

Data Sharing Partnership **Risk Management**

Management of Risk within the ICT department is by the following:

This Sheet presents the considered Areas of Risk in delivering a single joined up [Data Sharing Health & Social Care Portal](#) to meet the emerging needs of NHS and DGC Special Work staff to share data and to improve the overall awareness of Client need as well as to remove where possible risk of lack of sharing of information being the cause of any adverse incident.

The Risk assessment has been developed and will be discussed at the Data Sharing eCommittee

GRAHAM GAULT

General Manager ICT - NHS

GRAEME MCILORUM

Head of Business Support - DGC

SERVICE DELIVERY RISKS

Feb-20 = last accessed/Updated

Risk	Description of risk
1	MANAGEMENT: The Data Sharing Steering Group does not function effectively and progress does not meet expectations.
2	DGC Scrutiny Committee Recommendation 1 is not met: Electronic information data sharing systems should be enabled to share basic information by the end of 2018.
3	DGC Scrutiny Committee Recommendation 2 is not met: Dumfries and Galloway Council should ensure the reporting and monitoring of the transition phase, which will include staff from the Council and NHS Dumfries and Galloway sharing increased amounts of information through a secure system.
4	DGC Scrutiny Committee Recommendation 3 is not met: Consider the scope for improving data sharing further across all sectors beyond 2019 as confidence and initial benefits are realised.
5	DGC Scrutiny Committee Recommendation 4 is not met: To make full use of mobile technologies for practitioners in the field to access and update data for clients
6	DGC Scrutiny Committee Recommendation 5 is not met: Develop a single consent process for clients, including a review and update process for additional permissions and changes to circumstances.

7	DGC Scrutiny Committee Recommendation 6 is not met: Through improved data sharing, maximise the opportunity to schedule work across the Council and NHS Dumfries and Galloway in the most efficient and effective way to benefit the user.
8	INFORMATION GOVERNANCE: The Information Governance using the ISP cannot be agreed between the NHS and DGC and therefore does not allow Users to Use the developed solution.
9	MANAGEMENT: The PORTAL is not used by the user community in NHS/DGC.
10	TECHNICAL: Patient matching not effective due to Demographic Discrepancies. Incorrect / inaccurate information shared or disclosed.
11	MANAGEMENT: Information not shared within appropriate timescales. Information not available when decisions are made by NHS/DGC teams.
12	INFORMATION GOVERNANCE: The implementation of, or the actual Information Sharing Agreement, is incorrect. Resulting in either too much information being shared than is appropriate, or not enough information to positively affect the care offered. This must be regularly reviewed / updated.
13	INFORMATION GOVERNANCE: The Chronology of Significant Events stays independently managed across organisations so key information may be missed.
14	TECHNICAL: Orion PORTAL are unable to present Mosaic Information within the Portal.

15	MANAGEMENT: Funding availability is not in line with the requirements of the requirements/ Changes made by the Service.

Required by?	Likelihood	Likelihood score	Impact
N/A	Possibly Occur	3	Major
Dec-18	Almost certain	5	Moderate
31-Dec-19	Almost certain	5	Moderate
31-Dec-19	Possibly Occur	3	Minor
31-Mar-20	Remote Possibility	2	Minor
31-Dec-21	Possibly Occur	3	Moderate

31-Dec-21	Possibly Occur	3	Moderate
31-Dec-19	Possibly Occur	3	Major
31-Dec-19	Possibly Occur	3	Moderate
ASAP	Possibly Occur	3	Moderate
N/A	Possibly Occur	3	Major
N?A	Possibly Occur	3	Moderate
N/A	Will probably occur	4	Moderate
Jul-20	Possibly Occur	3	Moderate

Ongoing	Possibly Occur	3	Major

Current					
Impact score	Current Risk	Risk	Risk Strategy	Risk Owner	No
4	High	12	Mitigate	DGC, NHS Lead Officers	1
					2
					3
					4
					5
					6
3	High	15	Mitigate	DGC, NHS Lead Officers	1
					2
					3
					4
					5
					6
3	High	15	Manage	DGC, NHS Lead Officers	1
					2
					3
					4
					5
					6
2	Medium	6	Manage	DGC, NHS Lead Officers	1
					2
					3
					4
					5
					6
2	Medium	4	Mitigate	DGC, NHS Lead Officers	1
					2
					3
					4
					5
					6
3	Medium	9	Manage	DGC, NHS Lead Officers	1
					2
					3
					4
					5
					6

