

Stephen Brown (Chief Officer)
Orkney Health and Social Care Partnership
01856873535 extension: 2601
OHACfeedback@orkney.gov.uk



Agenda Item: 10.

Integration Joint Board

Date of Meeting: 22 February 2023.

Subject: Risk Register.

1. Purpose

1.1. To consider a revised Risk Register for approval.

2. Recommendations

It is recommended:

2.1. That the Board considers the proposal revisions to the IJB Risk Register, detailed in sections 4.1 and 4.2 of this report and thereafter approve the updated Risk Register, attached as Appendix 1 to this report.

3. Background

3.1. 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.

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

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 21 September 2022, the Board considered a revised Risk Register and, in light of comments made, deferred consideration to enable the Chief Officer to address all the points raised.

4. Amendments/Updates

4.1. Following a review, some of the risks were considered more operational in nature or repetitive and therefore have been amalgamated within other risks. Accordingly, the following table sets out the proposed amendments to the Risk Register.

Risk Number.	Risk Title	Update.
1.	IJB Financial Sustainability.	Amended triggers and mitigating actions.
2.	Recruitment and Retention.	Updated mitigating actions to provide further clarity and revised owner.
3.	Public Protection.	Amended owner, revised vulnerabilities and triggers and updated mitigating actions.
4.	Analogue to Digital Switchover.	Updated consequences and mitigating actions.
5.	Budget Setting.	Updated likelihood, impact, RAG rating and current risk score and amended mitigating action.
6.	Implications of National Care Service.	Updated mitigating actions.
7.	Isles Primary Care Model.	Updated mitigating actions.

4.2. Since September 2022, the following risks have been removed from the Risk Register:

- COVID-19 – removed as a result of COVID activity reducing and outbreaks being addressed through established processes.
- Set Aside – all actions relating to understanding, management and determination of Set Aside budgets have now been completed.

4.3. It is anticipated that the Risk Register moving forward will be aligned with the approved Strategic Plan and risks identified of not being able to deliver the priorities.

4.4. When the Risk Register becomes aligned to the Strategic Plan, recommendations from an internal audit will be taken on board, including mitigation actions being Specific, Measurable, Achievable, Realistic, Timely (SMART).

5. Contribution to quality

Please indicate which of the Orkney Community Plan 2021 to 2023 visions 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. Authors and contact information

10.1. Stephen Brown (Chief Officer), Integration Joint Board. Email: stephen.brown3@nhs.scot, telephone: 01856873535 extension 2601.

11. Supporting documents

11.1. Appendix 1: Risk Register January 2023.

Orkney's Integration Joint Board

Risk Register

January 2023.

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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).

	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 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>Reducing budget to public sector.</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 which highlights 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> <p>The Scottish Government has recognised the pressures regarding specific elements of the service and have</p>

Vulnerability.	Trigger.	Consequences.	Options.	Mitigating Actions.
				<p>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>

Number.	Risk Title.							Cluster.	
2.	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 respond effectively to inspection regulations.</p> <p>An increased risk in legal challenges and</p>	<p>Treat.</p>	<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 will be employed to define current need against current position, as well as projecting future required workforce. It is anticipated this will be in place by March 2023.</p> <p>This anticipates, as far as</p>

Vulnerability.	Trigger.	Consequences.	Options.	Mitigating Actions.
		complaints.		<p>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, by March 2023, will detail what is needed 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>Progress the actions from the</p>

Vulnerability.	Trigger.	Consequences.	Options.	Mitigating Actions.
				recent internal audit on workforce which will be presented to Committee in March 2023.

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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 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.	<p>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.</p> <p>Significant increase in cost of service provision once appropriate kit has been identified.</p> <p>Possible future need to reconsider service user charges in light of increased running costs.</p>	Treat.	<p>Funding of £71,400 is available from the Scottish Government to test new equipment now available both in terms of efficacy and connectivity issues.</p> <p>Regular meetings with Scottish Government colleagues ensures sharing of information both flowing from and into Orkney.</p> <p>Ongoing support work with national groups such as Connecting Scotland has been undertaken through services.</p> <p>Progress development and recruitment of Telecare Development Officer.</p>

Number.	Risk Title.							Cluster.	
5.	Budget Setting.							Financial.	
Risk Rating:	Owner.		Chief Finance Officer.						
Likelihood.	4.	Impact.	4.	RAG:	High	Current Risk Score:	16.	Target Risk Score:	15.

Vulnerability.	Trigger.	Consequences.	Options.	Mitigating Actions.
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.	<p>Ongoing discussions with partner bodies on more joined up working.</p> <p>Progress the actions from the Internal Audit on Joint Working.</p> <p>Joint correspondence to Scottish Government on the budget setting process to ensure ability to have budget setting discussions in a timely fashion.</p>

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 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.	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. 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.
<p>There is a risk that the IJB will fail to deliver and meet the population needs of the Isles.</p>	<p>Consistently have no medical cover available to provide on-island response within INOC 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>Island communities have no current 24/7 provision of care.</p>	<p>Escalated from Primary Care to IJB risk register.</p>	<p>Option Appraisal regarding sustainable out of hours cover for all islands underway in conjunction 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>