

## IJB Risk Register

### Issues




#### IJB.IR.01 Financial Stability




Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
IJB.IR.01	<b>Risk cause</b> Level of resourcing not matching demand.  <b>Risk event</b> Demand exceeding resource allocation.  <b>Risk effect</b> Significant overspend or inability to meet demand requirements.	Chief Finance Officer	Chief Finance Officer (CFO) appointed to IJB Appropriate monitoring of budget position Action plans to respond to specific financial challenge	2	2	

Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
IJB.IR.01-A4	Budget shortfall	<b>Q4 17/18:</b> Final position not yet confirmed and probably close to b/e but in principle NHSIL to support overspend in Health and MLC to support overspend in social care. Financial Plan for 2018/19 continues to be developed.	Joint Director Midlothian Health and Social Care Partnership	31-Mar-2018	


## Risks

### IJB.RR.01 Balancing budget in future years


Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
IJB.RR.01	<p><b>Risk cause</b> Inadequate resources to meet demand in the manner in which services are currently delivered.</p> <p><b>Risk event</b> Inability to meet demand within existing resources.</p> <p><b>Risk effect</b> Overspends due to excessive demand for services, quality failures, and cuts in other services. The Community Health Partnership will have made financial commitments when in operation some of which will extend in to the period covered by the IJB and will require to be honoured.</p>	Chief Finance Officer	<p>Chief Finance Officer appointed to IJB, this post is responsible for the governance, appropriate management of finance and financial administration of the IJB.</p> <p>Early Warning Indicators from NHS Lothian and Midlothian Council.</p> <p>Strong budget control systems in place in NHS Lothian and Midlothian Council.</p> <p>Financial Strategy developed, <i>presented to the IJB (January 2018 meeting) and agreed. Multi-year Financial Plan being developed, outline plan agreed by IJB and further reports to be taken back to the IJB in September 2018.</i></p>	3	4	

Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
IJB.RR.01.A2	Multi year financial plan	<b>Q4 17/18:</b> Multi-year financial plan presented to the IJB at its January 2018 meeting, further revision presented to the IJB at its February 2018 meeting.	Joint Director Midlothian Health and Social Care Partnership	31-Mar-2018	
IJB.RR.01.A3	Realistic Care, Realistic expectations	<b>Q4 17/18:</b> Plan being implemented to ensure spend consistent with available resource.	Joint Director Midlothian Health and Social Care Partnership	31-Mar-2018	
IJB.RR.02.A2	Learning Disability and Mental Health	<b>Q4 17/18:</b> The inherited financial commitments in Learning Disability and Mental Health have been identified and the IJB will indicate to NHSL what it is able to invest in these areas.	Chief Finance Officer	31-Mar-2018	

### IJB.RR.03 Demographic Changes



Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
IJB.RR.03	<p><b>Risk cause</b> Increasing demands on services as a result of ageing population, and increasing numbers and complexity of need of children moving into Adult Services.</p> <p><b>Risk event</b> Inability to meet demand within existing resources.</p> <p><b>Risk effect</b> Demands made on Social Care resource budget exceed available budget. Capacity to maintain and develop preventative services is put at risk.</p>	Chief Officer	<p>Annual review of joint needs assessment so that the allocation of resources can be reviewed and amended.</p> <p>Continual process of service redesign to ensure people access services quickly, and their recovery is supported effectively.</p> <p>Realistic Care, Realistic Expectations programme Board.</p> <p>Business Transformation Board - Social Care Project.</p> <p>Demographic profiling to ensure forward planning reflects the demographic profile of the IJB.</p> <p>Captured in financial plan</p>	5	3	

### IJB.RR.04 Governance


Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
IJB.RR.04	<p><b>Risk cause</b> Complexity of governance arrangements for the three bodies - NHS Lothian , Midlothian Council and the IJB - having to work together</p> <p><b>Risk event</b> Issues arise which lead to uncertainty about decision making authority.</p> <p><b>Risk effect</b> The IJB's governance systems are unable to operate effectively.</p>	Chief Officer	<p>Performance Reports</p> <p>Use of Audit to Monitor effectiveness of Internal controls</p> <p>Code of Corporate Governance</p> <p>Integration Scheme</p> <p>Regular formal and informal meetings with partners.</p>	4	4	



