

Perth Kinross HSCP Strategic Risk Register

Risk Number	Category	Risk Description	Risk Owner	Inherent Risk			Current Controls	Control Value	Residual Risk			Treatment Actions	Risk Manager	Status	Due date
				Impact Value	Probability Value	Inherent Score			Impact Value	Probability Value	Residual Score				
SR01	Strategic	<b><u>FINANCE</u></b> There is insufficient financial resources to deliver the objectives of the Strategic Plan.	Chief Finance Officer	5	5	25	1. Financial Planning Process 2. Enhanced Budget Negotiation Process (PKC & NHS) 3. Programmes of Care linking financial and service planning 4. IJB BRG Process 5. Financial Monitoring & Reporting 6. Eligibility Criteria	B C C B B A	5	5	25	1. All parts of Partnership have a 3 year financial plan.  2. To ensure that the budget negotiation process is agreed and understood and aligned to IJB  3. Enhance leadership and ownership in respect of Programmes of Care. 4. IJB / Elected Members awareness of financial process / pressures.  5. Review financial monitoring process	Stuart Lyall / Arlene Wood/ Hamish Dougall  Rob Packham / Karen Reid / Malcolm Wright  Rob Packham  Rob Packham  Diane Fraser/Evelyn Devine	Open	
SR02	Strategic	<b><u>WORKFORCE</u></b> There is a risk of an inability to recruit within some areas across the Partnership.	Chief Officer	4	5	20	1. Supplementary staffing and contingencies 2. Vacancy Management 3. Integrated Clinical Strategy Work 4. Maximising Marketing 5. Workforce Planning	C C C C B	4	4	16	1. Marketing / Workforce Planning and Joint Working Agreement based on agreed clear models of care - take into account recruitment and workforce issues.  2. Lobby NHS regarding Vacancy Management.  3. Build work force planning into management activity - Strategic Plan.  4. Clearly define Integrated Clinical Strategy model for P&KHSCP.  5. Develop a marketing plan through workforce group.  6. Continue to review HART recruitment issues.  7. Review role of transformation (practice development / education & training)  8. Review capacity issues	Diane Fraser/Evelyn Devine  Rob Packham  DF/ED  ED / OPUSC  Hamish Dougall  Chris Lamont  Paul Henderson  Lead Professionals	Open	

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SR03	Strategic	<b>WORKFORCE</b> Lack of Joint Working Agreement	Chief Officer	4	3	12	1. Parent Bodies T&Cs 2. Protocol Proposal going to SP&R Committee and NHS Board 3. Parent Body HR Policies 4. Pan Tayside Group currently discussing and exploring agreement 5. Local Work Force Group for Partnership	A D A B C	4	3	12	1. Protocol proposal at SP&R - 28 November 2018 and NHST Board 6 December 2018.  2. Implementation of development plan and framework for Joint Working.  3. Pan-Tayside Group continue to work together.  4. Develop ToR for local workforce group to be signed off by IMT/EMT.	Pauline Johnstone (PKC)/ Chris Smith(NHS)  Pauline Johnstone (PKC) / Chris Smith (NHS)  Pauline Johnstone (PKC) / Chris Smith (NHS)  Chris Lamont	Open	
SR04	Strategic	<b>COMMUNICATIONS &amp; ENGAGEMENT</b> There is a risk that staff, stakeholders and communities will not support and buy-in to what we do.	Chief Officer	4	3	12	1. Strategic Planning and Commissioning Board  2. Individual Programme Boards  3. Communication and Engagement Plans  4. Corporate Communications  5. Programme Boards  6. Sub Groups  7. Stories of place and Local Action Partnerships	B B B B B B B	4	3	12	1. Review role of Boards in relation to Communication and Engagement. 2. Development of Communications and Engagement plans  3. Include Elected Members in Communication and Engagement	Diane Fraser  Strategic Leads for Programme Boards  EMT	Open	
SR05	Strategic	<b>GOVERNANCE</b> There is a risk of an unclear / cohesive Governance and Performance framework.	Chief Officer	5	4	20	1. Clinical Care and Professional Governance Forum; 2. Audit and Performance Committee; 3. BRG; 4. Strategic Commissioning Board; 5. EMT / IMT / IJB; 6. EOT / & Directors; 7. Purchase Service Board; 8. Quality Assurance Group; 9. OPSIG, Complex Care; 10. Strategic Programme Boards; 11. Care Inspectorate / HIS; 12. Annual Performance Report; 13. Chief Social Work Officer / NES; 14. Internal Audit / Professional Bodies (SSSC etc) 15. NHS Clinical Care Group	B B B B B B B B B C B B B B	4	3	12	1. Review CPGF Role / Remit.  2. Review APC ToR.  3. Review and agree the SCB ToR.  4. Explain Governance including relationships in a useful guide for all.	AMD / CSWO - Hamish Dougall / Jacquie Pepper  Chief Finance Officer (JS)  Head of Adult Care (DF)  Business Planning & Perf Mgr	Open	