3	Medium	9	Tolerate	DGC, NHS Lead Officers	1
					2
					3
					4
					5
					6
4	High	12	Manage	DGC Legal Dept. NHS CLO	1
					2
					3
					4
					5
					6
3	Medium	9	Manage	H Collington	1
					2
					3
					4
					5
					6
3	Medium	9	Manage	DGC + NHS	1
					2
					3
					4
					5
					6
4	High	12	Manage	DGC + NHS	1
					2
					3
					4
					5
					6
3	Medium	9	Manage	DGC Legal Dept. NHS CLO	1
					2
					3
					4
					5
					6
3	High	12	Manage	DGC + NHS	1
					2
					3
					4
					5
					6
3	Medium	9	Manage	General Manager ICT - NHS	1

					2
					3
					4
					5
					6
4	Medium	9	Manage	COOs	1
					2
					3
					4
					5
					6

Comments
Meet every 2 months
Weekly report on Progress now asked by COO
Delays in matching data being addressed
Delays in secure file transfer facility being addressed.
Delays in extract file being addressed
Remote access to Mosaic enabled for identified NHS users and has been for some time
This is being managed through changes with the ISP which changes to reflect modifications to the data items being agreed to be shared.
Is there a benefits definition or realisation framework agreed by the practitioners?
This is an extensive piece of work which will need to follow on from the implementation of sharing arrangements across the two statutory agencies; a realistic timeframe needs to be considered for this to have full consideration.
Social Work issued laptops, iphones and have offline form capability and remote network access available already.
Discussions with Servelec/TotalMobile re integrated mobile solution
Online Mosaic portal will enable citizen self service - target go-live July 2020
NHS staff already have MORSE to record remotely directly into the PORTAL.
Not discussed yet!

Dynamic scheduling solution being procured within Council which could be expanded for use in HSCI
Not really discussed in detail yet.
ISP has now been updated and signed.
Reports on access to the PORTAL are provided to Senior Ops Manager and demonstrate improving picture
Presenting Health information within Mosaic will reduce complexity for Social Work
still to get process in place, Reassess when testing
Needs to be planned so it doesn't happen
COOs are receiving weekly reports to monitor progress.
Agreement in in place based on initial clinical view of what is needed
This will change when it is actually used
This has not been fully agreed at present
Need specvification from the Service users, and clarity from the Public Protection Committees.
To be planned so this is addressed in parallel to the availability of the MOSAIC PORTAL.

To be planned so this is addressed in parallel to the availability of the MOSAIC PORTAL.
Provide ahead of required requirements a proposal to COOs.

DATIX Summary / Collective Entries	
1	Computing Infrastructure Resilience/ Management
2	Key System Resilience/Management
3	
4	
5	
6	
7	
8	

Staff	
1	Graham Gault
2	Nigel Gammage
3	Bryan Williamson
4	Lee Horsfall
5	Murray Glaister
4	Brian Currie

Likelihood	
0	Never going to happen
1	Extremely Unlikely
2	Remote Possibility
3	Possibly Occur
4	Will probably occur
5	Almost certain

Impact	
0	Absolutely no impact
1	Insignificant
2	Minor
3	Moderate
4	Major
5	Catastrophic

RISK SCORING MATRIX		Likelihood of occurrence				
Impact of Occurrence		1	2	3	4	5
1	1	1	2	3	4	5
2	2	2	4	6	8	10
3	3	3	6	9	12	15
4	4	4	8	12	16	20
5	5	5	10	15	20	25

Corporate Risk Description
Sustainable Workforce
Health and Wellbeing of Staff
Staff Experience
Emergency Planning
Infrastructure - Buildings
Infrastructure - Power Loss
Information Security

System Categories
Diagnostic
Clinical Information Systems
Operational (PACWIN/EESS/CATERING ect)

Risk Strategies
Mitigate
Tolerate
Manage

- 1 low
- 2 low
- 3 low
- 4 Medium
- 5 Medium
- 6 Medium
- 7 Medium
- 8 Medium
- 9 Medium
- 10 High
- 11 High
- 12 High
- 13 High
- 14 High
- 15 High
- 16 High
- 17 Very High
- 18 Very High
- 19 Very High
- 20 Very High
- 21 Very High
- 22 Very High
- 23 Very High
- 24 Very High
- 25 Very High