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Orkney Health and Care

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Agenda Item: 10.

Integration Joint Board

Date of Meeting: 21 April 2021.

Subject: Risk Register

1. Summary

1.1. This report presents the refreshed Risk Register for consideration and approval by the Board.

2. Purpose

2.1. The report supports the governance and scrutiny role of the Members and the effective identification and management of risks.

3. Recommendations

The Integration Joint Board is invited to:

3.1. Approve the updated Risk Register for the IJB, attached as Appendix 1 to this report.

4. Risk Management

4.1. The Integration Joint Board (IJB) understands that it is important to identify and manage the risks which are inherent in its activities and in the services it commissions from Orkney Islands Council and NHS Orkney.

4.2. The IJB approved a refreshed Risk Management Strategy at the Board meeting on 10 February 2021.

4.3. The Risk Register is a dynamic document and shall be reviewed quarterly, and any changes shall be highlighted for approval at Board meetings. This activity is recognised as a key component of good governance.

4.4. It should be acknowledged that risk can never be eliminated in its entirety and some risks can identify positive opportunities which, with the appropriate level of control, may lead to improvements.

5. Background

5.1. The Risk Register was scrutinised by the Strategic Planning Group on 30 March 2021 at which one small amendment was made. This was in relation to Risk No. 3 - Reluctant Support for Change, and clarification of the range of communication that takes place to mitigate this risk.

5.2. It was recognised that the IJB Risk Register supports the achievement of the goals of the Strategic Plan. This is achieved through mitigating risks attaching to the Plan.

5.3. In future regular reports will be presented to the IJB on performance and risk.

6. Contribution to quality

Please indicate which of the Orkney Community Plan 2019 to 2022 visions are supported in this report adding Yes or No to the relevant area(s):

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|---|------|
| Resilience: To support and promote our strong communities. | Yes. |
| Enterprise: To tackle crosscutting issues such as digital connectivity, transport, housing and fuel poverty. | No. |
| Equality: To encourage services to provide equal opportunities for everyone. | Yes. |
| Fairness: To make sure socio-economic and social factors are balanced. | Yes. |
| Innovation: To overcome issues more effectively through partnership working. | Yes. |
| Leadership: To involve partners such as community councils, community groups, voluntary groups and individuals in the process. | No. |
| Sustainability: To make sure economic and environmental factors are balanced. | No. |

7. Resource implications and identified source of funding

7.1. The Risk Register as a process must be carried out within existing resources. There may however be cost implications arising from the actions required to mitigate any high-risk areas identified. Arrangements to meet these costs need to be considered on a case by case basis.

8. Risk and Equality assessment

8.1. The development of this register is part of the process of identifying, managing and mitigating risks to the IJB.

9. Direction Required

Please indicate if this report requires a direction to be passed to:

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| NHS Orkney. | No. |
| Orkney Islands Council. | No. |
| Both NHS Orkney and Orkney Islands Council. | No. |

10. Escalation Required

Please indicate if this report requires escalated to:

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| NHS Orkney. | No. |
| Orkney Islands Council. | No. |
| Both NHS Orkney and Orkney Islands Council. | No. |

11. Author

11.1. Pat Robinson, Chief Finance Officer, Integration Joint Board.

12. Contact details

12.1. Email: pat.robinson@orkney.gov.uk.

13. Supporting documents

13.1. Appendix 1: Risk Register April 2021.

Orkney's Integration Joint Board

Risk Register

April 2021.

DRAFT

The refreshed Risk Management Strategy was agreed by the Integration Joint Board on 10 February 2021 and the document can be found at the following link:

<https://www.orkney.gov.uk/Service-Directory/S/risk-management-ijb.htm>

The Risk Register for the Integration Joint Board is the Strategic Risk Register for the Board. There is also a service risk register for Orkney Health and Care which contains more operational risks. These risk registers are reviewed regularly through the performance management system.

The risks are set out below, with likelihood and impact informed by the risk matrix.

