



## **OLDHAM PARTNERSHIP**

### **LAA risk assessment**

## **Healthier Communities and Older people Block**

**Oct 2006**

## Executive Summary

On October 26th 2006 a risk management assessment was facilitated by Pam Duke of Bannisdale Consulting Ltd for the Healthier Communities and Older People Block of Oldham partnership.

This exercise involved partnership members involved in the delivery of the LAA's for the Healthier Communities and Older People block. The session provided an opportunity to introduce the risk management methodology for the partnership and allow all members to contribute to the identification and prioritisation of the key risks facing the delivery of the Healthier Communities and Older People LAA's.

The session risk assessed the ability of the Healthier Communities and Older People partnership to achieve its shared priorities of:

“Creating more opportunities to enable citizens to lead healthy, active and longer lives”

- Improved health of the Oldham population through reduction of the impact of risk factors for low life expectancy on the most vulnerable communities in Oldham
  1. lifestyle factors – smoking, diet, sport and physical activity, alcohol
  2. infant mortality
  3. mental health outcomes for adults
- Integrated services to support independence and improved engagement of older people as active citizens
- Improved outcomes for diabetes

The top risks facing the healthier communities and older people block in priority order are:

<b>Scenario</b>	<b>Short name</b>
7	Timely data not available to effectively react to events
3	Insufficient capacity within partnership members to deliver new commissioning approach
4b	Insufficient budget available to meet delivery target for older people
5	Unable to strategically coordinate finance across the block
6	Over reliance on NRF funding etc to make a difference
9	Delivery agents don't have the skills/ capacity available when needed
12	Loss of strategic thinking around opportunities/ co-ordination and following it up

These risks are above the tolerance line now require to be managed and monitored to ensure that they do not hinder the delivery of the partnership's LAA objectives.

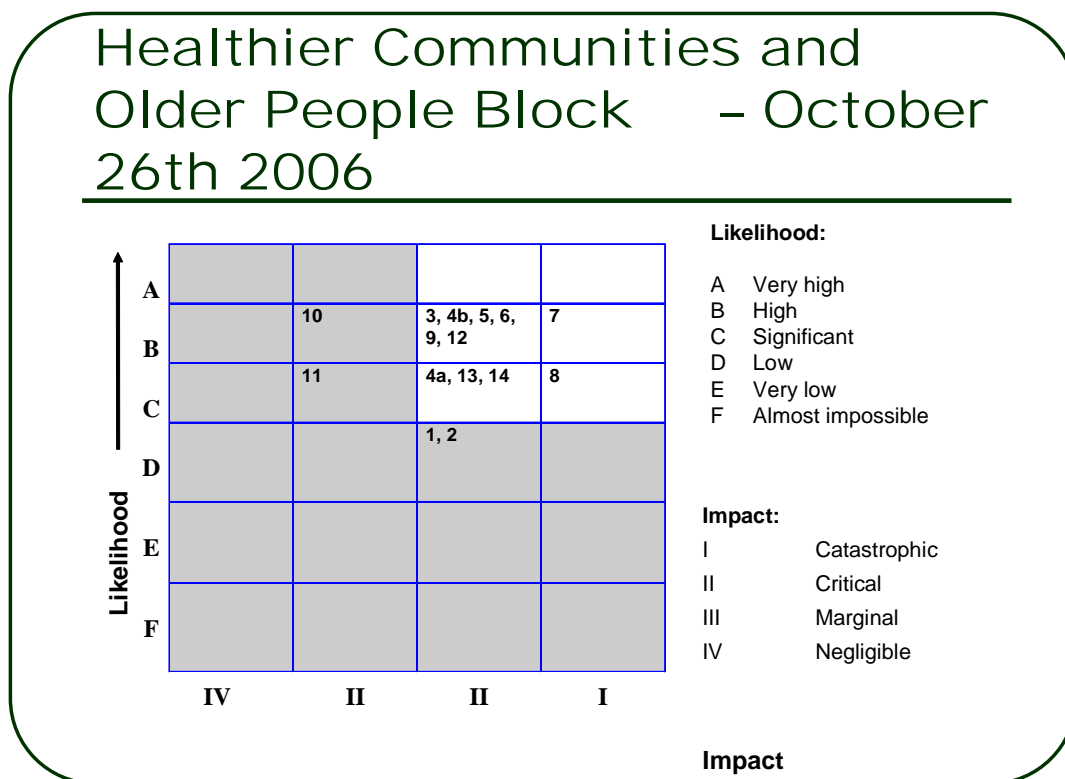
## LAA Risk assessment exercise – October 2006

### Healthier Communities and Older people Block

On the 26th October 2006 partnership members from the Oldham partnership Healthier communities and older people block identified and prioritised 15 risks.

