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Agenda Item: 10

Integration Joint Board

Date of Meeting: 4 September 2024.

Subject: Risk Register.

1. Purpose

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

2. Recommendations

The Integration Joint Board is invited to note:

2.1. The proposed changes to the Risk Register, summarised in section 4 of this report.

It is recommended:

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

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 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.

4. Key Highlights

4.1. The format of the risk register has been changed to separate 'existing mitigating controls' and 'actions to do to control risk with a timescale for completion', so that the lead person and target action by date are clearly identified. This follows Specific, Measurable, Achievable, Realistic and Timely (SMART) principles.

4.2. In respect of Risk 4, Analogue to Digital Switchover, the switch from analogue to digital is now planned for 31 January 2027.

4.3. In respect of Risk 7, Isles Primary Care Model, due to significant successful recruitment to isles position, the likelihood of this risk has now reduced which has meant the overall risk has moved from a red/high RAG rating to a yellow/medium rating.

4.4. As work progresses with developing the new three-year Strategic Plan for 2025 – 2028, work will commence on reviewing and updating the Risk Management Strategy and Risk Register to align with the draft Plan.

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.	Yes.
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 control risk. 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 that could threaten the delivery of IJB's strategic priorities and objectives.

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. Taiye Sanwo (Interim Chief Finance Officer), Integration Joint Board. Email: taiye.sanwo@orkney.gov.uk, telephone: 01856873535 extension 2611.

11. Supporting documents

11.1. Appendix 1: Risk Register.



Risk Register

Orkney Integration Joint Board

August 2024

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:	16.

Vulnerability.	Trigger.	Consequences.	Existing Mitigation Controls.	Actions to do to control Risk with a timescale for completion.
<p>There is a risk that if financial and demographic pressures are not effectively planned for and managed over the medium (two to five years), this could result in budget deficits (i.e. being in excess the IJB's budget allocations) leading to the IJB being required to implement a recovery plan.</p> <p>Potential failure to meet legislation and an impact on the ability of IJB to commission services to the most</p>	<p>Demographic changes resulting in increased demand for services.</p> <p>Increasing need 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>Care Inspectorate standards and public expectations of service delivery within available</p>	<p>Poor Care Inspectorate assessments.</p> <p>Not meeting our statutory requirements.</p> <p>Inability to meet our customers assessed needs.</p> <p>Reputational damage towards Orkney Health and Social Care Partnership.</p> <p>Potential need to reduce service delivery.</p>	<p>Financial information reported regularly to the IJB to highlight pressure areas.</p> <p>The approved Medium Term Financial Plan (2022-2025).</p> <p>IJB budget planning processes and scrutiny.</p> <p>Regular meetings with the Financial Sustainability Office in place.</p> <p>A high criteria requirement has</p>	<p>A strategy on the use of IJB Reserves.</p> <p>Lead: Chief Finance Officer.</p> <p>Target Action by date: 30 October 2024.</p>

Vulnerability.	Trigger.	Consequences.	Existing Mitigation Controls.	Actions to do to control Risk with a timescale for completion.
<p>vulnerable people in Orkney.</p> <p>There is a risk that the IJB will be unable to deliver upon its existing savings targets or any new savings imposed by either partner bodies (i.e. NHS Orkney or Orkney Islands Council).</p> <p>Uncertainty around the level and terms of future funding settlements and funding allocations for specific initiatives.</p>	<p>resources.</p> <p>Inflationary pressures including prescribing costs making it more expensive to maintain the same level of services.</p> <p>Reducing real terms budget allocation for the public sector to partner bodies.</p> <p>Increased volume of care needs from reduced preventative or transformational activity.</p>		<p>been set for eligibility for service provision.</p> <p>The Strategic Plan 2022-2025 where it relates to transformation of services to ensure sustainability.</p> <p>To engage with the Improvement programme taking place at NHS Orkney.</p> <p>To engage with the Programme for Change exercise taking place at Orkney Islands Council.</p>	

Number.	Risk Title.							Cluster.	
2.	Recruitment, Development and Retention of Workforce.							Staffing.	
Risk Rating:	Owner.		Chief Officer.						
Likelihood.	5.	Impact.	4.	RAG:	Very High	Current Risk Score:	20.	Target Risk Score:	9.

