

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

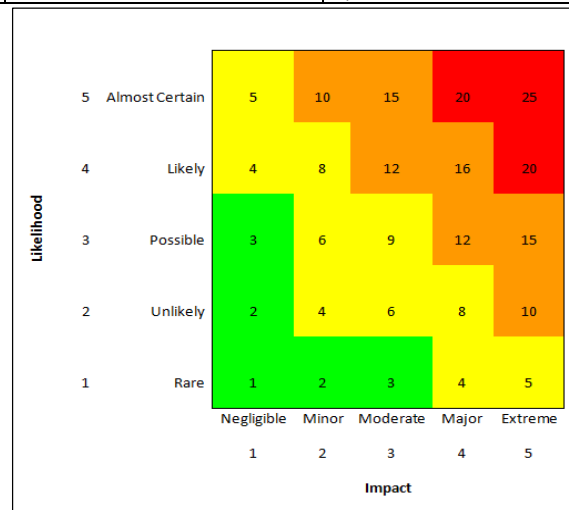
lines of accountability for RM

clear escalation framework

IJB Audit Committee 12.01.2022

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 (note pandemic footing)	12	9	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	16	12	6
IJBSR4	Chief Officer, Health and Social Care	The increase in demand for health and social care services is greater than anticipated	16	12	6
IJBSR5	Chief Finance Officer, IJB	Unanticipated service pressures create an in-year overspend	16	12	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	20	16	9
IJBSR9	Chief Finance Officer, IJB	The IJB budget is insufficient to meet its statutory obligations	16	12	9
IJBSR10	Chief Officer, Health and Social Care	Clinical and care governance arrangements fail during service redesign and service transitions	16	12	8
IJBSR11	Chief Officer, Health and Social Care	Impact of Covid 19 Pandemic inhibits Transformational Change	12	12	6



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Risk Ref: IJBSR1		Risk Owner: Chief Officer			
Risk Event		The implementation of the revised strategic plan does not result in improved outcomes for service users (note pandemic response)			
Strategic Priority:		IJB Audit Committee 08.12.21			
Risk Cause		methods for consistently identifying		Agenda Item:	
The cumulative impact of the key deliverables does not deliver system wide improvement –	Local and national political policy against core ambitions Services become unsustainable Increasing levels of demand	Existing Controls		Existing risk assessment	
		Effective monitoring Community engagement Focused programme management against key deliverables		Likelihood Impact	
				3 3	
		Multi-agency planning and delivery of care		Proximity: Current	
				Target Likelihood Impact Target risk rating	
				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. develop Citizen Networks)					
Early Warning Indicators: IJB Performance management dashboard					
Responsible Officer:					
Head of Partnership Services					
Chief Officer					
Last reviewed:		Dec-2021		Next review due: Mar 2022	

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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 08.12.21			
Risk Cause	methods for consistently identifying	Existing Controls	Initial risk assessment		Current risk rating
			Likelihood	Impact	
			3	3	9
			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	Patient experience becomes sub-optimal Full integration is not achieved and teams are disjointed Communication between professionals becomes sub-optimal	Corporate working and executive leadership Action based on HR and legal advice Effective engagement with staff and OD work undertaken across both organisations	2	3	6
Professional concerns about inter-disciplinary working emerge Cultural barriers prevent effective integration New GP Contract	Management cannot be streamlined	HR Forum brings together management and staff side interests Build on good practice that has emerged due to changes in practice through COVID-19			
Integrated Management					
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			Responsible Officer: Head of Locality Services		
Last reviewed: Dec-2021			Next review due: Mar 2022		

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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 08.12.21				
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					
Review activity			2	3	6	
Risk treatment action: - (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 Responsible Officer: - Associate Medical Director - Head of Partnership Services - Chief Officer - Chief Officer						
Early Warning Indicators:		Poor attendance; discord				
Last reviewed:		Dec-2021		Next review due: Mar 2022		

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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 08.12.21					
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				
		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 08.12.21			
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	
- Lack of financial control	Service reform undermined	Management Information Financial Controls	3	3	9
- Increased demand for services	Deterioration in service user outcomes				
- Meeting the cost of hospital based care	IJB relationship with parent bodies becomes challenging				
Efficiencies not realised	Prevention and control of Infection requirements reduce operational capacity				
- Difficulty working within budget (especially hospital)					
-Covid-19					
Risk treatment action: - Workforce planning (reducing sickness absence, review vacant posts, optimising 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)					
Early Warning Indicators:			Monthly monitoring		
Last reviewed:			Dec-2021		
			Next review due: Mar 2022		