Risk Matrix

| Likelihood. | Severity of Consequences. | | | | |
|---------------------|---------------------------|-------------|---------------|-----------------|-----------------|
| | Negligible (1). | Minor (2). | Moderate (3). | Major (4). | Extreme (5). |
| Almost Certain (5). | Medium (5). | High (10). | High (15). | Very High (20). | Very High (25). |
| Likely (4). | Medium (4). | Medium (8). | High (12). | High (16). | Very High (20). |
| Possible (3). | Low (3). | Medium (6). | Medium (9). | High (12). | High (15). |
| Unlikely (2). | Low (2). | Medium (4). | Medium (6). | Medium (8). | High (10). |
| Rare (1). | Low (1). | Low (2). | Low (3). | Medium (4). | Medium (5). |

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| | Very High: Senior manager action to confirm the level of risk identified and produce an action plan to eliminate/reduce or transfer the risk. |
| | High: Service manager action to confirm the level of risk identified and produce an action plan to eliminate/reduce or transfer the risk. |
| | Medium: Department action to confirm the level of risk identified and produce an action plan to eliminate/reduce or transfer the risk. |
| | Low: Department action to confirm the level of risk identified and manage using routine procedures. |

| Number. | Risk Title. | | | | | | | Cluster. | |
|---|---|--|-----------------------------------|---|------|----------------------------|-----|--|-----|
| 1. | Risk of failure of a key service provider including availability and constraint of provision. | | | | | | | Governance. | |
| Risk Rating: | Owner. | | Head of Health and Community Care | | | | | | |
| Likelihood. | 3. | Impact. | 5. | RAG: | High | Current Risk Score: | 15. | Target Risk Score: | 10. |
| Vulnerability. | | Trigger. | | Consequences. | | Options. | | Mitigating Actions. | |
| 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. | | Significant care concerns raised through monitoring process. | | <p>Disruption to service delivery.</p> <p>Requirement to implement contingency plans in the event of being the provider of last resort.</p> <p>Impact on individuals and families with potential disruption to care arrangements.</p> | | Treat. | | <p>Appraisal of providers conducted as part of procurement process.</p> <p>Ensure robust contract monitoring and action plans are in place for improvement.</p> <p>Main providers are on the tender framework and registered and monitored by the Care Inspectorate.</p> <p>Work with providers at risk to support improvement to care quality or agree phased and managed approach if required.</p> <p>Work with Scottish Government, Scotland Excel and COSLA on care home market.</p> | |

| Number. | Risk Title. | | | | | | | Cluster. | |
|---|---|--|----------------|--|-------|----------------------------|-----|---|-----|
| 2. | Conflict between professional, organisational and IJB roles. | | | | | | | Governance. | |
| Risk Rating: | Owner. | | Chief Officer. | | | | | | |
| Likelihood. | 4. | Impact. | 4. | RAG: | High. | Current Risk Score: | 16. | Target Risk Score: | 12. |
| Vulnerability. | | Trigger. | | Consequences. | | Options. | | Mitigating Actions. | |
| There is a potential conflict of interest between professional, organisational and IJB roles. There could be decisions taken outwith the IJB arrangements whereby partner interests unintentionally take priority to the IJB resulting in IJB unable to fulfil its remit. | | Decisions are made in the partner organisations that affect the services which have been delegated to the IJB. | | Services commissioned by IJB are not implemented in line with the Strategic Commissioning Implementation Plan. | | Treat. | | <p>Strategic Plan and Strategic Commissioning Implementation Plan is approved by each of the partners.</p> <p>Committees and supporting groups/forums established and working effectively.</p> <p>Good working relationships across the partnership.</p> <p>One-off meetings between organisations held as and when required.</p> <p>Formal arrangements in place such as Integration Scheme, Scheme of Administration and Delegations Standing Orders and Financial Regulations.</p> | |

