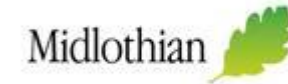


IJB Strategic Risk Profile

Quarter 2 2021/2022





Issues


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>Risk cause 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>Risk event 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>Risk effect The difficulty of shifting resources to community based services will continue, and people who need hospital care will experience delays. 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 flow 'hub'</p>	4	5	

Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
IJB.RA.18.1	Project to examine the use of acute hospital beds	Q1 21/22: Services to support people who have a long term condition to stay well at home continued to operate in order to support as many people as possible to avoid hospital visits. Additional reviews and redesign of Intermediate Care and Care at Home Services. The introduction of the Single Point of Access in December has had a positive impact on people delayed in hospital unnecessarily.	Chief Officer	30-Dec-2021	


		Representatives of Midlothian Health and Social Care Partnership continue to participate in the RIE Hospital Management Team and the unscheduled care board, along with more specific forums such as the Redesign of the Front Door and Winter Planning. Q2 21/22: This work is ongoing, work progresses with the review of Intermediate Care and Care at Home provision.			
IJB.RA.18.2	Increased investment in services to reduce hospital admission and stay.	Q1 21/22: We are currently preparing our winter plans for 21/22 with a strong focus on investing in community services to reduce hospital admissions and delayed discharges. Q2 21/22: The Winter Plan is in place and has been presented at IJB Board. Substantial investment has been made in winter specific test of change projects to assist with the reduction of presentation and admission to acute. These will be reviewed and assessed for impact as winter progresses.	NHS Lothian	30-Dec-2021	
IJB.RA.18.3	Scheduling of unscheduled care	Q1 21/22: Representatives of Midlothian Health and Social Care Partnership continue to participate in the RIE Hospital Management Team and the unscheduled care board, along with more specific forums such as the Redesign of the Front Door and Winter Planning. Work continues to develop the Home First model in Midlothian. Q2 21/22: This work is has continued this quarter.	Head of Older People and Social Care	30-Dec-2021	


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>Risk cause Potential future ability to recruit sufficient staff.</p> <p>Risk event Insufficient numbers of qualified people to deliver services based on current models.</p> <p>COVID-19 pandemic – increasing demand for a service and risks around staff absence.</p> <p>Risk effect Negative impact on service delivery where services require GPs and care at home staff.</p>	Head of Adult and Social Care; 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>Service Specific Workforce Plan being developed which will include the development of new roles and a changing skill mix.</p> <p>SVQ Assessment Centre Established.</p> <p>Workforce Planning</p> <p>Care at Home Strategy</p>	3	4	

Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
IJB.RA.10.4	Increase recruitment to care at home	Q1 21/22: Efforts continue to increase recruitment within care at home services. Close working with external providers, Midlothian Council and NHSL to monitor workforce capacity. Q2 21/22: Funding for an additional 20 WTE posts was approved by the IJB Board to support Care at Home services with additional resource support from NHSL to further reinforce our services. We continue to monitor workforce capacity during winter.	Head of Older People and Social Care	30-Dec-2021	
IJB.RA.10.6	Care at Home	Q1 21/22: Recommissioning work in progress. Q2 21/22: The commissioning of Care at Home contracts is now complete,	Head of Older People and Primary Care	30-Sept-2021	


IJB.RR.11 Care homes


Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
IJB.RR.11	<p>Risk cause Increased demand and changed requirements around care home delivery.</p> <p>Risk event COVID-19 pandemic – increasing demand for a service and risks around staff absence.</p> <p>Risk effect Capacity within care homes putting delivery of directions and strategic plan at risk. Puts at risk quality of care.</p>	Head of Adult and Social Care; Joint Director Midlothian Health and Social Care Partnership	<p>Care Inspectorate inspections of Care homes</p> <p>Daily report from Care Homes to Health and Social Care partnership to form daily SITREP.</p> <p>Weekly supported visit by care home support team.</p> <p>Weekly return to Scottish Government.</p> <p>Internal audit of Care Homes</p> <p>Care home strategic overview group, NHS Lothian.</p> <p>Care Home Assurance Group, Midlothian.</p>	4	5	





Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
IJB.RA.11.1	Three weekly care home staff testing for COVID.	Q1 21/22: All Midlothian care homes have been migrated on the new regional NSS testing portal in line with guidance from Scottish Government. This continues weekly	Head of Primary Care and Older People	30-Dec-2021	