Responsible Officer:

Chief Finance Officer

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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 08.12.21			
Risk Cause	methods for consistently identifying	Agenda Item: 6.2 Existing Controls	Initial risk assessment		Current risk rating
			Likelihood	Impact	
			3	4	12
			Proximity: Current Risk treatment category:		
			Revised risk assessment		Target risk rating
Likelihood	Impact				
- Lack of capacity - Lack of clear direction - Scope creep - Cultural conflicts - Barriers to change - Unclear targets/timescales - Unintended consequences not considered in advance	- Do not achieve the Strategic Priorities - Do not achieve reform - Services becomes unsustainable	- Effective change management oversight at corporate and departmental level			
- Lack of coordination		Develop change management capacity	2	3	6
Risk treatment action:		Responsible Officer:			
- Effective comprehensive change management projects - Contingency fund available for projects - Project management system		Chief Officer			
Early Warning Indicators:	IJB reports				
Last reviewed:	Dec-2021		Next review due: Mar 2022		

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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 08.12.21			
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: Internal Audit External Audit Early Warning Indicators: Last reviewed: Dec-2021			Responsible Officer: Chief Auditor Audit Scotland Next review due: Mar 2022		

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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 08.12.21			
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
			Revised risk assessment		Target risk rating
			Likelihood	Impact	
- National workforce shortages - Remote and rural employment - Professional development - Remuneration - Key workforce policies - impact of Covid-19	- Stress loaded onto workforce - Services are required to operate without full capacity creating system pressures - Key vacancies erodes core service resilience - Reduced staff capacity to meet contractual commitments - Develop new sustainable workforce model	- Joint labour market initiatives	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: Dec-2021 Next review due: Mar 2022					
			Responsible Officer:		
			HR Directors		

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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 08.12.21				
Risk Cause		methods for consistently identifying	Existing Controls	Initial risk assessment		Current risk rating
				Likelihood	Impact	
- Lack of financial control		Collaborative Service Transformation	Management Information Financial Controls	3	4	12
- Increased demand for services		Deterioration in service user outcomes		Proximity: Current		
- Public sector spending constraints		IJB positive relationship with parent bodies				
Efficiencies not realised						
- Difficulty working within budget				Revised risk assessment		Target risk rating
- impact of Covid-19				Likelihood	Impact	
				3	3	9
Risk treatment action:						
- Workforce planning (reducing sickness absence, review vacant posts, optimise 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)						
Early Warning Indicators:		Monthly monitoring				
Last reviewed:		Dec-2021		Next review due: Mar 2022		

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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 08.12.21						
Risk Cause	methods for consistently identifying	Agenda Item: 6.2 Existing Controls	Initial risk assessment		Current risk rating			
			Likelihood	Impact				
			Insufficiently robust governance arrangements	- People's ability to exercise choice and control over the lives they lead is diminished	- Clinical and care governance committee	3	4	12
			Service redesign not tested against clinical and care governance principles	People suffer avoidable harm or ill treatment	- Effective oversight at corporate and departmental level	Proximity: Risk treatment category:		Current Realise the opportunity
			Failure to implement effective infection prevention and control measures and health and safety requirements	- Increase in unplanned or emergency admission to hospital		Revised risk assessment		Target risk rating
	Development of Expert Generalist in Priamry Care & associated review of unplanned care		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-2021		Next review due: Mar 2022					

Risk Ref: IJBSR12						
Risk Owner:		Chief Executives CNES/NHSWI and Chief Officer		APPROVED - 01.12.21		
Risk Event		Impact of Covid 19 Pandemic inhibits Transformational Change				
Strategic Priority:				IJB Audit Committee 08.12.21		
Risk Cause		Risk Effect		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	4	3	12
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		Remobilisation and Recovery Plan Developed		Revised risk assessment		
				Likelihood	Impact	Target risk rating
Risk treatment action:		Chief Officer to review Strategic Plan		Responsible Officer:		Chief Officer
Last reviewed:		01.12.21				