

REPORT TO ABERDEENSHIRE AUDIT COMMITTEE – 3 MAY 2024

RISK REGISTER AND RISK ASSURANCE

1 Recommendation

It is recommended that the IJB's Audit Committee:-

1.1 Note this update on risk procedures

1.2 Note the work of the Risk and Assurance Group

2 Risk

2.1 IJB Risk 4 - Inadequate Business Continuity arrangements - It is essential that HSCP risks and risk levels are captured and regularly monitored and updated to ensure hazards are managed.

3 Background

3.1 The risk register continues to evolve as suggestions and recommendations are made by the Risk and Assurance Group, Audit Committee, Clinical and Adult Social Work Group and CASWG Committee.

3.2 Following agreement at both Audit and CASWG Committees, an IJB or strategic risk will be reviewed at each Committee (clinical/care at CASWGC and resource at Audit Committee). These reviews will provide an assurance report to IJB. It is the intention to have a risk appetite discussion alongside the assurance report at an IJB informal session when timetabling permits.

3.3 **Procedural reminder** - IJB, strategic and operational risks which form the risk register are held on Datix and are added, managed and reviewed by risk owners and handlers. Initial oversight of operational and IJB risks takes place at either the Clinical and Adult Social Work Group or the Risk and Assurance Group. The Strategic Planning Group now has oversight of the Strategic Delivery Plan risks and can escalate concerns and reports via the Risk and Assurance Group to the Audit Committee or CASWG Committee. IJB and Strategic Delivery Plan Risks are overseen by the CASWG and Audit Committees as per Advice Note for Members on Strategic and Operational Matters V3 (standardscommissionscotland.org.uk).

3.4 **The Risk and Assurance Group**, chaired by the Chief Officer, has met monthly for the last 8 months particularly to oversee the completion of audit recommendations. Going forward this had now reverted to a quarterly cycle preceding the Audit Committee.

4 Progress

4.1. 8 weekly reminders continue to operational and risk leads and work with risk handlers and leads continues. All care home related risks have been reviewed and updated this month with risk handlers, allowing 2 operational risks to be closed and a new one opened.

4.2 New risks continue to be added to the risk register, and training and awareness sessions with staff and teams have enabled more staff to be confident to add and manage their risks.

4.3 The summary Risk Register attached has been updated with a supplementary column to show when an IJB/strategic risk has been/will be reviewed by Committee.

4.4 **IJB risk 8 (1589)** – Risk of failure to deliver standards of care expected by the people of Aberdeenshire – rating medium. Meetings are in place to review this risk which is scheduled to go to the next meeting of CASWG and CASWGC are requested by Audit Committee.

4.5 The Risk and Assurance Group met on 16 April. Presentations were made on 3 Risk areas

(a) Strategic Risk 2508 – Analogue to Digital Switchover – Medium risk. The report highlighted various risks sitting within this overall risk due to the complexity of the project and the reliance on external suppliers. The project encompasses Aberdeenshire Council Sheltered Housing as well as alarms and peripherals supplied to people's homes via the Joint Equipment Service Telecare Team. It was agreed that the full risk register for the Analogue to Digital Project Board be shared with the Risk and Assurance Group. This risk will be presented to the Audit Committee at its next meeting.

(b) Strategic Risk 3456 – Health and Care Staffing Act – High risk. The chair of the Health and Care Staffing Act Short Life Working Group, which reports to the HSCP Workforce and Training Group, outlined progress to date under the duties of the Act. The risk will be changed to medium, as work being done by the group shows that the duties of the Act are largely being undertaken by the Partnership, but assurance processes require to be captured and easily interrogated. The SLWG will continue through the first development year of the Act which came into force on 1 April 2024. This risk will also be presented to the Audit Committee at its next meeting.

(c) Risk 3328 – Buchan Health Visiting Team - this is an operational risk where a wide variety of mechanisms have been tried and evidenced in relation to filling vacancies. The Risk and Assurance Group were satisfied that robust attempts had been made to mitigate this risk and that this be remitted to the CASWG to look at clinical interventions.

The Risk and Assurance Group also heard updates from Audit leads regarding progress in relation to closing remaining outstanding audit actions, the current audits underway and the 4 audits commencing in the 2024/5 financial year. A more robust process has been put in place to ensure all audits and actions are managed and monitored by the Group.

5 Risk Management

- 5.1 This report sets out to provide assurance to the Committee on the ongoing review arrangements for risks on the Risk Register.
- 5.2 Risk management arrangements are in line with the agreed Risk Policy and updated Risk Procedures.

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