

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	Date last reviewed	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 achieve outcomes and targets.	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. Detailed efficiency and recovery plans are in place for operational teams to 'break even' in 2017/18 9. There is a programme of meetings and discussion between IJB, Council and Health Board leading to an IJB financial planning process being approved by the IJB and supported by Council and Health Board	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	Y	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	
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	Y	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, 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 7. Use of Delayed Discharge Fund to increase capacity and improve terms and conditions	Adequate but partially effective; control is properly designed but not being implemented properly		LIKELY	Moderate	High	12	Medium	6	Y	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 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		POSSIBLE	Moderate	Medium	9	Medium	9	Y	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	Y	Small, David A	Small, David A	26/02/2016	15/06/2018	Implementation of outstanding support services issues		28/04/2016	25/08/2016	