The risk appetite was also established to determine which risks need to be managed and which risks the group are happy to live with.

11 risks were prioritised above the risk appetite with 4 risks below the appetite. The completed matrix is shown below:



Appendix 1 records all the risks that were prioritised within a risk register format and provides the detail of each risk. It also shows the future risks that were discussed but not prioritised during the session.

Appendix 2 shows the attendees at the two workshops.

### **Next steps – action planning**

For each of the risks above the appetite a risk owner has been identified. This is shown in appendix 1. It is their responsibility to ensure that an action plan is developed that clearly demonstrates how the risk will be managed.

To support the development of action plans and to streamline the process a number of risk clusters have been identified. For each risk cluster one action plan needs to be developed. The following risk clusters have been identified:

#### ***Data – Risk owner: Veronica Jackson and Paula Weir***

7	Timely data not available to effectively react to events
8	Strategies for intervention not based on good evidence

#### ***Finance - Risk Owner: Alan Higgins***

5	Unable to strategically coordinate finance across the block
6	Over reliance on NRF funding etc to make a difference

#### ***Skills and capacity development – Risk Owner :Shirley Allen***

9	Delivery agents don't have the skills/ capacity available when needed
13	Workforce don't have the key skills needed to deliver the services
14	Insufficient training of staff

### **Next steps – Ownership of the risk register**

It is important that this risk register is owned at Block leadership level. If the group involved in developing this initial risk register is not that group then it is important that the register is reported to that group and that they have the opportunity to accept it or amend it as appropriate. The monitoring of the risk register should be at leadership level.

### **Next steps – monitoring**

Monitoring of risks is two fold. Firstly the action plans to manage the risks should be regularly monitored as part of the overall performance management approach for the Partnership block.

Secondly, on a regular basis, the risks above and below the line should be reviewed in terms of their position on the matrix. This should be undertaken by all partnership members to ensure a complete view is expressed and all concerns are picked up. During this review there should also be an opportunity for new risks to be identified and prioritised.

### **Next steps – escalating risks to the strategic level - Oldham partnership**

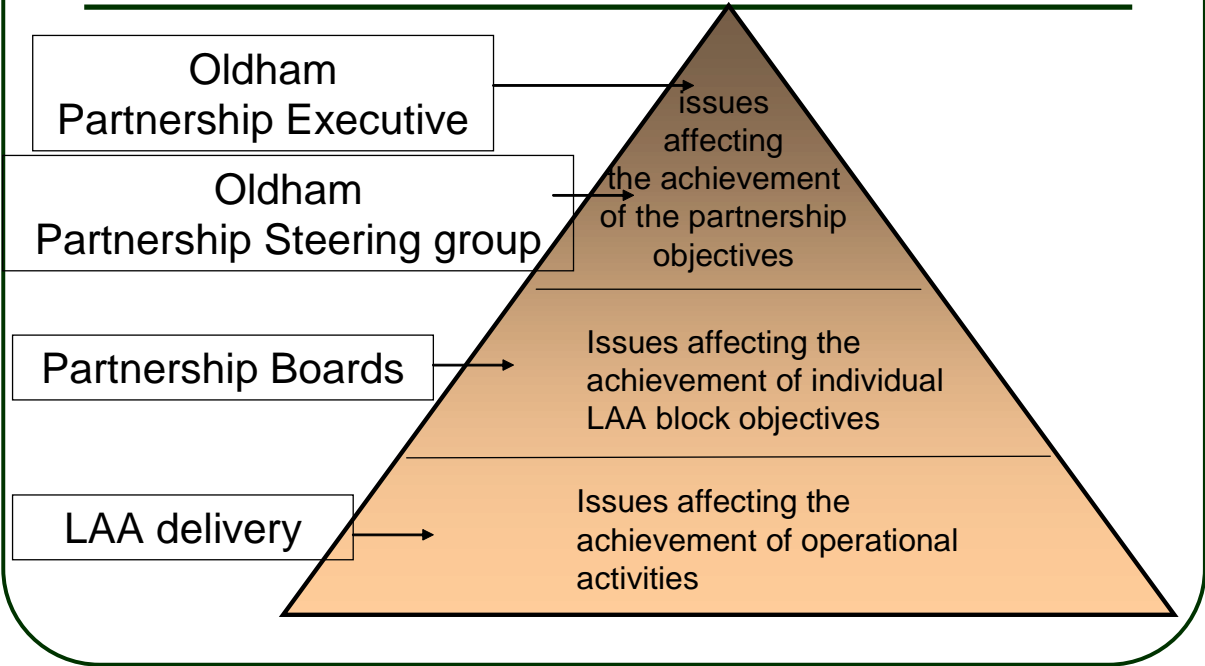
At the moment there are no processes for the individual blocks to escalate their top risks to the strategic level of the Oldham partnership.

