

Integration Joint Board Strategic Risk Register_June 2016

Organic process understanding of shared risk important - glossary?

STRATEGIC RISKS - AFFECT THE VIABILITY OF THE PARTNERSHIP (1) Identify (2) Assess (3) Prioritise (4) Address

RM FRAMEWORK risk categories (AGREED)

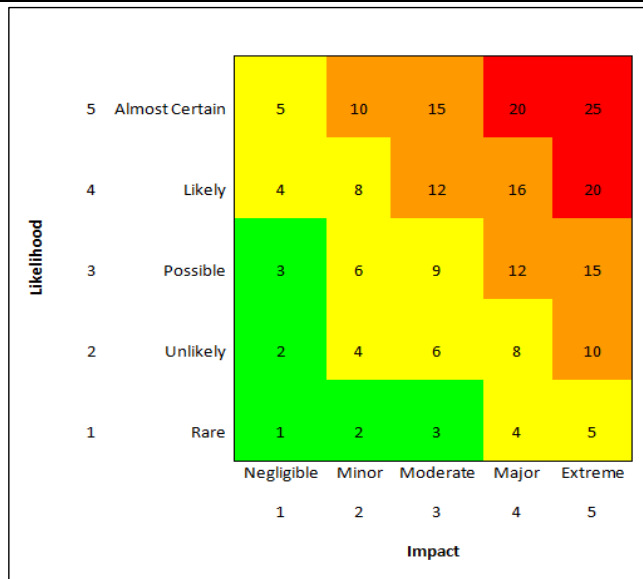
- risk assessment tables
- methods for consistently identifying, analysing and evaluating risk
- lines of accountability for RM
- clear escalation framework

IJB Audit Committee 10.02.21

Agenda Item: 6.2

Purpose: Assurance

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	9	6
IJBSR2	Chief Officer, Health and Social Care	Organisational, professional and cultural barriers prevent us from integrating front-line teams	12	9	6
IJBSR3	Chief Officer, Health and Social Care	Locality Planning structures do not take hold or improve connections between local professionals and communities	16	12	6
IJBSR4	Chief Officer, Health and Social Care	The increase in demand for health and social care services is greater than anticipated	16	16	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	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	20	16	9
IJBSR9	Chief Finance Officer, IJB	The IJB budget is insufficient to meet its statutory obligations	16	12	9
IJBSR10	Chief Officer, Health and Social Care	Clinical and care governance arrangements fail during service redesign and service transitions	16	12	8
IJBSR11	Chief Officer, Health and Social Care	Discontinuity in the management and leadership of the HSCP		16	8
IJBSR12	Chief Officer, Health and Social Care	Impact of Covid 19 Pandemic inhibits Transformational Change	12		



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Risk Ref: IJBSR1		Risk Owner: Chief Officer			
Risk Event		The implementation of the strategic plan does not result in improved outcomes for service users			
Strategic Priority:		IJB Audit Committee 10.02.21			
Risk Cause	methods for consistently identifying	Existing Controls	Existing risk assessment		Current risk rating
			Likelihood	Impact	
			3	3	9
			Proximity: Current		Target risk rating
Target Likelihood	Target Impact				
The cumulative impact of the key deliverables does not deliver system wide improvement		Multi-agency planning and delivery of care	2	3	6
-					
Risk treatment action:			Responsible Officer:		
Strategic commissioning methodologies are used to drive service change			Head of Partnership Services		
The strategic plan is considered an organic document which will change and develop over time			Chief Officer		
Demand reduction measures are applied (e.g. develop Citizen Networks)					
Early Warning Indicators: IJB Performance management dashboard					
Last reviewed: Jun-2021		Next review due: Sept 2021			

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Risk Ref: IJBSR2	Risk Owner: Chief Officer						
Risk Event	Organisational, professional and cultural barriers prevent us from integrating front-line teams						
Strategic Priority:	IJB Audit Committee 10.02.21						
Risk Cause	methods for consistently identifying	Agenda Item: 6.2 Existing Controls	Initial risk assessment		Current risk rating		
<p>Different organisational views emerge about integrated teams</p> <p>Organisational risks emerge to the two statutory employers</p> <p>Professional concerns about inter-disciplinary working emerge</p> <p>Cultural barriers prevent effective integration</p> <p>New GP Contract</p> <p>Integrated Management</p>	<p>Patient experience becomes sub-optimal</p> <p>Full integration is not achieved and teams are disjointed</p> <p>Communication between professionals becomes sub-optimal</p> <p>Management cannot be streamlined</p>	<p>Corporate working and executive leadership</p> <p>Action based on HR and legal advice</p> <p>Effective engagement with staff and OD work undertaken across both organisations</p> <p>HR Forum brings together management and staff side interests</p> <p>Build on good practice that has emerged due to changes in practice through COVID-19</p>	Likelihood	Impact			
			3	3	9		
			Proximity:		Current		
			Revised risk assessment		Target risk rating		
		2	3	6			
<p>Risk treatment action:</p> <p>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-2021</p>			<p>Responsible Officer:</p> <p style="text-align: center;">Head of Locality Services</p> <p>Next review due: April 2020</p>				

