

Risk ID	Review date	Key Risk	Risk Description	Classification	Lead Officer	Inherent Risk Score			Controls	Adequacy of controls	Risk Treatment	Residual Risk Score			Further Action Required	Responsible Person	Target Date	Updated
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IJB002	31/03/2018	Strategic planning arrangements between Children's Services and Adult and Older People Services not clearly defined.	The Strategic planning arrangements between Children's Services and Adult and Older People Services are not clearly defined. This could lead to decisions being made by the IJB regarding children's health services which potentially could conflict with the direction of travel being undertaken for planning of children's services. This could result in two bodies making decisions which affect strategic planning for children's services (issue of primacy)	Service Delivery	Val de Souza	3	3	Medium	1. Community plan / Local outcome improvement plan 2. Corporate Parenting Roles and Responsibilities 3. Clarity of Roles of IJB/Lead Officer/Chief Social Work Officer representation across IJB and Children's Partnership Forum 4. GIRFEC well embedded 5. Clarity of approval arrangements for plans for joint working 6. Children's Services Plan	Adequate	Mitigate	2	2	Medium	1. Develop robust arrangements for transitions 3. Council managed children's services - planning and delivery options to be agreed	Head of Children & Justice	Sep-17	✓
IJB005	31/03/2018	Failure to effectively communicate key information to staff	Communication of key information and the role of the IJB to staff, who are still employed by their parent body/host agency, could lead to some confusion and misunderstandings. This could be caused by change of management / structural changes. Also, the IJB's vision needs to be clearly set out and referred to by managers / co-ordinators etc across the partnership so staff and stakeholders can relate to and identify their roles within this particularly at a locality level Staff could interpret that they are part of a new body, but in actual fact, their terms and conditions and roles remain fundamentally the same. Staff could be unclear on what the vision of the IJB is.	Communications	Val de Souza	4	4	Very High	1. Communication strategy in place 2. Key messages delivered in a consistent way 3. Heads of Service Integrated 4. Locality Seminars 5. Locality Leads & links 6. Senior Management Team established 6. Locality planning groups led by members of the IJB 7. Newsletter/Team briefings/Ongoing blog from Chief Officer	Adequate	Mitigate	3	2	Medium	1. Managers to implement and support the communication strategy in a consistent manner.	Heads of Service	Ongoing	✓
	2. Implement new management structure														SMT			
	3. Implement milestones with appropriate linkage to OD and communications Strategy 4. Ensure communications Manager fully briefed on all key issues														SMT/Locality Managers	Ongoing		
IJB007	31/03/2018	Reduction in Public Sector finances as a consequence of austerity measures	From an IJB perspective, there is no unique settlement from Central Government. The IJB is dependent on funding from both parties. This could be affected by the financial settlement for both parties being reduced in real terms; new Scottish Government policy commitments; and competing priorities, parties savings and efficiency targets. The parties existing efficiency arrangements could have an impact on the ability to deliver services, as one of the parties could reduce or withdraw services as they are deemed to be a lesser priority. The IJB could be unable to provide sufficient resources to community based services to achieve the national and local visions	Financial	Val de Souza	4	4	Very High	1. Partnership groups 2. Agreement of priorities and associated performance measurement against the 6 integration measures 3. Phases of transformational change programme 4. Service redesign and decision making 5. Parties existing budgetary management procedures 6. Parties existing efficiency regimes 7. Budget monitoring monthly 8. Joint financial procedures	Good	Mitigate	4	3	High	1. Medium - long term financial strategy	Finance Services Manager	Jan-16	✓
IJB009	31/03/2018	Equal Pay	Staff within the constituent partners carrying out like / broadly similar work have different working practices, pay, terms and conditions of employment. This could lead to claims under Equal Pay Legislation.	Staffing	Val de Souza	4	4	Very High	1. Both NHSL and SLC have well established job families, pay scales and evaluation schemes. 2. Established trade union and employee relations 3. Conciliation and arbitration processes in place 4. Separate employers (IJB not employer)	Adequate	Mitigate	1	2	Low	1. Joint communication to reassure staff 2. Personnel in local authority and NHS to identify potential areas of challenge and develop business case to justify / amend the current position	HR/Personnel and Organisational Development L lead	Ongoing	✓
