



**REPORT TO:** East Lothian IJB Audit and Risk Committee

**MEETING DATE:** 4 June 2019

**BY:** Chief Finance Officer

**SUBJECT:** IJB Risk Register

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## **1 PURPOSE**

This paper lays out the IJB's risk register.

## **2 RECOMMENDATIONS**

2.1 The Committee is asked to:

- To note the current risk register; and
- To consider if any further risks should be added to the register.

## **3. BACKGROUND**

3.1 As a key part of its governance process the IJB maintains a risk register. This risk register examines the risks that impact on the business of the IJB itself and not the operational risks that the IJB's partners manage unless those risks are considered so significant that they could impact on the business of the IJB – that is impact on the ability of the IJB to deliver its strategic plan.

3.2 The current version of the risk register is attached. Members are asked to consider if there are additional risks that require to be added to the register and consider if the management actions identified against these current risks provide assurance that these risks are being appropriately managed.

## **4 POLICY IMPLICATIONS**

4.1 This paper is covered within the policies already agreed by the IJB.

## **5 INTEGRATED IMPACT ASSESSMENT**

- 5.1 There are no implications for health inequalities or general equality and diversity issues arising directly from the issues and recommendations in this paper.

## **6 RESOURCE IMPLICATIONS**

- 6.1 Financial – there are none.
- 6.2 Personnel – there are none.

## **7 BACKGROUND PAPERS**

- 7.1 None

### **Appendices**

1. Risk Register

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<b>DATE</b>	27 May 2019

East Lothian IJB Risk Register

ID	Risk level	Title	Description	Controls in place	Adequacy of controls	Likelihood (current)	Risk level (current)	Rating (current)	Risk level (Target)	Rating (Target)	Action Plan in Place
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.	<ol style="list-style-type: none"> <li>1. Financial assurance process carried out by IJB</li> <li>2. Engagement of IJB Officers and members in NHS and Council budget setting processes</li> <li>3. Regular performance monitoring reports to IJB</li> <li>4. Scheme of Integration risk sharing and dispute resolution processes</li> <li>5. IJB Chief Finance Officer in post</li> <li>6. Strategic Planning Group in place</li> <li>7. Efficiency and recovery plans are developed in year by operational teams to "break even".</li> <li>8. There is a programme of meetings and discussion between</li> </ol>	Adequate but partially effective; control is properly designed but not being implemented properly	LIKELY	High	16	Medium	9	Y
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	<ol style="list-style-type: none"> <li>1. Involvement of IJB membership in the Partners' decision making process including voting members and Officers</li> <li>2. Involvement in Partners' service reviews</li> <li>3. Good working relationships and regular formal /informal meetings</li> <li>4. Participation in MSG self-evaluation to inform improvement actions for better partnership working.</li> </ol>	Adequate but partially effective; control is properly designed but not being implemented properly	LIKELY	High	16	Medium	9	Y
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	<ol style="list-style-type: none"> <li>1. The Strategic Plan sets out clear priorities</li> <li>2. IJB directions are clear about actions required by NHS and Council</li> <li>3. The Partnership Management Team is focussed on ensuring adequate resources are in place for delegated functions to deliver the Strategic Plan</li> <li>4. NHS Lothian is focussed on ensuring adequate resources are in place for set-aside and hosted functions to deliver the Strategic Plan</li> <li>5. NHS Lothian and East Lothian Council are focussed on</li> </ol>	Adequate but partially effective; control is properly designed but not being implemented properly	LIKELY	High	12	Medium	6	Y
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	<ol style="list-style-type: none"> <li>1. Standing orders that control members' behaviour</li> <li>2. Code of Conduct</li> <li>3. Scheme of Integration which includes a dispute resolution mechanism</li> <li>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</li> </ol>	Adequate but partially effective; control is properly designed but not being implemented properly	POSSIBLE	Medium	9	Medium	9	Y
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)	<ol style="list-style-type: none"> <li>1. Review of support services in place</li> <li>2. Clear directions from the IJB to Partners</li> <li>3. Involvement of IJB membership in Partners' decision making process</li> </ol>	Adequate but partially effective; control is properly designed but not being implemented properly	UNLIKELY	Medium	6	Medium	6	Y