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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:	IJB Audit Committee 10.02.21						
Risk Cause	methods for consistently identifying	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 	<ul style="list-style-type: none"> The IJB becomes isolated from communities Service reforms do not command community support 	<ul style="list-style-type: none"> Community Planning Partnership focus- LPF are active - Senior Management attendance at LPG meetings 	Likelihood	Impact	12		
			3	4	Proximity: Current		
			Risk treatment category:		Realise the opportunity		
			Revised risk assessment	Target risk rating			
Likelihood	Impact			Target risk rating			
2	3			6			
Risk treatment action: <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 			Responsible Officer: <ul style="list-style-type: none"> Associate Medical Director Head of Partnership Services Chief Officer Chief Officer 				
Early Warning Indicators:	Poor attendance; discord						
Last reviewed:	Jun-2021		Next review due: Sept 2021				

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Risk Ref: IJBSR4	Risk Owner: Chief Officer						
Risk Event	The increase in demand for health and social care services is greater than anticipated						
Strategic Priority:	IJB Audit Committee 10.02.21						
Risk Cause	methods for consistently identifying	Existing Controls	Initial risk assessment		Current risk rating		
<ul style="list-style-type: none"> - Ageing population - Increase in complex long-term conditions - Increasing levels of frailty - Challenging financial climate - Depopulation - Rise in numbers of people living alone - Covid-19 	<ul style="list-style-type: none"> Deterioration in service user outcomes IJB budget pressurised Political challenges eg Independent Review of Adult Social Care 	<ul style="list-style-type: none"> Demand & Capacity Planning Projection Review of Adult Social Care 	Likelihood	Impact	12		
			3	4		Proximity: Current	
			Revised risk assessment	Target risk rating			
			Likelihood	Impact	6		
2	3						
Risk treatment action:			Responsible Officer:				
<ul style="list-style-type: none"> - Long term financial planning and demand assessment - Redesign services to meet the changing needs of our communities 			<ul style="list-style-type: none"> Head of Partnership Services 				
<ul style="list-style-type: none"> - Long term financial planning and demand assessment - Redesign services to meet the changing needs of our communities 			<ul style="list-style-type: none"> Chief Officer 				
Early Warning Indicators:	Age of population structures						

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Risk Ref: IJBSR5		Risk Owner:			
Risk Event		Unanticipated service pressures create an in-year overspend			
Strategic Priority:		IJB Audit Committee 10.02.21			
Risk Cause	methods for consistently identifying	Existing Controls	Initial risk assessment		Current risk rating
			Likelihood	Impact	
			3	4	12
			Proximity: Current		
			Revised risk assessment		Target risk rating
Likelihood	Impact				
			3	3	9
Risk treatment action:		Responsible Officer:		Chief Finance Officer	
- Workforce planning (reducing sickness absence, review vacant posts, optimising 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)					
Early Warning Indicators:		Monthly monitoring			
Last reviewed:		Jun-2021		Next review due: Sept 2021	

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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				
IJB Audit Committee 10.02.21						
Risk Cause	methods for consistently identifying	Existing Controls	Initial risk assessment		Current risk rating	
			Likelihood	Impact		
			3	4	12	
			Proximity:			Current
			Risk treatment category:			
- Lack of capacity - Lack of clear direction - Scope creep - Cultural conflicts - Barriers to change - Unclear targets/timescales - Unintended consequences not considered in advance - Lack of coordination	- Do not achieve the Strategic Priorities - Do not achieve reform - Services becomes unsustainable	- Effective change management oversight at corporate and departmental level Develop change management capacity	Revised risk assessment		Target risk rating	
			Likelihood	Impact		
			2	3	6	
Risk treatment action:			Responsible Officer:			
- Effective comprehensive change management projects - Contingency fund available for projects - Project management system			Chief Officer			
Early Warning Indicators:	IJB reports					
Last reviewed:	Jun-2021		Next review due: Sept 2021			

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Risk Ref: IJBSR7		Risk Owner:			
Risk Event		Ineffective governance arrangements are in place to provide assurance that the IJB's statutory duties are being met			
Strategic Priority:		IJB Audit Committee 10.02.21			
Risk Cause	methods for consistently identifying	Existing Controls	Initial risk assessment		Current risk rating
			Likelihood	Impact	
			1	3	3
			Proximity: Current		
			Revised risk assessment		Target risk rating
Likelihood	Impact				
IJB work not sufficiently well aligned with council or health board	Capital development opportunities missed	- Audit sub-committee - Joint Meetings - Seminars Review of integration scheme	1	3	3
Clinical and care governance committees not effective	Negative external scrutiny		Proximity: Current		
Statutory requirements are not being met	Patient and service user safety issues emerge		Revised risk assessment		Target risk rating
IJB Meetings are poorly attended			Likelihood	Impact	
			1	3	3
Risk treatment action:		Responsible Officer:			
Internal Audit		Chief Auditor			
External Audit		Audit Scotland			
Early Warning Indicators:					
Last reviewed:	Jun-2021	Next review due: Sept 2021			

