



REPORT TO: East Lothian IJB - Audit and Risk Committee
MEETING DATE: 13 September 2022
BY: Chief Finance Officer
SUBJECT: Risk Register - update

1 PURPOSE

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

2 RECOMMENDATIONS

2.1 The Committee is asked to:

- i. Note the risks on the current risk register with a risk rating of 12 and above
- ii. 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. As agreed at the Audit & Risk Committee June 2022 meeting the register now reports risks with a score of 12 and above. Since the last meeting the following updates have been made

- COVID 19 risk rating has been reduced from 20 to 15 (likely hood 5 impact 3)

- Demographic pressures risk now has an additional control regarding the IJB Change Boards and the progress has also been updated.
- A new National Care Service risk has been included with a rating of 12, due to awaiting clarity on the impact of this. The progress highlights the input to the consultation process.
- The risk titled impact of partners decisions remains in place and our progress has been updated with the work undertaken on the new strategic plan.
- Operational resources insufficient to deliver the strategic plan risk rating has increased from 6 to 12 (likelihood 4 and impact 3) and the progress on mitigation by Officers, the recognition of resource challenges plus the development of strategic plan have been included.

3.3 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

The IJB makes its papers and reports available on the internet.

5 POLICY IMPLICATIONS

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

6 INTEGRATED IMPACT ASSESSMENT

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

Financial – there are none.

Personnel – there are none.

8 BACKGROUND PAPERS

None

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DATE	September 2022

Appendices

Apx 1 Risk Rating Matrix
Apx 2 Risk Register

Appendix 1- Risk Rating Matrix (DATIX)

Likelihood	Consequences / Impact				
	Negligible	Minor	Moderate	Major	Extreme
Almost Certain	Medium 5	High 10	High 15	V High 20	V High 25
Likely	Medium 4	Medium 8	High 12	High 16	V High 20
Possible	Low 3	Medium 6	Medium 9	High 12	High 15
Unlikely	Low 2	Medium 4	Medium 6	Medium 8	High 10
Rare	Low 1	Low 2	Low 3	Medium 4	Medium 5

Appendix 2 - Risk Register

ID	Title	Description	Controls in place	Risk level (current)	Rating (current)	Risk level (Target)	Rating (Target)	Risk Owner	Handler	Date Opened	Date Risk Reviewed	Action Plan in Place	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. IJB Members are briefed on challenged as they present.	High	15	Medium	8	Wilson, Fiona M	Gorman, Iain	11/05/2020	16/08/2022		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. 01/06/21: These meetings vary depending on the COVID response required. NHS Lothian Gold Command is currently stood down. 15/8/22 - Services continue to consider impact of the COVID 19 in the development of the strategic goals for service. COVID 19 will remain as a risk for the IJB until 2023 while we wait to see if there will be a change with regard to the pandemic which will have a wider affect on our services. 1/9/22 - COVID risk is reducing but will be kept on the register until March 23 giving risk of re-occurrence	11/05/2020	31/03/2023	
5220	Demographic Pressures	There is a risk that because the population of East Lothian has increased over the past few years, the projections predict a further increase. Because of this the pressure is further compounded by the percentage of that population over the age of 65 will also increase from the current position. This will lead to increased demand for the health and social care services in East Lothian that have been delegated to the IJB.	1. This will be managed through the IJB's Strategic Planning processes. 2. Change boards should be operating with recognition of demographic changes within the area.	High	16	Medium	9	Wilson, Fiona M	Wilson, Fiona M	20/08/2021	16/08/2022	Yes	Community Transformation provisioning work	Laura Kerr leading with a timescale of April 2023	01/09/2022	31/03/2023	
													Strategic delivery	Gillian Neil leading with an April 2024 timescale.	01/09/2022	31/03/2023	
5279	Impact of National Care Service Proposals	There is a risk that the NCS consultation could have a significant impact on the IJB, indeed the IJB could be replaced by a new body.		High	12	High	12	Wilson, Fiona M	Wilson, Fiona M	29/11/2021	16/08/2022		Scottish Government	CO engaging with the Scottish Government and inputting to the consultation - 16/8/22	15/08/2022	31/03/2023	
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 4. Participation in MSG self-evaluation to inform improvement actions for better partnership working.	High	12	Medium	9	Wilson, Fiona M	Wilson, Fiona M	17/06/2016	16/08/2022	Yes	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. 26/02/2021: Development Session ran on the 27th Aug 2020 on Directions, the fitness of purpose of the current directions, the potential impact of Covid on directions, how direction will support remobilisation plans locally and nationally. A paper on Directions following this session was presented to the IJB at the September business meeting of the IJB.	03/04/2017	31/03/2023	

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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"> 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 focused on ensuring adequate resources are in place for delegated functions to deliver the Strategic Plan 4. NHS Lothian is focused 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 focused 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. Care at Home contracts in place. 8. Use of Integrated Care Fund to increase capacity and improve terms and conditions. 9. Use Primary Care Transformation Fund to improve access in west of county. 10. Joint Workforce Plan approved and in place at IJB on 23/5/19. 11. Financial investment in additional capacity 	High	12	Medium	6	Wilson, Fiona M	Wilson, Fiona M	26/02/2016	16/08/2022	Yes	Strategic Development	New strategic plan being developed which will set new directions. Plan will be completed by December 2022 and risk will require review after this time - 1/9/22	16/08/2022	31/12/2022	

