

East Lothian IJB Risk Register with Action Plan

ID	Title	Description	Controls in place	Adequacy of controls	Notes	Risk level (current)	Rating (current)	Risk level (Target)	Rating (Target)	Action Plan in Place	Risk Owner	Handler	Date Opened	Last Reviewed	Description	Start date	Due date	Done date
3924	Financial resources may be insufficient to sustain the Strategic Plan	There is a risk that the financial challenges faced by the NHS and East Lothian Council will result in allocations to the IJB that do not allow the Strategic Plan to be delivered leading to the failure to achieve outcomes and targets. (NOTE: In 2016/17 the financial plans were set before the commencement of the IJB therefore this risk is inherited. In 2017/18 and beyond, the IJB will lead the financial planning process and therefore this risk will be managed by the IJB)	1. Financial assurance process carried out by IJB 2. Engagement of IJB Officers and members in NHS and Council budget setting processes 3. Regular performance monitoring reports to IJB 4. Scheme of Integration risk sharing and dispute resolution processes 5. IJB Chief Finance Officer in post 6. Strategic Planning Group in place 7. Strategic Plan Programme Board established and meeting regularly to deliver Strategic Plan within the financial resources available 8. In 2016/17 the Operational Management Teams are delivering "break even"	Inadequate; control is not designed to manage the risk and further controls & measures required to manage the risk		High	16	Med	9	Y	Small, David A	King, David	26/02/2016	17/06/2016	Creation of appropriate financial planning processes	17/06/2016	30/09/2016	
4018	Impact of Partners' Decisions	There is a risk that Partners reach decisions on priorities and services (including service reviews) that impact negatively on the IJB leading to an inability to deliver the Strategic Plan	1. Involvement of IJB membership in the Partners' decision making process including voting members and Officers 2. Involvement in Partners' service reviews 3. Good working relationships and regular formal /informal meetings e.g Acute IJB Interface Group, meetings with Chief Executives and Chairs	Adequate but partially effective; control is properly designed but not being implemented properly		High	16	Med	9		Small, David A	King, David	17/06/2016		Clarity and monitoring of directions	17/06/2016	30/09/2016	
3925	Operational resources may be insufficient to deliver the Strategic Plan	There is a risk that the IJB fails to achieve its targets due to insufficient access to key services and resources e.g. General Practice, Care at Home, Care Homes, Health Visiting, Housing, acute services etc leading to failure to deliver the Strategic Plan resulting in risk to patients' and clients' safety, external review and reputational damage	1. The Strategic Plan sets out clear priorities 2. IJB directions are clear about actions required by NHS and Council 3. The Partnership Management Team is focussed on ensuring adequate resources are in place for delegated functions to deliver the Strategic Plan 4. NHS Lothian is focussed on ensuring adequate resources are in place for set-aside and hosted functions to deliver the Strategic Plan 5. NHS Lothian and East Lothian Council are focussed on ensuring adequate resources are in place for non-delegated but related functions (e.g. housing), to deliver the Strategic Plan 6. Quarterly Performance Report to IJB and scrutiny by the Audit and Risk Committee	Adequate but partially effective; control is properly designed but not being implemented properly		High	12	Med	6	Y	Small, David A	Small, David A	26/02/2016	17/06/2016	Develop Joint Workforce Plan	#####	#####	
															Financial investments in additional capacity	17/06/2016	31/12/2016	

	Title	Description	Controls in place	Adequacy of controls	Notes	Risk level (current)	Rating (current)	Risk level (Target)	Rating (Target)	Action Plan in Place	Risk Owner	Handler	Date Opened	Last Reviewed	Description	Start date	Due date	Done date
4060	Out of Hours primary healthcare support to Prisons	There is a risk that the support to Prisons for OOH primary care from LUCS is inappropriate because LUCS is not trained specifically for providing care to patients within a prison environment leading to a risk of inadequate care for patients who are prisoners	A Service Level Agreement is in place currently between LUCS and REAS (NHS Lothian's department managing prison healthcare) to reflect that an arrangement for prisoner care is in place. This SLA indicates that support to prisons by LUCS will be via the Professional-to-Professional function, meaning LUCS clinicians will not be required to make visits to prisons to provide care.  Support for those LUCS clinicians who may be called upon to provide care to patients within prison, support is available via clinical on-call, with the option to escalate to Clinical Director in specific circumstances.	Uncertain; impact of controls not known at this time and more work required to identify current situation	[21/09/2016 10:37:27 Jamie Hetherington] A meeting chaired by Prof Alex McMahon and attended by LUCS CD, Dr Sian Tucker, and REAS management was held on Tues 20 September 2016.  Agreement was made for LUCS to continue to provide care as per the extant SLA, but that a review of alternative arrangements would be conducted, with a view to a permanent arrangement being established that did not involve LUCS as the care provider for patients during the OOH period.	High	12	Medium	4	N	Small, David A	Tucker, Dr Sian	21/09/2016					
3926	Potential Instability e.g elections / IJB changes	There is a risk that the IJB will be de-stabilised as a consequence of membership change or policy change as a result of elections and Public Sector reform leading to conflicting priorities and/or inability to make decisions	1. Standing orders that control members' behaviour 2. Code of Conduct 3. Scheme of Integration which includes a dispute resolution mechanism 4. Ensuring that membership changes are not all planned at the same time e.g. stakeholder member changes are separate from voting member changes. NHS membership changes on a different cycle from the East Lothian Council membership changes	Adequate but partially effective; control is properly designed but not being implemented properly		Med	9	Med	9	N	Small, David A	Small, David A	26/02/2016	17/06/2016				
3927	Relationship with Partners	There is a risk that East Lothian Council and NHS Lothian do not provide the support services required to enable the IJB to fulfill its functions (e.g. financial planning, I.T. etc)	1. Review of support services in place 2. Clear directions from the IJB to Partners 3. Involvement of IJB membership in Partners' decision making process	Adequate but partially effective; control is properly designed but not being implemented properly		High	16	Med	4	Y	Small, David A	Small, David A	26/02/2016	17/06/2016	Implementation of outstanding support services issues	28/04/2016	25/08/2016	