		PCR tests along side twice weekly lateral flow testing. Care Homes continue to be monitored through Mid HSCP and NHSL Care Home Assurance Groups. Q2 21/22: All care homes continue to routinely PCR test and twice weekly LFT test.			
IJB.RA.11.2	Enhanced Care Home support team	Q1 21/22: Clinical and care support continues for care home staff to support infection control and support wellbeing of residents. Q2 21/22: Clinical and care support continues to be provided by Care Home Support Team to all Midlothian Care Homes.	Head of Primary Care and Older People	30-Mar -2021	


IJB.RR.15 COVID

Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
IJB.RR.15	<p>Risk cause Increased demand and changed requirements taking account of COVID 19.</p> <p>Risk event Resurgence of COVID-19 pandemic within Community – increasing demand for a service and risks around staff absence.</p> <p>Risk effect Capacity within all services putting delivery of directions and strategic plan at risk. Puts at risk quality of care.</p> <p>Capacity to deliver vaccination programme in parallel with routine services.</p> <p>Service ability to respond to a 2nd wave of COVID.</p> <p>Reputational risk.</p>	Head of Adult and Social Care; Joint Director Midlothian Health and Social Care Partnership	<p>Increased support for Care Homes.</p> <p>Business Continuity Plans to respond to surge in demand.</p> <p>COVID response team to support planning activities</p> <p>NHS wide winter planning, MLC winter planning and HSCP planning.</p> <p>Comprehensive winter flu vaccination programme.</p>	4	5	


Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
IJB.RA.15.1	Management plans in place to mobilise local lockdown	Q1 21/22: Business continuity plans are in place to mitigate risks for local lockdowns/outbreaks. Due to the high impact on workforce in the last quarter, plans are in progress to monitor and mitigate for a reduced workforce to ensure key services can continue to be delivered, looking forward to the pressures that winter will also bring.	Chief Officer	30-Dec-2021	

		Q2 21/22: Resilience and Business Continuity plans are in place for both business as usual management and winter specific planning.			
IJB.RA.15.2	Winter planning	Q1 21/22: Winter planning for 2021/22 in underway Q2 21/22: Winter plans are now complete and in progress.	Chief Officer	30-Mar-2021	
IJB.RA.15.3	Continued modernisation and delivery of key services	Q1 21/22: On going work, mobilisation plan. Q2 21/22: On going work, mobilisation plan.	Chief Officer	30-Sep-2021	
IJB.RA.15.4	Impact on, in year financial position	Q1 21/22: The IJB has carried forward reserves to support additional Covid driven costs (c.£5.5m). Its is also expected that further support if required will be provided by the Scottish Government. This will be monitored regularly and report to the IJB at its October meeting Q2 21/22: Further financial support has now been provided by the SG (for Covid) so the IJB is currently forecasting a break-even position in 21/21 albeit on the back of significant Covid Funding. The financial risk is now in 22/23 and will be considered as part of the 22/23 financial planning process (which is already underway).	Chief Finance Officer	31-Mar-2022	
IJB.RA.15.5	Increasing capacity in the workforce to deliver vaccination programmes for winter flu and COVID-19.	Q1 21/22: The vaccination programme has been successfully delivered during the last quarter, we are now in the process of planning for a vaccination hub to include both COVID routine, booster and flu as part our ongoing vaccination programme. Q2 21/22: Additional resources have been allocated to further reinforce the vaccination programme. Due to Lothian wide workforce limitations, this continues to be a challenge and is being managed nationally alongside Scottish Government. Midlothian HSCP is expanding the vaccination programme in line with Scottish Government guidance.	Chief Officer	30-Dec-2021	


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>Risk cause Inadequate resources to meet demand in the manner in which services are currently delivered.</p> <p>Risk event Inability to meet demand within existing resources.</p>	Chief Finance Officer	<p>Chief Finance Officer 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>	4	5	


