



REPORT TO: East Lothian Integration Joint Board

MEETING DATE: 23 May 2024

BY: Interim Chief Finance Officer

SUBJECT: IJB Risk Register

1 PURPOSE

1.1 This paper presents the IJB's Risk Register.

2 RECOMMENDATIONS

2.1 The IJB is asked to:

- i. Note the current risk register.
- ii. Consider if any further risks be added to the risk register.

3 BACKGROUND

3.1 The IJB maintains a risk register, in line with the IJB's risk strategy and risk policy which was approved by the IJB's Audit and Risk Committee at its December 2022 meeting.

3.2 The risk register is designed to capture the risks to the business of the IJB, consider their potential impact and provide a range of mitigating and management actions. It should be noted that the business of the IJB is to prepare and deliver its strategic plan and therefore only the risks to those outcomes are considered.

3.3 This risk register is reviewed by management (the IJB's Chief Officer, the IJB's Chief Finance officer and other officers of the HSCP) on a quarterly basis, revised and presented to the IJB's Audit and Risk Committee for consideration and discussion. Annually, the IJB's Audit and Risk committee is also presented with the HSCP's risk register to reflect on the impact of any operational risks noted by the HSCP on the IJB strategic risk register.

- 3.4 Best practice recommends that the IJB's risk register is presented to the IJB annually so that all the members of the IJB can consider the risk register and reflect on any other risks that should also be noted.
- 3.5 The risk register that was presented to the IJB's Audit and Risk committee is attached for members of the IJB to consider. It should be noted that this risk register is currently being updated and the updated risk register will be presented to the IJB Audit and Risk committee at its June 2024 meeting.

4 ENGAGEMENT

- 4.1 The IJB makes its papers and reports available publicly.

5 POLICY IMPLICATIONS

- 5.1 There are no new policies arising from this paper.

6 INTEGRATED IMPACT ASSESSMENT

- 6.1 The subject of this report does not affect the wellbeing of the community or have a significant impact on equality, the environment or economy.

7 DIRECTIONS

- 7.1 This report has no impact on any of the IJB's directions and does not require any new or amended directions.

8 RESOURCE IMPLICATIONS

- 8.1 Financial – None
- 8.2 Personnel – None
- 8.3 Other – None

9 BACKGROUND PAPERS

- 9.1 None.

Appendix:

IJB Risk Register as presented to the IJB's Audit and Risk meeting in March 2024.

AUTHOR'S NAME	David King
DESIGNATION	Interim Chief Finance Officer
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DATE	May 2024

ID	Title	Description	Controls in place	Risk level (current)	Risk level (Target)	Risk Owner	Handler	Due date
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.	This will be managed through the IJB's Strategic Planning processes. Change boards should be operating with recognition of demographic changes within the area. Commissioned Cap Gemini to access future demand on care at home services. Closer links with public health to understand our demographics better.	High	Medium	Wilson, Fiona M	Wilson, Fiona M	30/04/2024
5486	East Lothian Council finance department in business continuity	There is a risk that the IJB will have reduced financial support and information from East Lothian Council on its delegated budgets. There is a risk this will impact on the IJBs ability to manage its financial position and deliver its strategic plan.	1 - The Scheme of Integration 2 - IJB CFO in post 3 - ELC review position every 2 weeks 4 - Attendance at Financial Overview 5 - ELC have commissioned for external legal advice due to recruitment challenges	High	Medium	Wilson, Fiona M	Wilson, Fiona M	31/03/2024
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 sub optimal the failure to achievement of 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 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.	Very High	High	Wilson, Fiona M	Wilson, Fiona M	31/03/2024
5279	Impact of National Care Service Proposals	The IJB is mindful of the development of the NCS legislation and the impact this may have.		High	High	Wilson, Fiona M	Wilson, Fiona M	31/03/2024
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, Community Pharmacy, 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 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	Very High	Medium	Wilson, Fiona M	Wilson, Fiona M	31/03/2024

