

IJB Strategic Risk Profile

Quarter 2 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>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 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	Q2 20/21: The use of unscheduled care facilities, including the ED, greatly reduced as a result of COVID-19. 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	Chief Officer	31-Mar-2021	

		different models of service provision employed during the pandemic with a view to maintaining certain practices longer term. Q2 20/21: This work is ongoing.			
IJB.RA.18.2	Increased investment in services to reduce hospital admission and stay.	Q2 20/21: as stated above, the use of unscheduled care facilities, including the ED, greatly reduced as a result of COVID-19. There was additional investment in services to support people who have a long term condition to stay well - for example MSK APP physiotherapists were training to support people with COPD and were temporarily redeployed to the Community Respiratory Team.	NHS Lothian	31-Mar-2021	
	Scheduling of unscheduled care	Q2 20/21: Papers for Scheduling of Unscheduled care are progressing through Midlothian HSCO SMT for review and discussion.	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>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>COVID-19 pandemic – increasing demand for a service and risks around staff absence.</p> <p>Risk effect 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	Q2 20/21: 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.	Q2 20/21: Work on hold due to pandemic.	Head of Adult Services	31-Mar-2021	
IJB.RA.10.6	Care at Home	Q2 20/21: Recommissioning work paused due to pandemic	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	Q2 20/21: 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>Risk cause Increased demand and changed requirements around care home delivery.</p> <p>Risk event COVID-19 pandemic – increasing demand for a service and risks around staff absence.</p> <p>Risk effect 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	Weekly care home staff testing for COVID.	Q2 20/21: Midlothian Care Home staff testing is managed on NHS testing programme, all Care Homes are tested weekly. Support and monitoring continues. Additional 8 week supply of staff testing kits provided. Additional support has been put in place to support care homes who have confirmed positive staff cases.	Head of Primary Care and Older People	31-Mar-2021	
IJB.RA.11.2	Enhanced Care Home support team	Q2 20/21: 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	

IJB.RR.15 COVID


Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
IJB.RR.15	<p>Risk cause Increased demand and changed requirements taking account of COVID 19.</p> <p>Risk event Resurgence of COVID-19 pandemic within Community – increasing demand for a service and risks around staff absence.</p> <p>Risk effect Capacity within all services putting delivery of directions and strategic plan at risk. Puts at risk quality of care.</p> <p>Service ability to respond to a 2nd 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	Q2 20/21: Business continuity plans are in place to mitigate risks for local lockdowns.	Chief Officer	31-Mar-2021	
IJB.RA.15.2	Winter planning	Q2 20/21: Winter plan has been submitted to NHS.	Chief Officer	31-Mar-2021	
IJB.RA.15.3	Continued modernisation and delivery of key services	Q2 20/21: On going work, mobilisation plan.	Chief Officer	31-Mar-2021	
IJB.RA.15.4	Impact on in year financial position	Q2 20/21: Work on going and continue to submit financial returns to Scottish Government regarding additional COVID related expenditure. Funding has been received to date with further funding required later in the financial year. In year financial position provided regularly to IJB for monitoring purposes.	Chief Finance Officer	31-Mar-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>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 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	Q2 20/21: Work ongoing to update the IJB's rolling 5 year financial plan. Financial Plan due to be reported to IJB for consideration in Q3. Finance LMP return routinely submitted to Scottish Government to support the release of funding from them.	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>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>	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>	5	4	

	Risk event Inability to meet demand within existing resources.		Business Transformation Board – Council Transformation Board			
	Risk effect 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 Dialogue with partners regarding allocation/demographic issues impacting on Midlothian.			

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 Risk event Issues arise which lead to uncertainty about decision making authority. COVID-19 pandemic Risk effect The IJB's governance systems are unable to operate effectively.	Chief Officer	Performance Reports Use of Audit to Monitor effectiveness of Internal controls Code of Corporate Governance Integration Scheme Regular formal and informal meetings with partners. New Integrate Care Forum	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	Q2 20/21: action plan in place and reviewed quarterly	Chief Officer	31-Mar-2021	
Not new	Review of Scheme of Integration	Q2 20/21: both partners review of the scheme is on hold due to the COVID-19 pandemic. Scottish Government guidance was issued to this effect.	Joint Director Midlothian Health and Social Care Partnership	31-Dec-2020	

New	Emergency Recess arrangements	Q2 20/21: IJB came out of Emergency recess at the end of July 2020 and now hold business meetings virtually.	Joint Director Midlothian Health and Social Care Partnership	31-July-2020	
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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>Disruption due to the pandemic. Significant change 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 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>	3	4	

Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
IJB.RA.07.1	Communications Strategy	Q2 20/21: Work on Communication and Engagement Strategy progressed. Communication planning around 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.07.2	Strategic approach to pandemic response	Q2 20/21: NHSL Strategic Framework on Pandemic Response has been developed and circulated to all areas for review. Midlothian HSCP has developed existing resilience response approach to incident management. Further discussions to be held to agree reporting to IJB.	Joint Director Midlothian Health and Social Care Partnership	31 -Mar-2020	
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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	Q2 20/21: Work to upgrade Mosaic completed. 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-Dec-2020	
IJB.RA.08.2	Performance Information	Q2 20/21: Partnership agreed to introduce Outcome Monitoring framework but progress halted due to the pandemic. Performance reports presented to IJB. Work to improve performance reporting continues. Work was paused during Pandemic lockdown.	Joint Director Midlothian Health and Social Care Partnership	31-Dec 2020	
IJB.RA.08.3	IT software development	Q2 20/21: 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>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</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>	3	4	



	care, and neglects the task of building long term sustainability. Risk effect The HSCP does not achieve its long term objectives.		Other agencies - e.g. Housing; Libraries; Fire and Rescue; Ambulance - are actively involved in joint planning groups. Regular Summits being held with the voluntary sector 3-4 times per year Ongoing engagement with the Community Planning Partnership Component of the Single Midlothian Plan			
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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>Q2 20/21: 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 actively being progressed through partners recruitment process to support this area.</p> <p>Assurance group in place for both NHS and HSCP for monitoring performance of care homes, this is reported weekly into SG.</p>	Joint Director Midlothian Health and Social Care Partnership	31-Mar-2021	

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</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	

	The IJB fails to make good progress with the implementation of its Strategic Plan.				
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Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
IJB.RA.14.1	UK Exit from European Union	Q2 19/20: 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-Dec-2020	
IJB.RA.14.2	COVID-19 pandemic planning and resilience	Q2 19/20: 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	