

Integration Joint Board Strategic Risk Register_June 2016

OPPORTUNITIES

Risk Code	Risk Owner	Strategic Risk Event	Current	Target
			Initial Risk Rating	Revised
IJBSR1	Chief Officer, Health and Social Care	The implementation of the strategic plan does not result in improved outcomes for service users	8	3
IJBSR2	Chief Officer, Health and Social Care	Organisational, professional and cultural barriers prevent us from integrating front-line teams	12	4
IJBSR3	Chief Officer, Health and Social Care	Locality Planning structures do not take hold or improve connections between local professionals and communities	12	6
IJBSR4	Chief Officer, Health and Social Care	The increase in demand for health and social care services is greater than anticipated	8	6
IJBSR5	Chief Finance Officer, IJB	Unanticipated service pressures create an in-year overspend	12	9
IJBSR6	Chief Officer, Health and Social Care	Change management projects fail or have unintended consequences / Service redesign is not implemented	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	6	3
IJBSR8	Chief Officer, Health and Social Care	Recruitment and retention challenges within the Partnership create service stress	16	9

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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:							
Risk Cause	Risk Effect	Existing Controls	Initial risk assessment		Current risk rating		
The cumulative impact of the key deliverables does not deliver system wide improvement —	Local and national political pressure emerges to deliver against core ambitions Services become unsustainable Increasing levels of demand	Effective monitoring Community engagement	Likelihood	Impact	8		
			2	4			
			Proximity: Current			Target risk rating	
			Likelihood	Impact	3		
		1	3	3			
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				
Early Warning Indicators: IJB Performance management dashboard			Next review due:				
Last reviewed: May-2016							

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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 Likelihood Impact		Current risk rating
Different organisational views emerge about integrated teams Organisational risks emerge to the two statutory employers Professional concerns about inter-disciplinary 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	3	4	12
			Proximity:		Current
			Revised risk assessment Likelihood Impact		Target risk rating
			1	4	4
Risk treatment action: Joint Recruitment Policy (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 Last reviewed: May-2016			Responsible Officer: HR Directors Head of Locality Services Next review due: Sept 2016		

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Risk Ref: IJBSR3		Risk Owner: Chief Officer						
Risk Event - Opportunity		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			
			Likelihood	Impact				
			- Lack of engagement	The IJB becomes isolated from communities	- Community Planning Partnership focus	3	4	12
			- Divergent interests emerge	Service reforms do not command community support	- Senior Management attendance at LPG meetings	Proximity: Current		Risk treatment category: Realise the opportunity
			- Inconsistent performance			Risk treatment category: Realise the opportunity		
- Overlap with CPP locality arrangements			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 - Development of the CPPs new focus on locality planning (SMART) - 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 Chief Officer					
Early Warning Indicators:		Poor attendance						
Last reviewed:		May-2016		Next review due: Sept 2016				

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Risk Ref: IJBSR3	Risk Owner: Chief Officer					
Risk Event - Threat 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	
<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 	<ul style="list-style-type: none"> Deterioration in service user outcomes IJB budget pressurised Political challenges 	<ul style="list-style-type: none"> Monitoring Projection 	Likelihood	Impact		
			2	4	Proximity: Current	
			Revised risk assessment		Target risk rating	
			Likelihood	Impact	2	3
Risk treatment action:			Responsible Officer:			
<ul style="list-style-type: none"> - (KD16) We will work with the third sector to increase the numbers of identified carers, offer every identified carer a carer support plan and assess their eligibility for formal support. This will tie into to the equitable provision of respite care, to ensure that carers are supported to maintain their caring role - Redesign services to meet the changing needs of our communities 			Head of Partnership Services Chief Officer			
Early Warning Indicators:	Age of population structures					

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Risk Ref: IJBSR4		Risk Owner:					
Risk Event - Threat		Unanticipated service pressures create an in-year overspend					
Strategic Priority:							
Risk Cause	Risk Effect	Existing Controls	Initial risk assessment		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 	Likelihood	Impact			
			4	3	12		
			Proximity:		Current		
			Revised risk assessment		Target risk rating		
			Likelihood	Impact			
			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:	May-2016	Next review due:					

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Risk Ref: IJBSR7		Risk Owner:				
Risk Event - Threat 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			
- 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	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:	May-2016		Next review due:			

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Risk Ref: IJBSR4		Risk Owner:			
Risk Event - Threat		Ineffective governance arrangements are in place to provide assurance that the IJB's statutory duties are being met			
Strategic Priority:					
Risk Cause	Risk Effect	Existing Controls	Initial risk assessment		Current risk rating
IJB work not sufficiently well aligned with council or health board Clinical and care governance committees not effective 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	Likelihood	Impact	
	Negative external scrutiny		2	3	6
	Patient and service user safety issues emerge		Proximity: Current		
			Revised risk assessment		Target risk rating
			Likelihood	Impact	
			1	3	3
Risk treatment action:		Responsible Officer:			
Internal Audit		Chief Auditor			
External Audit		Audit Scotland			
Early Warning Indicators:					
Last reviewed:	May-2016	Next review due: Sept 2016			

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Risk Ref: IJBSR8		Risk Owner:			
Risk Event - Opportunity 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: May-2016					Responsible Officer: Chief Officer HR Directors
					Next review due:

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Risk Ref: IJBSR4	Risk Owner:						
Risk Event - Threat	The IJB budget is insufficient to meet its statutory obligations						
Strategic Priority:							
Risk Cause	Risk Effect	Existing Controls	Initial risk assessment		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 	Likelihood	Impact			
			4	3	12		
			Proximity:		Current		
			Revised risk assessment		Target risk rating		
			Likelihood	Impact			
		3	3	9			
<p>Risk treatment action:</p> <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		Responsible Officer: Chief Finance Officer			
Last reviewed:		May-2016		Next review due:			

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Risk Ref: IJBSR6		Risk Owner: Chief Officer				
Risk Event - Opportunity		Clinical and care governance arrangements fail during service redesign and service transitions				
Strategic Priority:						
Risk Cause	Risk Effect	Existing Controls	Initial risk assessment		Current risk rating	
Insufficiently robust governance arrangements Service redesign not tested against clinical and care governance principles	- 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	- Clinical and care governance committee - Effective oversight at corporate and departmental level	Likelihood	Impact	15	
			3	5		
			Proximity: Risk treatment category:		Current Realise the opportunity	
			Revised risk assessment	Target risk rating		
			Likelihood	Impact	8	
			2	4		
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:	May-2016		Next review due:			