| Number. | Risk Title. | | | | | | | Cluster. | |
|--|--|---------|--|------|----------|---------------------|--|--------------------|----|
| 3. | Reluctant Support for Change. | | | | | | | Governance. | |
| Risk Rating: | Owner. | | Chief Officer. | | | | | | |
| Likelihood. | 3. | Impact. | 3. | RAG: | Medium. | Current Risk Score: | 9. | Target Risk Score: | 6. |
| Vulnerability. | Trigger. | | Consequences. | | Options. | | Mitigating Actions. | | |
| The need for transformational change not being effectively understood or communicated to all stakeholders with resulting lack of support for change. | Resistance to change and desire for services to remain as they are currently. Scale and scope of options for change not sufficiently scrutinised and dismissed. | | Failure to redesign services to secure equitable, sustainable and affordable services. Issues are addressed piecemeal with no strategic overview. Diminished reputation from failure to deliver. | | Treat. | | Consultation in various formats in accordance with the Communication and Engagement strategy to ensure all stakeholders are involved in any proposed change for delivery of services. Effective continuous communication with colleagues and other affected stakeholders. Proposals will be approved by the IJB. There will be project boards with members from across all sectors to drive forward. Assurance sought from the Orkney Opinions Group that priorities for service | | |

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| | | | | | | | | development and delivery was appropriate. | |
| Number. | Risk Title. | | | | | | | Cluster. | |
| 4. | IJB Financial Sustainability. | | | | | | | Financial | |
| Risk Rating: | Owner. | | Chief Finance Officer. | | | | | | |
| Likelihood. | 5. | Impact. | 5. | RAG: | Very High. | Current Risk Score: | 25. | Target Risk Score: | 16. |
| Vulnerability. | | Trigger. | | Consequences. | | Options. | | Mitigating Actions. | |
| <p>Services commissioned will not be able to meet all of the statutory services for those with assessed need.</p> <p>Unable to deliver in full the existing savings and achieve new savings to deliver a balanced budget.</p> | | <p>Demographic changes resulting in increased demand for services.</p> <p>Increasing ability to support people with complex needs at home without additional resources to meet increased demand.</p> <p>Legislative requirements unsupported by additional funding.</p> <p>Expectations of service delivery not within the resources available.</p> | | <p>Not meeting our statutory requirements.</p> <p>Inability to meet our customer's assessed needs. Financial and reputational damage to the service.</p> <p>Continued need for savings targets poses a risk for operation of all our services. This could have a knock on effect on preventive services or transformational change which will not be cost effective.</p> | | <p>Treat.</p> | | <p>Financial information is reported regularly to the Integration Joint Board, NHS Finance and Performance Committee and Orkney Health and Care Committee which highlights pressure areas.</p> <p>Review and revise the medium term financial plan.</p> <p>IJB budget planning processes and scrutiny. Some contingency arrangements in place in regard to operational service pressures within partner bodies.</p> | |

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| Number. | Risk Title. | | | | | | | Cluster. | |
| 5. | Financial and demographic pressures of services. | | | | | | | Financial. | |
| Risk Rating: | Owner. | | Chief Finance Officer. | | | | | | |
| Likelihood. | 5. | Impact. | 4. | RAG: | Very High. | Current Risk Score: | 20. | Target Risk Score: | 16. |
| Vulnerability. | | Trigger. | | Consequences. | | Options. | | Mitigating Actions. | |
| There is a risk that if financial and demographic pressures are not effectively planned for and managed over the medium to longer term, this could result in a potential failure to meet legislation and an impact on the ability of IJB to commission services to the most vulnerable people in Orkney. | | Unable to influence future funding to recognise demographic and other pressures, or realise future efficiencies and savings. | | <p>The inability to manage financial and demographic pressures to a suitable level can result in:</p> <ul style="list-style-type: none"> • Community wide poor reoccurring services performing. • Inability to provide best value services. • Government penalisation. • Legislation breaches, • Low service user and staff satisfaction levels. | | Treat | | <p>Eligibility criteria in place.</p> <p>Three-year Strategic Plan which includes transformation of services to ensure sustainability.</p> <p>Development of the Strategic Commissioning Implementation Plan.</p> <p>Introduction of Community Led Support to work collaboratively with communities.</p> <p>Performance reporting on a regular basis identifies targets that are either met or unmet.</p> <p>Additional funding from Scottish Government for Health and Social Care on managing pressures.</p> | |

