

Risk Register - Health and Social Care Services

Print Date: 02 Apr, 2024

Risk Code	Risk Event	Primary Risk Category	Secondary Risk Categories	Risk Type	Responsible Person	Active	Causes	Risk Effects	Initial Risk Rating	Proximity	Existing Controls	RiskTreatment	Revised Risk Rating	Risk Action Title	Responsible Officer	Start Date	End Date	Action Status	% Completed
HSC01	People at risk of harm	Compliance	• Political	Operational Risk	Emma MacSween - Head of Partnership Services	Active	Volume of referrals; complexity of caseloads; increased statutory duty activity; recruitment issues; regulator requirements; system pressures and activity to re-design service while maintaining frontline service; demographics and resultant impact on demand for services and supply of workforce.	Failure to address statutory duties in terms of timeframes and/or quality of interventions; service users at risk of harm; stakeholder dissatisfaction with service; delays in optimal allocation of resources; workforce stress.	Extreme	Current	Investment in new records and management system; sharing of capacity issues with stakeholder agencies; skills mix of professional and non-professional grade practitioners maximised; investment in post graduate social work placements; use of agency as available and within budget; workforce plan incorporates proposals to be developed to re-design of social work staffing structure	Reduce the threat	High	Continue to look at External funding sources to enhance core budgets for investment in the social work service	Emma MacSween	01 Apr, 2024	31 Mar, 2025	Not Started	
HSC02	Capacity of service workforce unable to fulfil service demand	Workforce	• Compliance	Operational Risk	Emma MacSween - Head of Partnership Services	Active	Persistent recruitment and retention issues within health and social care sector; demographics and the associated impact on demand for services and challenges in recruiting and retaining workforce capacity	Inability to provide statutory services; diminishing staff supply across sector; increased pressure on workforce; waiting lists for services; system pressures across acute and community; delayed discharges; non compliance with legislation; reliance on agency staff	Extreme	Current	Workforce plans prioritising career pathway investment and development of undergraduate professional apprenticeships; enhanced recruitment offers; new model of care to support expansion of 24/7 care services; staff engagement and consultation to review existing working patterns and distribution of resources; training plans address workforce and service needs; peripatetic support for service management; MDT meetings to avoid admission and facilitate timely discharge	Reduce the threat	High	Maximising existing budgetary provision to re-design career pathways; recruitment offers and investment in training and workforce support; external recurring funding has been dedicated to expansion of the START service to enhance workforce capacity, maximise service user self care and enable core services to be dedicated to on-going care provision	Emma MacSween	01 Apr, 2024	31 Mar, 2025	In Progress	10
HSC03	Unsustainable IJB budget provision	Budget / Financial	• Legal	Operational Risk	Emma MacSween - Head of Partnership Services	Active	Lack of Government funding; recruitment and retention issues requiring locum/agency expenditure; demographics current and projected impacting on service demand; settlements to parent bodies less than cost of running services and meeting requirements; successful recruitment and retention will limit in year scope of vacancy factor to mitigate budget deficit; costs of workforce and service	Vacancy factor application to budget management reduces the limit of service provision available and increases risk in terms of unmet need and the resilience of the deployed workforce; service reduction will impact on the capacity to provide a timely intervention and increase crisis intervention demand on services; crisis intervention costs may exceed timely intervention based activity; pressure on unpaid carers and service providers to sustain caring arrangements resulting in escalating risk when supports are unavailable or inadequate to meet need.	Extreme	Short-term	Utilisation of reserves to balance budget for short term in place; reserves inadequate to meet the gap; budget monitoring routine at operational and strategic levels; IJB budget spend and pressures discussed in detail through Comhairle budget setting workshops and reinforced at the IJB through formal and informal meetings; options appraisal of service reduction shared with IJB members and Comhairle members with the high risk implications defined; officers and elected members engaged in profiling the challenges and risk locally and nationally; options appraisal commenced to address the circa E4m deficit in council services within the IJB in progress and initial assessment indicates a reduction in statutory service provision would be required to a level that would trigger compliance and regulatory action given the finite resources available and the implications for internal and external providers; no service reductions have been agreed at this time options paper to be consider at the June 2024 IJB.	Reduce the threat	High	Option appraisals to be produced by service managers in line with the requirements as directed by the Chief Officer and Chief Finance Officer in the first instance.	Emma MacSween	01 Apr, 2024	31 Mar, 2025	Not Started	
HSC04	Establishment of the National Care Service	Legal	• Political	Operational Risk	Nick Fayers - Chief Officer - Health and Social Care	Active	The uncertainty over the scope of the NCS and the governance implications	The potential for inclusion or exclusion of services within the existing IJB or local authority in the proposed NCS has generated views relating to increased risk for service synergies and governance matters. The evolving nature of the NCS and the clarification or otherwise has raises a number of challenges and risks for the IJB, parent bodies and partner stakeholders locally and nationally.	High	Medium-term	IJB review reports which include workforce plans which have been included in service redesign; Commissioning considerations; Apprenticeships within social care.	Retain the threat	High						
HSC05	Ongoing impacts of Cyber attack	Technogical	• Compliance	Operational Risk	Emma MacSween - Head of Partnership Services	Active	Malicious cyber attack on the local authority November 2023	Corporate systems and communication services, with the exception of email; compromised and inaccessible; loss of current and historic information held within corporate services and related systems; business continuity plans activated and relevant regulatory organisations involved in incident management. Consideration of short terms and longer term restoration of service being risk assessed to enable learning from risk event to shape systems development and information governance	High	Current	Business Continuity Plans activated and enables an immediate co-ordinated response by the Department; core systems operating on the cloud unaffected and utilised to support safe delivery of core statutory duties and services; immediate work around put in place to sustain services such as temporary coms and home working; rebuild of service areas permanently affected by the incident in progress and Incident Management Team leading on work to manage short to medium term corporate response and rebuild of services; financial information has been produced to support financial governance arrangements as ledger related systems are rebuilt.	Reduce the threat	Medium	Await corporate consideration and instruction	Emma MacSween	01 Apr, 2024	31 Mar, 2025	In Progress	10