 hours of unmet need. Whilst this is undoubtedly a positive step towards a reduction in unmet need, this reduction has not been due to increased resources meeting needs, but through a clearer understanding of what unmet need is. Further work with teams around applying a consistent understanding of the Scottish Government’s definition of unmet need is required and is being taken forward by Service Leaders. This will ensure services are available to those most in need.

Practical issues remain in respect of overall capacity within commissioned services to meet the level of need in the community, particularly with the growth of the elderly population.

### **New, Emerging and Resolved Risks**

During April 2023 – September 2023, the following emerging risks have been resolved:

- Medical Supplies: Catheter related products
- IT Systems – Recording of Clinical Information
- Significant Adverse Event Review Process
- Housing Adaption

AHSCP CCPG are monitoring the developments in relation to the National Care Service, to identify potential emerging risks.

### **Risk Appetite**

The Risk Appetite Statement was endorsed at AHSCP CCPG in January 2023 and approved by Angus IJB Audit Committee in February 2023.

Progress continues to be made in relation to the application of Risk Appetite. A Risk Appetite Guidance document is currently being developed with support from colleagues across NHS Tayside and neighbouring HSCP's.

An updated Strategic Risk Profile and Risk Rating Matrix is included in Appendix 1.

### **Resilience Planning**

Angus HSCP, under Angus Integration Joint Board (AIJB), is responsible as a Category 1 Responder within the Civil Contingencies Act 2004. Five main areas of responsibility have been identified and progress is being made to ensure the appropriate systems and processes are in place. Areas of responsibility identified are:

1. Risk Assessment
2. Business Continuity Planning
3. Emergency Planning
4. Engaging with the public
5. Collaboration

These areas of responsibility will be coordinated and managed through the establishment of a Resilience Planning Group (ARP), who will oversee the development of the AHSCP IJB Category 1 Responder function. The group will:

- Develop and implement an Angus HSCP Resilience Framework
- Establish a task and finish group who will develop a systematic **risk assessment** process for threats and hazards within the local area.
- Establish a task and finish group who will develop and implement a Resilience Framework for Angus IJB.
- Establish an Angus IJB **Emergency Planning and Response** task and finish group who will develop and implement an emergency planning framework for health and social care functions in Angus.
- Establish an Angus Care for People group that will plan and coordinate a multi-agency response to any incident to ensure that the needs of those affected by the incident are met.
- **Engage with the public** through consultation, publication of risk assessments and emergency plans (where required) and providing advice and information.
- Ensure **collaboration** with other Category 1 and Category 2 responders at a local, regional, and national level.
- Seek assurance that the Angus IJBs partners (NHST and Angus Council) have suitable resilience arrangements in place for lead partner services.

### **Storm Babet Response**

Following Storm Babet, a debrief session was held. This gave those involved the opportunity share their experience, identifying what went well in addition to areas for improvement. A further 'lessons learned' session was held on Wednesday 22 November 2023. This session provided the opportunity for staff to review the learning identified and agree improvements actions moving forward. These actions will be monitored via the AHSCP Resilience Planning group with assurance being provided to AHSCP CCPG on the completion of these actions.

## **4. FINANCIAL IMPLICATIONS**

There are no direct financial implications arising directly from this report however Angus IJB's strategic risk register identifies Finance as a red risk. This is particularly challenging regarding longer term financial plans. This is described in detail in the IJB's financial plan where it highlights short term risks can be managed due to IJB reserves but longer-term risks remain

considerable and place at risk the delivery of the strategic objectives in the strategic commissioning plan.

**5. RISK**

There are no additional risks to note.

**6. OTHER IMPLICATIONS (IF APPLICABLE)**

N/A

**7. EQUALITY IMPACT ASSESSMENT**

An Equality Impact Assessment is not required.

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List of Appendices:

Appendix 1: Angus IJB Strategic Risk Profile and Risk Matrix Template