

Integration Joint Board Strategic Risk Register_June 2016

OPPORTUNITIES

Risk Code	Risk Owner	Strategic Risk Event	Current	Target
			Initial	Revised
			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	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 Strategic Priority:		The implementation of the strategic plan does not result in improved outcomes for service users					
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			Revised risk assessment	
			Likelihood	Impact	Target risk rating		
			1	3	3		
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 Early Warning Indicators: IJB Performance management dashboard Last reviewed: May-2016			Responsible Officer: Head of Partnership Services Chief Officer Next review due:				

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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: IBSR3	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		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 - Development of the CPPs new focus on locality planning (SMART) - contribute to LPGs and to public engagement sessions about programmes of change 			<ul style="list-style-type: none"> 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: 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 Likelihood Impact		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 	2	4	8		
			Proximity:		Current		
			Revised risk assessment Likelihood Impact		Target risk rating		
			2	3	6		
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					
Early Warning Indicators:		Chief Officer					
Age of population structures							

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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		
<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 	4	3	12		
			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:	May-2016	Next review due:					

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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		
<ul style="list-style-type: none"> - 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 	<ul style="list-style-type: none"> - Do not achieve the Strategic Priorities - Do not achieve reform - Services becomes unsustainable 	<ul style="list-style-type: none"> - Effective change management oversight at corporate and departmental level 	3	4	12	
			Proximity:		Current	
			Risk treatment category:			
			Revised risk assessment		Target risk rating	
			Likelihood	Impact		
			2	3	6	
Risk treatment action: <ul style="list-style-type: none"> - 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: 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 Clinical and care governance committees not effective Statutory requirements are not being met IJB Meetings are poorly attended	Capital development opportunities missed Negative external scrutiny Patient and service user safety issues emerge	- Audit sub-committee - Joint Meetings - Seminars Review of integration scheme	2	3	6
			Proximity:		Current
			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:	May-2016	Next review due: Sept 2016			

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Risk Ref: IBSR8		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: May-2016					Responsible Officer: Chief Officer HR Directors
					Next review due:

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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	3	12		
			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:	May-2016	Next review due:					

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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	5	15
			Proximity: Risk treatment category:		Current Realise the opportunity
			Revised risk assessment		Target risk rating
		Likelihood	Impact		
		2	4	8	
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:		