



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

**MEETING DATE:** 8 December 2020

**BY:** Chief Finance Officer

**SUBJECT:** Risk Register

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## **1 PURPOSE**

1.1 This paper lays out the IJB's risk register.

## **2 RECOMMENDATIONS**

The Committee is asked to:

2.1 Note the current risk register; and

2.2 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 ENGAGEMENT**

4.1 The IJB makes its papers and reports available on East Lothian Council's website.

## **5 POLICY IMPLICATIONS**

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

## **6 INTEGRATED IMPACT ASSESSMENT**

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

## **7 RESOURCE IMPLICATIONS**

7.1 Financial – there are none.

7.2 Personnel – there are none.

## **8 BACKGROUND PAPERS**

8.1 None

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<b>DATE</b>	1 December 2020

## **Appendices**

1. Risk Register

East Lothian HSCP IJB Risk Register with Action Plan

ID	Title	Description	Controls in place	Risk level (current)	Risk level (Target)	Risk Owner	Handler	Date Opened	Action No	Assigned To	Description	Progress	Start date	Due date	Done date
5045	COVID-19	There is a risk that the IJB will not be able to deliver against its objectives, its strategic plan and deliver financial balance against its budget due to COVID-19 and the response to this.	1. IJB Board/Committee meetings now operating in a virtual manner 2. Controls in place within HSCP to evidence the response. 3. Part of Partners response to pandemic, NHS Lothian Tactical Response and East Lothian Council CMT. 4. IJB Members Briefings in place.	Very High 20	Medium 9	Macdonald, Alison X	Gorman, Iain	11/05/2020	11673	Iain Gorman	COVID-19 Response	IJB Chief Officer and Head of Operations actively part of East Lothian Council COVID -19 CMT Meeting and NHS Lothian Gold Command Meetings	11/05/2020	26/02/2021	
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.	1. Financial assurance process carried out by IJB 2. Engagement of IJB Officers and members in NHS and Council budget setting processes 3. Regular financial 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. Efficiency and recovery plans are developed in year by operational teams to "break even". 8. 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 9. The IJB take a lead role in policy decisions to support the Financial Plan. 10. Developed-a longer term rolling financial plan for the IJB. 11. IJB now holds a general reserve	High 12	Medium 9	Macdonald, Alison X	Flanagan, Claire	26/02/2016	8949	Claire Flanagan	Development of a longer term rolling financial plan for the IJB	This went to IJB in June 2019 and was accepted. A further update of the IJB rolling financial plan was presented to the IJB in October 2020. This iteration of the plan will require to be refined once clarity on the impact COVID-19 has on the IJB delegated functions moving forward.	16/05/2019	31/03/2021	
									10548	Claire Flanagan	Annual National and Scottish Budget Allocation	7/1/20: Annual budget settlement is currently unclear. Awaiting further information. Scottish Government Annual Budget for 2021/22 to be set February 2021 will require to work with Partners to assess the impact this will have on the IJB.	07/01/2020	31/03/2021	

ID	Title	Description	Controls in place	Risk level (current)	Risk level (Target)	Risk Owner	Handler	Date Opened	Action No	Assigned To	Description	Progress	Start date	Due date	Done date
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	<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>	High 12	Medium 9	Macdonald, Alison X	Macdonald, Alison X	17/06/2016	6956	Alison Macdonald	Clarity and monitoring of directions	Action extended to cover the period April 2017to March 2018. 16/05/19 directions for 2019-2020 currently in review. 23/12/19: Directions agreed at IJB on 31/10/19 - ongoing action. 7/1/20: Directions being finalised for publication. 25/02/20: Directions (including links) will be taken to the Core and Extended CMT on 18th March.	03/04/2017	31/03/2021	
4947	NHSL Recovery Plan	There is a risk that the EL IJB will not provide satisfactory services due to acute waiting times, delayed discharges and mental health. There is a risk that we will fail to meet the 4 hour performance target for unscheduled care which could mean that patients fail to receive appropriate care due to volume and complexity of patients, staffing, lack and availability of beds, lack of flow leading to a delay to first assessment, a delay in diagnosis and therefore in treatment for patients and a reputational risk for the organisation. Scottish Government has escalated these risks to Level 3 & 4.	<ol style="list-style-type: none"> <li>1. Extra capacity available in ELCH.</li> <li>2. Winter Plan</li> <li>3. Chief Officer on Recovery Board for Unscheduled Care and MH/LD.</li> <li>4. NHSL Project Management support has been recruited.</li> <li>5. Proactive teams are managing the situation on a daily basis.</li> <li>6. Contribute to tele-conferencing.</li> </ol>	High 16	High 12	Macdonald, Alison X	Macdonald, Alison X	19/12/2019	10551	Alison Macdonald	Involvement in a Collaborative Approach with all 4 IJB's	25/02/20: (1) Remits of groups and sub-groups in place (2) Operational delivery groups established and attended appropriately.	07/01/2020	31/03/2021	

ID	Title	Description	Controls in place	Risk level (current)	Risk level (Target)	Risk Owner	Handler	Date Opened	Action No	Assigned To	Description	Progress	Start date	Due date	Done date
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	<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 ensuring adequate resources are in place for non-delegated but related functions (e.g. housing), to deliver the Strategic Plan</li> <li>6. Quarterly Performance Report to IJB and scrutiny by the Audit and Risk Committee.</li> <li>7. Care at Home contracts in place.</li> <li>8. Use of Integrated Care Fund to increase capacity and improve terms and conditions.</li> <li>9. Use Primary Care Transformation Fund to improve access in west of county.</li> <li>10. Joint Workforce Plan approved at IJB on 23/5/19.</li> </ol>	Medium 6	Medium 6	Macdonald, Alison X	Macdonald, Alison X	26/02/2016							
3926	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>	Medium 4	Medium 4	Macdonald, Alison X	Macdonald, Alison X	26/02/2016	7349	Alison Macdonald	IJB Induction Review and IJB Members Annual Discussion	<p>7/1/20: AM will speak to Cllr Fiona O'Donnell and find out if regular meetings are taking place with IJB members.</p> <p>25/2/20: Cllr O'Donnell has met with IJB members. Induction plans to be reviewed in light of new members - Public Consultant and Independent Sector reps."</p> <p>IJB Standing Orders circulated to IJB members November 2020. IJB now operating virtually due to ongoing COVID-19 pandemic</p>	31/05/2017	31/03/2021	

