

Integration Joint Board Strategic Risk Register_June 2016

Risk Code	Risk Owner	Strategic Risk Event	Previous	Current	Target
			Risk Rating		
IJBSR1	Chief Officer, Health and Social Care	The implementation of the strategic plan does not result in improved outcomes for service users	12	12	6
IJBSR2	Chief Officer, Health and Social Care	Organisational, professional and cultural barriers prevent us from integrating front-line teams	16	16	6
IJBSR3	Chief Officer, Health and Social Care	Locality Planning structures do not take hold or improve connections between local professionals and communities	12	12	6
IJBSR4	Chief Officer, Health and Social Care	The increase in demand for health and social care services is greater than anticipated	12	12	6
IJBSR5	Chief Finance Officer, IJB	Unanticipated service pressures create an in-year overspend	9	12	9
IJBSR6	Chief Officer, Health and Social Care	Change management projects fail or have unintended consequences / Service redesign is not implemented	12	12	6
IJBSR7	Chief Officer, Health and Social Care	Ineffective governance arrangements are in place to provide assurance that the IJB's statutory duties are being met	3	3	3
IJBSR8	Chief Officer, Health and Social Care	Recruitment and retention challenges within the Partnership create service stress	16	16	9

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Risk Ref: IJBSR1		Risk Owner: Chief Officer			
Risk Event Strategic Priority:		The implementation of the strategic plan does not result in improved outcomes for service users			
Risk Cause	Risk Effect	Existing Controls	Existing risk assessment		Current risk rating
			Likelihood	Impact	
			3	4	12
			Proximity: Current		
			Target	Target risk rating	
			Likelihood	Impact	
			2	3	6
Risk treatment action: Strategic commissioning methodologies are used to drive service change The strategic plan is considered an organic document which will change and develop over time Demand reduction measures are applied (e.g. sign-posting, growing community capacity) Early Warning Indicators: IJB Performance management dashboard Last reviewed: Jun-2016			Responsible Officer: Head of Partnership Services Chief Officer Next review due: Sept 2017		

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Risk Ref: IJBSR2		Risk Owner: Chief Officer				
Risk Event Strategic Priority:		Organisational, professional and cultural barriers prevent us from integrating front-line teams				
Risk Cause	Risk Effect	Existing Controls	Initial risk assessment		Current risk rating	
Different organisational views emerge about integrated teams Organisational risks emerge to the two statutory employers Professional concerns about interdisciplinary working emerge Cultural barriers prevent effective integration	Patient experience becomes sub-optimal Full integration is not achieved and teams are disjointed Communication between professionals becomes sub-optimal Management cannot be streamlined	Corporate working and executive leadership Action based on HR and legal advice Effective engagement with staff and OD work undertaken across both organisations HR Forum brings together management and staff side interests	Likelihood	Impact	16	
			4	4		
			Proximity:		Current	
			Revised risk assessment	Target risk rating	Likelihood	Impact
2	3					
Risk treatment action: Joint Recruitment Policy being developed for integrated management posts (KD2) Multi-disciplinary teams will deliver holistic, well-coordinated care, which builds on the natural capacities in people's lives Early Warning Indicators: Implementation of Integrated Senior Management Team		Responsible Officer: HR Directors Head of Locality Services				
Last reviewed: Jun-2017		Next review due: Sept. 2016				

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Risk Ref: IJBSR3		Risk Owner: Chief Officer			
Risk Event Strategic Priority:		Locality Planning structures do not take hold or improve connections between local professionals and communities			
Risk Cause	Risk Effect	Existing Controls	Initial risk assessment		Current risk rating
			Likelihood	Impact	
			3	4	12
			Proximity: Risk treatment category:		Current Realise the opportunity
		Revised risk assessment		Target risk rating	
		Likelihood	Impact		
		2	3	6	
Risk treatment action: - (KD1) We will put in place locality planning arrangements to support more responsive local needs - (KD10) We will support our general practices to collaborate, develop multi-professional teams and influence local service arrangements - (KD13) We will work with communities and the third sector to support community ventures which tackle social isolation, including, where appropriate, supporting community transport - (KD22) We will establish a health and social care hub in every locality area, which will deliver co-located integrated services - contribute to LPGs and to public engagement sessions about programmes of change			Responsible Officer: Head of Locality Services Associate Medical Director Head of Partnership Services Chief Officer Chief Officer		
Early Warning Indicators:	Poor attendance; discord				
Last reviewed:	Jun-2017		Next review due: Sept. 2017		

