

Risk Register IJB draft to be approved

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No	Risk	Causes/ Risk factors	Consequences/ Potential effect	Proximity	Risk owner	Impact	Likelihood	Score	Current internal controls	Control assessment/ Score	Impact	Likelihood	Score	Tolerate Treat Transfer	Action description	Due date	Action owner	Impact	Likelihood	Score	Due date
1	If the required change in culture is not achieved then the delivery of the Partnership's strategic objectives may be delayed or may not be fully met	Structures; Resistance to change; Communication; Finance; Leadership; Conflict/disputes over resource allocation and financial contributions; Conflicting agendas and priorities.	Progress is not made; Delay in decision making; Poor outcomes; SG scrutiny;	ongoing	Robert McCulloch-Graham	3	4	12	Improved financial transparency from Partner orgs; Joint Plans for Workforce Development, Finance and Performance Reporting and Communication; Refreshed Strategic Plan; Appointment of temporary IJB Director of Finance; Permanent Chief Officer;	Partially effective Effective	3	4	12	Treat	Appointment of senior management team;	Oct-18	rm-g	3	3	9	
Risk Notes:																					
2	If we do not ensure that resource directed by the IJB is used efficiently and effectively then we may not achieve best value	Lack of transparency; Limited information sharing; Separate IT and sources of information/data; Existing structures; Lack of contract monitoring; Lack of quality reporting;	Not achieving best value; Poor outcomes;	ongoing	Robert McCulloch-Graham	3	4	12	Regular financial reporting to IJB; SLA; Monthly highlight reporting; Strategic Plan; Appointment of temporary IJB Director of Finance; Performance and Finance Group.	Partially effective	3	4	12	Treat				3	3	9	
Risk Notes:																					
3	If the future market for care is insufficient to meet increasing demand then there may be gaps in service provision and poor outcomes/choices	Demographics - reduction in people of working age versus aging population; Higher wages and alternative career options; Less attractive T&C's; Lack of community capacity support;	Gaps in service provision; Delayed discharge; Reduction in choice; Poor outcomes; Services may not be able to meet need; Unable to deliver our statutory duty.	ongoing	Robert McCulloch-Graham	4	4	16	Market Facilitation Plan; Work ongoing re commissioning of home care hours; Projection modelling on future demand v demographic pressures; Developing the Bath Tub model.	Ineffective	4	4	16	Treat	Market Facilitation Plan; Formation of Older People's Capital Board; Queen's House Development		rm-g	4	3	12	2020
Risk Notes:																					
4	If we do not ensure that we have a partnership approach when communicating and engaging with stakeholders then we may fail to get them to play their part in delivering the partnership's strategic objectives	Lack of joint Comms Strategy and Planning; Lack of Partnership Engagement Strategy; Vision, Mission and Values of Partnership not sufficiently well embedded. Poor Communication with Partners and Partner Organisations; Inadequate communication within the Management Structure; Decisions made by IJB are not effectively communicated.	Conflicting and confusing messages; Duplication; Inefficient use of resource; Stakeholders are not engaged in the transformation of service planning and delivery with negative implications for integration and for business efficiency.	ongoing	Robert McCulloch-Graham	3	3	9	Integrated Communications Strategy; Local Area Partnership Forums with focus on health and wellbeing; Strategic Planning Group;	Partially effective Effective	3	3	9	Treat				3	2	6	
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5	If both Partners do not sufficiently and rigorously plan and manage their Efficiency and Savings Programmes then the delegated budget may continue to overspend leading to inability to commission sufficient services to deliver the strategic objectives	Insufficient rigorous and robust Planning and Management over each partner's efficiency and savings programme; Lack of transparency;	Overspend position, unless subsequent direction made to reduce spend across delegated functions or partners identify alternative temporary or permanent savings proposals; Responsibility of the authority who originally delegated the budget to cover the shortfall; Inability to commission sufficient services to deliver the strategic objectives; Delayed discharge; Poor outcomes.	Ongoing	Robert McCulloch-Graham	4	5	20	Transformation / Efficiency programme governance within NHSB and SBC; It will be the responsibility of the authority who originally delegated the budget to cover the shortfall; IJB challenge. Temporary Director of Finance appointed; Formation of the Performance and Finance group	Partially effective	4	5	20	Treat	Ongoing conversations with Scottish Govt re NHS funding;		rm-g	4	4	16	
Risk Notes:																					
6	If we do not have a workforce fit for purpose now and in the future then the Partnership may fail to deliver on the strategic objectives leading to poor outcomes	Shortage of staff from all disciplines across the Partnership; Demographics - decreasing working age population; Unappealing sector to work in;	Insufficient workforce to meet demand; Unable to deliver services; Poor outcomes	ongoing	Robert McCulloch-Graham	4	4	16	Workforce Plan with focus on key areas; New GMS contract; Recent pay increase from Scottish Government (June 2018); Workforce Development Plan;	Partially effective	4	4	16	Treat	Work underway with Borders College for training for Care and Health support staff;		rm-g	4	3	12	
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7	If a significant supplier was unexpectedly unable to fulfil their contract then there may be a serious gap in service provision leading to risk of harm and reputational damage	Insufficient contract management; Major incident, e.g. severe weather; Financial issues; Poor Business Continuity arrangements in place;	Services not delivered; Pressure on existing staff to deliver services; Quality of care/standards may decrease; Complaints; Reputational damage	ongoing	Robert McCulloch-Graham	4	3	12	Contract Management Framework working Group established; Business Continuity Plans; Experienced Emergency Planning and multi-agency response teams; Dedicated control room; Commissioning Plan	Partially effective Effective	4	3	12	Treat				4	2	8	
Risk Notes:																					
8	If someone under the care of the IJB comes to harm because of a failure attributed to the Partners then this may result in significant reputational damage	Staff not following policies and procedures; Failure in partnership working; Failure in communications; Lack of resources and capacity; Individual's decisions; Lack of senior management oversight; Complex nature of partnership working.	Harm to individuals and families; Reputational damage; Emergency measures; People may lose job; Loss of public confidence.	ongoing	Robert McCulloch-Graham	4	3	12	Robust adult and child protection arrangements and partnerships; Clarity of process roles, triggers and communications; Mandatory public protection training for staff; Internal audit; External audit/inspections; MAPPA; Clinical Governance; Performance Reporting;		4	3	12	Treat	Review of Public Protection procedures;		rm-g	4	2	8	