	Risk effect 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.		Financial Strategy and medium term financial plan developed New Governance arrangements in place which includes a finance and performance group.			
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Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
IJB.RA.01.2	Financial Plan	Q1 21/22: The IJB has set a budget for 2021/22 and issued directions to its Partners. The in year position will be monitored and reported at the October IJB and further development work is underway to revise and renew the IJB's five year financial Plan. Q2 21/22: The 21/22 out-turn forecast is a break-even position for the IJB and this will be reported at the December IJB meeting. Work continues to develop the IJB's longer term financial plan with an IJB workshop Scheduled for January 2022.	Chief Finance Officer	30-June-2021	

IJB.RR.03 Demographic Changes


Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
IJB.RR.03	<p>Risk cause 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>Risk event Inability to meet demand within existing resources.</p> <p>Risk effect Demands made on Social Care resource budget exceed available budget. Capacity to maintain and develop preventative services is put at risk.</p>	Joint Director Midlothian Health and Social Care Partnership	<p>Routine update 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>Business Transformation Board – Council Transformation Board</p> <p>Demographic profiling to ensure forward planning reflects the demographic profile of the IJB. Captured in financial Strategy</p> <p>Dialogue with partners regarding allocation/demographic issues impacting on Midlothian.</p>	5	4	

IJB.RR.04 Governance



Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
IJB.RR.04	<p>Risk cause Complexity of governance arrangements for the three bodies - NHS Lothian , Midlothian Council and the IJB - having to work together</p> <p>Risk event Issues arise which lead to uncertainty about decision making authority.</p> <p>COVID-19 pandemic</p> <p>Risk effect 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> <p>New Integrate Care Forum</p>	2	4	

Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
IJB.RA.04.02	Ministerial Steering Group (MSG) Progress of Integration self-assessment	<p>Q1 20/21: Work progressing on IJB self assessment underway to look at broad IJB self-assessment. This links to work to improve performance monitoring within the Health and Social Care Partnership and incorporates MSG indicators.</p> <p>Q2 21/22: This work continues</p>	Chief Officer	30-Dec-2021	
IJB.RA.04.03	Review of Scheme of Integration	<p>Q1 20/21: both partners review of the scheme is on hold due to the COVID-19 pandemic. Scottish Government guidance was issued to this effect. NHS Lothian and Midlothian Council are proposing to undertake this review in spring 2021.</p> <p>Q2 21/22: This work continues</p>	Joint Director Midlothian Health and Social Care Partnership	30-June-2021	

IJB.RR.07 Managing Change


Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
IJB.RR.07	<p>Risk cause Information on changes to service released before service user or employees consultation strategy developed.</p>	Joint Director Midlothian Health and Social Care Partnership	<p>Strategic plan.</p> <p>Directions made and monitored.</p>	3	4	




<p>Risk event There is the potential for information to be released on draft schemes or proposals for changes to service delivery.</p> <p>Disruption due to the pandemic. Significant change to service delivery.</p> <p>Risk effect 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>	<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. Workforce Planning</p> <p>Strategic Planning Group minutes routinely available to IJB.</p> <p>NHSL Strategic Framework on Pandemic response</p>			
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Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
IJB.RA.07.1	Engagement Strategy	<p>Q1 21/22: Significant consultation underway as the IJB Strategic Plan 2022-25 is prepared. Support to Planning Officers and others around consultation and engagement continues. Consultation reports are being published in relevant area of the new HSCP website eg Unpaid carers. External communication continues using social media outlets and website. This will continue to a rolling programme. HSCP Director meeting with Comms team to discuss this programme.</p> <p>Q2 21/22:</p>	Joint Director Midlothian Health and Social Care Partnership	30- Jun-2021	
IJB.RA.07.3	Forward strategic planning	<p>Q1 21/22: Work progressing well. Consultation underway across the majority of the Partnership themes. Workshops (8) arranged for October of IJB and Strategic Planning group members to allow them to access the information required to make decisions on the proposed plan. Linking with NHS Lothian on its Strategic Plan.</p> <p>Q2 21/22: IJB Workshops have taken place. The Strategic Planning Group has agreed on the ongoing plan through to Mar 2022.</p>	Integration Manager	31-Mar-2022	


