						P3 Risk Register			Deside	al Diale			T awa	+ Diala				
		Management Team Risk Owne	r Risk Handler	Title	Description	Controls in place	Adequacy of controls	Consequence		al Risk	Risk Level	Consequence		et Risk Rating	Risk Level			
ID Risk Register Level Division								(Current)	(Current)	Rating (Current)	(Current)	(Target)	(Target)	(Target)	(Target)	Date opened	Date Risk reviewed	Review date
5771 Midlothian IJB Midlothian	HSCP	Midlothian HSCP Management Team	Integration Manager	Strategic Commissioning Plan	Risk Effect: Partners operational services may experience disruption to service delivery. Risk Consequence: The IJB may not see sufficient or adequate progress towards its 6 strategic aims and delivering its strategic plan.	 Reassurance is required from partners regarding the following 1. Resilience planning and Business continuity 2. Contract monitoring 3. Governance and Assurance 4. Outcomes for people and communities 	Some weaknesses: Improvement can be demonstrated however not at optimal level.	Major	Almost Certain	20	Very High	Minor	Possible	6	Medium	26/02/2024		Apr-24
5772 Midlothian IJB Midlothian	HSCP	Midlothian HSCP Management Team	Integration Manager	Issuing of Directions	insufficient workforce or other resources to execute the requirements and ambitions of the IJB Directions	Directions are monitored and reported on twice a year for performance updates. financial allocations are included within directions on an annual basis after IJB budgets have been set The Planning, Performance and Programme team continue to support with additional capacity to redesign and transform key areas of service delivery A project management approach continues to support key areas aiming to accelerate progress in the delivery of the MIJB Directions.	Some weaknesses: Improvement can be demonstrated however not at optimal level.	Extreme	Almost Certain	25	Very High	Moderate	Possible	9	Medium	26/02/2024		Apr-24
5773 Midlothian IJB Midlothian	НՏСР	Midlothian HSCP Management Team	Executive Business Manager	Category 1 Responder Status	 Risk Effect: IJBs role as Category 1 responders under the Civil Contingencies Act requires that our partners NHS Lothian and Midlothian Council maintain effective business continuity and resilience plans to ensure an appropriate response in times of emergency. There is a risk that our partners may not be able to provide these assurances. Risk Consequence: Failure to maintain up to date and effective resilience plans could result in services unable to maintain essential service delivery 	Assurance reporting to IJB routinely by Chief Nurse, Chief Social Worker and Resilience. Annual category 1 assurance report submitted to IJB via A&R comittee Robust operational process within Midlothian Health and Social Care to meet requirements Lessons learnt from COVID pandemic have been incorporated within standard service delivery, ongoing work to develop a quality management approach will provide additional partnership wide assurances to IJB.	Satisfactory: All controls are working and can be demonstrated through measurement	Moderate	Unlikely	6	Medium	Minor	Unlikely	4	Medium	26/02/2024		Apr-24
5774 Midlothian IJB Midlothian	НՏСР	Midlothian HSCP Management Team Chief Officer	Chief Finance Officer	Financial Sustainability	Risk Effect: The IJBs partners may not be able to allocate sufficient resource to deliver its Financial Plan and Strategic Plan. Risk Consequence: The IJB may not be able to deliver the Strategic Plan in order to function within the available resources. The IJB may have to amend the ambitions of Strategic in such a way that the progress towards the 6 strategic aim of the Strategic Plan and 9 National Health and Wellbeing Outcomes is compromised.	Strong budgetary control systems in place within NHS Lothian and Midlothian Council	Some weaknesses: Improvement can be demonstrated however not at optimal level.	Extreme	Almost Certain	25	Very High	Moderate	Possible	9	Medium	26/02/2024		Apr-24
5775 Midlothian HSCP Midlothian	IJB	Midlothian HSCP Management Team	Chief Finance Officer	Impacts of New Legislation	 Risk Effect: There is a risk of further legislation, policy, or national improvement drivers which impact on the IJBs ability to deliver on the Strategic Plan, examples include the legislation relating to a National Care Service and the Health and Care (Staffing) (Scotland) Act 2019. Risk Consequence: The IJB and it partners may be distracted from the business of delivering the Strategic Plan. Legislation, policy, and national improvement drivers without fiscal supports will result in additional pressure on the IJB. 	Respond to Scottish Government information requests on impact of	Uncertain; impact of controls not known at this time and more work required to identify current situation	Major	Possible	12	High	Moderate	Possible	9	Medium	26/02/2024		Apr-24
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Table 1 – Impact/Consequence Definitions