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Risk Ref: IJBSR4		Risk Owner: Chief Officer				
Risk Event Strategic Priority:		The increase in demand for health and social care services is greater than anticipated				
Risk Cause - Ageing population - Increase in complex long-term conditions - Increasing levels of frailty - Challenging financial climate - Depopulation - Rise in numbers of people living alone	Risk Effect Deterioration in service user outcomes IJB budget pressurised Political challenges	Existing Controls Monitoring Projection	Initial risk assessment Likelihood Impact		Current risk rating	
			3	4	12	
			Proximity:		Current	
			Revised risk assessment Likelihood Impact		Target risk rating	
			2	3	6	
Risk treatment action: - Long term financial planning and demand assessment - Redesign services to meet the changing needs of our communities		Responsible Officer: Head of Partnership Services Chief Officer				
Early Warning Indicators:	Age of population structures					

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Risk Ref: IJBSR5		Risk Owner:					
Risk Event Strategic Priority:		Unanticipated service pressures create an in-year overspend					
Risk Cause	Risk Effect	Existing Controls	Initial risk assessment Likelihood Impact		Current risk rating		
<ul style="list-style-type: none"> - Lack of financial control - Increased demand for services - Meeting the cost of hospital based care Efficiencies not realised - Difficulty working within budget 	<ul style="list-style-type: none"> Service reform undermined Vacancy freeze Deterioration in service user outcomes IJB relationship with parent bodies becomes challenging 	<ul style="list-style-type: none"> Management Information Financial Controls 	4	3	12		
			Proximity:			Current	
			Revised risk assessment Likelihood Impact		Target risk rating		
			3	3	9		
Risk treatment action:		Responsible Officer: Chief Finance Officer					
<ul style="list-style-type: none"> - Workforce planning (cutting sickness absence, deleting vacant posts, combining management roles) - Identify efficiencies that can be delivered by integrating services - Identify efficiencies that can delivered through service redesign and strategic commissioning (reduce high-cost care packages, long-stay mainland placements, centralise some ancillary services) - Identify savings as a result of service choices being made (i.e. if under-used or delivered equitably across all localities) 							
Early Warning Indicators:	Monthly monitoring						
Last reviewed:	Jun-2017	Next review due:		Sep-2017			

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Risk Ref: IJBSR6		Risk Owner:			
Risk Event Strategic Priority:		Change management projects fail or have unintended consequences / Service Redesign not implemented			
Risk Cause	Risk Effect	Existing Controls	Initial risk assessment		Current risk rating
			Likelihood	Impact	
			3	4	12
			Proximity: Current		Risk treatment category:
			Revised risk assessment		Target risk rating
Likelihood	Impact				
2	3	6			
Risk treatment action: - Effective comprehensive change management projects - Contingency fund available for projects - Project management system			Responsible Officer: Chief Officer		
Early Warning Indicators:		IJB reports			
Last reviewed:		Jun-2017		Next review due: Sept. 2017	

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Risk Ref: IJBSR7		Risk Owner:			
Risk Event Strategic Priority:		Ineffective governance arrangements are in place to provide assurance that the IJB's statutory duties are being met			
Risk Cause	Risk Effect	Existing Controls	Initial risk assessment Likelihood Impact		Current risk rating
IJB work not sufficiently well aligned with council or health board committees not effective integrated Statutory requirements are not being met IJB Meetings are poorly attended	Capital development opportunities missed	- Audit sub-committee - Joint Meetings - Seminars Review of integration scheme	1	3	3
	Negative external scrutiny		Proximity:		Current
	Patient and service user safety issues emerge		Revised risk assessment Likelihood Impact		Target risk rating
			1	3	3
Risk treatment action: Internal Audit External Audit		Responsible Officer: Chief Auditor Audit Scotland			
Early Warning Indicators:					
Last reviewed: Jun-2017		Next review due: Sept. 2017			

