

## IJB Strategic Risk Profile

Quarter 1 2023/2024





### Risk

Strategic Planning and Commissioning						
Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
TBA	<b>Risk Effect</b> Risk of failure of a key care provider, including care home, care at home and other care providers due to financial instability or significant care concerns.  <b>Risk Consequence</b> Disruption to service delivery. Requirement to implement contingency plans in the event of being the provider of last resort. Impact on individuals and families with potential disruption to care arrangements.	Chief Officer	Ensure robust contract monitoring and action plans are in place for improvement.  Main providers are on the tender framework and registered and monitored by the Care Inspectorate.  Care Home, Care at Home and LD services operationally managed by Midlothian HSCP. Assurance updates are provided routinely to IJB.  Work closely with external care providers to ensure robust resilience and business continuity plans are in place.	3	5	


Issuing of Directions						
Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
TBC	<b>Risk</b> There is a risk that the IJB fails to deliver its strategic objectives because the Council and/or NHS Lothian are unable to allocate sufficient resources.  <b>Consequence</b> This would lead to a requirement to revise the Strategic Plan and Directions.	Chief Officer	<ul style="list-style-type: none"> <li>- Directions are monitored and reported on twice a year for performance updates.</li> <li>- financial allocations are included within directions on an annual basis after IJB budgets have been set</li> <li>- The Planning, Performance and Programme team continue to support with additional capacity to redesign and transform key areas of service delivery</li> <li>- A project management approach continues to support key areas aiming to accelerate progress in the delivery of the MIJB Directions.</li> </ul>	2	3	


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Category 1 Responder Status						
Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
TBC	<p><b>Risk</b> IJBs role as Category 1 responders under the Civil Contingencies Act requires that our partners NHS Lothian and Midlothian Council maintain effective business continuity and resilience plans to ensure an appropriate response in times of emergency. There is a risk that our partners may not be able to provide these assurances.</p> <p><b>Consequence</b> Failure to maintain up to date and effective resilience plans could result in services unable to maintain essential service delivery.</p>	Executive Business Manager	<ul style="list-style-type: none"> <li>- Assurance reporting to IJB routinely on Chief Nurse, Chief Social Worker and Resilience.</li> <li>- Annual category 1 assurance report submitted to IJB</li> <li>- Robust operational process within Midlothian Health and Social Care to meet requirements</li> <li>- Lessons learnt from COVID pandemic have been incorporated within standard service delivery, ongoing work to develop a quality management approach will provide additional partnership wide assurances to IJB.</li> </ul>	2	3	

Workforce Recruitment and Retention						
Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
	<p><b>Risk</b> There is a significant risk to our partner agencies that we may not be able to recruit staff to maintain safe levels of staff, staff with required specialist knowledge or the volume of staff required to meet service demands</p> <p><b>Consequence</b> Inability to recruit and retain the required workforce because of national workforce challenges and local challenges (aging workforce, specialist services, competition from hospitality/retail) This leads to increased costs from reliance on medical locums and agency staff, not only for the IJB but also for commissioned service providers.</p>	Integration Manager	<ul style="list-style-type: none"> <li>- The Midlothian HSCP Integrated Workforce Strategy was developed in 2022 and approved by Scottish Government in December 2022. A review of year 1 is underway and a set of recommendation to support and corrective strategic action will be reviewed in Q3 to ensure the IJB Strategic Plan and Directions to be delivered.</li> <li>- The HSCP has established an Integrated Workforce Governance Board to oversee the workforce related activity supported by two subgroups; Workforce Planning, and Staff Engagement</li> <li>- An engagement Strategy has been developed and actions will be monitored and reported via the Staff Engagement subgroup to improve our engagement as an organisation with our staff.</li> </ul>	4	4	





			- Support commissioned care providers with recruitment and retention.			
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Financial Sustainability						
Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
TBA	<p><b>Risk</b> Inadequate resources to meet demand and deliver the IJBs Strategic Plan.</p> <p>Reduced budget offer from Partners.</p> <p><b>Consequence</b> Inability to deliver Strategic Plan and meet demand within existing resources.</p> <p>Projected financial gap with regards to the financial plan and the uncertainty surrounding the budget offers from Partners NHS Lothian and Midlothian Council challenges the financial sustainability of the IJB</p> <p>Overspends due to excessive demand for services, quality failures, and cuts in other services to mitigate this</p> <p>Requirement for further savings over and above those planned for in IJBs medium terms financial plan may impact the delivery of the strategic plan.</p>	Chief Financial Officer	<p>Chief Finance Officer responsible for the governance, appropriate management of finance and financial administration of the IJB.</p> <p>Strong budgetary control systems in place within NHS Lothian and Midlothian Council.</p> <p>IJB Medium term financial plan developed annually.</p> <p>Working in partnership in the financial environment with Midlothian Council and NHS Lothian.</p> <p>IJBs General Reserve.</p> <p>Correspondence sent to Scottish Government on the risk surrounding IJB budget offers from Partners.</p>	4	4	



Impacts of New Legislation						
Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
TBA	<p><b>Risk</b> There is a risk of further legislative, policy developments or change which impacts on the IJBs ability to deliver on the Strategic Plan, examples include Independent Review of Adult Social Care, Continuing Care, the Living Wage, the Carers Act, and other future policy developments.</p>	Head of Adult Services	<p>- Scottish Government have paused The National Care Bill until end of June 2023. Midlothian HSCP is fully engaged with Scottish Government along with NHS Lothian and Midlothian Council. This risk is also being managed operationally under our partner Strategic registers.</p>	5	5	

	<b>Consequence</b> Inability to deliver SG policies alongside the Strategic Plan and IJB's agreed objectives and the impact of additional unfunded cost pressures		<ul style="list-style-type: none"> <li>- Respond to Scottish Government information requests on impact of future policies</li> <li>- Horizon scanning for policy developments through partners and SMT network groups</li> <li>- Close working relations with Scottish Government through Chief Finance Officer, Chief Officer and Cosla.</li> </ul>			
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#### 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	