It is important that through this exercise the top risks facing each block are reported to the Oldham Partnership steering group for their consideration. This will allow the steering group to decide which of the risks they should manage on behalf of the blocks and which risks should continue to be managed by the blocks. The risks that the steering group manage on behalf of the blocks will form the strategic risk register for Oldham Partnership. The steering group will also have the opportunity to add additional risks if appropriate. Oldham Partnership will then have its own strategic risk register highlighting risks affecting the partnership as a whole.

It is important that this process is repeated on a regular basis either six monthly or annually to ensure the strategic risk register for Oldham Partnership is reviewed and updated.

The following diagram highlights the risk management hierarchy:

# Risk management across all activities



## Appendix 1 – Healthier communities and older people LAA risks above the appetite

Risk Number	Risk Score	Risk Description	Vulnerability	Trigger	Consequence	Risk Owner
7	High/ catastrophic	<b>Timely data not available to effectively react to events</b>	Departments don't tend to have robust research sections therefore strategies are often based on individual's views and responses rather than robust information. Health data is difficult to update (tends to be every three years). Need some interim information and quality information as well as quantitative. A lot of data is output rather than outcome based.	Timely data not available to effectively react to events	<ul style="list-style-type: none"> <li>• Strategies for intervention not based on good evidence</li> <li>• Limited quality measures</li> <li>• Ineffective response</li> <li>• Not contemporary</li> <li>• Long term implications continued due to wrong decision making</li> </ul>	Veronica Jackson/
8	Significant/ catastrophic	<b>Strategies for intervention not based on good evidence</b>	Departments don't tend to have robust research sections therefore strategies are often based on individual's views and responses rather than robust information. There is limited evidence base	Strategies for intervention not based on good evidence	<ul style="list-style-type: none"> <li>• Commissioned services may not be adequate / appropriate</li> <li>• May not achieve target</li> <li>• Investment in the wrong areas</li> <li>•</li> </ul>	Paula Weir

			because it needs longer term trend information etc.			
3	High / critical	<b>Insufficient capacity within partnership members to deliver new commissioning approach</b>	The policy and commissioning unit is still being set up – it will support the blocks in terms of introducing the new commissioning approach recently developed for the Partnership and agreed in principle by Oldham partnership exec. Business cases from January 2007 will need to follow the new process and from 1 <sup>st</sup> April for NRF projects the new commissioning approach will need to be used. Gradually all external funding will need to go through this process. It will increase the workload significantly for the partners.	Insufficient capacity within partnership members to deliver new commissioning approach	<ul style="list-style-type: none"> <li>• Slows down the commissioning process</li> <li>• Gaps in funding in terms of timescales</li> <li>• Delays in projects</li> <li>• Projects at risk</li> <li>• Service delivery worsens</li> <li>• Organisations withdraw support</li> <li>• Wasted resources</li> </ul>	Alan Higgins
4b	High / critical	<b>Insufficient budget available to</b>	There has been targets set in terms of maintaining people at	Insufficient budget available to	<ul style="list-style-type: none"> <li>• Targets not achieved</li> <li>• Reduced service</li> </ul>	Paul Davies