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Risk Ref: IJBSR8		Risk Owner:			
Risk Event Strategic Priority:		Recruitment and retention challenges within the Partnership create service stress			
Risk Cause	Risk Effect	Existing Controls	Initial risk assessment Likelihood Impact		Current risk rating
- National workforce shortages - Remote and rural employment - Professional development - Remuneration - Key workforce policies	Stress loaded onto workforce Services are required to operate without full capacity creating system pressures Key vacancies erodes core service resilience	- Joint labour market initiatives	4	4	16
			Proximity:		Current
			Risk treatment category:		Realise the opportunity
			Revised risk assessment Likelihood Impact		Target risk rating
			3	3	9
<p>Risk treatment action:</p> <ul style="list-style-type: none"> - (KD23) We will develop and implement a 3 year workforce plan, based on labour intelligence, which will consider how best our partnership can compete within the local, national and international labour market and grow a workforce from within our communities through the provision of educational opportunities - (KD24) We will work with our parent bodies to keep people healthy at work & support them through periods of transition from one model of care to another - (KD25) We will work with our parent bodies to increase the proportion of our staff whose contract of employment provides guaranteed hours & predictable patterns of work <p>Early Warning Indicators:</p> <p>Last reviewed: Jun-2017 Next review due: Sept. 2017</p>					
Responsible Officer: Chief Officer HR Directors					

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Risk Ref: IJBSR9		Risk Owner:				
Risk Event Strategic Priority:		The IJB budget is insufficient to meet its statutory obligations				
Risk Cause	Risk Effect	Existing Controls	Initial risk assessment Likelihood Impact		Current risk rating	
<ul style="list-style-type: none"> - Lack of financial control - Increased demand for services - Public sector spending constraints Efficiencies not realised - Difficulty working within budget 	<ul style="list-style-type: none"> Service reform undermined Vacancy freeze Deterioration in service user outcomes IJB relationship with parent bodies becomes challenging 	<ul style="list-style-type: none"> Management Information Financial Controls 	3	4	12	
			Proximity: Current			
			Revised risk assessment Likelihood Impact		Target risk rating	
			3	3	9	
Risk treatment action:		Responsible Officer:		Chief Finance Officer		
<ul style="list-style-type: none"> - Workforce planning (cutting sickness absence, deleting vacant posts, combining management roles) - Identify efficiencies that can be delivered by integrating services - Identify efficiencies that can delivered through service redesign and strategic commissioning (reduce high-cost care packages, long-stay mainland placements, centralise some ancillary services) - Identify savings as a result of service choices being made (i.e. if under-used or delivered equitably across all localities) 						
Early Warning Indicators:	Monthly monitoring					
Last reviewed:	Jun-2017	Next review due: Sept. 2017				

Integration Joint Board Strategic Risk Register_June 2016

Risk Ref: IJBSR10		Risk Owner: Chief Officer			
Risk Event Strategic Priority:		Clinical and care governance arrangements fail during service redesign and service transitions			
Risk Cause Insufficiently robust governance arrangements Service redesign not tested against clinical and care governance principles	Risk Effect - People's ability to exercise choice and control over the lives they lead is diminished People suffer avoidable harm or ill treatment - Increase in unplanned or emergency admission to hospital	Existing Controls - Clinical and care governance committee - Effective oversight at corporate and departmental level	Initial risk assessment		Current risk rating
			Likelihood	Impact	
			3	4	12
			Revised risk assessment		Target risk rating
Likelihood	Impact				
Proximity: Risk treatment category:		Current Realise the opportunity			
Proximity: Risk treatment category:		2	4	8	
Risk treatment action: Revise and strengthen clinical and care governance arrangements		Responsible Officer: Chief Officer / Medical Director			
Early Warning Indicators:	-Resources shifted from hospitals to community-based care - Measure hospital stays - No. supported via direct payment		- Level of care at home - Number of community alarms		
Last reviewed:	Jun-2017		Next review due: Sept. 2017		