IJB010	31/03/2018	Lack of common approach to staff engagement NHS/SLC	There are different approaches to staff engagement and employee relations in the NHS compared to SLC. The partnership may not comply with legislation that requires Scottish NHS employees to be dealt with in accordance with the principles of the Staff Governance Standard. Staff in the NHS may contest that they have not been dealt with in accordance with the staff governance standard, and raise a claim under the dispute / grievance policy.	Staffing	Val de Souza	4	4	Very High	1. Existing systems in place to look at employee engagement 2. Communication and Engagement Strategy 3. Locality Leadership Group Workshop	Adequate	Mitigate	2	1	Low	1. Agree rules of staff engagement for IJB 2. Strategic commissioning Plan	HR Leads	Ongoing	✓

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IJB012	31/03/2018	Lack of clarity around management roles and responsibilities/silo operational working	There is a lack of clarity around management roles and responsibilities as a result of integrated locality planning arrangements, unclear structural arrangements, lack of supporting policies and procedures, and poor communication arrangements. This can result in silo operational working impacting on staff morale, service delivery, duplication of limited resources, disputes between professional leads, elected members and senior managers, missed opportunity to deploy resources effectively.	Staffing	Val de Souza	4	4	Very High	1. Heads of Service Integrated meetings 2. Locality Seminars 3. Locality Leads / Links 4. Locality Modelling Development	Adequate	Mitigate	3	3	Medium	1. Move to fully integrated management arrangements	Heads of Service	Ongoing	✓
IJB013	31/03/2018	Potential restructures/ displaced employees	Changes in service delivery lead to a restructure which may impact on the employees of the constituent bodies in that the work that they undertake is no longer required. This would mean that in order to meet the requirements of service delivery under health and social care integration, structural / role changes could lead to posts being removed from the structure. This could result in the responsible employer having to find alternative employment for the affected employees or have the financial burden of making severance payments.	Staffing	Val de Souza	3	3	Medium	1. Joint organisational development 2. Redeployment sits with constituent organisation 3. Fit with finance risk re 'severance pay'	Adequate	Mitigate	3	1	Low	1. Develop workforce planning strategy and Organisation Development Plan commensurate with strategic commissioning plan	HR Leads	Ongoing	✓
IJB017	31/03/2018	Lack of joint training approach	Some training programmes may benefit from a joined up approach, and economies of scale, however, operational managers leading on service delivery require to be informed, consulted and engaged in this work. This could result in efficiencies benefits, and the potential to improve workforce knowledge and skills base, however some programmes presently are prioritised because of service legislative and / or operational requirements, need to ensure abilities to influence prioritisation based on service need are maintained. This could result in better joint training opportunities.	Staffing	Val de Souza	4	3	High	1. Joint OD / training post. 2. Training / Leadership in place 3. Joint OD Strategy c/o joint Management Strategy 4. National training around integration	Adequate	Mitigate	2	1	Low	1. Identify and define joint training opportunities including extending and developing skills commensurate with risk IJB 013	HR Leads	Ongoing	✓
IJB019	31/03/2018	A lack of shared understanding of service context and priorities	A lack of shared understanding of service context and priorities caused by a lack of development of locality planning / local management arrangements could lead to services delivered to the public across both organisations being affected in terms of quality.	Service Delivery	Val de Souza	3	4	High	1. Integration schemes agreed 2. JSC group in place with framework 3. Locality leads identified dates for initial LPG's and development sessions with stakeholders	Adequate	Mitigate	3	3	Medium	1. Locality Planning Groups to be established, with clear terms of reference 2. IJB member to chair Locality Planning Groups	Heads of Service & Locality Leads	April 2016 onwards	✓