IJB.RR.08 Management Information

Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
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IJB.RR.08	<p>Risk cause 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>Risk event These systems are used to drive performance information.</p> <p>Risk effect The lack of integration of the information between the systems reduces the potential for holistic reporting.</p>	Head of Adult and Social Care; Joint Director Midlothian Health and Social Care Partnership	The Interagency Information Exchange allows direct and up to date access to other professional's information. Data sharing agreements	5	3	
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Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
IJB.RA.08.1	Interagency Information Exchange	<p>Q1 21/22: Work continues on the Tableau dashboard which combines information from Trak and Mosaic to allow real time service reporting. Further developments outlined in Partnership Digital Programme and direction from IJB to Midlothian Council and NHS Lothian.</p> <p>Q2 21/22: This programme of work remains on the Digital Board.</p>	Business Applications Manager	30-Dec-2021	
IJB.RA.08.2	Performance Information	<p>Q1 21/22: Work to improve performance reporting continues. A performance and improvement based approach to service management will be a key area of improvement over the next 12 months.</p> <p>Q2 21/22: A new Performance Manager post was approved by IJB board and the post has been recruited. A performance plan will be presented to IJB in Jan 2022.</p>	Joint Director Midlothian Health and Social Care Partnership	30-Dec-2022	
IJB.RA.08.3	IT software development	<p>Q1 21/22: New software and IT infrastructure employed to assist IJB in maintaining service delivery due to the pandemic has been very successful. Over the next 12 months a prioritisation of software systems and integration will be out focus to build on the existing infrastructure to allow for a more agile workforce.</p> <p>Q2 21/22: This review continues.</p>	Joint Director Midlothian Health and Social Care Partnership	30-Dec-2022	


IJB.RR.09 Leadership Capacity - IJB

Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
IJB.RR.09	Risk cause	Chief Officer	National and local Induction programs in place.	3	2	


<p>Changing membership of IJB creates challenges to ensure all members have a clear understanding of the Integration of Health and Social Care.</p> <p>Risk event New members may have a knowledge gap around the work of the IJB, the planned outcomes and measures to drive forward improvement.</p> <p>Risk effect Ability of new members to make a positive contribution to the IJB.</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>			
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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>Risk cause The establishment of the Integrated Joint Board (IJB) may reduce the efforts required to work with other Community Planning partners.</p> <p>Risk event 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>Risk effect 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 active in Area Targeting work.</p> <p>Reducing 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> <p>Regular Summits being held with the voluntary sector 3-4 times per year</p> <p>Ongoing engagement with the Community Planning Partnership</p> <p>Component of the Single Midlothian Plan</p>	3	4	

Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
IJB.RA.11.2	Strengthening engagement with the independent sector	<p>Q4 20/21: Partnership working with the Independent Sector (care homes and care at home) continues. This quarter there has been a strong focus on the recommissioning of care providers for both Care at Home and Care Homes.</p> <p>Q2 21/22: Commissioning of care providers has been completed. Partnership working continues.</p>	Joint Director Midlothian Health and Social Care Partnership	30-Dec-2021	

IJB.RR.14 Business Continuity


Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
IJB.RR.14	<p>Risk cause Lack of clarity about Business Continuity arrangements.</p> <p>Risk event The Health & Social Care Partnership is unable to implement proposals in the absence of an effective governing body.</p> <p>Risk effect 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	

Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
IJB.RA.14.1	UK Exit from European Union	Q1 21/22: Impacts of UK exit from European Union remain low but monitored routinely.	Chief Officer	30-Dec-2021	

		<p>Q2 21/22: Impacts of UK exit from European Union remain low but monitored routinely. However, we are aware of supply chain and workforce resource which is being monitored by the partners.</p>			
IJB.RA.14.2	COVID-19 pandemic planning and resilience	<p>Q1 21/22: Performance monitoring continues through 6 weekly governance meetings. Current pressures this quarter are within the workforce capacity, this is being managed by local mitigation of agency/bank staff and prioritisation of service delivery.</p> <p>Q2 21/22: The strategic management of COVID-19 continues.</p>	Chief Officer	30-Dec-2021	

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 care services.	Joint Director Midlothian Health and Social Care Partnership	<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>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>Directions provides clarity and specificity about actions flowing from the Strategic Plan.</p> <p>Strategic Planning Group has been established to monitor implementation of Strategic plan.</p> <p>Annual Delivery Plan.</p> <p>Working with local planning groups and services to develop plans for future years.</p>	5	4	

Risk Management report Key:

Very low risk	1-3	
Low risk	4-8	
Medium risk	9-15	
High risk	16-20	
Critical risk	25	

Action Key:

In progress	
complete	
Overdue	