

Integration Joint Board Strategic Risk Register_June 2016

Organic process understanding of shared risk important - glossary?

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

RM FRAMEWORK risk categories (AGREED)

risk assessment tables

methods for consistently identifying, analysing and evaluating risk

lines of accountability for RM

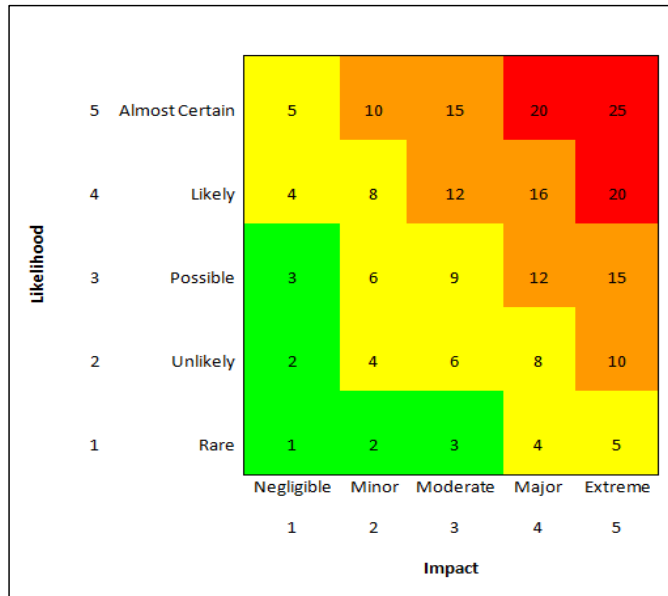
clear escalation framework

IJB Audit Committee 10.02.21

Agenda Item: 6.2

Purpose: Assurance

| 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 | 16 | 8 |
| IJBSR11 | Chief Officer, Health and Social Care | Discontinuity in the management and leadership of the HSCP | | 16 | 8 |
| IJBSR12 | Chief Officer, Health and Social Care | Impact of Covid 19 Pandemic inhibits Transformational Change - NEW SEEKING APPROVAL | 15 | | |



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|--|--------------------------------------|---|---------------|-----------------------------|--------|------------------------------|
| Risk Ref: IJBSR1 | | Risk Owner: Chief Officer | | | | |
| Risk Event | | The implementation of the strategic plan does not result in improved outcomes for service users | | | | |
| Strategic Priority: | | IJB Audit Committee 10.02.21 | | | | |
| Risk Cause | methods for consistently identifying | Agenda Item: 6.2 | | Existing risk assessment | | Current risk rating |
| | | Existing Controls | | Likelihood | Impact | |
| | | Effective monitoring Community engagement | | 3 | 4 | 12 |
| | | Effective programme management | | Proximity: Current | | |
| | | Multi-agency planning and delivery of care | | | | |
| | | Target Likelihood | Target Impact | Target risk rating | | |
| | | 2 | 3 | 6 | | |
| Risk treatment action: | | | | | | Responsible Officer: |
| Strategic commissioning methodologies are used to drive service change | | | | | | Head of Partnership Services |
| The strategic plan is considered an organic document which will change and develop over time | | | | | | Chief Officer |
| Demand reduction measures are applied (e.g. sign-posting, growing community capacity) | | | | | | |
| Early Warning Indicators: IJB Performance management dashboard | | | | | | |
| Last reviewed: | | Dec-2019 | | Next review due: April 2020 | | |

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| Risk Ref: IJBSR2 | | Risk Owner: Chief Officer | | | |
|--|--|---|-------------------------|--------|---------------------|
| Risk Event | | Organisational, professional and cultural barriers prevent us from integrating front-line teams | | | |
| Strategic Priority: | | IJB Audit Committee 10.02.21 | | | |
| Risk Cause | methods for consistently identifying | Existing Controls | Initial risk assessment | | Current risk rating |
| | | | Likelihood | Impact | |
| | | | 3 | 4 | 12 |
| | | | Proximity: Current | | |
| | | | Revised risk assessment | | Target risk rating |
| | | | Likelihood | Impact | |
| 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 New GP Contract Integrated Management | 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 Build on good practice from Barra & Vatersay Community Hub development | 2 | 3 | 6 |
| <div> <div> Risk treatment action: 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 Early Warning Indicators: Implementation of Integrated Senior Management Team Last reviewed: Dec-2019 </div> <div> Responsible Officer: Head of Locality Services Next review due: April 2020 </div> </div> | | | | | |

