

Midlothian Integration Joint Board Audit and Risk Committee



Thursday 5 September 2019, 2.00pm

Risk Register

Item number:	5.3
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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. The current version of the IJB's strategic risk profile is attached.

Committee members are asked to:

1. Consider the strategic risk profile.

Risk Register

1 Purpose

- 1.1 This includes the current version of the IJB's strategic risk profile 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 2019/20 quarter 1 strategic risk profile presents the current issues, future risks and opportunities for the IJB.
- 3.3 The most significant issues and risks on the MIJB strategic risk profile are as follows :-

Issues

Issues relating to Midlothian's use of Unscheduled Care (unplanned hospital use) will now be considered by a new forum, Midlothian Acute Services Planning Group, chaired by the Chief Officer and involving the Clinical Director for Primary Care in Midlothian, local Heads of Service and Strategic Planning staff from the Royal Infirmary. A Plan for Acute Services is being developed. Services for people with COPD and dementia have continued to develop and make an impact by reducing hospital admissions and length of stay. In addition the Discharge to Assess Team has ensured that people are supported to go home from hospital promptly (supported 100 people in first 4 months saving 130 bed days).

'Workforce Capacity including recruitment and retention of health and social care staff', continues to be a challenge for the Partnership. Various actions are being undertaken to address this including initiatives to enhance capacity in care at home provision.

Risk

The risk 'Balancing the budget in future years' remains. The medium term rolling 5 year financial plan was presented to June IJB. The Business Transformation Board - Realistic Care Realistic Medicine Programme, which continues to support delivery of the financial strategy.

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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Appendices:

1. Strategic Risk Profile

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 local discharge '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	<p>Q1 19/20: Project has appointed a Programme Manager to consider local developments which will reduce unscheduled care, including use of acute beds. Work underway to prepare a plan to address unscheduled care.</p> <p>Work with colleagues in acute care to ensure their front door re-design strategy will meet the needs of Midlothian residents.</p>	Chief Officer	31-Mar-2020	
IJB.RA.18.2	Increased investment in services to reduce hospital admission and stay.	Q1 19/20: Increase in capacity in quarter one for Community respiratory team developments and discharge to assess. Head of Adult Service has	NHS Lothian	31 Mar 2020	

		established a multidisciplinary team to review A&E frequent attenders aged 18 – 64 with a view to looking at additional support that would reduce their dependency on A&E.			
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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. 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	3	4	

Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
IJB.RA.10.2	Scottish Social Service Council Care at Home	Q1 18/19: The registration of Care at Home staff continues to make progress. This is contributing to work to professionalise the workforce.	Joint Director Midlothian Health and Social Care Partnership	31-Dec-2019	
IJB.RA.10.3	Transformation Board work stream focused on care at home provision	Q1 18/19: Transformation board are overseeing a range of initiatives aimed at enhancing capacity in the level of care at home provision.	Head of Older People and Primary Care	31 Mar 2020	
IJB.RA.10.4	Increase recruitment to care at home	Q1 19/20: Social media and other approaches taken to increase the profile of care at home as a career option with the view to increasing number of carers recruited.	Head of Older People and Social Care	31 Dec 2019	
IJB.RA.10.5	Opportunity for staff to achieve SVQ qualifications and meet registration requirements	Q1 19/20: The SVQ Assessment Centre has received positive external verification from SQA for all awards delivered	Head of Adult Services	31 Dec 2019	


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</p> <p>Business Transformation Board - Realistic Care Realistic Medicine Programme</p>	4	5	

Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
IJB.RA.01.2	Financial Plan	Q1 19/20: First iteration of IJB's Medium term financial strategy (rolling) presented to IJB in June. Work required as a result of this to address the projected budget shortfall future years.	Chief Finance Officer	31-Mar-2020	


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</p>	Joint Director Midlothian Health and Social Care Partnership	<p>Three yearly 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>	5	3	

	<p>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>		<p>Realistic Care, Realistic Medicines programme Board.</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>			
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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> <p>New Integrate Care Forum</p>	2	4	

Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
IJB.RA.04.1	Review of Integration Scheme in response to the Carers Scotland Act 2016.	Q1 18/19: Integration scheme reviewed and submitted to the Scottish Government.	Chief Officer	31-Apr-2019	
	Ministerial Steering Group (MSG) Progress of Integration self-assessment	Q1 19/20: Self-assessment/self evaluation reported to IJB in June 2019. Annual progress report to be produced each year detailing progress against the self assessment. Action plan to be produced.	Chief Officer	31 Mar 2020	


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</p>	Joint Director Midlothian Health	Strategic plan.	3	4	

	<p>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>	and Social Care Partnership	<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>			
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Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
IJB.RA.07.1	Communications Strategy	Q1 18/19: Communication plans are being developed and implemented across the service.	Joint Director Midlothian Health and Social Care Partnership	31-Dec-2019	
IJB.RA.07.3	Strategic Planning Group	Q1 19/20: Undertaken review terms of reference and membership of group to ensure group more reflective of strategic plan.	Chief Officer	31-Mar-2020	

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	Q1 18/19: Business case on move to hosted service for Mosaic was agreed. Implementation ongoing.	Business Applications Manager	31-Mar-2020	
IJB.RA.08.2	Performance Information	Q1 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.	Joint Director Midlothian Health and Social Care Partnership	31-Dec-2019	
	IT software development	Q1 19/20: Work on going with NHS Lothian and Midlothian Council to enhance IT systems which will improve service delivery (Google Chrome).	Head of Older people and Social Care	31 Mar 2020	

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.11.1	Single Midlothian Plan	Q1 19/20: Plan for 2019/20 published, IJB contribution to develop next plan as part of wider community planning activity.	Joint Director Midlothian Health and Social Care Partnership	31-Mar-2020	
IJB.RA.11.2	Strengthening engagement with the independent sector	Q1 19/20: Undertook a self-assessment as part of review of integration.	Joint Director Midlothian Health and Social Care Partnership	31-Mar-2020	

IJB.RR.14 Business Continuity

Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
IJB.RR.14	Risk cause Lack of clarity about Business Continuity arrangements. Risk event The Health & Social Care Partnership is unable to implement proposals in the absence of an effective governing body. Risk effect The IJB fails to make good progress with the implementation of its Strategic Plan.	Chief Officer	Integration Scheme - standing orders and a code of governance in place. Substitute IJB members in place by NHS Lothian, Midlothian Council, Users, Carers and Third Sector. The Council and NHS have their own Business Continuity Plans and arrangements in place to monitor third party suppliers. (Check local code of governance)	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 without a deal	Q1 18/19: IJB seeking confirmation from key strategic partners on their ability to continue to deliver key services in the event of a no deal exit from the European Union on 31 October 2019.	Chief Officer	31-Oct-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.	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>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> <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	

Overdue



Action Key:

In progress	
Complete	