IJB Strategic Risk Profile

Quarter 4 2019/20

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. **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. **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 IJB set Targets on use of Acute Beds. Directions set. Patient pathway being improved including the establishment of a flow '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	**Q4 19/20:** 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-2020	

		different models of service provision employed during the pandemic with a view to maintaining certain practices longer term.			
IJB.RA.18.2	Increased investment in services to reduce hospital admission and stay.	**Q4 19/20:** 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-2020	▶

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. COVID-19 pandemic – increasing demand for a service and risks around staff absence. **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.10.3	Work stream focused on care at home provision	**Q4 19/20:** Care at Home Strategy approved by IJB in January 2020.	Head of Older People and Primary Care	31-Mar-2020	▶
IJB.RA.10.4	Increase recruitment to care at home	**Q4 19/20:** efforts to increase recruitment continued. Close working with external providers.	Head of Older People and Social Care	31- Mar-2020	▶
IJB.RA.10.5	Opportunity for staff to achieve SVQ qualifications and meet registration requirements. **Q4 19/20:** work on hold due to pandemic.		Head of Adult Services	31-Mar-2020	▶

| IJB.RA.10.6 | Care at Home | **Q4 19/20:** recommissioning work paused due to pandemic | Head of Older People and Primary Care | 31-Mar-2020 | ▶ |
| IJB.RA.10.7 | Increased support to staff and recruitment to Care at Home roles as a result of COVID-19 pandemic | **Q4 19/20:** increased recruitment of staff, redeployment of staff from other services within Midlothian Council, staff support (training, prompt staff (& family member) testing, PPE for all staff, etc | 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. **Risk event** Inability to meet demand within existing resources. **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 responsible for the governance, appropriate management of finance and financial administration of the IJB. Early Warning Indicators from NHS Lothian and Midlothian Council. Strong budget control systems in place in NHS Lothian and Midlothian Council. Financial Strategy and medium term financial plan developed New Governance arrangements in place which includes a finance and performance group.	4	5	🔺

Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
IJB.RA.01.2	Financial Plan	**Q4 19/20:** Formal budget offer to the IJB for 2020/21 provided by both partners and they were formally accepted by the IJB by March 2020. These budgets are indicative values and highlight the risk and financial challenges faced by the IJB.	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	**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. **Risk event** Inability to meet demand within existing resources. **Risk effect** Demands made on Social Care resource budget exceed available budget. Capacity to maintain and develop preventative services is put at risk.	Joint Director Midlothian Health and Social Care Partnership	Routine update of joint needs assessment so that the allocation of resources can be reviewed and amended. Continual process of service redesign to ensure people access services quickly, and their recovery is supported effectively. Business Transformation Board – Council Transformation Board 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.	5	4	🔺

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	**Q4 19/20:** action plan in place and reviewed quarterly	Chief Officer	31-Mar-2020	▶
Not new	Review of Scheme of Integration	**Q4 19/20:** due to the COVID-19 pandemic the required review of the Scheme of Integration will be postponed. Scottish Government guidance was issued to this effect.	Joint Director Midlothian Health and Social Care Partnership	15-May-2020	▶
New	Emergency Recess arrangements	**Q4 19/20:** due to the COVID-19 pandemic the governance arrangements of the IJB had to be amended. An Emergency Recess was agreed. Strategic approach to the pandemic agreed. Recovery Planning for May onwards has begun.	Joint Director Midlothian Health and Social Care Partnership	31-Mar-2020	

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. **Risk event** There is the potential for information to be released on draft schemes or proposals for changes to service delivery. Disruption due to the pandemic. Significant change to service delivery. **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.	Joint Director Midlothian Health and Social Care Partnership	Strategic plan. Directions made and monitored. Performance reporting against delivery of strategic plan and other key indicators. There is an Organisational Development Officer in post, delivering an OD programme alongside a number of Lothian-wide initiatives. Workforce Planning Strategic Planning Group minutes routinely available to IJB.	3	4	🔺

Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
IJB.RA.07.1	Communications Strategy	**Q4 19/20:** Work on Communication and Engagement Strategy progressed. Communication planning around COVID-19 pandemic.	Joint Director Midlothian Health and Social Care Partnership	31-Mar-2020	▶
IJB.RA.07.2	Strategic approach to pandemic response	**Q4 19/20:** Strategic Statement on Pandemic Response developed. Governance arrangements adapted and approved. Service development and monitoring processes agreed and reporting mechanism to IJB agreed.	Joint Director Midlothian Health and Social Care Partnership	31-Mar-2020	

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. **Risk event** These systems are used to drive performance information. **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. 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	**Q4 19/20:** work to upgrade Mosaic progressed. Further developments outlined in Partnership Digital Programme, approved by IJB Feb 2020 alongside Direction related to digital development and information exchange.	Business Applications Manager	30-Jun-2020	⚠

Risk Code	Risk Identification	Risk Control Measures			Managed by	Date	Evaluation
IJB.RA.08.2	Performance Information	**Q4 19/20:** 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.			Joint Director Midlothian Health and Social Care Partnership	31-Mar 2020	▶
IJB.RA.08.3	IT software development	**Q4 19/20:** new software and IT infrastructure employed to assist IJB and other communication eg Microsoft Teams for meetings and sharing of documents.			Joint Director Midlothian Health and Social Care Partnership	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	**Risk cause** Changing membership of IJB creates challenges to ensure all members have a clear understanding of the Integration of Health and Social Care. **Risk event** New members may have a knowledge gap around the work of the IJB, the planned outcomes and measures to drive forward improvement. **Risk effect** Ability of new members to make a positive contribution to the IJB.	Chief Officer	National and local Induction programs in place. Membership changes incrementally. User, Carer and Third Sector members receive pre-meeting support. Induction/development programme in place. Leadership Development training in place. 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** The establishment of the Integrated Joint Board (IJB) may reduce the efforts required to work with other Community Planning partners. **Risk event**	Chief Officer	The IJB Chair and Chief Officer are members of the Community Planning Board. Health and Social Care are active in Area Targeting work.	3	4	🔺

	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. **Risk effect** The HSCP does not achieve its long term objectives.		Reducing inequality is the key objective of the Community Planning Partnership. 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			

Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
IJB.RA.11.2	Strengthening engagement with the independent sector	**Q4 19/20:** 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.	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	**Q4 19/20:** UK remains on track to complete negotiations regarding the UK exit from European Union. No further actions have been asked of the partnership but surveillance of the developing situation remains and is ready to step up if required.	Chief Officer	31-Dec-2020	▶
IJB.RA.14.2	COVID-19 pandemic planning and resilience	**Q4 19/20:** Planning for services as the pandemic progresses until vaccine available. Resilience planning with services and partners. Strategic planning regarding future service design.	Chief Officer	31-Dec-2020	

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. Funding such as social care monies and Primary Care Transformation funds will enable some of the aspirational plans to be put into effect. Directions provides clarity and specificity about actions flowing from the Strategic Plan. Strategic Planning Group has been established to monitor implementation of Strategic plan. Annual Delivery Plan. Working with local planning groups and services to develop plans for future years.	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	❌