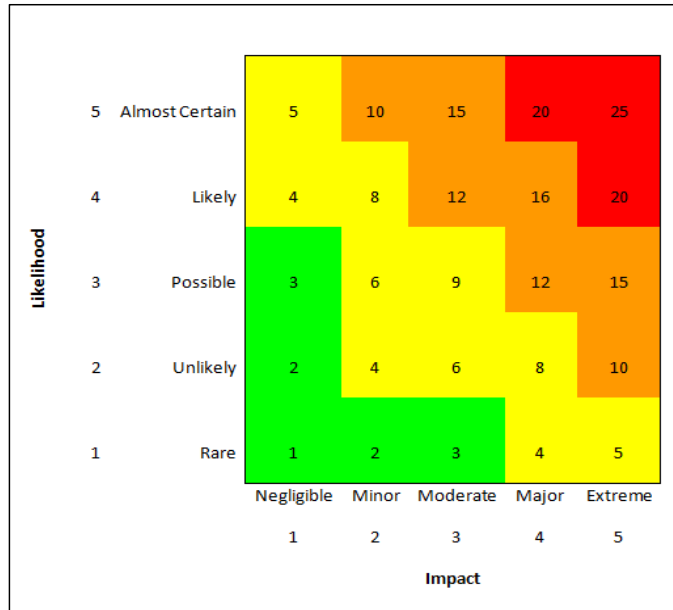


Integration Joint Board Strategic Risk Register_June 2016

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	12	12	6
IJBSR3	Chief Officer, Health and Social Care	Locality Planning structures do not take hold or improve connections between local professionals and communities	16	9	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	12	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
IJBSR9	Chief Finance Officer, IJB	The IJB budget is insufficient to meet its statutory obligations	12	12	9
IJBSR10	Chief Officer, Health and Social Care	Clinical and care governance arrangements fail during service redesign and service transitions	12	12	8



January - March 2018
 FOI Request 0
 Complaints 0

Integration Joint Board Strategic Risk Register_June 2016

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		
			2	4	8	
			Proximity: Current			
		Multi-agency planning and delivery of care	Target Likelihood	Target Impact	Target 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 Effective programme management	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: Mar-2018			Responsible Officer: Head of Partnership Services Chief Officer Next review due: June 2018			

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		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 interdisciplinary working emerge</p> <p>Cultural barriers prevent effective integration</p> <p>New GP Contract</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>	Likelihood	Impact			
			3	4	12		
			Proximity:		Current		
			Revised risk assessment		Target risk rating		
			Likelihood	Impact			
			2	3	6		
Risk treatment action:		Responsible Officer:					
<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>HR Directors</p> <p>Head of Locality Services</p>					
Last reviewed: Mar-2018		Next review due: June 2018					

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
			Likelihood	Impact	
			3	3	9
			Proximity: Risk treatment category:		Current Realise the opportunity
			Revised risk assessment		Target risk rating
Likelihood	Impact				
2	3	6			
Risk treatment action:		Responsible Officer:			
- (KD1) We will put in place locality planning arrangements to support more responsive local needs		Head of Locality Services			
- (KD10) We will support our general practices to collaborate, develop multi-professional teams and influence local service arrangements		Associate Medical Director			
- (KD13) We will work with communities and the third sector to support community ventures which tackle social isolation, including, where appropriate, supporting community transport		Head of Partnership Services			
- (KD22) We will establish a health and social care hub in every locality area, which will deliver co-located integrated services		Chief Officer			
- contribute to LPGs and to public engagement sessions about programmes of change		Chief Officer			
Early Warning Indicators:	Poor attendance; discord				
Last reviewed:	Mar-2018	Next review due: June 2018			

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	4	3	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:	Mar-2018	Next review due:	Jun-2018			

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	
			3	4	12
			Proximity: Current		
			Risk treatment category:		
			Revised risk assessment		Target risk rating
			Likelihood	Impact	
			2	3	6
Risk treatment action:			Responsible Officer:		
<ul style="list-style-type: none"> - Effective comprehensive change management projects - Contingency fund available for projects - Project management system 			Chief Officer		
Early Warning Indicators:	IJB reports				
Last reviewed:	Mar-2018		Next review due: June 2018		

Integration Joint Board Strategic Risk Register_June 2016

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:	Mar-2018	Next review due: June 2018			

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 Likelihood Impact		Current risk rating	
<ul style="list-style-type: none"> - 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	
Risk treatment action:			Responsible Officer:			
<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 			Chief Officer HR Directors			
Early Warning Indicators:						
Last reviewed:		Mar-2018	Next review due: June 2018			

Integration Joint Board Strategic Risk Register_June 2016

Risk Ref: IJBSR9	Risk Owner:					
Risk Event	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	12	
			3	4	Proximity: Current	
			Revised risk assessment		Target risk rating	
			Likelihood	Impact	3	3
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:	Mar-2018		Next review due: June 2018			