IJB022	31/03/2018	Ineffective Change Management	There is a lack of preparation and sufficient training requirements needed to inform and support managers who are identified to lead change, this is caused by the challenge of meeting timescales, or an unclear strategic vision. This could result in differing levels of knowledge, operational experience and interpretation and communication / methodologies used could dilute local delivery and engagement in respect of strategic aims and objectives.	Service Delivery	Val de Souza	4	4	Very High	1. Organisational Development programme developed 2. Strategic Development Board who oversees implementation 3. Five locality managers in organisational structure 4. Change management support in localities 5. Strategic commissioning plan in place 6. Communications Officer and strategy in place 7. Employee relations discussed at committee meetings etc.	Adequate	Mitigate	1	3	Low	1. further develop core leadership/management skills 2. identify skills gap 3. address culture differences 4. HR/transitional/change support for Managers	Organisational Development Lead	Ongoing	✓

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IJB023	31/03/2018	Lack of patient/service user health and social care records	Differing IT/data sharing and governance arrangements, lack of IT/data sharing strategies and expectations exist between agencies Using different IT systems has resulted in current challenges in sharing assessments due to IT requirements although discussions are ongoing in the partnership to resolve this. This could also lead to inconsistent data. This could lead to staff being unable to share assessment information electronically with the partner agency which could result in possible delays in decision making, as information is not readily to hand. Service failure could be attributed to the inability to share information. There is also the risk of duplication of effort, and patients/service users may be placed at risk.	Service Delivery	Val de Souza	5	4	Very High	<ol style="list-style-type: none"> LDSP in place and Community Core Sub Group in place. (Adult and Older People/Children and Family) Information Sharing Protocol in place Multi-agency c/o assessments with electronic sharing between wards OP Team/ A&E / Locality Social Work Alerts for Child and Adult Protection Electronic key information share in place (OOH, SAS) Integration has been identified as an I.T priority within the Partnership SWIS available in A&E Departments IT Infrastructure Sub Group 	Adequate	Mitigate	3	3	Medium	1. Access to View, assessments, support plans and reviews across Health and Social Care workforce	I.T Leads	Ongoing	✓
IJB024	31/03/2018	IJB have limited influence on Acute Services planning and delivery (shifting the balance of care)	The ability of the IJB to influence and contribute to capacity planning and pathways of care within acute services settings, particularly in relation to care pathways across the Health and Social Care System. As outlined within the Scheme of Delegation; and the National Strategy, "A route map to a 20/20 vision for Health and Social Care" which specifically requires local partnerships to consider this within planning and delivery of services. This could result in the inability to shift the balance of care; the ineffective use of resources; potential duplication; and longer stays in hospital for patients/service users.	Service Delivery	Val de Souza	4	4	Very High	<ol style="list-style-type: none"> Healthcare strategy development and Joint Strategic Commissioning Plan developments will agree the approach to capacity planning in acute services. (for example bed modelling; infrastructure; and assets). Tripartite meetings between both NHS and Local Authority Chief Executives and the Chief Officer. Workforce development - ensuring that the right people are in the right places. Regular liaison meetings between the Chief Officer and the Director of Acute Services Director of Acute Services member of IJB and the Joint Strategic Commissioning Group Strategic planning groups 	Adequate	Mitigate	3	4	High	1. Review of meetings architecture (with a view to avoiding duplication of time/resources/decision making).	Chief Officer	Ongoing	✓
IJB025	31/03/2018	Maintaining broad and representative service user/patient and carer engagement	The partnership fails to develop mechanisms and opportunities for service user/patient and carer engagement Due to the need to have meaningful engagement between the IJB and the Service Users; and to ensure that the strategic plan is person central. This could lead to the inability to influence models of care; and the ineffective use of limited resources.	Service Delivery	Val de Souza	2	4	Medium	<ol style="list-style-type: none"> Appreciative inquiry approach to develop and expand existing engagement forums. The development of locality planning provides a real opportunity to enhance participation and engagement closer to service delivery. Support planning and reviews. Existing planning forums already have a foundation on which to build and enhance service user/patient and carer engagement. Lead Officer identified Co-produced assessments Citizens Panel - engagement to obtain patients/service users views and opinions Community capacity planning Service user/patient/carers representation at various forums VASLAN 	Adequate	Mitigate	2	3	Medium	1. Move towards implementation of Asset Based Community Delivery (ABCD)	Chief Officer	Ongoing	✓