Vulnerability.	Trigger.	Consequences.	Existing Mitigation Controls.	Actions to do to control Risk with a timescale for completion.
<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>Aging 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>Widening gap between staff pay in Social Care sector to comparable jobs elsewhere.</p>	<p>Service cannot manage within its resources.</p> <p>Existing workforce becomes overstretched.</p> <p>Increased levels of stress related absence.</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>Over reliance on agency staffing.</p>	<p>The Health and Social Care Three Year Workforce Plan submitted to Scottish Government on 31 July 2022.</p> <p>Quarterly meetings are in place with the Council, Health Board and Third Sector Interface to discuss workforce planning as a whole system approach.</p> <p>A proactive approach to recruitment, succession planning</p>	<p>Annual updating to the Three-Year Workforce Plan in particular further work is required in relation to social care / social work elements.</p> <p>Lead: Strategic Planning and Performance Manager.</p> <p>Target Action by date: 31 March 2025.</p> <p>Recruitment incentives in Social Care will run for one year and the impact of this will be evaluated.</p> <p>Lead: Head of Community Health and Care</p>

Vulnerability.	Trigger.	Consequences.	Existing Mitigation Controls.	Actions to do to control Risk with a timescale for completion.
	Retirement of staff.	<p>Lack of continuity in the relationship between care worker and service user.</p> <p>Experience and knowledgeable staff leaving the sector.</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>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>Exit Interviews.</p>	<p>Target Action by date: End of June 2025</p> <p>Social Worker ‘Grow Our Own Scheme’ will continue to aim for two trainee intakes per year.</p> <p>Lead: Head of Children, Families and Justice Services and Chief Social Work Officer.</p> <p>Target Action by date: End of March 2025.</p>

3.	Public Protection.						Strategic.		
Risk Rating:	Owner.		Head of Children, Families and Justice Services and Chief Social Work Officer.						
Likelihood.	3.	Impact.	5.	RAG:	High.	Current Risk Score:	15.	Target Risk Score:	6.

Vulnerability.	Trigger.	Consequences.	Existing Mitigation Controls.	Actions to do to control Risk with a timescale for completion.
<p>A failure in providing effective public protection could lead to a child or vulnerable adult experiencing or being at risk of significant harm.</p>	<p>Vacancies in suitably qualified and experienced staff.</p> <p>Potential ineffective processes and joint working arrangements around identifying, investigating, sharing information and protective action.</p> <p>Findings of the Children and Young People in Need of Care and Protection report.</p> <p>Findings of the Adult Support and Protection Inspection in 2023.</p>	<p>Reputational damage to Orkney Health and Social Care Partnership.</p> <p>Potentially a child or vulnerable adult experiencing or being at risk of significant harm.</p> <p>Multi-Agency Practitioners not confident in the policies and procedures in place</p>	<p>Improvement Plan from the joint Children and Young People in Need of Care and Protection inspection.</p> <p>Recruitment of the Public Protection Lead Officer and the Public Protection Learning and Development Officer.</p> <p>The Adult Support and Protection Improvement Plan has now been signed by the Chief Officers Group and the Care Inspectorate and is now in place.</p> <p>Quarterly Initial Referral Discussion (IRD) review meetings to quality assure and analyse</p>	<p>To redesign the governance arrangements for Children's Services Strategic Partnership and update the Improvement Plan for Children's Services.</p> <p>NHS to propose updated pathway, procedures and training to ensure that Paediatric child protection assessments are robust enough.</p> <p>Lead: Chief Officer.</p> <p>Target action by date: 31 March 2025.</p> <p>To update child protection procedures in line with national guidance.</p> <p>Lead: Head of Children, Families and Justice Services and Chief Social Work Officer.</p> <p>Target action by date: 30 September 2024.</p> <p>Training and Development</p>

Vulnerability.	Trigger.	Consequences.	Existing Mitigation Controls.	Actions to do to control Risk with a timescale for completion.
			<p>practice.</p> <p>Public Protection committee and Child protection Sub-committees.</p> <p>Analysis of learning reviews and subsequent action plan and training and development for the partnership.</p> <p>Suicide Prevention Task Force.</p>	<p>Schedule to follow updated procedures and support identified areas for improvement in the improvement plans.</p> <p>Lead: Service Manager (Criminal Justice / Public Protection) and Public Protection Lead Officer.</p> <p>Target action by date: 30 November 2024.</p>

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.	3.	RAG:	High.	Current Risk Score:	15.	Target Risk Score:	5.

