

## IJB Strategic Risk Profile

Quarter 3 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><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. 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	<b>Q3 20/21:</b> The use of unscheduled care facilities increased in quarter 3. 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 operated whilst reducing face to face contact – telephone and digital tools were employed. It is the intention of the IJB to review the different models of service	Chief Officer	31-Mar-2021	

		<p>provision employed during the pandemic with a view to maintaining certain practices longer term.</p> <p>Representatives of Midlothian Health and Social Care Partnership now participate in the RIE Hospital Management Team and more specific forums such as the Redesign of the Front Door and Winter Planning</p>			
IJB.RA.18.2	Increased investment in services to reduce hospital admission and stay.	<p><b>Q3 20/21:</b> The use of unscheduled care facilities increased in quarter 3. Midlothian is redesigning intermediate care with single point of access introduced on 1 December 2020. During Q3 work continued on local mobilisation plans with associated funding.</p> <p>Additional funding was secured to support services to respond to annual winter pressures.</p>	NHS Lothian	31-Mar-2021	
IJB.RA.18.3	Scheduling of unscheduled care	<p><b>Q3 20/21:</b> The National redesign of urgent care was introduced on 1 December 2020.</p>	Head of Older People and Social Care	31-Mar-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><b>Risk cause</b> Potential future ability to recruit sufficient staff.</p> <p><b>Risk event</b> 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><b>Risk effect</b> 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	<b>Q3 20/21:</b> Efforts to increase recruitment continued. Close working with external providers.	Head of Older People and Social Care	31- Mar-2021	
IJB.RA.10.5	Opportunity for staff to achieve SVQ qualifications and meet registration requirements.	<b>Q3 20/21:</b> Work on hold due to pandemic.	Head of Adult Services	31-Mar-2021	
IJB.RA.10.6	Care at Home	<b>Q3 20/21:</b> Recommissioning work resumed.	Head of Older People and Primary Care	31-Mar-2021	
IJB.RA.10.7	Increased support to staff and recruitment to Care at Home roles as a result of COVID-19 pandemic	<b>Q3 20/21:</b> Support remains in place to Care at Home to meet increased demand due to pandemic including monitoring of staffing levels, staff well being support and continued support with PPE.	Head of Older People and Primary Care	31-Mar-2021	


### IJB.RR.11 Care homes





Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
IJB.RR.11	<p><b>Risk cause</b> Increased demand and changed requirements around care home delivery.</p> <p><b>Risk event</b> COVID-19 pandemic – increasing demand for a service and risks around staff absence.</p> <p><b>Risk effect</b> 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.	<b>Q3 20/21:</b> Midlothian Care Home staff testing is managed on NHS testing programme, all Care Homes are tested three weekly. Support and monitoring continues. Support continues to care homes, in particular those where there are confirmed positive cases.	Head of Primary Care and Older People	31-Mar-2021	

IJB.RA.11.2	Enhanced Care Home support team	<b>Q3 20/21:</b> Clinical and care support for care home staff to support infection control and support wellbeing of residents.	Head of Primary Care and Older People	31-Mar-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><b>Risk cause</b> Increased demand and changed requirements taking account of COVID 19.</p> <p><b>Risk event</b> Resurgence of COVID-19 pandemic within Community – increasing demand for a service and risks around staff absence.</p> <p><b>Risk effect</b> 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 2<sup>nd</sup> 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	<b>Q3 20/21:</b> Business continuity plans are in place to mitigate risks for local lockdowns.	Chief Officer	30-Sep-2021	
IJB.RA.15.2	Winter planning	<b>Q3 20/21:</b> Winter plan being implemented, weekly planning meetings convened.	Chief Officer	30-Sep-2021	
IJB.RA.15.3	Continued modernisation and delivery of key services	<b>Q3 20/21:</b> On going work, mobilisation plan.	Chief Officer	30-Sep-2021	
IJB.RA.15.4	Impact on, in year financial position	<b>Q3 20/21:</b> 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.	<b>Q3 20/21:</b> 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><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 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	<b>Q3 20/21:</b> New 5 year financial plan reported to IJB for in December 2020. During 2021 Finance LMP return routinely submitted to Scottish Government to support the release of funding from them, funding has been received by the HSPC with further funding to follow.	Chief Finance Officer	31-Mar-2021	

### 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>	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><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>COVID-19 pandemic</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> <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	<b>Q3 20/21:</b> Work underway to look at broad IJB self-assessment to look at MSG actions and care inspectorate and Health Improvement Scotland frameworks.	Chief Officer	30-Sep-2021	
IJB.RA.04.03	Review of Scheme of Integration	<b>Q3 20/21:</b> 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.RA.04.04	Emergency Recess arrangements	<b>Q3 20/21:</b> IJB came out of Emergency recess at the end of July 2020, however continue to hold business meetings virtually.	Joint Director Midlothian Health and Social Care Partnership	30-Sep-2020	



### 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>Disruption due to the pandemic. Significant change 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 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	<b>Q3 20/21:</b> Work on Engagement Strategy progressed. Communication planning around including COVID-19 pandemic. This work remains ongoing and has been included in the Midlothian HSCP winter plan.	Joint Director Midlothian Health and Social Care Partnership	31-Mar-2021	
IJB.RA.07.3	Forward strategic planning	<b>Q3 20/21:</b> Work progressing on strategic plan 2022-2025. IJB approved revised vision and values to underpin this work.	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><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>	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	

Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
IJB.RA.08.1	Interagency Information Exchange	<b>Q3 20/21:</b> Tableau dashboard has been developed which combines information from Trak and Mosaic to allow real time service reporting. Further developments outlined in Partnership Digital Programme, approved by IJB Feb 2020 alongside Direction related to digital development and information exchange.	Business Applications Manager	31-Mar-2021	
IJB.RA.08.2	Performance Information	<b>Q3 20/21:</b> Work has progressed on Outcome Monitoring framework following delay due to the pandemic. Performance reports presented to IJB. Work to improve performance reporting continues.	Joint Director Midlothian Health	31-Mar-2021	





			and Social Care Partnership		
IJB.RA.08.3	IT software development	<b>Q3 20/21:</b> 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	31-Mar-2021	

### 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	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><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 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><b>Q3 20/21:</b> Partnership working with the Independent Sector (care homes and care at home) has been more intensive as a result of the pandemic. Joint work, shared protocol, new guidance and sharing of best practice. Performance monitoring updates, in particular around Care Homes to the IJB.</p> <p>Increased partnership working involving volunteers, new post recruited to, to process support this area.</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><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	


Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
IJB.RA.14.1	UK Exit from European Union	<b>Q3 20/21:</b> UK remains on track to complete negotiations regarding the UK exit from European Union. Preparing for the UK exit from the EU remains a high priority within NHSL and MLC with strategic management groups set up for both areas.	Chief Officer	31-Mar-2021	
IJB.RA.14.2	COVID-19 pandemic planning and resilience	<b>Q3 20/21:</b> Substantial resilience planning has been carried out with a focus on Winter Planning and Business Continuity. Winter plan has been submitted to NHSL with ongoing reviews throughout the winter period.	Chief Officer	31-Mar-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	