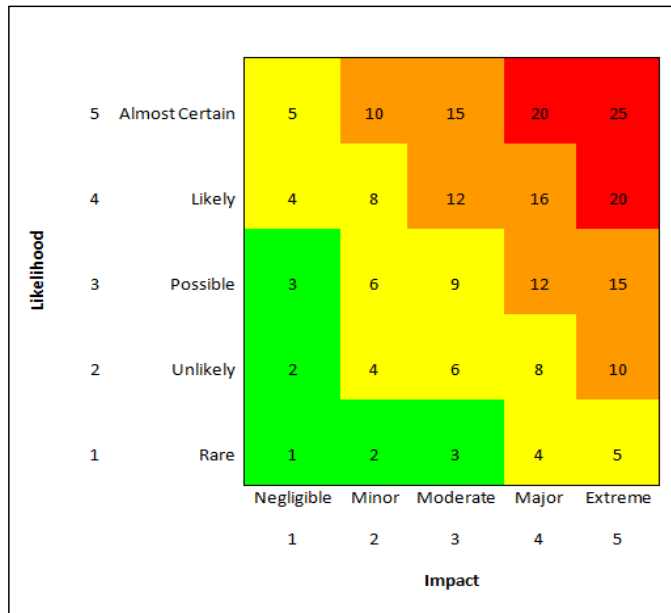


Integration Joint Board Strategic Risk Register_June 2016

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	9	6
IJBSR3	Chief Officer, Health and Social Care	Locality Planning structures do not take hold or improve connections between local professionals and communities	9	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	9	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	20	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



April - June 2018
 FOI Request 1
 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
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 Multi-agency planning and delivery of care	Likelihood	Impact	8
			2	4	
			Proximity: Current		Target
			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-2018		Next review due: Sept 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 inter-disciplinary 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	12	
			3	3		
			Proximity:		Current	
			Revised risk assessment		Target risk rating	
Likelihood	Impact	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-2018</p>			<p>Responsible Officer:</p> <p>HR Directors</p> <p>Head of Locality Services</p> <p>Next review due: Sept 2018</p>			

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
<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	
			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:		
<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 			<ul style="list-style-type: none"> 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 			<ul style="list-style-type: none"> Head of Partnership Services Chief Officer Chief Officer 		
Early Warning Indicators:	Poor attendance; discord				
Last reviewed:	Jun-2018	Next review due: Sept 2018			

Integration Joint Board Strategic Risk Register_June 2016

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			

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:	Jun-2018	Next review due:	Sep-2018			

Integration Joint Board Strategic Risk Register_June 2016

Risk Ref: IJBSR6		Risk Owner:					
Risk Event		Change management projects fail or have unintended consequences / Service Redesign not implemented					
Strategic Priority:							
Risk Cause	Risk Effect	Existing Controls	Initial risk assessment		Current risk rating		
			Likelihood	Impact			
			3	3	9		
			Proximity: Current			Risk treatment category:	
			Revised risk assessment		Target risk rating		
Likelihood	Impact						
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:	Jun-2018		Next review due: Sept. 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	Capital development opportunities missed Negative external scrutiny Patient and service user safety issues emerge	- Audit sub-committee - Joint Meetings - Seminars Review of integration scheme	1	3	3
IJB Meetings are poorly attended			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: Jun-2018		Next review due: Sept 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		Current risk rating
			Likelihood	Impact	
			5	4	20
			Proximity: Risk treatment category:		Current Realise the opportunity
			Revised risk assessment		Target risk rating
			Likelihood	Impact	
			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-2018	Next review due: Sep 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	
			3	4	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:	Jun-2018	Next review due: Sept 2018			

Integration Joint Board Strategic Risk Register_June 2016

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
Likelihood	Impact				
Proximity: Risk treatment category:		Current Realise the opportunity			
2	4	8			
Risk treatment action: Revise and strengthen clinical and care governance arrangements		Responsible Officer: 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-2018		Next review due: Sept. 2018		