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9	If we fail to manage and appropriately resource major programmes/projects undertaken simultaneously then we may be unable to achieve objectives	Inadequate programme management; Short timescales; Multiple programmes/projects at the same time requiring resource from support services; Lack of resource available from support services; Lack of appropriate skills and knowledge; Not prioritising; Over-reliance on key staff to deliver change programmes	Objectives not achieved; Timescales not achieved; Pressure on support services to deliver BAU and programmes/projects; Failure to deliver core business; Mistakes; Increased stress on key individuals; Reputational damage.	ongoing	Robert McCulloch-Graham	3	3	9	Structured Transformation Programme in place with resource requirements identified and appropriate resources allocated;	Partially effective	3	3	9	Treat	Will renegotiate project management support from NHS Borders and SBC;		rm-g	3	2	6	
Risk Notes:																					
10	If the Partnership lose sensitive data or use data inappropriately then we may be in breach of data protection legislation resulting in fines and reputational damage	Mislaidd paperwork; Insecure storage of information; Theft; Not securing permission to use personal details for the purpose other than what it was intended; Lack of data sharing protocols; Human error.	Distress caused to individuals; Fines; Reputational damage; Loss of confidence from public and service users .	ongoing	Robert McCulloch-Graham	4	2	8	Mandatory Data Protection training; IT Data Security Policy; Secure data; Confidential waste shredding; Records Management procedures; Data Management & Sharing Policy	Effective	4	2	8	Tolerate				0	0	0	
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