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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: | | IJB Audit Committee 10.02.21 | | | |
| Risk Cause | methods for consistently identifying | Existing Controls | Initial risk assessment | | Current risk rating |
| | | | Likelihood | Impact | |
| | | | 4 | 4 | 16 |
| | | | Proximity: Risk treatment category: | | Current Realise the opportunity |
| <ul style="list-style-type: none"> - Lack of engagement - Divergent interests emerge - Inconsistent performance - Overlap with CPP locality arrangements | <ul style="list-style-type: none"> 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 | Revised risk assessment | | Target risk rating |
| | | | Likelihood | Impact | |
| Review activity | | | 2 | 3 | 6 |
| <div> <div> Risk treatment action: <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 - contribute to LPGs and to public engagement sessions about programmes of change </div> <div> Responsible Officer: <ul style="list-style-type: none"> Associate Medical Director Head of Partnership Services Chief Officer Chief Officer </div> </div> | | | | | |
| Early Warning Indicators: | | Poor attendance; discord | | | |
| Last reviewed: | | Sep-2019 | | Next review due: Dec 2019 | |

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|---|--------------------------------------|--|------------------------------|--------|---------------------|
| Risk Ref: IJBSR4 | | Risk Owner: Chief Officer | | | |
| Risk Event | | The increase in demand for health and social care services is greater than anticipated | | | |
| Strategic Priority: | | | | | |
| IJB Audit Committee 10.02.21 | | | | | |
| Risk Cause | methods for consistently identifying | Existing Controls | Initial risk assessment | | Current risk rating |
| | | | Likelihood | Impact | |
| | | | 4 | 4 | 16 |
| | | | Proximity: | | Current |
| | | | Revised risk assessment | | Target risk rating |
| Likelihood | Impact | | | | |
| | | 2 | 3 | 6 | |
| Risk treatment action: | | | Responsible Officer: | | |
| | | | Head of Partnership Services | | |
| - Long term financial planning and demand assessment | | | | | |
| - Redesign services to meet the changing needs of our communities | | | 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: | | IJB Audit Committee 10.02.21 | | | |
| Risk Cause | methods for consistently identifying | Existing Controls | Initial risk assessment | | Current risk rating |
| | | | Likelihood | Impact | |
| | | | 4 | 4 | 16 |
| | | | Proximity: Current | | |
| | | | Revised risk assessment | | Target risk rating |
| | | | Likelihood | Impact | |
| - Lack of financial control - Increased demand for services - Meeting the cost of hospital based care Efficiencies not realised - Difficulty working within budget (especially hospital) -Covid-19 | Service reform undermined Vacancy freeze Deterioration in service user outcomes IJB relationship with parent bodies becomes challenging Prevention and control of Infection requirements reduce operational capacity | Management Information Financial Controls | 3 | 3 | 9 |
| Risk treatment action: - 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 | |

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| Risk Ref: IJBSR6 | | Risk Owner: | | | |
|--|--|---|--|--------|---------------------|
| Risk Event | | Change management projects fail or have unintended consequences / Service Redesign not implemented | | | |
| Strategic Priority: | | IJB Audit Committee 10.02.21 | | | |
| Risk Cause | methods for consistently identifying | Existing Controls | Initial risk assessment | | Current risk rating |
| | | | Likelihood | Impact | |
| | | | 4 | 4 | 16 |
| | | | Proximity: Current Risk treatment category: | | |
| | | | Revised risk assessment | | Target 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 | 2 | 3 | 6 |
| <div> <div> Risk treatment action: <ul style="list-style-type: none"> - Effective comprehensive change management projects - Contingency fund available for projects - Project management system </div> <div> Responsible Officer: Chief Officer </div> </div> <div> Early Warning Indicators: IJB reports </div> <div> Last reviewed: Dec-2019 <div>Next review due: April 2020</div> </div> | | | | | |

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| 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: | | IJB Audit Committee 10.02.21 | | | |
| Risk Cause | methods for consistently identifying | Existing Controls | Initial risk assessment | | Current risk rating |
| | | | Likelihood | Impact | |
| | | | 1 | 3 | 3 |
| | | | Proximity: Current | | |
| | | | Revised risk assessment | | Target risk rating |
| | | | Likelihood | Impact | |
| 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 | 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 | |

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|--|--------------------------------------|---|--|--------|------------------------------------|
| Risk Ref: IJBSR8 | | Risk Owner: | | | |
| Risk Event | | Recruitment and retention challenges within the Partnership create service stress | | | |
| Strategic Priority: | | IJB Audit Committee 10.02.21 | | | |
| Risk Cause | methods for consistently identifying | 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 | | | |
| <div><div>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</div><div>Responsible Officer: HR Directors</div></div> <div>Early Warning Indicators:</div> <div>Last reviewed:Dec-2019Next review due: April 2020</div> | | | | | |