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| | | | | | | | | | A local network and the National Chief Finance Officer meeting provide a discussion forum for wider issues impacting on partnerships, including prescribing and hosted services. |
| Number. | Risk Title. | | | | | | | Cluster. | |
| 6. | Recruitment and Retention of Workforce. | | | | | | | Staffing. | |
| Risk Rating: | Owner. | | Chief Officer. | | | | | | |
| Likelihood. | 5. | Impact. | 5. | RAG: | Very High | Current Risk Score: | 25. | Target Risk Score: | 9. |
| Vulnerability. | | Trigger. | | Consequences. | | Options. | | Mitigating Actions. | |
| <p>Insufficient workforce planning actions underway to shape future workforce through redeployment and training etc.</p> <p>Capacity issues make it difficult for the service to realise its priorities.</p> <p>Failure to recruit and retain appropriately skilled workforce.</p> | | <p>Service staff become overstretched.</p> <p>The service does not have the right staff in the right place, at the right time, to deliver Strategic Plan priorities and/ or statutory functions.</p> <p>Statutory officers are unable to discharge their statutory functions adequately.</p> | | <p>Service cannot manage within its resources.</p> <p>Existing workforce becomes overstretched.</p> <p>Key pieces of work are not able to be undertaken.</p> <p>Service standards drop and vulnerable people are placed at risk.</p> <p>Service is reactive rather than proactive.</p> <p>Regulatory authorities report poor performance and service is unable to</p> | | <p>Treat.</p> | | <p>Service Workforce Plan is now approved which complements the OIC and NHS Orkney Workforce Plans.</p> <p>This anticipates, as far as possible, the areas of greatest risk in shortfall of employees.</p> <p>Consideration of enhanced approach to redeployment and retraining as appropriate.</p> <p>Careful consideration to the release of staff by voluntary</p> | |

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| | | | | respond effectively to inspection regulations. An increased risk in legal challenges and complaints. Risk of financial penalties. | | | | means to ensure required skills are retained. More proactive approach to recruitment, succession planning and attraction of people to live and work in Orkney and 'Grow our own initiatives. | |
| Number. | Risk Title. | | | | | | | Cluster. | |
| 7. | Brexit. | | | | | | | Legislative. | |
| Risk Rating: | Owner. | | Chief Officer. | | | | | | |
| Likelihood. | 2. | Impact. | 3. | RAG: | Medium | Current Risk Score: | 6. | Target Risk Score: | 3. |
| Vulnerability. | | Trigger. | | Consequences. | | Options. | | Mitigating Actions. | |
| <p>There is a risk that this could affect the continuity of services and a reduction of workforce.</p> <p>Financial Impacts relating to Brexit and other wider economic issues. Financial risks relate to staffing, purchase of care, drugs, equipment, consumables and food.</p> | | <p>Changes in current Brexit agreements. Changes in legislation or government policy affecting access to markets. Shortfalls in supply and demand of labour, such as foreign labour access to UK.</p> | | <p>Poorer long term health within the community. Inability to provide high levels of care through services. Inability to reach year end with balanced financial books. Inability to meet financial targets due to potential increased costs.</p> | | <p>Treat.</p> | | <p>See EU-Exit risk registers for NHS Orkney and OIC.</p> <p>An incident management team has been set up within both organisations to address issues as they arise.</p> <p>National resilience systems in place.</p> | |

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| Number. | Risk Title. | | | | | | | Cluster. | |
| 8. | Impacts of new legislation. | | | | | | | Legislative. | |
| Risk Rating: | Owner. | | Chief Officer. | | | | | | |
| Likelihood. | 4. | Impact. | 3. | RAG: | High. | Current Risk Score: | 12. | Target Risk Score: | 8 |
| Vulnerability. | | Trigger. | | Consequences. | | Options. | | Mitigating Actions. | |
| New legislation and duties could have significant additional demands on Health and Social Care services. | | Issuing of new legislation by Scottish Government with unintended local consequences | | <p>Potential Government action and increased scrutiny due to inability to meet legislative demands.</p> <p>Financial implications such as government penalties, increased legal claims.</p> <p>Poor inspection and audit results.</p> <p>Resources whether human or financial could be considerably pressured.</p> | | Treat | | <p>Three-year Strategic Commissioning Plan which includes transformation of services to ensure sustainability</p> <p>Eligibility Criteria.</p> <p>Introduction of Community Led Support to work collaboratively with communities.</p> | |
| Number. | Risk Title. | | | | | | | Cluster. | |
| 9. | Lack of strategic Direction for commissioning of services. | | | | | | | Legislative | |
| Risk Rating: | Owner. | | Chief Officer. | | | | | | |
| Likelihood. | 4. | Impact. | 3. | RAG: | High. | Current Risk Score: | 12. | Target Risk Score: | 9. |

