# IJB Strategic Risk Profile

Midlothian

# 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 | **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.<br><br>**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.<br><br>**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. | Chief Officer | On-going monitoring of quality<br><br>IJB set Targets on use of Acute Beds.<br><br>Directions set.<br><br>Patient pathway being improved including the establishment of a local discharge 'hub' | 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 | **Q3 18/19**: Project initial focus is on COPD and dementia. | Chief Officer | 31-Mar-2019 | ▶ |
| IJB.RA.18.2 | Increased investment in Acute Hospital bed capacity | **Q3 18/19:** The pressures on use of acute hospital beds has resulted in NHS investing an additional sum in this area to increase capacity. | NHS Lothian | | ▶ |

## 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**<br>Potential future ability to recruit sufficient staff.<br><br>**Risk event**<br>Insufficient numbers of qualified people to deliver services based on current models.<br><br>**Risk effect**<br>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.<br><br>Living Wage commitment to address low paid positions.<br><br>Service Specific Workforce Plan being developed which will include the development of new roles and a changing skill mix.<br><br>SVQ Assessment Centre Established. | 3 | 4 | ⚠️ |

| Related Action Code | Related Action | Related action latest note | Managed By | Due Date | Status |
|---|---|---|---|---|---|
| IJB.RA.10.1 | Workforce Planning | **Q3 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.RA.10.2 | Scottish Social Service Council Care at Home | **Q3 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 | ▶ |
| IJB,RA.10.3 | Transformation Board work stream focused on care at home provision | **Q3 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 | ▶ |

# 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 | **Risk cause** Inadequate resources to meet demand in the manner in which services are currently delivered.<br><br>**Risk event** Inability to meet demand within existing resources.<br><br>**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. | Chief Finance Officer | Chief Finance Officer appointed to IJB, this post is responsible for the governance, appropriate management of finance and financial administration of the IJB.<br><br>Early Warning Indicators from NHS Lothian and Midlothian Council.<br><br>Strong budget control systems in place in NHS Lothian and Midlothian Council.<br><br>Financial Strategy developed, *presented to the IJB (September 2018 meeting) and agreed. Realistic Care Realistic Medicines group expanded in to Business Transformation Board – Social Care Project with Realistic Care Realistic Medicine Transformation Programme.* | 4 | 5 | 🔴 |

| Related Action Code | Related Action | Related action latest note | Managed By | Due Date | Status |
|---|---|---|---|---|---|
| IJB.RA.01.2 | Financial Strategy | **Q3 18/19**: Financial outlook presented to IJB in December 2018, with further update provided in February 2019. | Chief Finance Officer | 31-Mar-2019 | ▶ |
| IJB.RA.01.3 | Business Transformation Board - Realistic Care Realistic Medicine Programme | **Q3 18/19**: Previous Realistic Care, Realistic Expectations group expanded into Realistic Care Realistic Medicine Transformation Programme, to support deliver the financial strategy in operational terms. | Joint Director Midlothian Health and Social Care Partnership | 31-Mar-2019 | ▶ |

## IJB.RR.03 Demographic Changes

| Risk Code | Risk Identification | Managed by | Risk Control Measures | Likelihood | Impact | Risk Evaluation |
|---|---|---|---|---|---|---|
| IJB.RR.03 | **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.<br><br>**Risk event** Inability to meet demand within existing resources.<br><br>**Risk effect** | Joint Director Midlothian Health and Social Care Partnership | Annual review of joint needs assessment so that the allocation of resources can be reviewed and amended.<br><br>Continual process of service redesign to ensure people access services quickly, and their recovery is supported effectively.<br><br>Realistic Care, Realistic Medicines programme Board.<br><br>Business Transformation Board – Council Transformation Board | 5 | 3 | 🟡 |

| | Demands made on Social Care resource budget exceed available budget. Capacity to maintain and develop preventative services is put at risk. | | Demographic profiling to ensure forward planning reflects the demographic profile of the IJB. Captured in financial Strategy | | | |

## IJB.RR.04 Governance

| Risk Code | Risk Identification | Managed by | Risk Control Measures | Likelihood | Impact | Risk Evaluation |
|---|---|---|---|---|---|---|
| IJB.RR.04 | **Risk cause** Complexity of governance arrangements for the three bodies - NHS Lothian , Midlothian Council and the IJB - having to work together<br><br>**Risk event** Issues arise which lead to uncertainty about decision making authority.<br><br>**Risk effect** The IJB's governance systems are unable to operate effectively. | Chief Officer | Performance Reports<br><br>Use of Audit to Monitor effectiveness of Internal controls<br><br>Code of Corporate Governance<br><br>Integration Scheme<br><br>Regular formal and informal meetings with partners. | 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. | **Q3 18/19**: Integration scheme has been reviewed, currently out for consultation ahead of submission to the Scottish Government. | Chief Officer | 31-Apr-2019 | ▶ |

