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Agenda Item: 9

Integration Joint Board

Date of Meeting: 21 June 2023.

Subject: Risk Register.

1. Purpose

1.1. To present a revised Risk Register for Members' consideration and approval.

2. Recommendations

The Board is invited to note:

2.1. The proposed changes to the Risk Register, summarised in section 4 of this report and marked in track changes in Appendix 1.

It is recommended:

2.2. That the revised Risk Register, attached as Appendix 1 to this report, be approved.

3. Background

3.1. The 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 NHS Orkney and Orkney Islands Council.

3.2. The Board approved a refreshed Risk Management Strategy at its meeting held on 19 April 2023.

3.3. The approved Risk Management Strategy states: 'Risk Management is a continuous and critical process that enables the Integration Joint Board to manage uncertainty (positive or negative) i.e. its exposure to risk'.

3.4. 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.

3.5. On 22 February 2023, the IJB resolved that the revised Risk Register, attached as Appendix 1 to the report circulated be approved.

4. Amendments / Updates

4.1. In progressing alignment of the Risk Register to the Orkney Health and Social Care Partnership's Strategic Plan 2022 – 2025, it is proposed that risks relating to unpaid carers be included within the Risk Register.

4.2. It is anticipated that continuing progress will be made towards further aligning the Risk Register with the priorities of the Strategic Plan and risks identified of not being able to deliver the priorities.

4.3. It is also recognised that in aligning the Risk Register to the Strategic Plan continuing progress should be made towards mitigating actions follow Specific, Measurable, Achievable, Realistic and Timely (SMART) principles.

4.4. The IJB's Risk Management Strategy requires that the Risk Register should be reviewed at least six monthly.

4.5. All amendments since February 2023 are 'track changed' in the Appendix for ease.

5. Contribution to quality

Please indicate which of the Orkney Community Plan 2023 to 2030 values are supported in this report adding Yes or No to the relevant area(s):

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.	No.
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.

6. Resource and financial implications

6.1. The Risk Register is updated 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.

7. Risk and equality implications

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

8. Direction required

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

NHS Orkney.	No.
Orkney Islands Council.	No.

9. Escalation required

Please indicate if this report requires escalated to:

NHS Orkney.	No.
Orkney Islands Council.	No.

10. Author and contact information

10.1. Peter Thomas (Chief Finance Officer), Integration Joint Board. Email: peter.thomas@orkney.gov.uk, telephone: 01856873535 extension 2611.

11. Supporting documents

11.1. Appendix 1: Risk Register.

Risk Register
Orkney Integration Joint Board

May 2023.

The refreshed [Risk Management Strategy](#) was agreed by the Integration Joint Board on 19 April 2023.

The Risk Register for the Integration Joint Board (IJB) is the Strategic Risk Register for the Board. There is also a service Risk Register for Orkney Health and Social Care Partnership 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).

	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.	IJB Financial Sustainability.							Financial	
Risk Rating:	Owner.		Chief Finance Officer.						
Likelihood.	4.	Impact.	5.	RAG:	Very High.	Current Risk Score:	20.	Target Risk Score:	12.

Vulnerability.	Trigger.	Consequences.	Options.	Mitigating Actions.
<p>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.</p> <p>Unable to deliver in full the existing savings and achieve new savings to deliver a balanced</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><u>Care Inspectorate and public expectations of service delivery not within the resources</u></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>	Treat.	<p>Financial information <u>should be reported</u> regularly to the <u>IJB to</u> highlight pressure areas.</p> <p>Medium Term Financial Plan in place.</p> <p>IJB budget planning processes and scrutiny.</p> <p>Some contingency arrangements in place in regard to operational service pressures within partner bodies. Regular meetings with the Financial Sustainability Office in place.</p>

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Vulnerability.	Trigger.	Consequences.	Options.	Mitigating Actions.
budget.	available. <u>Inflationary pressures.</u> Reducing <u>real terms</u> budget <u>allocation for,</u> <u>the</u> public sector.			<p>The Scottish Government has recognised the pressures regarding specific elements of the service and have allocated additional funding.</p> <p>Eligibility criteria in place.</p> <p>Three-year Strategic Plan which includes transformation of services to ensure sustainability.</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> <p>Progress with the actions from the Joint Working and IJB Adjustments internal audits.</p>

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Number.	Risk Title.							Cluster.	
2.	Recruitment, Development 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><u>Aging workforce.</u></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><u>Widening gap between staff pay in Social Care sector to comparable jobs elsewhere.</u></p>	<p>Service cannot manage within its resources.</p> <p>Existing workforce becomes overstretched.</p> <p><u>Increased levels of stress related absence.</u></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><u>Over reliance on agency staffing.</u></p>	Treat.	<p>The Health and Social Care Three Year Workforce Plan submitted to Scottish Government on 31 July 2022. Further work required in relation to social care / social work elements. Quarterly meetings in place with Council, Health Board and Third Sector Interface to discuss workforce planning as a whole system approach.</p> <p>Workload tools <u>will be rolled out during June to October 2023 which</u> will be employed to define current</p>

