

Midlothian Integration Joint Board

Audit and Risk Committee



10 June 2021, 2pm

Risk Register

Item number:	5.5
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Executive summary

The Integrated Joint Board (IJB) Audit and Risk Committee maintains a strategic risk profile which is regularly scrutinised. However, it is important that Midlothian IJB is kept informed of its key risks and the actions undertaken to manage these risks. This report contains the strategic risk profile covering Quarter 4 2020/21, 1 January 2021 – 31 March 2021.

Committee members are asked to:

1. Consider the strategic risk profile and current response to the issues, risk and opportunities.

Risk Profile

1 Purpose

- 1.1 This includes the Quarter 4 2020/21, 1 January 2021 – 31 March 2021 and highlights current issues, future risks and opportunities of note to the IJB.

2 Recommendations

- 2.1 As a result of this report what are Members being asked to:-
- Consider the strategic risk profile especially those issues and risks highlighted in the covering report.

3 Background and main report

- 3.1 The IJB's Audit and Risk Committee regularly scrutinises the strategic risk profile and reports back to the IJB quarterly.
- 3.2 The Quarter 4 2020/21 (1 January 2021 – 31 March 2021) presents the issues, future risks and opportunities for the IJB.
- 3.3 The most significant issues and risks on the MIJB strategic risk profile during Quarter 4 are as follows:-

Issues

Use of Acute Hospital beds

The use of unscheduled care facilities increased in Quarter 4. 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. Many services continue to operate whilst reducing face to face contact – telephone and digital tools were employed. The introduction of the Single Point of Access in December has had a positive impact on people delayed in hospital unnecessarily.

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.

Care homes

Support to Care Homes continues. In response to Scottish Government guidance issued during the pandemic, Midlothian Health & Social Care Partnership has

clinical oversight across all Midlothian Care Homes, providing support and education as required on behalf of NHS Lothian Executive Director of Nursing. Care Homes continue to be supported to provide high quality care and to comply with guidance related to the pandemic including instructions around PPE and testing of staff and residents. During Q4, Midlothian Care Home staff were PCR tested weekly, alongside twice weekly Lateral Flow Testing.

Clinical and care support is provided for care home staff to support infection control and support wellbeing of residents.

COVID-19

The Health and Social Care Partnership management team developed and continued to review plans for an anticipated resurgence of COVID-19 pandemic within the community.

Risk

Balancing the budget in future years

The IJB has received budget offers from both Partners. The IJB agreed both budget offers for 2021/22. During this period, COVID funding was received from the Scottish Government to support additional COVID related expenditure incurred during 2020/21. Any slippage in the use of this funding will be carry forward via the IJBs Earmarked reserve to support LMP and COVID expenditure in 2021/22.

4 Policy Implications

- 4.1 There are no new policy issues raised in this paper.

5 Directions

- 5.1 This report does not require a new direction.

6 Equalities Implications

- 6.1 There are no direct equalities implications arising from this report.

7 Resource Implications

- 7.1 There are no direct resource implications associated with this report.

8 Risk

- 8.1 The risks relevant to the business of the IJB are set out within the attached strategic risk profile.

9 Involving people

- 9.1 The IJB meetings are held in public and IJB papers along with those of the IJB Audit and Risk committee are available on the internet. This work is supported by the IJB's Chief Internal Auditor and the partnership's risk management.

10 Background Papers

- 10.1 None.

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DATE	07 June 2021

Appendices:

1. Strategic Risk Profile Quarter 4 2020/21

IJB Strategic Risk Profile

Quarter 4 2020/21





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	Q4 20/21: The use of unscheduled care facilities increased in quarter 4. 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 .Many services continue to operate whilst reducing face to face contact – telephone and	Chief Officer	30-Jun-2021	


		digital tools were employed. The introduction of the Single Point of Access in December has had a positive impact on people delayed in hospital unnecessarily. 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.			
IJB.RA.18.2	Increased investment in services to reduce hospital admission and stay.	Q4 20/21: The introduction of the Single Point of Access in December has had a positive impact on people delayed in hospital unnecessarily. Additional funding that was secured to support services assisted with our response to support annual winter pressures.	NHS Lothian	30-Jun-2021	
IJB.RA.18.3	Scheduling of unscheduled care	Q4 20/21: 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.	Head of Older People and Social Care	30-Jun-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	Risk cause Potential future ability to recruit sufficient staff. Risk event Insufficient numbers of qualified people to deliver services based on current models. COVID-19 pandemic – increasing demand for a service and risks around staff absence. Risk effect Negative impact on service delivery where services require GPs and care at home staff.	Head of Adult and Social Care; Joint Director Midlothian Health and Social Care Partnership	National program of training for GPs and Health Visitors. Living Wage commitment to address low paid positions. Service Specific Workforce Plan being developed which will include the development of new roles and a changing skill mix. SVQ Assessment Centre Established. Workforce Planning Care at Home Strategy	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	Q4 20/21: Efforts to increase recruitment continued. Close working with external providers.	Head of Older People and Social Care	30-Jun-2021	
IJB.RA.10.5	Opportunity for staff to achieve SVQ qualifications and meet registration requirements.	Q4 20/21: Recruitment of the Workforce Development Manager will take this forward and will be monitored throughout the year.	Head of Adult Services	31-Mar-2022	
IJB.RA.10.6	Care at Home	Q4 20/21: Recommissioning work in progress, tender to be issued in next quarter.	Head of Older People and Primary Care	30-Jun-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.	Q4 20/21: All Midlothian care homes have been migrated on the new regional NSS testing portal in line with guidance from Scottish Government. This continues weekly PCR tests along side twice weekly lateral flow testing.	Head of Primary Care and Older People	30-Jun-2021	