		<b>meet delivery target for older people</b>	home that uses both mainstream and external funding across the Council and the PCT. Both organisations have budget stresses that are external to this process but are pressurising this issue. There is also a building market place and expectations being raised as well as increased demographics likely to increase demand.	meet delivery target for older people	<p>levels</p> <ul style="list-style-type: none"> <li>• Need to change service delivery criteria</li> <li>• Reduced impact on the community</li> <li>• Complaints from the community</li> <li>• Need to substitute mainstream funding activities with external funding</li> <li>• Takes opportunities / activities away from other areas</li> </ul>	
5	High / critical	<b>Unable to strategically coordinate finance across the block</b>	There are a number of different pots of external funding available both to the Council and to the PCT. Ideally this should be coordinated to ensure finance is being used across the block effectively. It is important to look at pooled, resourced and aligned budgets.	Unable to strategically coordinate finance across the block	<ul style="list-style-type: none"> <li>• External pressures from organisations have increased impact</li> <li>• More chance of ebbs and flows in funding</li> <li>• Difficult to get planned approach</li> <li>• Reduced service levels</li> <li>• Ineffective use of tight resources</li> </ul>	Alan Higgins

6	High / critical	<b>Over reliance on NRF funding etc to make a difference</b>	External funding from say NRF needs to be aligned to the LAA targets. Every different funding stream has a different timescale so stream lining is quite difficult. The external funding element is relied upon to make the difference as it is more flexible. NRF funding has only 12 months left.	Over reliance on NRF funding etc to make a difference	<ul style="list-style-type: none"> <li>• Funding is lost/ reduced so service delivery reduces</li> <li>• Increased pressure on mainstream budgets</li> <li>• NRF budgets used to fund mainstream activities – not sustainable</li> <li>•</li> </ul>	Alan Higgins
9	High / critical	<b>Delivery agents don't have the skills/ capacity available when needed</b>	There is a significant amount of short term funding and it is unclear as to when the funding will come through. Delivery agents cannot plan ahead because of the uncertainty of timescales yet they are expected to be up and running quickly once the funding is available. This will become increasingly important when the new commissioning	Delivery agents don't have the skills/ capacity available when needed	<ul style="list-style-type: none"> <li>• Reduced quality of service</li> <li>• You become more insular when commissioning – stick to the agents you know</li> <li>• reduced VFM</li> <li>• market not developed</li> <li>• limited choice</li> </ul>	Shirley Allen

			approach comes in.			
12	High / critical	<b>Loss of strategic thinking around opportunities/ co-ordination and following it up</b>	At the moment the block doesn't have a partnership coordinator. Work is done by different people on an adhoc basis. There is potential to think differently but it needs to be coordinated and driven and at the moment there isn't one person to do that. The difficulty also is that there are two separate organisations that join for some parts of work but have separate agenda's driven by central Govt.	Loss of strategic thinking around opportunities/ co-ordination and following it up	<ul style="list-style-type: none"> <li>• nobody to make it happen</li> <li>• lack of overall view</li> <li>• lose quality</li> <li>• development work isn't being done</li> <li>• the thinking around opportunities is lost</li> <li>• ideas not followed through and maximised</li> <li>• lost opportunities for wider use of NRF</li> <li>• capacity problems</li> </ul>	Clare Fish/ Alan Higgins
4a	Significant/ critical	<b>Insufficient budget available to meet delivery target for healthier communities</b>	There has been targets set in terms of maintaining people at home that uses both mainstream and external funding across the Council and the PCT. Both organisations have budget stresses that are external to this	Insufficient budget available to meet delivery target for healthier communities	<ul style="list-style-type: none"> <li>• Targets not achieved</li> <li>• Reduced service levels</li> <li>• Need to change service delivery criteria</li> <li>• Reduced impact on the community</li> <li>• Complaints from</li> </ul>	Debra Malone

			process but are pressurising this issue. There is also a building market place and expectations being raised as well as increased demographics likely to increase demand.		<p>the community</p> <ul style="list-style-type: none"> <li>• Need to substitute mainstream funding activities with external funding</li> <li>• Takes opportunities / activities away from other areas</li> </ul>	
13	Significant/critical	<b>Workforce don't have the key skills needed to deliver the services</b>	Staff, across the services being delivered, need to be trained up to provide the right level of support e.g community matrons to provide a basic enhancement to people's lives. . There is clarity about the skills needed and services are being redesigned but need to refresh the skills of the workforce.	Workforce don't have the key skills needed to deliver the services	<ul style="list-style-type: none"> <li>• Service delivery does not improve/change</li> <li>• Staff frustrated</li> <li>• Complaints from community</li> <li>• Expectations not met</li> <li>• Targets not achieved</li> <li>• Criticism from Govt office</li> </ul>	Shirley Allen
14	Significant/critical	<b>Insufficient training of staff</b>	Staff, across the services being delivered, need to be trained up to provide the right level of support e.g community matrons to provide a	Insufficient training of staff	<ul style="list-style-type: none"> <li>• Time lag for improved delivery</li> <li>• Service delivery does not improve/change</li> <li>• Staff frustrated</li> </ul>	Shirley Allen

			basic enhancement to people's lives. . There is clarity about the skills needed and services are being redesigned but need to refresh the skills of the workforce.		<ul style="list-style-type: none"> <li>• Complaints from community</li> <li>• Expectations not met</li> <li>• Targets not achieved</li> <li>• Criticism from Govt office</li> </ul>	
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**Risks below the appetite:**

