

Integration Joint Board Strategic Risk Register_June 2016

Organic proc understanding of shared risk important - glossary?

STRATEGIC RISKS - AFFECT THE VIABILITY OF THE PARTNERSHIP (1) Identify (2) Assess (3) Prioritise (4) Address

RM FRAMEV risk categories (AGREED)

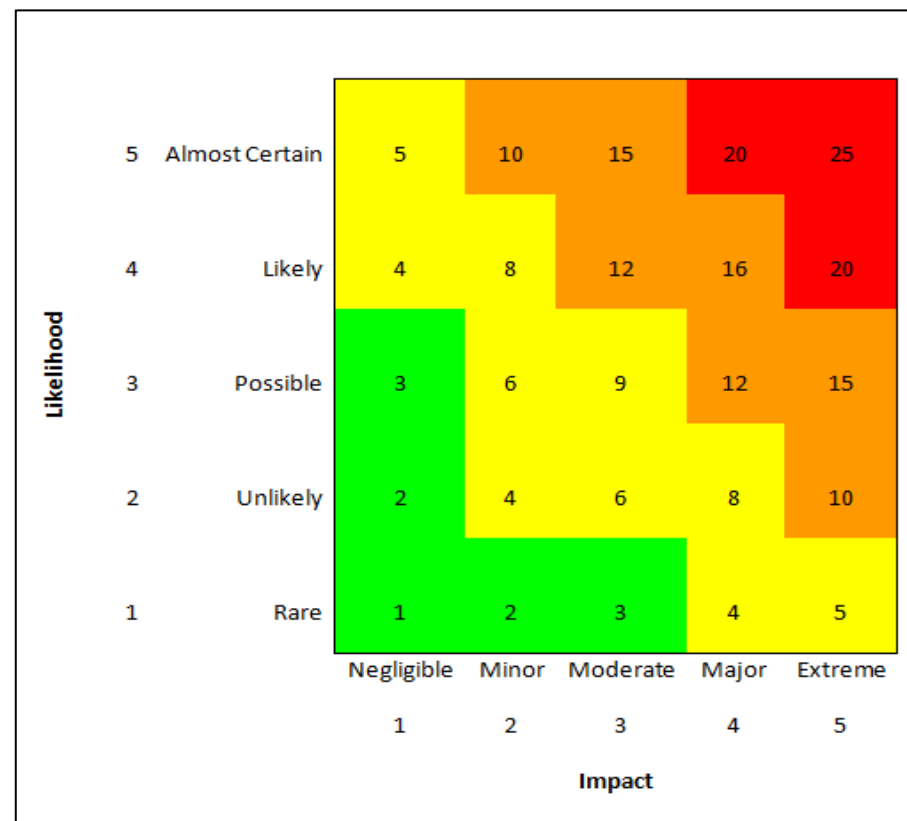
risk assessment tables

methods for consistently identifying, analysing and evaluating risk

lines of accountability for RM

clear escalation framework

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	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	16	6
IJBSR4	Chief Officer, Health and Social Care	The increase in demand for health and social care services is greater than anticipated	16	16	6
IJBSR5	Chief Finance Officer, IJB	Unanticipated service pressures create an in-year overspend	16	16	9
IJBSR6	Chief Officer, Health and Social Care	Change management projects fail or have unintended consequences / Service redesign is not implemented	16	16	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	20	20	9
IJBSR9	Chief Finance Officer, IJB	The IJB budget is insufficient to meet its statutory obligations	16	20	9
IJBSR10	Chief Officer, Health and Social Care	Clinical and care governance arrangements fail during service redesign and service transitions	12	12	8
IJBSR11	Chief Officer, Health and Social Care	Discontinuity in the management and leadership of the HSCP		16	8



Sept - February 2019

FOI Request 0
Complaints 1

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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 Multi-agency planning and delivery of care	Existing risk assessment		Current risk rating
			Likelihood	Impact	
			3	4	12
			Proximity: Current		Target risk rating
		Target	Likelihood	Impact	
		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: Dec-2019			Responsible Officer: Head of Partnership Services Chief Officer Next review due: April 2020		

