

Integration Joint Board Strategic Risk Register_June 2016

Integration Joint Board 22.06.17
Agenda Item: 10.4

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	12	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	15	9	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	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 The cumulative impact of the key deliverables does not deliver system wide improvement —	Risk Effect Local and national political pressure emerges to deliver against core ambitions Services become unsustainable Increasing levels of demand	Existing Controls Effective monitoring Community engagement Effective programme management	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:		Responsible Officer:			
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		Head of Partnership Services Chief Officer			
Last reviewed: Jun-2016		Next review due: Sept 2017			

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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:							
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 	<p>The IJB becomes isolated from communities</p> <p>Service reforms do not command community support</p>	<ul style="list-style-type: none"> - Community Planning Partnership focus - Senior Management attendance at LPG meetings 	Likelihood	Impact	12		
			3	4		Proximity: Current Risk treatment category: Realise the opportunity	
			Likelihood	Impact	Target risk rating		
			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				
Early Warning Indicators: Poor attendance; discord			Chief Officer				
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: 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	16
			Proximity: Current		Risk treatment category:
			Revised risk assessment		
Likelihood	Impact	Target risk rating			
2	3	6			
Risk treatment action:		Responsible Officer:			
- Effective comprehensive change management projects		Chief Officer			
- Contingency fund available for projects					
- Project management system					
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	
<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:		Jun-2017	Next review due: Sept. 2017			

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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
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:	Jun-2017	Next review due: Sept. 2017			