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SR06	Strategic	<b><u>GOVERNANCE</u></b> There is a risk of a lack of clarity around the roles and responsibilities of the IJB / Parent Bodies and HSCP.	Chief Officer	4	4	16	1. Government legislation / Scheme of Delegation 2. Corporate Governance structures 3. Service Plans in place 4. Financial Plans 5. Development sessions with Integrated teams 6. Self Evaluation and Regulated Evaluation 7. 'Directions'	B C B B C C B	4	3	12	1. Service Plans to be consolidated and support put in place to scrutinise and monitor. 2. Work collaboratively to shift the balance of care. 3. Better engage at all levels of staff. 4. Improvement plan developed in respect of Self-evaluation. 5.Communication of the 'Directions' and purpose to gain a better understanding.	IMT  IMT/EMT  IMT  Diane Fraser  Rob Packham	Open	
SR07	Strategic	<b><u>LEADERSHIP</u></b> There is a risk of a lack of a clear direction and Leadership to achieve the vision for integration.	Chief Officer / Chief Finance Officer	5	4	20	1. Chief Officer and EMT; 2. IMT / Locality Management Teams; 3. Strategic Plan; 4. Strategic Programme Boards; 5. Locality Team plans and Inpatient; 6. Governance: IJB, CPGC, A&PC, Risk Register; 7. Communications and Engagement Group 8. Links with Hosted Services	C B C C C B B B	5	4	20	1. Need to clearly define role and function of Senior Management Tiers. 2. Need to clearly define role and function of Senior Management Tiers. 3. Need to refresh the Strategic Plan and produce a ToR pf S.P.C.B and S.P.G. 4. Need to consolidate and complete the framework for Strategic Programmes of Care Boards. 5. Need to consolidate Locality Team Plans and put in a process for scrutiny and assurance. 6. Governance need demystifying and relationships explained. 7. Need to refresh the ToR/ Roles and Resp as part of workshop on 14 November 2018. 8. Create better links with Hosted Services	Business Planning & Perf Mgr.  Business Planning & Perf Mgr.  EMT  EMT  Heads of Health and Adult Care (ED/DF)  Business Planning & Perf Mgr.  Head of Adult Care (DF)  Head of Health (ED) and Arlene Wood for MH	Open	

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SR08	Strategic	<b>POLITICAL</b> There is a risk of a lack of political continuity.	Chief Officer	5	4	20	1. IJB development sessions 2. Work with public partners / community planning 3. Community engagement project by project 4. Ambassador role of Chief Officer / Senior Leadership	B C C B	5	3	15	1. Project by Project inform Politicians.  2. Raise awareness with Elected Members / IJB Visits  3. Ensure timely response to PKC queries.  4. CO continue to meet with CEX / CEO of parent bodies every week and Chairs of Boards and Leaders.  5. Engage with communities / localities and Councillors		Open	
SR09	Strategic	<b>Technology / IT/ Data / Performance</b> There is a risk of a lack of a unified IT strategy.	EMT	3	5	15	1. IT Managers for HSCP across Tayside wide have been meeting to develop solutions; 2. Common log in platform and ability to view HSCP systems; 3. Joint SharePoint site; 4. Paper recording	C  C C D	3	5	15	1. Regular updates to IMT/EMT on progress.  2. Develop a unified strategy  3. Develop SharePoint.  4. e-knowledge ???	S Strathearn / M Rapley  A Taylor??  L Harris		