Descriptor	Negligible	Minor	M
Patient Experience	Reduced quality of patient experience/clinical outcome not directly related to delivery of clinical care.	Unsatisfactory patient experience/ clinical outcome directly related to care provision – readily resolvable.	Unsatisfactory pa clinical outcome; expect recovery <
Objectives / Project	Barely noticeable reduction in scope, quality or schedule.	Minor reduction in scope, quality or schedule.	Reduction in scop project objectives
Injury (physical and psychological) to patient/visitor/ staff.	Adverse event leading to minor injury not requiring first aid.	Minor injury or illness, first aid treatment required.	Agency reportable and aggressive a Significant injury treatment and/or
Complaints / Claims	Locally resolved verbai complaint.	Justified written complaint peripheral to clinical care.	Below excess cla Justified complain appropriate care.
Service / Business Interruption	Interruption in a service which does not impact on the delivery of patient care or the ability to continue to provide service.	Short term disruption to service with minor impact on patient care.	Some disruption i unacceptable imp Temporary loss o service.
Staffing and Competence	Short term low staffing level temporarily reduces service quality (< 1 day). Short term low staffing level (>1 day), where there is no disruption to patient care.	Ongoing low staffing level reduces service quality. Minor error due to ineffective training/implementation of training.	Late delivery of ke due to lack of stat Moderate error du training/implemen Ongoing problem
Financial (including damage / loss / fraud)	Negligible organisational/ personal financial loss. (£<1k). (NB. Please adjust for context)	Minor organisational/personal financial loss (£1-10k).	Significant organi financial loss (£10
Inspection / Audit	Small number of recommendations which focus on minor quality improvement issues.	Recommendations made which can be addressed by low level of management action.	Challenging record be addressed with plan.
Adverse Publicity / Reputation	Rumours, no media coverage. Little effect on staff morale.	Local media coverage – short term. Some public embarrassment. Minor effect on staff morale/public attitudes.	Local media – Ion publicity. Significant effect o public perception

oderate	Major	Extreme
tient experience/ short term effects – 1wk.	Unsatisfactory patient experience/ clinical outcome; long term effects – expect recovery >1wk.	Unsatisfactory patient experience/ clinical outcome; continued ongoing long term effects
e or quality of project; or schedule.	Significant project over-run.	Inability to meet project objectives; reputation of the organisation seriously damaged.
e, e.g. Police (violent zts). equiring medical counselling.	RIDDOR Major injuries/long term incapacity or disability (loss of limb) requiring medical treatment and/or counselling.	Incident leading to death or major permanent incapacity.
m. It involving lack of	Claim above excess level. Multiple justified complaints.	Multiple claims or single major claim Complex justified complaint
n service with act on patient care. f ability to provide	Sustained loss of service which has serious impact on delivery of patient care resulting in major contingency plans being invoked.	Permanent loss of core service or facility. Disruption to facility leading to significant "knock on" effect
ey objective / service f. ie to ineffective tation of training. s with staffing levels.	Uncertain delivery of key objective/ service due to lack of staff. Major error due to ineffective training/ implementation of training.	Non-delivery of key objective/service due to lack of staff. Loss of key staff. Critical error due to ineffective training/ implementation of training.
sational/personal I-100k).	Major organisational/personal financial loss (£100k-1m).	Severe organisational/personal financial loss (£>1m).
nmendations that can appropriate action	Enforcement action. Low rating. Critical report.	Prosecution. Zero rating. Severely critical report.
g-term adverse on staff morale and of the organisation.	National media/adverse publicity, less than 3 days. Public confidence in the organisation undermined. Use of services affected.	National/international media/adverse publicity, more than 3 days. MSP/MP concern (Questions in Parliament). Court Enforcement. Public Inquiry/ FAI.

Table 2 – Likelihood Definitions

Descriptor	Rare	Unlikely	Possibl
Probability	Can't believe this event would happen – will only happen in exceptional circumstances.	Not expected to happen, but definite potential exists – unlikely to occur.	May occur occasion happened before occasions – reaso chance of occurrin

Table 3 – Risk Matrix

Likelihood		Conseq
	Negligible	Mino
Almost Certain	Medium 5	High 10
Likely	Medium 4	Mediu 8
Possible	Low 3	Mediu 6
Unlikely	Low 2	Mediu 4
Rare	Low 1	Low 2

e	Likely	Almost Certain
onally, has on mable 1g.	Strong possibility that this could occur – likely to occur.	This is expected to occur frequently / in most circumstances - more likely to occur than not.

or	Moderate	Major	Extreme			
1	High	V High	V High			
	15	20	25			
IM	High	High	V High			
	12	16	20			
IM	Medium	High	High			
	9	12	15			
IM	Medium	Medium	High			
	6	8	10			
r.	Low	Medium	Medium			
	3	4	5			