| Vulnerability. | Trigger. | Consequences. | Options. | Mitigating Actions. |
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| The Directions for the commissioning of services are not sufficiently detailed for partners to deliver the services. | Lack of directional detail and/or instruction within commissions of services plan. | <p>Services will receive funding without clear expectations and directions to what is expected to be achieved with funds.</p> <p>Partners may not deliver on services objectives or seek best value approach to services delivery.</p> <p>This may lead to lack of service initiation when considering the most effective quality improvement to services.</p> | Treat | <p>A Directions template has been development for approval which includes information on outcomes required and associated budget.</p> <p>There will be revised Directions once Strategic Commissioning Plan is developed and agreed</p> <p>When the full review of the Integration Scheme is completed, new directions will be issued to all services delegated.</p> <p>An annual directions report presented to the Board.</p> |

| Number. | Risk Title. | | | | | | Cluster. | | |
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| 10. | Primary Care Improvement Plan. | | | | | | Legislative. | | |
| Risk Rating: | Owner. | | Head of Primary Care Services. | | | | | | |
| Likelihood. | 4. | Impact. | 4. | RAG: | High | Current Risk Score: | 16. | Target Risk Score: | 12. |
| Vulnerability. | Trigger. | | Consequences. | | Options. | | Mitigating Actions. | | |

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| The Primary Care Improvement Plan proposals will not meet all of the outcomes that are within the GMS contract within the timeframe | Key nationally identified priorities for primary care improvement are not in place. GP practices do not have the resources they need locally to deliver local priorities. | Patient care and public health affected. Recruitment and retention challenges in relation to GPs and other primary care colleagues | Treat. | The plan is submitted to the Board for approval. Further reports are given to IJB on progress and issues. There is a dedicated Programme Manager to manage these priorities. |
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| Number. | Risk Title. | | | | | Cluster. | | | |
|---|--|----------------|--|-------------|-----------------|----------------------------|---|---------------------------|-----|
| 11. | COVID-19. | | | | | Legislative. | | | |
| Risk Rating: | Owner. | | Head of Health and Community Care, Head of Primary Care and Chief Finance Officer. | | | | | | |
| Likelihood. | 4. | Impact. | 5. | RAG: | Very High. | Current Risk Score: | 20 | Target Risk Score: | 10. |
| Vulnerability. | Trigger. | | Consequences. | | Options. | | Mitigating Actions. | | |
| Vulnerable service users/patients and staff may be affected by the effects of the Coronavirus, particularly residents in our care homes. Implications of COVID-19 means that work on the strategic priorities has been postponed. Financial risks relating to COVID 19 There is a significant financial | Sustained transmission of the virus in Orkney communities, affecting those most at risk. Outbreak in one of our care homes. Staff tiredness. Lack of available staff to provide the programme Conflicting demands on the department. | | The consequences would be tragic for those affected. Failure to deliver the vaccination programme within Government timescales. Increased staff absence Failure to deliver on key strategic aims. | | Treat | | Well communicated instruction for health and social care staff appropriate to professional role by Public Health. All national and local measures including social distancing, frequent handwashing, appropriate PPE, staff and service user/resident screening, self-isolation. | | |