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Risk Ref: IJBSR8		Risk Owner:				
Risk Event		Recruitment and retention challenges within the Partnership create service stress				
Strategic Priority:		IJB Audit Committee 10.02.21				
Risk Cause	methods for consistently identifying Stress loaded onto workforce Services are required to operate without full capacity creating system pressures Key vacancies erodes core service resilience Reduced staff capacity to meet contractual commitments Develop new sustainable workforce model	Existing Controls	Initial risk assessment		Current risk rating	
			Likelihood	Impact		
			4	4	16	
			Proximity:		Current	
			Risk treatment category:		Realise the opportunity	
			Revised risk assessment		Target risk rating	
			Likelihood	Impact		
			3	3	9	
Risk treatment action:			Responsible Officer:			
- (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			HR Directors			
Early Warning Indicators:						
Last reviewed:		Jun-2021	Next review due: Sept 2021			

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Risk Ref: IJBSR9		Risk Owner:			
Risk Event		The IJB budget is insufficient to meet its statutory obligations			
Strategic Priority:		IJB Audit Committee 10.02.21			
Risk Cause	methods for consistently identifying	Existing Controls	Initial risk assessment		Current risk rating
			Likelihood	Impact	
			3	4	12
			Proximity: Current		
			Revised risk assessment		Target risk rating
Likelihood	Impact				
- Lack of financial control	Collaborative Service Transformation	Management Information Financial Controls	3	3	9
- Increased demand for services	Deterioration in service user outcomes				
- Public sector spending constraints	IJB positive relationship with parent bodies				
Efficiencies not realised					
- Difficulty working within budget					
- impact of Covid-19					
Risk treatment action:		Responsible Officer:		Chief Finance Officer	
- Workforce planning (reducing sickness absence, review vacant posts, optimise 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)					
Early Warning Indicators:	Monthly monitoring				
Last reviewed:	Jun-2021			Next review due: Sept 2021	

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Risk Ref: IJBSR10		Risk Owner: Chief Officer			
Risk Event		Clinical and care governance arrangements fail during service redesign and service transitions			
Strategic Priority:		IJB Audit Committee 10.02.21			
Risk Cause	methods for consistently identifying risks	Existing Controls	Initial risk assessment		Current risk rating
			Likelihood	Impact	
			3	4	12
			Revised risk assessment		Target risk rating
Likelihood	Impact				
Risk treatment action:		Responsible Officer:			
Revise and strengthen clinical and care governance arrangements		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:	Dec-2019		Apr-20		

Risk Ref: IJBSR11		Risk Owner: Chief Executives CNES/NHSWI and Chief Officer			
Risk Event		Discontinuity in the management and leadership of the HSCP			
Strategic Priority:		IJB Audit Committee 10.02.21			
Risk Cause		Agenda Item: 6.2 Existing Controls		Initial risk assessment	
methods for consistently identifying, analysing and evaluating		- Agree recruitment pathway to address impending vacancies - Effective oversight at corporate and departmental level		Likelihood Impact	
Chief Officer vacancy Head of Service sickness absence Head of Service vacancy		Lack of continuity, direction and accountability		4 4	
				Risk treatment category: Realise the opportunity	
				Revised risk assessment	
				Likelihood Impact	
				2 4	
				Target risk rating	
				8	
Risk treatment action:		Responsible Officer:			
Agree a pathway for the replacement of the Chief Officer; support return to work for absent colleagues		Chief Officer			
Early Warning Indicators:		Delay in agreeing recruitment process Delay in advertising Recruitment challenges			
Last reviewed:		Feb-2019		Apr-20	

UPDATE 12.02.21 - REMOVAL

Risk is mitigated as Chief Officer is in post, Head of Service 1 has returned to work and vacancy of Head of Service 2 has been filled.

Risk Ref: IBSR12

Risk Owner:	Chief Executives CNES/NHSWI and Chief Officer	APPROVED - 17.12.20
Risk Event	Impact of Covid 19 Pandemic inhibits Transformational Change	

Strategic Priority: IJB Audit Committee 10.02.21

Risk Cause	Risk Effect	Agenda Item: 6.2	Initial risk assessment		Current risk rating
			Likelihood	Impact	
Covid 19	Inability to engage staff involved in Pandemic response.	Integrated Corporate Management Team to consider options / possibilities to progress	4	3	12
Patient / Client Needs	Instability of many service configuration				
NHS Emergency Footing Status	Many "normal" planning activities on hold.		Risk Treatment Category:		Realise the opportunity:
Mass Vaccination Programme	NHS/Service priorities may be re-designed / re-aligned				
Pandemic Drivers significant Change to Care Systems and Services	Remobilisation and Recovery Plan Developed				
			Revised risk assessment		Target risk rating

Risk treatment action: Chief Officer to review Strategic Plan **Responsible Officer:** Chief Officer

Last reviewed: 01.06.21