



REPORT TO: East Lothian IJB – Audit and Risk Committee

MEETING DATE: 24 October 2017

BY: Chief Finance Officer

SUBJECT: Risk Register

1 PURPOSE

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 POLICY IMPLICATIONS

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

5 INTEGRATED IMPACT ASSESSMENT

- 5.1 The 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
2. Risk Register action plan

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DATE	6 October 2017

East Lothian IJB Risk Register with Action Plan

ID	Title	Description	Controls in place	Adequacy of controls	Risk level (current)	Rating (current)	Risk level (Target)	Rating (Target)	Action Plan in Place	Risk Owner	Handler	Date Opened	Last Reviewed
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. (NOTE: In 2016/17 the financial plans were set before the commencement of the IJB therefore this risk is inherited. In 2017/18 and beyond, the IJB will lead the financial planning process and therefore this risk will be managed by the IJB)	<ol style="list-style-type: none"> 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 	Inadequate; control is not designed to manage the risk and further controls & measures required to manage the risk	High	16	Medium	9	Y	Small, David A	King, David	26/02/2016	30/03/2017
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"> 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	High	16	Medium	9	Y	Small, David A	King, David	17/06/2016	30/03/2017

ID	Title	Description	Controls in place	Adequacy of controls	Risk level (current)	Rating (current)	Risk level (Target)	Rating (Target)	Action Plan in Place	Risk Owner	Handler	Date Opened	Last Reviewed
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 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	High	12	Medium	6	Y	Small, David A	Small, David A	26/02/2016	30/03/2017
3926	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	<ol style="list-style-type: none"> 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	Medium	9	Medium	9	Y	Small, David A	Small, David A	26/02/2016	30/03/2017

ID	Title	Description	Controls in place	Adequacy of controls	Risk level (current)	Rating (current)	Risk level (Target)	Rating (Target)	Action Plan in Place	Risk Owner	Handler	Date Opened	Last Reviewed
3927	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	High	12	Medium	6	Y	Small, David A	Small, David A	26/02/2016	30/03/2017

East Lothian HSCP IJB Risk Register - Action Plan

Risk ID	Description	Synopsis	Progress	Start date	Due date	Done date
3924	Creation of appropriate financial planning processes	Programme of meetings and discussion between IJB, Council and Health Board leading to a IJB financial planning process being approved by the IJB and supported by Council and Health Board	Action transferred to 'Controls'	17/06/2016	30/09/2016	30/03/2017
	Financial Reporting	Improve financial reporting to the IJB on operational delivery to tie-in with delivery of the Strategic Plan		01/04/2017	31/08/2017	
	IJB and Policy Decisions	The IJB to take a lead role in policy decisions to support the Financial Plan		01/04/2017		
3925	Develop Joint Workforce Plan	Ensure NHS Lothian & East Lothian Council develop a Joint Workforce Plan		01/04/2017	30/03/2018	
	Financial investments in additional capacity	1. Use of Integrated Care Fund to increase capacity and improve terms and conditions 2. Use Primary Care Transformation Fund to improve access in west of county		17/06/2016	31/01/2018	
	Care at Home contracts	New Care at Home contracts are to be implemented		01/04/2017	30/09/2017	
3926	IJB Induction	Ensure there is a robust induction process in place for new Concillors / IJB members		31/05/2017	30/09/2017	
3927	Implementation of outstanding support services issues	Letter from IJB to Partners detailing actions outstanding and requesting report returned to IJB in August 2016		28/04/2016	25/08/2016	
4018	Clarity and monitoring of directions	1. Iterative process of development of directions and performance monitoring 2. Documented process for issuing and management of directions 3. Improved reporting and delivery of directions and performance	Action extended to cover the period April 2017to March 2018	03/04/2017	31/03/2018	