IJB.RA.11.2	Enhanced Care Home support team	Q4 20/21: Clinical and care support continues for care home staff to support infection control and support wellbeing of residents.	Head of Primary Care and Older People	30-Jun-2021	
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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	Q4 20/21: Business continuity plans are in place to mitigate risks for local lockdowns. Annual assurance	Chief Officer	30-Sep-2021	
IJB.RA.15.2	Winter planning	Q4 20/21: Winter plan continues to be implemented.	Chief Officer	30-Sep-2021	
IJB.RA.15.3	Continued modernisation and delivery of key services	Q4 20/21: On going work, mobilisation plan.	Chief Officer	30-Sep-2021	
IJB.RA.15.4	Impact on, in year financial position	Q4 20/21: Work on going and continue to submit financial returns to Scottish Government regarding additional COVID related expenditure. Funding has been	Chief Finance Officer	30-Sep-2021	

		received to date with further funding required later in the financial year. In year financial position provided regularly to IJB for monitoring purposes.			
IJB.RA.15.5	Increasing capacity in the workforce to deliver vaccination programmes for winter flu and COVID-19.	Q4 20/21: Different staff groups trained to deliver vaccinations, ongoing recruitment drive for vaccinators and administrative support.	Chief Officer	30-Sep-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> <p>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.</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> <p>Financial Strategy and medium term financial plan developed</p> <p>New Governance arrangements in place which includes a finance and performance group.</p>	4	5	

Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
IJB.RA.01.2	Financial Plan	Q4 20/21: The IJB has now received its budget offers from both Partners, these were discussed at the IJB meetings during March and April 2021. The IJB agreed both budget offers for 2021/22. During this period we also received from Scottish Government our COVID funding to support additional COVID related expenditure incurred during 2020/21. Any slippage in the use of this funding will be carry forward via the IJBs Earmarked reserve to support our LMP and COVID expenditure in 2021/22.	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>	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	

	Risk effect The IJB's governance systems are unable to operate effectively.				
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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	Q4 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.	Chief Officer	30-Sep-2021	
IJB.RA.04.03	Review of Scheme of Integration	Q4 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.	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> <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>	Joint Director Midlothian Health and Social Care Partnership	<p>Strategic 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. Workforce Planning</p> <p>Strategic Planning Group minutes routinely available to IJB.</p> <p>NHSL Strategic Framework on Pandemic response</p>	3	4	

Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
IJB.RA.07.1	Engagement Strategy	Q4 20/21: Engagement strategy to be approved by IJB on 8 th April 2021. Communication planning around including COVID-19 pandemic. This work remains ongoing.	Joint Director Midlothian Health and Social Care Partnership	30-June-2021	
IJB.RA.07.3	Forward strategic planning	Q4 20/21: Work progressing on strategic plan 2022-2025. IJB approved revised vision and values to underpin this work and six overarching strategic aims.	Integration Manager	31-Mar-2022	


IJB.RR.08 Management Information

Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
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	<p>The Interagency Information Exchange allows direct and up to date access to other professional's information.</p> <p>Data sharing agreements</p>	5	3	


Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
IJB.RA.08.1	Interagency Information Exchange	<p>Q4 20/21: Work continues on the Tableau dashboard which combines information from Trak and Mosaic to allow real time service reporting.</p> <p>Further developments outlined in Partnership Digital Programme and direction from IJB to Midlothian Council and NHS Lothian.</p>	Business Applications Manager	30-June-2021	


IJB.RA.08.2	Performance Information	Q4 20/21: Work has progressed on Outcome Monitoring framework following delay due to the pandemic. Work initially focussed on the following areas, strategic planning, frailty and No.11. Work to improve performance reporting continues.	Joint Director Midlothian Health and Social Care Partnership	30-June-2021	
IJB.RA.08.3	IT software development	Q4 20/21: New software and IT infrastructure employed to assist IJB and other communication eg Microsoft Teams for meetings and sharing of documents. Extension of homeworking in response to Pandemic.	Joint Director Midlothian Health and Social Care Partnership	30-June-2021	

IJB.RR.09 Leadership Capacity - IJB


Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
IJB.RR.09	<p>Risk cause 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>	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	2	



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 we have focussed on sharing best practice and shared learning. The organisation is involved in the development of tender for Care at Home.</p> <p>Increased partnership working involving volunteers.</p> <p>Assurance group in place for both NHSL and HSCP for monitoring performance of care homes, this is reported weekly into SG.</p>	Joint Director Midlothian Health and Social Care Partnership	30-Sep-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	Q4 20/21: Strategic Management group continues to meet within Midlothian Council to review and monitor any impacts. NHSL strategic management groups continues to report by exception.	Chief Officer	30-June-2021	
IJB.RA.14.2	COVID-19 pandemic planning and resilience	Q4 20/21: Annual service assurances have been completed to both NHSL and Midlothian Council. Performance monitoring continues through 6 weekly governance meetings.	Chief Officer	30-June-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	