Integration Joint Board Strategic Risk Register_June 2016

Risk Ref: IJBSR2	Risk Owner: Chief Officer					
Risk Event	Organisational, professional and cultural barriers prevent us from integrating front-line teams					
Strategic Priority:						
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>Integrated Management</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	Proximity: Current	
			Revised risk assessment		Target risk rating	
			Likelihood	Impact	2	3
<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: Dec-2019</p>			<p>Responsible Officer:</p> <p style="text-align: right;">HR Directors Head of Locality Services</p> <p style="text-align: right;">Next review due: April 2020</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 Review activity	The IJB becomes isolated from communities Service reforms do not command community support	<ul style="list-style-type: none"> - Community Planning Partnership focus - Senior Management attendance at LPG meetings 	Likelihood	Impact	16	
			4	4	Proximity: Current	
			Risk treatment category:		Realise the opportunity	
			Revised risk assessment	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: Sep-2019			Next review due: Dec 2019			

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	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		
			4	4	Proximity: Current	
			Revised risk assessment		Target risk rating	
			2	3	6	
Risk treatment action:			Responsible Officer:			
<ul style="list-style-type: none"> - Long term financial planning and demand assessment - Redesign services to meet the changing needs of our communities 			<ul style="list-style-type: none"> Head of Partnership Services 			
<ul style="list-style-type: none"> - Redesign services to meet the changing needs of our communities 			<ul style="list-style-type: none"> Chief Officer 			
Early Warning Indicators:	Age of population structures					

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Risk Ref: IJBSR5		Risk Owner:				
Risk Event		Unanticipated service pressures create an in-year overspend				
Strategic Priority:						
Risk Cause	Risk Effect	Existing Controls	Initial risk assessment		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	Likelihood	Impact	16	
			4	4		
			Proximity:		Current	
			Revised risk assessment		Target risk rating	
			Likelihood	Impact	9	
		3	3			
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:	Dec-2019	Next review due: April 2020				

Integration Joint Board Strategic Risk Register_June 2016

Risk Ref: IJBSR7		Risk Owner:			
Risk Event		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		1	3	3
	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:	Dec-2019	Next review due: April 2020			

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	
<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	Likelihood	Impact	20	
			5	4		
			Proximity: Risk treatment category:		Current Realise the opportunity	
			Revised risk assessment		Target risk rating	
				Likelihood	Impact	9
				3	3	
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:		Dec-2019		Next review due: April 2020		

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		
			5	4	20	
			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:	Dec-2019	Next review due: April 2020				

Integration Joint Board Strategic Risk Register_June 2016

Risk Ref: IJBSR10		Risk Owner: Chief Officer				
Risk Event		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	12	
			3	4		
			Proximity:		Current	
			Risk treatment category:		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:	<ul style="list-style-type: none"> -Resources shifted from hospitals to community-based care - Measure hospital stays - No. supported via direct payment 		<ul style="list-style-type: none"> - Level of care at home - Number of community alarms 			
Last reviewed:	Dec-2019	Apr-20				

Risk Ref: IJBSR11	Risk Owner: Chief Executives CNES/NHSWI and Chief Office			
Risk Event Strategic Priority:	Discontinuity in the management and leadership of the HSCP			
Risk Cause Chief Officer vacancy Head of Service sickness absence Head of Service vacancy	Risk Effect Lack of continuity, direction and accountability			
Risk treatment action: Agree a pathway for the replacement of the Chief Officer; support return to work for absent colleagues				
Early Warning Indicators:	<table border="1"> <tr> <td data-bbox="691 992 1433 1025">Delay in agreeing recruitment process</td> </tr> <tr> <td data-bbox="691 1025 1433 1059">Delay in advertising</td> </tr> <tr> <td data-bbox="691 1059 1433 1093">Recruitment challenges</td> </tr> </table>	Delay in agreeing recruitment process	Delay in advertising	Recruitment challenges
Delay in agreeing recruitment process				
Delay in advertising				
Recruitment challenges				
Last reviewed:	Feb-2019			

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Existing Controls	Initial risk assessment		Current risk rating
	Likelihood	Impact	
- Agree recruitment pathway to address impending vacancies - Effective oversight at corporate and departmental level	4	4	16
	Risk treatment category:		Realise the opportunity
	Revised risk assessment		Target risk rating
	Likelihood	Impact	
	2	4	8

Responsible Officer:

Chief Officer

Apr-20