Vulnerability.	Trigger.	Consequences.	Existing Mitigation Controls.	Actions to do to control Risk with a timescale for completion.
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 31 January 2027 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>	<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>All service users have been written to by the Telecare team advising them to be in touch if there is a change to their existing telephone package.</p>	<p>The project team continues to test the capabilities of alternative kit in an Orkney environment.</p> <p>A paper is to be prepared and presented to a future meeting of the Board to detail the estimated cost of transition and in future service provision.</p> <p>Lead: Head of Health and Community Care.</p> <p>Target action by date: 31 March 2025.</p> <p>Note: A small amount of funding was carried over into 2024/25.</p>

Number.	Risk Title.						Cluster.		
5.	Budget Setting.						Financial.		
Risk Rating:	Owner.		Chief Finance Officer.						
Likelihood.	3.	Impact.	4.	RAG:	High	Current Risk	12.	Target Risk Score:	6.

						Score:			
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Vulnerability.	Trigger.	Consequences.	Existing Mitigation Controls.	Actions to do to control Risk with a timescale for completion.
Budget allocations from partners are not set and approved prior to start of financial year causing the IJB to be operating without a formally agreed budget.	Not receiving formal budget offers from partner bodies in a timeous manner. Not providing partners service budgets in a timeous manner.	Unable to commission/decommission services with financial resources attached.	The IJB is advised, annually, of the delegated budgets provided by each partner.	Ongoing discussions with partner bodies on more joined up working. Budget allocations should be sent by the IJB to both the Partners for the services they deliver. The budget should detail, service pressures, saving initiatives, and change initiatives. Lead: Chief Finance Officer. Target Action by date: To be in place by 1 April 2025.

Number.	Risk Title.						Cluster.		
6.	Implications of National Care Service.						Strategic.		
Risk Rating:	Owner.		Chief Officer.						
Likelihood.	4.	Impact.	3.	RAG:	High.	Current Risk	12.	Target Risk Score:	6.

						Score:			
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Vulnerability.	Trigger.	Consequences.	Existing Mitigation Controls.	Actions to do to control Risk with a timescale for completion.
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, and the higher costs of care required for small provision in rural areas may not be recognised and funded appropriately.	Reduced ability to support and protect individuals and families by delivering effective care services within Orkney.	Engagement 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.	To be reviewed when the scope of the National Care Service, and its method of operation become better known. Lead: Chief Officer. Target action by date: Ongoing review. The National Care Service is planned to be in operation by May 2026, but this remains under review.

Number.	Risk Title.						Cluster.		
7.	Isles Primary Care Model.						Strategic.		
Risk Rating:	Owner.		Head of Primary Care Services.						
Likelihood.	3.	Impact.	3.	RAG:	Medium.	Current	9.	Target Risk	4.

						Risk Score:		Score:	
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Vulnerability.	Trigger.	Consequences.	Existing Mitigation Controls.	Actions to do to control Risk with a timescale for completion.
There is a risk that the IJB will fail to deliver and meet the population needs of the Isles.	<p>Model does not fully support Working Time Directive.</p> <p>As a result of working time directives, changes are mandated to working patterns which will result in difficult recruitment.</p> <p>High cost of model delivery.</p>	Island communities have no current 24/7 provision of care.	<p>Risk assess working patterns and operate against HR advice.</p> <p>Working arrangements are agreed in consultation with staff who would, in effect, choose to opt out of agenda for change rules in recognition of the unique nature of island working.</p>	<p>Commission Long term review of Primary Care service delivery model.</p> <p>Lead: Head of Primary Care Services.</p> <p>Target action by date: April 2025.</p>

Number.		Risk Title.					Cluster.		
8.	Unpaid Carers.					Strategic.			
Risk Rating:	Owner.		Head of Strategic Planning and Performance.						
Likelihood.	4.	Impact.	4.	RAG:	High.	Current Risk Score:	16.	Target Risk Score:	9.

Vulnerability.	Trigger.	Consequences.	Existing Mitigation Controls.	Actions to do to control Risk with a timescale for completion.
<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>Working with Partners, such as Crossroads Care Orkney, Orkney Islands Council in communications to identify as an unpaid carer.</p> <p>Established 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>Lead: Strategic Planning and Performance Manager.</p> <p>Target action by date: December 2024.</p> <p>Maximise innovative respite care / short breaks options and opportunities.</p> <p>Lead: Head of Community Health and Care.</p> <p>Target action by date: 31</p>

Vulnerability.	Trigger.	Consequences.	Existing Mitigation Controls.	Actions to do to control Risk with a timescale for completion.
				<p>March 2025.</p> <p>Develop specific strategies to identify and support young carers.</p> <p>Lead: Strategic Planning and Performance Manager.</p> <p>Target action by date: 31 March 2025.</p>