

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 | 8 | 8 | 6 |
| IJBSR2 | Chief Officer, Health and Social Care | Organisational, professional and cultural barriers prevent us from integrating front-line teams | 9 | 12 | 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 | 16 | 12 | 9 |
| IJBSR6 | Chief Officer, Health and Social Care | Change management projects fail or have unintended consequences / Service redesign is not implemented | 16 | 16 | 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 | 20 | 16 | 9 |

Integration Joint Board Strategic Risk Register_June 2016

| | | | | | | | |
|---|--|---|---|---|----------------------------|--|--|
| 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 Likelihood Impact | | Current risk rating | | |
| <p>Different organisational views emerge about integrated teams Organisational risks emerge to the two statutory employers</p> <p>Professional concerns about inter-disciplinary working emerge Cultural barriers prevent effective integration</p> <p>New GP Contract Integrated Management</p> | <p>Patient experience becomes sub-optimal Full integration is not achieved and teams are disjointed Communication between professionals becomes sub-optimal Management cannot be streamlined</p> | <p>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</p> | 3 | 4 | 12 | | |
| | | | Proximity: | | Current | | |
| | | | Revised risk assessment Likelihood Impact | | Target risk rating | | |
| | | | 2 | 3 | 6 | | |
| <p>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</p> <p>Early Warning Indicators: Implementation of Integrated Senior Management Team</p> <p>Last reviewed: Jun-2019</p> | | | <p>Responsible Officer: HR Directors Head of Locality Services</p> <p>Next review due: Sept 2019</p> | | | | |

Integration Joint Board Strategic Risk Register_June 2016

| | | | | | | |
|--|---|--|--|---------------|------------------------------------|--|
| Risk Ref: IJBSR3 | | Risk Owner: Chief Officer | | | | |
| Risk Event | | Locality Planning structures do not take hold or improve connections between local professionals and communities | | | | |
| Strategic Priority: | | | | | | |
| Risk Cause | Risk Effect | Existing Controls | Initial risk assessment | | Current risk rating | |
| <ul style="list-style-type: none"> - Lack of engagement - Divergent interests emerge - Inconsistent performance - Overlap with CPP locality arrangements Review activity | The IJB becomes isolated from communities Service reforms do not command community support | <ul style="list-style-type: none"> - Community Planning Partnership focus - Senior Management attendance at LPG meetings | Likelihood | Impact | | |
| | | | 4 | 3 | 12 | |
| | | | Proximity: Risk treatment category: | | Current Realise the opportunity | |
| | | | Revised risk assessment | | Target risk rating | |
| | | | Likelihood | Impact | | |
| | | | 2 | 3 | 6 | |
| Risk treatment action: | | | Responsible Officer: | | | |
| <ul style="list-style-type: none"> - (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 | | | Head of Locality Services Associate Medical Director | | | |
| <ul style="list-style-type: none"> - contribute to LPGs and to public engagement sessions about programmes of change | | | Head of Partnership Services Chief Officer Chief Officer | | | |
| Early Warning Indicators: | Poor attendance; discord | | | | | |
| Last reviewed: | Jun-2019 | | Next review due: Sept 2019 | | | |

Integration Joint Board Strategic Risk Register_June 2016

| | | | | | |
|---|------------------------------|--|--------------------------------|---------------|----------------------------|
| 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 | Risk Effect | Existing Controls | Initial risk assessment | | Current risk rating |
| | | | Likelihood | Impact | |
| | | | 3 | 4 | 12 |
| | | | Proximity: | | Current |
| | | | Revised risk assessment | | Target risk rating |
| Likelihood | Impact | | | | |
| | | | 2 | 3 | 6 |
| Risk treatment action: | | Responsible Officer: | | | |
| - Long term financial planning and demand assessment | | Head of Partnership Services | | | |
| - Redesign services to meet the changing needs of our communities | | Chief Officer | | | |
| Early Warning Indicators: | Age of population structures | | | | |

Integration Joint Board Strategic Risk Register_June 2016

| | | | | | | |
|--|--|---|--|----------------------------|----------------------------|--|
| 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 | |
| - Lack of financial control - Increased demand for services - Meeting the cost of hospital based care Efficiencies not realised - Difficulty working within budget (especially hospital) | Service reform undermined Vacancy freeze Deterioration in service user outcomes IJB relationship with parent bodies becomes challenging | 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 | | |
| - 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-2019 | | | Next review due: Sept 2019 | | |

Integration Joint Board Strategic Risk Register_June 2016

| 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 | | |
| | | | 4 | 4 | 16 | |
| | | | 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-2019 | | Next review due: Sept 2019 | | | |

Integration Joint Board Strategic Risk Register_June 2016

| 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 | | Current risk rating |
| | | | Likelihood | Impact | |
| | | | 4 | 4 | 16 |
| | | | Proximity: Risk treatment category: | | Current Realise the opportunity |
| | | | Revised risk assessment | | Target risk rating |
| Likelihood | Impact | | | | |
| 3 | 3 | 9 | | | |
| Risk treatment action: - (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 Early Warning Indicators: Last reviewed: Jun-2019 | | | | | Responsible Officer: Chief Officer HR Directors |
| | | | | | Next review due: Sept 2019 |

Integration Joint Board Strategic Risk Register_June 2016

| | | | | | | | |
|--|--|--|--|-----------------------|----------------------------|--|--|
| 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 | 4 | 4 | 16 | | |
| | | | 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-2019 | Next review due: Sept 2019 | | | | | |

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 |
| | | | Proximity: Risk treatment category: | | Current Realise the opportunity |
| | | | Revised risk assessment | | Target risk rating |
| Likelihood | Impact | | | | |
| 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-2019 | Next review due: Sept 2019 | | | |