IJB026	31/03/2018	Potential conflict between neighbouring IJBs in relation to hosted and area services	Failure to reach agreement that there is a consistent approach in place to services which operate on a Lanarkshire - wide basis. Due to the shift to locality models/planning; and localised budgets. This could lead to difficulties in delivering the Strategic Planning intentions for those IJBs involved. This may also have an adverse impact on service users.	Service Delivery	Val de Souza	3	4	High	<ol style="list-style-type: none"> There are current management arrangements already in place, which existed under Community Health Partnerships. These continue to operate presently. Both North and South IJBs are working together to look at how hosted services should work in the context of Strategic Commissioning. Performance reports continue to be presented in relation to each service on a quarterly basis Financial and budgetary controls 	Adequate	Accept	1	3	Low	<ol style="list-style-type: none"> Final agreement to be reached in respect of the 21 hosted services and signed up within the Strategic Commissioning Plans for North and South IJBs and the Healthcare Strategy for Lanarkshire Principal of where hosted services can be devolved should be undertaken. 	Chief Officer	Ongoing	✓

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IJB028	31/03/2018	Implementation of locality service models that support the delivery of the Strategic Commissioning Plan	Due to a lack of clear plans, or clear roles and responsibilities; the lack of understanding of demographics and geographical areas; and the focus on strategic level objectives, when developing locality service models; and during the move towards Asset Based Community Delivery (ABCD). This could affect empowerment and decision making; lead to demand outstripping capacity; and the potential failure to achieve the nine National Health and Wellbeing Outcomes.	Service Delivery	Val de Souza	4	4	Very High	1. Agreed senior locality operational structure 2. Locality planning and core groups in place 3. Locality managers 4. Management/Leadership development 5. Communications strategy 6. Change management resources 7. Strategic needs assessment of each locality 8. Initial work completed for move towards ABCD	Adequate	Mitigate	3	3	Medium	1. Development of guidance arrangements 2. Devolve resources to localities	Head of Health/Head of Social Care	Ongoing	✓
IJB029	31/03/2018	Strategic intent for the development of localities aligned to needs assessment	Locality development is not fully exploited and aligned to demographics/population needs. This could be caused by significant service failure through adverse events/complaints/performance data. Which could lead to delays in shifting the balance of care, loss of delivery of a quality service, and adverse reputation.	Service Delivery	Val de Souza	3	3	Medium	1. Strategic commissioning plan 2. Current structure and delivery of service is funded 3. Locality leadership and continuous development of the Senior Management Team	Adequate	Mitigate	3	3	Medium	1. Transformational change plan with financial plan 2. Communications strategy 3. Governance infrastructure 4. Directions for 2017/18, including aligning objectives from commissioning plan to locality 5. Locality development workshop: blue sky session 6. Options appraisal for locality modelling		March 2017 August 2017	✓
IJB030	31/03/2018	Informing and engaging on transformational change: locality modelling		Staffing	Val de Souza	3	3	Medium	1. Strategic commissioning plan 2. Locality leadership informing and engaging for developing infrastructures 3. Organisation development plan 4. Staff engagement through the senior leadership and locality management groups directly linked to the 9 national outcomes.	Adequate	Mitigate	2	2	Medium	1. Locality development workshop: Blue sky session 2. Transformational change plan with communications strategy		Mar-17	✓
IJB031	01/12/2017	Edison Replacement	There is a risk that management of Delayed Discharges could be compromised because of the expiry of the EDISON system planned for December 2017 and the short timescales for the adoption of Trakcare as a replacement, leading to an impact on patient safety, patient experience, delayed discharge performance and reputation.	Business	Val de Souza	3	4	High	1. EDISON replacement working group established for Lanarkshire, with key reps from acute, South, North IM&T, IT 2. Project lead identified 3. National Advisory Group for delayed discharge lobbying to delay expiry of EDISON until after winter 4. Visit to NHS Lothian who already use Trakcare to identify key risks and learning	Adequate	Mitigate	2	2	Medium	1. Work towards the use of Trakcare as a replacement system for Edison	C Cunningham	Dec-17	✓