Vulnerability.	Trigger.	Consequences.	Options.	Mitigating Actions.
	<p><u>Retirement of staff.</u></p>	<p><u>Lack of continuity in the relationship between care worker and service user.</u></p> <p><u>Experience and knowledgeable staff leaving the sector.</u></p> <p>Regulatory authorities report poor performance and service is unable to respond effectively to inspection regulations.</p> <p>An increased risk in legal challenges and complaints.</p>		<p>need against current position, as well as projecting future required workforce.</p> <p>This anticipates, as far as possible, the areas of greatest risk in shortfall of employees.</p> <p>More proactive approach to recruitment, succession planning and attraction of people to live and work in Orkney and 'Grow our own initiatives.</p> <p>Launching of a Sponsorship and Trainee Social Work Partnership with Open University to produce qualified Social Workers over next 2,4, 6 and 10 years.</p> <p>The Learning Needs Analysis will show the gaps that the service needs to address. Once completed the Action Plan will detail what is needed</p>

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Vulnerability.	Trigger.	Consequences.	Options.	Mitigating Actions.
				<p>to arm employees with the skills, knowledge and tools to be able to fulfil their roles and feel supported to do so. The first phase covers social care and will focus on learning and training gaps, to help retain staff.</p> <p><u>The Internal Audit and progress on the action plan, on workforce planning, will be presented to Performance and Audit Committee in June 2023.</u></p> <p><u>A report on the status of outcomes contained in the Orkney Health and Care Workforce Plan 2020 – 2022 was presented to the Board in April 2023.</u></p>

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3.	Public Protection.						Strategic.		
Risk Rating:	Owner.	Interim Head of Children, Families and Justice Services and Chief Social Work Officer.							
Likelihood.	4.	Impact.	5.	RAG:	Very High.	Current Risk Score:	20.	Target Risk Score:	10.

Vulnerability.	Trigger.	Consequences.	Options.	Mitigating Actions.
Findings of Children's subsequent Progress Reviews. Findings of the Adult Support and Protection Inspection in 2023.	Adverse reports from Care Inspectorate Inspection findings.	Ineffective working arrangements to identify, investigate, share information, and take collective, effective, protective action for children and vulnerable adults experiencing or at risk of significant harm.	Treat.	Progress Improvement Plan from the Joint Children Service's inspection. Significant preparation activity prior to announcement of Adult Support and Protection inspection. Chief Officer's Group Action Planning arrangements to address organisational public protection working arrangements and resource considerations. Recruitment of Public Protection Lead Officer and Learning and

Vulnerability.	Trigger.	Consequences.	Options.	Mitigating Actions.
				Development under way.

Number.	Risk Title.				Cluster.
4.	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. Significant increase in cost of service provision once appropriate kit has been identified. Possible future need to	Treat.	Funding of £71,400 is available from the Scottish Government to test new equipment now available both in terms of efficacy and connectivity issues. Regular meetings with Scottish Government colleagues ensures sharing of information both flowing from and into Orkney. Ongoing support work with

Vulnerability.	Trigger.	Consequences.	Options.	Mitigating Actions.
		reconsider service user charges in light of increased running costs.		national groups such as Connecting Scotland has been undertaken through services. Progress development and recruitment of Telecare Development Officer.

Number.	Risk Title.				Cluster.				
5.	Budget Setting.				Financial.				
Risk Rating:	Owner.	Chief Finance Officer.							
Likelihood.	3.	Impact.	4.	RAG:	High	Current Risk Score:	12.	Target Risk Score:	8.

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Vulnerability.	Trigger.	Consequences.	Options.	Mitigating Actions.
Budget <u>allocations from Partners</u> are not set and approved prior to start of financial year and IJB will be operating without a formally agreed budget. <u>Detailed budget to Partners providing</u>	Not receiving formal budget offers from Partner bodies in a timeous manner. <u>Not providing Partners service budgets in a timeous manner.</u>	Unable to commission/decommission services with financial resources attached.	Treat.	Ongoing discussions with partner bodies on more joined up working. Progress the actions from the Internal Audit on Joint Working. Joint correspondence to Scottish Government on the budget setting process

Vulnerability.	Trigger.	Consequences.	Options.	Mitigating Actions.
<u>commissioned services not being set and approved prior to the commencement of the financial year.</u>				to ensure ability to have budget setting discussions in a timely fashion. <u>Timeous distribution of detailed budgets to Partners for commissioned services.</u>

Number.	Risk Title.						Cluster.		
6.	Implications of National Care Service.						Strategic.		
Risk Rating:	Owner.		Chief Officer.						
Likelihood.	5.	Impact.	4.	RAG:	Very High.	Current Risk Score:	20.	Target Risk Score:	6.