Risk Number	Risk Score	Risk Description	Vulnerability	Trigger	Consequence
10	High/ marginal	<b>LAA and overall partnership working opportunities are not joined up</b>	Discussions around the use of assets/ capital etc is limited within the LAA. The LAA is very delivery focused and quite specific whilst there is lots of work going on outside of the LAA. Partnership working is broader than the LAA and both parts need to work together to take the agenda forward. There is a need to marry up large capital projects with the detailed delivery. Strategic leadership is vital for this. There are meetings planned with political leaders and chief execs to discuss the strategic approach.	LAA and overall partnership working opportunities are not joined up	<ul style="list-style-type: none"> <li>• Duplication of effort</li> <li>• Overall capacity is reduced</li> <li>• Lost opportunities</li> <li>• Conflicting demands</li> <li>• Loss of overall picture</li> <li>• Lack of agreed priorities</li> </ul>
1	Low/ critical	<b>Insufficient training and knowledge</b>	The policy and commissioning unit is still being set up – it will support the blocks in terms of introducing the new	Insufficient training and knowledge	<ul style="list-style-type: none"> <li>• Slows down the commissioning process</li> </ul>

		<b>given to partners to allow them to adopt the new approach in time</b>	commissioning approach recently developed for the Partnership and agreed in principle by Oldham partnership exec. Business cases from January 2007 will need to follow the new process and from 1 <sup>st</sup> April for NRF projects the new commissioning approach will need to be used. Gradually all external funding will need to go through this process. Training will need to be provided.	given to partners to allow them to adopt the new approach in time	<ul style="list-style-type: none"> <li>• Gaps in funding in terms of timescales</li> <li>• Delays in projects</li> <li>• Projects at risk</li> <li>• Service delivery worsens</li> <li>• Organisations withdraw support</li> <li>• Wasted resources</li> </ul>
2	Low/ critical	<b>Policy and commissioning unit not skilled up to offer sufficient support</b>	The policy and commissioning unit is still being set up – it will support the blocks in terms of introducing the new commissioning approach recently developed for the Partnership and agreed in principle by Oldham partnership exec. Business cases from January 2007 will need to follow the new process and from 1 <sup>st</sup> April for NRF projects the new commissioning approach will need to be used. Gradually all external funding will need to go through this process. Training will need to be provided.	Policy and commissioning unit not skilled up to offer sufficient support	<ul style="list-style-type: none"> <li>• Inadequate advice available</li> <li>• Slows down the commissioning process</li> <li>• Partners frustrated</li> <li>• Delays in projects</li> <li>• Projects at risk</li> <li>• Service delivery worsens</li> <li>• Organisations withdraw support</li> <li>• Wasted resources</li> </ul>
11	Significant/ marginal		There is a Govt office review imminent. At the moment the block has a amber/ red score and there is a significant amount of work to be done to demonstrate [progress across the delivery outcomes. Outcomes are still	Block remains red/ amber in its assessment	<ul style="list-style-type: none"> <li>• Restrictions on funding streams</li> <li>• Enforced deployment of assistance</li> <li>• Interference !</li> </ul>

			not changed despite good progress on the strategies.		
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UUUUUUAppendix 2 – List of workshop attendees

Alan Higgins	Block Lead, Oldham PCT
Veronica Jackson	Executive director – adult and community services – OMBC
Clare Fish	Service Director, partnership and performance – OMBC
Carl Bell	Social services, OMBC
Paul Davies	Service Director – adult and social care
Mary Murphy	Policy and external funding , OMBC
Rick Eastwood	Finance, OMBC
Alan Chittenden	Head of service, Social care services, OMBC
Rachel Reid	Oldham partnership support team
Shirley Allen	Principal regeneration officer, OMBC
Debra Malone	Oldham PCT

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