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| Risk Ref: IJBSR9 | | Risk Owner: | | | |
|--|--|---|-------------------------|--------|---------------------|
| Risk Event | | The IJB budget is insufficient to meet its statutory obligations | | | |
| Strategic Priority: | | IJB Audit Committee 10.02.21 | | | |
| Risk Cause | methods for consistently identifying | Existing Controls | Initial risk assessment | | Current risk rating |
| | | | Likelihood | Impact | |
| | | | 5 | 4 | 20 |
| | | | Proximity: Current | | |
| | | | Revised risk assessment | | Target risk rating |
| | | | Likelihood | Impact | |
| - Lack of financial control - Increased demand for services - Public sector spending constraints Efficiencies not realised - Difficulty working within budget - impact of Covid-19 | Service reform undermined Vacancy freeze Deterioration in service user outcomes IJB relationship with parent bodies becomes challenging | Management Information Financial Controls | 3 | 3 | 9 |
| Risk treatment action: - Workforce planning (cutting sickness absence, deleting vacant posts, combining management roles) - Identify efficiencies that can be delivered by integrating services - Identify efficiencies that can be 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: | | Responsible Officer: Chief Finance Officer | | | |
| Last reviewed: | | Dec-2019 Next review due: April 2020 | | | |

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|---|---|--|---|--------|------------------------------------|--|
| Risk Ref: IJBSR10 | | Risk Owner: Chief Officer | | | | |
| Risk Event | | Clinical and care governance arrangements fail during service redesign and service transitions | | | | |
| Strategic Priority: | | IJB Audit Committee 10.02.21 | | | | |
| Risk Cause | methods for consistently identifying | Existing Controls | Initial risk assessment | | Current risk rating | |
| | | | Likelihood | Impact | | |
| | | | 3 | 4 | 12 | |
| | | | 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: | Dec-2019 | | Apr-20 | | | |

| | | | | | | | | | | | |
|--|--|---|--|--|--|---|--|-------------------------|--|----|--|
| Risk Ref: IJBSR11 | | Risk Owner: Chief Executives CNES/NHSWI and Chief Officer | | | | | | | | | |
| Risk Event | | Discontinuity in the management and leadership of the HSCP | | | | | | | | | |
| Strategic Priority: | | IJB Audit Committee 10.02.21 | | | | | | | | | |
| Risk Cause | | methods for consistently identifying, analysing and evaluating | | Agenda Item: 6.2 | | Initial risk assessment | | Current risk rating | | | |
| Chief Officer vacancy Head of Service sickness absence Head of Service vacancy | | Lack of continuity, direction and accountability | | Existing Controls - Agree recruitment pathway to address impending vacancies - Effective oversight at corporate and departmental level | | Likelihood 4 | | Impact 4 | | 16 | |
| | | | | | | Risk treatment category: | | Realise the opportunity | | | |
| | | | | | | Revised risk assessment | | Target risk rating | | | |
| | | | | | | Likelihood 2 | | Impact 4 | | 8 | |
| Risk treatment action: | | | | | | | | | | | |
| Agree a pathway for the replacement of the Chief Officer; support return to work for absent colleagues | | | | | | Responsible Officer: Chief Officer | | | | | |
| Early Warning Indicators: | | Delay in agreeing recruitment process Delay in advertising Recruitment challenges | | | | | | | | | |
| Last reviewed: | | Feb-2019 | | Apr-20 | | | | | | | |

| | | | | | | |
|--|--|--|--|---|--------|---------------------|
| Risk Ref: IJBSR12 | | | | | | |
| Risk Owner: | | Chief Executives CNES/NHSWI and Chief Officer | | APPROVED - 17.12.20 | | |
| Risk Event | | Impact of Covid 19 Pandemic inhibits Transformational Change | | | | |
| Strategic Priority: IJB Audit Committee 10.02.21 | | | | | | |
| Risk Cause | | Risk Effect | Agenda Item: 6.2 | Initial risk assessment | | Current risk rating |
| | | | | Likelihood | Impact | |
| Covid 19 | | Inability to engage staff involved in Pandemic response. | Integrated Corporate Management Team to consider options / possibilities to progress | 5 | 3 | 15 |
| Patient / Client Needs | | Instability of many service configuration | | | | |
| NHS Emergency Footing Status | | Many "normal" planning activities on hold. | | Risk Treatment Category: Realise the opportunity: | | |
| Mass Vaccination Programme | | NHS/Service priorities may be re-designed / re-aligned | | | | |
| Pandemic Drivers significant Change to Care Systems and Services | | | | Revised risk assessment | | |
| | | | | Likelihood | Impact | Target risk rating |
| | | | | | | |
| Risk treatment action: When in post, Chief Officer to review Strategic Plan Responsible Officer: Chief Officer | | | | | | |
| Last reviewed: Presented for approval - new risk 17.12.20 | | | | | | |