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| <p>implication to the IJB if the costs of the response to the crisis are not fully funded. There may be longer term implications that may have financial impact.</p> <p>The need to provide the largest scale vaccination programme with tight timescales and the need to for the programme to potentially be delivered over the next 9 months has the potential to overwhelm staff.</p> | | | | <p>Additional staffing been recruited in regard to vaccination programme.</p> <p>Vaccination programmes starting with those most at risk.</p> <p>Close partnership working with local resilience partnership and Community Planning partners.</p> <p>Conformance with all performance monitoring by Scottish Government and Care Inspectorate.</p> <p>Detailed financial planning and monitoring on COVID-19 is in place and costs are considered by the Scottish Government as part of the Orkney Mobilisation Plan response.</p> <p>Risk assessment integral part of the assessment process.</p> <p>Rolling programme of All frontline managers provided with refresher training concerning statutory compliance.</p> |
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| | | | | PVG (Protecting Vulnerable Groups) scheme in place. |
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| Number. | Risk Title. | | | | | | | Cluster. | |
|---|--|----------------|---|-------------|-------|----------------------------|-----|---|-----|
| 12. | Inability to deliver core protection and support services for children and young people. | | | | | | | Legislative. | |
| Risk Rating: | Owner. | | Head of Children's Services and Chief Social Work Officer. | | | | | | |
| Likelihood. | 3. | Impact. | 5. | RAG: | High. | Current Risk Score: | 15. | Target Risk Score: | 10. |
| Vulnerability. | Trigger. | | Consequences. | | | Options. | | Mitigating Actions. | |
| Children and young people are vulnerable due to the Council's need to improve policies, procedures and services as part of multi-agency child protection and support services, highlighted in the 'Report of a joint inspection of services for children and young people in need of care and protection in Orkney', February 2020. | Children and young people in need of protection and/or support do not have their needs met by the multi-agency team. | | Children and young people are exposed to harm; children and young people are not provided with the best chances in early life; children and young people are not supported in closing the opportunity gap. When performance shortfalls are highlighted in inspection reports, this requires improvement. However, a collateral consequence can be that it makes it more difficult to attract permanent good quality staff to work in Orkney children's and young people's social | | | Treat. | | Comprehensive multi-agency improvement plan has been developed which addresses all areas for improvement. Progress with this plan is closely monitored by the Chief Officers' Group and the relevant partner governance bodies. Progress Review Inspection in April 2021 will provide external scrutiny of progress to date and help determine level of vulnerability. | |

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| | | work and social care services, exacerbating vulnerabilities. | | |
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| Number. | Risk Title. | | | | | | | Cluster. | |
|---|--|----------------|---|-------------|-----------------|----------------------------|--|--|-----|
| 13. | Analogue to Digital Switchover. | | | | | | | Financial (as this is a strategic risk due to the financial risk). | |
| Risk Rating: | Owner. | | Head of Health and Community Care. | | | | | | |
| Likelihood. | 5. | Impact. | 4. | RAG: | Very High. | Current Risk Score: | 20. | Target Risk Score: | 10. |
| Vulnerability. | Trigger. | | Consequences. | | Options. | | Mitigating Actions. | | |
| Vulnerable adults left without access to Telecare as a means of support due to cost implications of an accelerated switch from analogue to digital phone lines. | Switch from analogue to digital planned for 2023 – 2025 in Scotland. | | Vulnerable adults could be left without a means to contact someone if they are in need of help which could result in not getting appropriate treatment in a timely fashion. | | Treat. | | <p>There is funding available for implementation for £71,400 from Scottish Government TEC to test implementation.</p> <p>Ongoing support work with national groups such as connecting Scotland has been undertaken through services.</p> <p>Programme board to ensure a functional central system capable of handling digital technology is implemented in suitable timeframe.</p> | | |

| Number. | Risk Title. | | | | | | | Cluster. | |
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| 14. | Annual Accounts Preparation. | | | | | | | Financial | |
| Risk Rating: | Owner. | | Head of Health and Community Care | | | | | | |
| Likelihood. | 3. | Impact. | 4. | RAG: | High | Current Risk Score: | 12 | Target Risk Score: | 8. |
| Vulnerability. | | Trigger. | | Consequences. | | Options. | | Mitigating Actions. | |
| The disclosures in the Annual Accounts do not give the quality assurance required. | | Performance of the IJB is not reported in a transparent manner. | | This could result in a qualified report which illustrates that the organisation is not operating effectively. | | Treat. | | There will be further liaison with key officers to ensure a quality assurance process is in place and the accounts are of sufficient quality to allow the audit to progress in line with planned timescales. | |

