



REPORT TO: East Lothian IJB - Audit and Risk Committee

MEETING DATE: 28 June 2018

BY: Chief Finance Officer

SUBJECT: Risk Register - update

1 PURPOSE

- 1.1 This report updates the IJB's risk register, the most recent iteration being attached as an appendix.

2 RECOMMENDATIONS

- 2.1 The Committee is asked to:
- Consider the risk register to agree:
 - Should further risks be added?
 - Are the risk mitigation actions adequate?
 - Agree to hold a Datix workshop as part of the September meeting

3 BACKGROUND

- 3.1 The IJB maintains a risk register as part of its overall governance processes. The most up-to-date version of the IJB's risk register is attached to this report.
- 3.2 The risk register has been developed and maintained in line with the draft risk strategy and risk management policy which were considered by the committee previously at this meeting.
- 3.3 The committee is invited to consider the attached risk register and, given the agreed risk strategy and policy, consider if any further risks should be included and if the risk mitigations actions are adequate.
- 3.4 Since the previous report (at the committee's March 2018 meeting) further consideration of the presentation of the risk register – along with the regular review – has taken place. There has been a change in the format to include the actions that are planned to mitigate the risks and to provide further information. This requires further work and some of the progress against the risks, for example, which are described in the

previous paper have not yet been added to the risk register. This work will be completed as soon as possible.

- 3.5 The IJB uses the NHS risk management system – Datix – which is different from that used by the Council. Members of the committee may not be familiar with Datix (they may not be familiar with the Council system either) so it is suggested that the Datix support team provide a workshop as to the mechanism behind the risk register to allow the members to more fully understand the risk management process.
- 3.6 It should be noted that the risk level for risk 3927 (IJB relationship with Partners) has reduced from the previous report. This reflects the experience of the Chief Officer and the Chief Finance Officer over the last year of the quality of that relationship and the support expressed by the partners at the various meetings and discussions that take place.

4 ENGAGEMENT

- 4.1 The IJB's Audit and Risk Committee is held in public and the papers are openly available online.

5 POLICY IMPLICATIONS

- 5.1 There are no further policy implications arising from this paper.

5 INTEGRATED IMPACT ASSESSMENT

- 6.1 The subject of this report does not affect the wellbeing of the community or have a significant impact on equality, the environment or economy.

6 RESOURCE IMPLICATIONS

- 7.1 Financial – none.
- 7.2 Personnel – none.
- 7.3 Other – none.

7 BACKGROUND PAPERS

- 8.1 Risk Strategy and Risk Management policy – presented to the Committee at this meeting.

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DATE	20 June 2018

Appendix – Risk Register

East Lothian IJB Risk Register with Action Plan

ID	Risk level	Title	Description	Controls in place	Adequacy of controls	Notes	Likelihood (current)	Consequence (current)	Risk level (current)	Rating (current)	Risk level (Target)	Rating (Target)	Action Plan in Place	Risk Owner	Handler	Date Opened	Opened	Description	Progress	Start date	Due date	Done date
3924	Integrated Joint Board	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	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	Adequate but partially effective; control is properly designed but not being implemented properly	[15/06/2018 06:16:02 David King] Changed update date, no new actions no changes to controls.	LIKELY	Major	High	16	Medium	9	Yes	Small, David A	King, David	26/02/2016	15/06/2018	Creation of appropriate financial planning processes	Meetings have taken place regularly, IJB financial plan policy agreed by IJB and drafts presented to IJB	17/06/2016	30/09/2016	30/03/2017
																		Financial Reporting IJB and Policy Decisions		01/04/2017	31/08/2017	
																				01/04/2017		
4018	Integrated Joint Board	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		LIKELY	Major	High	16	Medium	9	Yes	Small, David A	King, David	17/06/2016	15/06/2018	Clarity and monitoring of directions	Action extended to cover the period April 2017to March 2018	03/04/2017	31/03/2018	
3925	Integrated Joint Board	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,	1. The Strategic Plan sets out clear priorities 2. IJB directions are clear about actions required by NHS and Council 3. The Partnership Mangement	Adequate but partially effective; control is properly designed but not being implemented properly		LIKELY	Moderate	High	12	Medium	6	Yes	Small, David A	Small, David A	26/02/2016	30/03/2017	Develop Joint Workforce Plan		01/04/2017	30/03/2018	
																		Financial investments in additional capacity		17/06/2016	31/01/2018	
																		Care at Home contracts		01/04/2017	30/09/2017	
3926	Integrated Joint Board	Potential Instability e.g elections / IJB changes	There is a risk that the IJB will be destabilised 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		POSSIBLE	Moderate	Medium	9	Medium	9	Yes	Small, David A	Small, David A	26/02/2016	15/06/2018	IJB Induction		31/05/2017	30/09/2017	
3927	Integrated Joint Board	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		UNLIKELY	Moderate	Medium	6	Medium	6	Yes	Small, David A	Small, David A	26/02/2016	15/06/2018	Implementation of outstanding support services issues		28/04/2016	25/08/2016	