## IJB.RR.07 Managing Change

| Risk Code | Risk Identification | Managed by | Risk Control Measures | Likelihood | Impact | Risk Evaluation |
|---|---|---|---|---|---|---|
| IJB.RR.07 | **Risk cause** Information on changes to service released before service user or employees consultation strategy developed.<br><br>**Risk event** There is the potential for information to be released on draft schemes or proposals for changes to service delivery.<br><br>**Risk effect** This could have a negative impact on Service Users and Employees by creating unnecessary concern | Joint Director Midlothian Health and Social Care Partnership | Strategic plan.<br><br>Directions made and monitored.<br><br>Performance reporting against delivery of strategic plan and other key indicators.<br><br>There is an Organisational Development Officer in post, delivering an OD programme alongside a number of Lothian-wide initiatives. | 3 | 4 | ⚠ |

| | regarding potential changes which have not been fully considered or consulted on. | | | | | |
|---|---|---|---|---|---|---|

| Related Action Code | Related Action | Related action latest note | Managed By | Due Date | Status |
|---|---|---|---|---|---|
| IJB.RA.07.1 | Communications Strategy | **Q3 18/19**: Communication plans are being developed and implemented across the service. | Joint Director Midlothian Health and Social Care Partnership | 31-Mar-2019 | ▶ |
| IJB.RA.07.2 | Organisational Development Programme | **Q3 18/19**: An organisation development programme is being delivered. | Joint Director Midlothian Health and Social Care Partnership | 31-Mar-2019 | ▶ |
| IJB.RA.10.1 | Workforce Planning | **Q3 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.RA.07.3 | Development of revised Strategic Plan | **Q3 18/19:** Consultation and joint needs assessment carried out with first draft reported to IJB. | Chief Officer | 31-Mar-2019 | ▶ |

## IJB.RR.08 Management Information

| Risk Code | Risk Identification | Managed by | Risk Control Measures | Likelihood | Impact | Risk Evaluation |
|---|---|---|---|---|---|---|
| IJB.RR.08 | **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.<br><br>**Risk event** These systems are used to drive performance information.<br><br>**Risk effect** The lack of integration of the information between the systems reduces the potential for holistic reporting. | 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.<br><br>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 | **Q3 18/19**: **Off Target**<br>Testing completed, Digital Services assessing server infrastructure requirements for Live environment. Live upgrade to be scheduled once assessment complete. | Business Applications Manager | 31-Mar-2018 | ❌ |
| IJB.RA.08.2 | Performance Information | **Q3 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-Mar-2019 | ▶ |

## IJB.RR.09 Leadership Capacity - IJB

| Risk Code | Risk Identification | Managed by | Risk Control Measures | Likelihood | Impact | Risk Evaluation |
|---|---|---|---|---|---|---|
| IJB.RR.09 | **Risk cause**<br>Changing membership of IJB creates challenges to ensure all members have a clear understanding of the Integration of Health and Social Care.<br><br>**Risk event**<br>New members may have a knowledge gap around the work of the IJB, the planned outcomes and measures to drive forward improvement.<br><br>**Risk effect**<br>Ability of new members to make a positive contribution to the IJB. | Chief Officer | National and local Induction programs in place.<br><br>Membership changes incrementally.<br><br>User, Carer and Third Sector members receive pre-meeting support.<br><br>Induction/development programme in place.<br><br>Leadership Development training in place.<br><br>The IJB has changed members, chair and CO in the last year yet continues to function well | 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 | **Risk cause**<br>The establishment of the Integrated Joint Board (IJB) may reduce the efforts required to work with other Community Planning partners.<br><br>**Risk event**<br>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.<br><br>**Risk effect**<br>The HSCP does not achieve its long term objectives. | Chief Officer | The IJB Chair and Chief Officer are members of the Community Planning Board.<br><br>Health and Social Care are actively in Area Targeting Work.<br><br>Reducing inequality is the key objective of the Community Planning Partnership.<br><br>Other agencies - e.g. Housing; Libraries; Fire and Rescue; Ambulance - are actively involved in joint planning groups. | 3 | 4 | 🔺 |

| Related Action Code | Related Action | Related action latest note | Managed By | Due Date | Status |
|---|---|---|---|---|---|
| IJB.RA.11.2 | Strengthening work with Voluntary Sector | **Q3 18/19**: Summit held with Voluntary Sector Organisations, with future sessions being held on a quarterly basis, 3 session held by close of Q3. | Chief Officer | 31-Mar-2019 | ▶ |
| IJB.RA.11.1 | Single Midlothian Plan | **Q3 18/19**: Plan for 2018/19 published, IJB contribution to develop next 3 year plan as part of wider community planning partner event. | Joint Director Midlothian Health and Social Care Partnership | 31-Mar-2019 | ▶ |

## IJB.RR.14 Business Continuity

| Risk Code | Risk Identification | Managed by | Risk Control Measures | Likelihood | Impact | Risk Evaluation |
|---|---|---|---|---|---|---|
| IJB.RR.14 | **Risk cause**<br>Lack of clarity about Business Continuity arrangements.<br><br>**Risk event**<br>The Health & Social Care Partnership is unable to implement proposals in the absence of an effective governing body.<br><br>**Risk effect**<br>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.<br><br>Substitute IJB members in place by NHS Lothian, Midlothian Council, Users, Carers and Third Sector.<br><br>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 | **Q3 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 29 March 2019. | 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. | Joint Director Midlothian Health and Social Care Partnership | 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.<br><br>New funding such as social care monies and Primary Care Transformation funds will enable some of the aspirational plans to be put into effect.<br><br>Direction provides clarity and specificity about actions flowing from the Strategic Plan.<br><br>Health and Care Transformation Board has been established to ensure a SMART (Specific, Measurable, Achievable, Realistic, Timely) approach to implementation of the Strategic Plan.<br><br>Annual Delivery Plan. | 5 | 4 | 🔴 |

| Related Action Code | Related Action | Related action latest note | Managed By | Due Date | Status |
|---|---|---|---|---|---|
| IJB.OP.01.A4 | New Strategic Plan | **Q3 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. Public consultation was concluded with first draft reported to IJB 6 December 2018. | Joint Director Midlothian Health and Social Care Partnership | 31-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 | ❌ |