| Number. | Risk Title. | | | | | | | Cluster. | |
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| 15. | Set Aside Budget. | | | | | | | Financial . | |
| Risk Rating: | Owner. | | Chief Finance Officer. | | | | | | |
| Likelihood. | 4. | Impact. | 4. | RAG: | High. | Current Risk Score: | 16. | Target Risk Score: | 12. |
| Vulnerability. | | Trigger. | | Consequences. | | Options. | | Mitigating Actions. | |
| Although the Set Aside Budget has been delegated the | | The information is not sufficient to be able to have the strategic | | Not meeting our statutory requirements. | | Treat. | | Development session with Members on understanding of set aside budget. | |

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| arrangement is not working as intended. | oversight in line with the legislation. | Potentially not able to fulfil preventive services or transformational change which will not be cost effective. | | Development with Finance team on information that is required moving forward. |
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| Number. | Risk Title. | | | | | | | Cluster. | |
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| 16. | Misstatement of Payments to Primary Care Contractors | | | | | | | Financial | |
| Risk Rating: | Owner. | | Head of Primary Care. | | | | | | |
| Likelihood. | 4. | Impact. | 4. | RAG: | High | Current Risk Score: | 16 | Target Risk Score: | 12. |
| Vulnerability. | | Trigger. | | Consequences. | | Options. | | Mitigating Actions. | |
| Lack of controls in regard to payments to Primary Care Contractors are not scrutinised sufficiently before payments are made. | | The service auditor issued qualified audit opinions in 2019/20 which reflected an absence of evidence to confirm the operation of a range of expected controls. | | Payments are made which are not appropriate | | Treat. | | Payments are reviewed by managers and unexpected variances are investigated. | |

| Number. | Risk Title. | | | | | | | Cluster. | |
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| 17. | Budget Setting. | | | | | | | Financial. | |
| Risk Rating: | Owner. | | Chief Finance Officer. | | | | | | |
| Likelihood. | 5. | Impact. | 5. | RAG: | Very High | Current Risk Score: | 25. | Target Risk Score: | 15. |

| Vulnerability. | Trigger. | Consequences. | Options. | Mitigating Actions. |
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| Budgets are not set and approved prior to start of financial year and IJB will be operating without a formally agreed budget. | Not receiving formal budget offers from Partner bodies in a timeous manner. | Unable to commission/decommission services with financial resources attached. | Treat. | Ongoing discussions with partner bodies on more joined up working. Updated integration scheme to agree on how future budgets will be allocated. |

| Number. | Risk Title. | | | | | | | Cluster. | |
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| 18. | Integration Scheme Review. | | | | | | | Governance | |
| Risk Rating: | Owner. | | Chief Officer | | | | | | |
| Likelihood. | 3. | Impact. | 5. | RAG: | High. | Current Risk Score: | 15. | Target Risk Score: | 10. |
| Vulnerability. | Trigger. | | Consequences. | | Options. | | Mitigating Actions. | | |
| Integration Scheme is not agreed within appropriate timescales. | | | There is no governance document between the partners and the IJB. | | Treat. | | A review is underway between the partners and this will be submitted to Scottish Government within financial year 2021/22 for approval. This will then be presented to the IJB for noting. | | |

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| Number. | Risk Title. | | | | | | | Cluster. | |
| 19. | Changes in Leadership. | | | | | | | Strategic. | |
| Risk Rating: | Owner. | | Chief Officer. | | | | | | |
| Likelihood. | 5. | Impact. | 5. | RAG: | Very High. | Current Risk Score: | 25. | Target Risk Score: | 15. |
| Vulnerability. | | Trigger. | | Consequences. | | Options. | | Mitigating Actions. | |
| No permanent Chief Officer in post to take leadership role within organisation. | | Decisions might be made in the partner organisations that affect the services which have been delegated to the IJB. | | Failure to redesign integrated services to secure equitable, sustainable and affordable services. Issues are addressed piecemeal with no strategic overview. Diminished reputation from failure to deliver. | | Treat. | | A recruitment campaign has been held and interviews will be taking place in April 2021 to recruit permanent Chief Officer post. | |