


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	<p>Risk cause Level of resourcing not matching demand.</p> <p>Risk event Demand exceeding resource allocation.</p> <p>Risk effect Significant overspend or inability to meet demand requirements.</p>	Chief Finance Officer	<p>Chief Finance Officer (CFO) appointed to IJB</p> <p>Appropriate monitoring of budget position</p> <p>Action plans to respond to specific financial challenge</p> <p>IJB reserve established to respond future budget pressures.</p>	2	2	


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 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 (September 2018 meeting) and agreed.</i> <i>Realistic Care Realistic Medicines group expanded in to Business Transformation Board – Social Care Project with Realistic Care Realistic Medicine Transformation Programme.</i></p>	4	4	


Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
IJB.RR.01.A2	Financial Strategy	Q2 18/19: Financial Strategy presented to the IJB at its September 2018 meeting. Strategy to be reviewed in light of recent national audit reports by Audit Scotland in relation to integration of health and social care, 'Health and Social Care Integration – Update on Progress' and 'NHS in Scotland 2018'.	Chief Officer	30-Sep-2018	
IJB.RR.01.A3	Business Transformation Board – Social Care Project	Q2 18/19: Previous Realistic Care, Realistic Medicine group expanded into Business Transformation Board – Social Care Project with Realistic Care Realistic Medicine Transformation Programme, to deliver the financial strategy in operational terms.	Chief Officer	31-Mar-2019	

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>	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 Medicines 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 Strategy</p>	5	3	




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>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>	2	4	


Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
IJB.RR.04.A1	Review of Integration Scheme	Q2 18/19: All 4 Lothian IJB's are reviewing their respective integration schemes. This is ahead of the required 5 yearly review required by Scottish Government.	Chief Officer	31-Mar-2019	



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>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 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	Q2 18/19: Communication plans are being developed and implemented across the service.	Chief Officer	31-Mar-2019	
IJB.RR.07.A2	Organisational Development Programme	Q2 18/19: An organisation development programme is being delivered.	Joint Director Midlothian Health and Social Care Partnership	31-Mar-2019	
IJB.RR.10.A1	Workforce Planning	Q2 18/19: Workforce framework report reported to IJB in June. Specific workforce plans have been developed in 3 Service areas.	Joint Director Midlothian Health and Social Care Partnership	31-Mar-2019	

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>	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	3	3	


Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
IJB.RR.08.A1	Interagency Information Exchange	Q2 18/19: Off Target Initial testing commenced early June but performance issues have been discovered around basic functionality and these are currently being investigated. No new implementation date can be provided until investigation of these issues are complete and resolutions found.	Mike O'Rourke	31-Mar-2018	
IJB.RR.08.A2	Performance Information	Q2 18/19: Work continues on the development of a comprehensive performance framework for the IJB. Reports presented to the IJB. Regular reports presented to the IJB.	Chief Officer	31-Mar-2019	


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.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>Risk effect 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>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>	3	4	

Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
IJB.RR.10.A1	Workforce Planning	Q2 18/19: Workforce framework report reported to IJB in June. Specific workforce plans have been developed in 3 Service areas.	Joint Director Midlothian Health and Social Care Partnership	31-Mar-2019	


SRP.RA.04	Scottish Social Service Council Care at Home	Q2 18/19: 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>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 actively 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>	3	4	


Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
IJB.RR.11-A1	Single Midlothian Plan	Q2 18/19: Plan for 2018/19 published, work underway to develop next 3 year plan. Health and Social Care are a contributors to this process as key community planning partners.	Joint Director Midlothian Health and Social Care Partnership	31-Mar-2019	
IJB.RR.11-A2	Strengthening work with Voluntary Sector	Q2 18/19: Summit held with Voluntary Sector Organisations, with future sessions to be held on a quarterly basis.	Joint Director Midlothian Health and Social Care Partnership	31-Mar-2019	
	Development/Implementation of Diabetes Strategy	Q2 18/19: Community Planning Partnership agreed to lead this project. Midlothian Council Chief Executive agreed to be the project sponsor.	Chief Officer	31-Mar-2020	

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.RR.14-A1	Preparation by suppliers to respond to No Deal Exit from European Union.	Q2 18/19: IJB to seek assurance from key partners of their on going ability to deliver services in the event of the UK leaving the European Union on 29 March 2019 without a deal on the future relationship.	Chief Officer	31-Dec-2019	

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</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	


	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.					
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Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
IJB.RR.18-A1	Project to examine the use of acute hospital beds	Q2 2018/19: Project Manager appointed, detail project plan to be prepared. Renewed efforts to accelerate this work in collaboration with NHS colleagues.	Chief Officer	31-Mar-2019	

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.	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> <p>Annual Delivery Plan.</p>	5	4	

Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
IJB.OP.01.A5	New Strategic Plan	Q2 18/19: Work is in progress to develop new 3 year Strategic Plan. This has included a review of the 2 year needs assessment and staff engagement.	Chief Officer	30-Mar-2019	

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	