## IJB.RR.07 Managing Change

Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
IJB.RR.07	<p><b>Risk cause</b> Information on changes to service released before service user or employees consultation strategy developed.</p> <p><b>Risk event</b> There is the potential for information to be released on draft schemes or proposals for changes to service delivery.</p> <p><b>Risk effect</b> This could have a negative impact on Service Users and Employees by creating unnecessary concern regarding potential changes which have not been fully considered or consulted on.</p>	Joint Director Midlothian Health and Social Care Partnership	<p>Strategic delivery plan.</p> <p>Directions made and monitored.</p> <p>Performance reporting against delivery of strategic plan and other key indicators.</p> <p>There is an Organisational Development Officer in post, delivering an OD programme alongside a number of Lothian-wide initiatives.</p>	3	4	

Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
IJB.RR.07.A1	Communications Strategy	<b>Q4 17/18:</b> Communication plans are being developed and implemented across the service.	Joint Director Midlothian Health and Social Care Partnership	31-Mar-2018	
IJB.RR.07.A2	Organisational Development Programme	<b>Q4 17/18:</b> An organisation development programme is being delivered and a long term workforce being developed.	Joint Director Midlothian Health and Social Care Partnership	31-Mar-2018	

## IJB.RR.08 Management Information

Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
IJB.RR.08	<p><b>Risk cause</b> The two main software systems used within the Council (Framework-i) and NHS Lothian (Trak) to support the delivery of adult and social care do not integrate at present.</p> <p><b>Risk event</b> These systems are used to drive performance information.</p> <p><b>Risk effect</b> The lack of integration of the information between the systems reduces the potential for holistic reporting.</p>	Joint Director Midlothian Health and Social Care Partnership	<p>The Interagency Information Exchange allows direct and up to date access to other professional's information.</p> <p>The use of Anticipatory Care Plans will be rolled out so the information is available at times of crisis/deterioration.</p> <p>Data sharing agreements</p>	5	3	


Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
IJB.RR.08.A1	Interagency Information Exchange	<b>17/18:</b> Off Target Decision taken to upgrade to Mosaic v5.15 as now available. Significant issues encountered during install on new test server. Testing to commence in April.	Mike O'Rourke	31-Mar-2018	
IJB.RR.08.A2	Performance Information	<b>Q4 17/18:</b> Work continues on the development of a comprehensive performance framework for the IJB. Reports presented to the IJB. Regular reports presented to the IJB.	Joint Director Midlothian Health and Social Care Partnership	31-Jul-2018	


### IJB.RR.09 Leadership Capacity - IJB

Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
IJB.RR.09	<p><b>Risk cause</b> Changing membership of IJB creates challenges to ensure all members have a clear understanding of the Integration of Health and Social Care.</p> <p><b>Risk event</b> New members may have a knowledge gap around the work of the IJB, the planned outcomes and measures to drive forward improvement.</p> <p><b>Risk effect</b> Ability of new members to make a positive contribution to the IJB.</p>	Chief Officer	<p>National and local Induction programs in place.</p> <p>Membership changes incrementally.</p> <p>User, Carer and Third Sector members receive pre-meeting support.</p> <p>Induction/development programme in place.</p> <p>Leadership Development training in place.</p> <p>The IJB has changed members, chair and CO in the last year yet continues to function well</p>	3	3	


### IJB.RR.10 Workforce Capacity Including Recruitment & Retention of Health and Social Care Staff


Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
IJB.RR.10	<p><b>Risk cause</b> Potential future shortage of Health Visitors, District Nurses, GPs and Social Care staff.</p> <p><b>Risk event</b> Insufficient numbers of qualified people to deliver services based on current models.</p> <p><b>Risk effect</b> Negative impact on service delivery where services require Health Visitors and GPs.</p>	Joint Director Midlothian Health and Social Care Partnership	<p>National program of training for GPS and Health Visitors.</p> <p>Living Wage commitment to address low paid positions.</p> <p>Local Workforce Plan being developed which will include the development of new roles and a changing skill mix.</p> <p>Health and Social Care Academy being established.</p> <p>SVQ Assessment Centre Established.</p>	3	4	

Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
IJB.RR.10.A1	Workforce Planning	<b>Q4 17/18:</b> Workforce planning report going to IJB in May.	Joint Director Midlothian Health and Social Care Partnership	31-Mar-2018	


SRP.RA.04	Scottish Social Service Council Care at Home	<b>Q4 17/18:</b> The process for registration of Care at Home staff underway. This will be a significant step towards professionalising the workforce.	Joint Director Midlothian Health and Social Care Partnership	31-Dec-2019	
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### IJB.RR.11 Working With Other Organisations (Partnership)


Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
IJB.RR.11	<p><b>Risk cause</b> The establishment of the Integrated Joint Board (IJB) may reduce the efforts required to work with other Community Planning partners.</p> <p><b>Risk event</b> THE HSCP focusses too narrowly on its immediate responsibilities to deliver direct services in health and care, and neglects the task of building long term sustainability.</p> <p><b>Risk effect</b> The HSCP does not achieve its long term objectives.</p>	Chief Officer	<p>The IJB Chair and Chief Officer are members of the Community Planning Board.</p> <p>Health and Social Care are actively in Area Targeting Work.</p> <p>Inequality is the key objective of the Community Planning Partnership.</p> <p>Other agencies - e.g. Housing; Libraries; Fire and Rescue; Ambulance - are actively involved in joint planning groups.</p>	3	4	

Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
IJB.RR.11-A1	Community Plan	<b>Q4 17/18:</b> Development of plans for 2018-19 underway.	Joint Director Midlothian Health and Social Care Partnership	31-Mar-2018	

## IJB.RR.14 Business Continuity

Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
IJB.RR.14	<p><b>Risk cause</b> Lack of clarity about Business Continuity arrangements.</p> <p><b>Risk event</b> The Health &amp; Social Care Partnership is unable to implement proposals in the absence of an effective governing body.</p> <p><b>Risk effect</b> The IJB fails to make good progress with the implementation of its Strategic Plan.</p>	Chief Officer	<p>Integration Scheme - standing orders and a code of governance in place.</p> <p>Substitute IJB members in place by NHS Lothian, Midlothian Council, Users, Carers and Third Sector.</p> <p>The Council and NHS have their own Business Continuity Plans and arrangements in place to monitor third party suppliers. (Check local code of governance)</p>	3	4	

## IJB.RR.18 Use of Acute Hospital Beds

Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
IJB.RR.18	<p><b>Risk cause</b> Midlothian has too high a usage of hospital beds for people who are fit to be discharged or who did not need to be admitted in the first place.</p> <p><b>Risk event</b> Acute hospitals are unable to function effectively and efficiently because of the number of people occupying beds who do not require hospital care.</p> <p><b>Risk effect</b> The difficulty of shifting resources to community based services will continue, and people who need hospital care will experience delays.</p> <p>The acute hospital system has to commission services from private providers to meet national targets.</p>	Chief Officer	<p>On-going monitoring of quality</p> <p>IJB set Targets on use of Acute Beds.</p> <p>Directions set.</p> <p>Patient pathway being improved including the establishment of a local discharge 'hub'</p>	4	5	



## Opportunities

### IJB.OP.01 Strategic Plan

Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
IJB.OP.01	The creation of a Strategic Plan provides the opportunity to describe the future shape of health and care services.	Chief Officer	<p>The Strategic Plan sets out the direction of travel for all health and care services and identifies how available funding will be used to enable some of these changes to take place.</p> <p>New funding such as social care monies and Primary Care Transformation funds will enable some of the aspirational plans to be put into effect.</p> <p>Direction provides clarity and specificity about actions flowing from the Strategic Plan.</p> <p>Health and Care Transformation Board has been established to ensure a SMART (Specific, Measurable, Achievable, Realistic, Timely) approach to implementation of the Strategic Plan.</p>			

Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
IJB.OP.01.A4	New Health and Care Delivery Plan	<b>Q4 17/18:</b> New Health and Care Delivery Plan for 2017/18 approved and being implemented in 2017/18. Delivery plan for 18/19 being developed, being discussed at an IJB workshop in April 2018.	Joint Director Midlothian Health and Social Care Partnership	31-Mar-2018	