Vulnerability.	Trigger.	Consequences.	Options.	Mitigating Actions.
The Scottish Government's intention to create a National Care Service and to amend the functions of Integration Joint Boards may affect the provision of care in Orkney.	National developments relating to the redesign of adult care services may not take account of the unique requirements of delivering effective care services in remote and rural areas; the concern that eligibility	Reduced ability to support and protect individuals and families by delivering effective care services within Orkney.	Treat.	Engage with the Scottish Government through COSLA, the Chairs' and Vice Chairs' national meetings, and through the Chief Officers' Group to ensure there is a full understanding of Orkney's challenges.

Vulnerability.	Trigger.	Consequences.	Options.	Mitigating Actions.
	for services may become more challenging for service users should a national set of criteria be required; and the possibility that the higher costs of care required for small services and related inter-island travel may not be recognised and funded appropriately.			Utilise local ministerial visits to ensure the Orkney perspective is heard.

Number.	Risk Title.				Cluster.
7.	Isles Primary Care Model.				.
Risk Rating:	Owner.	Head of Primary Care and Associate Medical Director, Community.			
Likelihood.	4.	Impact.	5.	RAG: Very High.	Current Risk Score: 20. Target Risk Score: 12.

Vulnerability.	Trigger.	Consequences.	Options.	Mitigating Actions.
There is a risk that the IJB will fail to deliver and meet the population	Consistently have no medical cover available to provide on-island response within INOC	Island communities have no current 24/7 provision of care.	Treat.	Option Appraisal regarding sustainable out of hours cover for all islands underway in conjunction

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Vulnerability.	Trigger.	Consequences.	Options.	Mitigating Actions.
needs of the Isles.	<p>island, despite exhausting all local resource options, bank locums, and Agency provision.</p> <p>Failure to recruit to posts.</p> <p>Increasing staff vacancies.</p> <p>Model does not fully support Working Time Directive.</p> <p>Excess pressure and responsibility placed on neighbouring branch surgeries for remote support which may lead to increased anxiety / stress and associated impact on their performance.</p> <p>Reduced Staff Morale.</p> <p>Crisis management taking up Management time.</p> <p>High level community concern.</p> <p>Reputational damage.</p>			<p>with isles clinicians and communities.</p> <p>Continue to work with Scottish Ambulance Service and the First Responder (Isles) Group to ensure Responders are treated consistently.</p> <p>Set up short life working groups with community representatives in North Ronaldsay, Papa Westray an; Eday as starting point for reviewing whole system model.</p> <p>A Health and Social Care Manager to regularly attend each of the isles Community Council to update communities on any Health and Social Care items and answer questions, with a look to rolling out the offer to all Community Councils.</p>

Number.		Risk Title.					Cluster.		
8.		Unpaid Carers.					Strategic.		
Risk Rating:	Owner.		Head of Strategic Planning and Performance.						
Likelihood.	4.	Impact.	5.	RAG:	Very High.	Current Risk Score:	20.	Target Risk Score:	12.

<u>Vulnerability.</u>	<u>Trigger.</u>	<u>Consequences.</u>	<u>Options.</u>	<u>Mitigating Actions.</u>
<p>There is a risk that support for unpaid carers is not effectively planned for and managed.</p> <p>This could result in a potential failure to meet legislation and impact on the valuable service unpaid carers are providing within the community. Increasing reliance on unpaid carers may become unsustainable.</p>	<p>Non-self-identification of people providing care as being unpaid carers themselves.</p> <p>External pressure on unpaid carers such as financial pressures from the cost-of-living crisis, the tendency and need for people, including unpaid carers to work longer hours and to defer their own retirement plans, along with educational pressures on young carers.</p>	<p>Reduced time unpaid carers can devote to caring.</p> <p>Increased levels of stress placed upon unpaid carers leading to carer burnout.</p> <p>Reduced level of care unpaid carers can provide.</p> <p>Increased need for statutory care services, placing greater demands on services.</p> <p>Reduced educational opportunities for young carers.</p>	<p>Treat.</p>	<p>Working with Partners, such as Crossroads Care Orkney, Orkney Islands Council in communications to identify as an unpaid carer.</p> <p>Establishing an unpaid carers conference.</p> <p>Investigate opportunities to work with employers (initially NHS Orkney and Orkney Islands Council) to develop carer-friendly employment policies.</p> <p>Maximise innovative respite care / short breaks options and opportunities.</p>

<u>Vulnerability.</u>	<u>Trigger.</u>	<u>Consequences.</u>	<u>Options.</u>	<u>Mitigating Actions.</u>
				<u>Develop specific strategies to identify and support young carers.</u>

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