

# Report

## IJB Risk Register

### Integration Joint Board

2 March 2018



#### Executive Summary

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1. The purpose of this report is to provide an update on the Integration Joint Board (IJB) risk register and the proposed framework to manage, mitigate and identify risk.

#### Recommendations

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2. The committee is asked to note the update from the Audit and Risk Committee and agree to receive the IJB risk register at its meeting in June 2018.

#### Background

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3. As a public body, the IJB must ensure that it operates in accordance with relevant legislation and the principles and codes that apply to all public bodies. To fulfil its statutory duties, consideration of risk is an essential function of the IJB.
4. The approach taken by the IJB and Partnership has evolved over the last few years, reflecting the growing understanding of the difference in roles and responsibilities.
5. At the last update in September 2017, IJB and Partnership risks were maintained in a single register. The latest iteration decouples IJB risks from Partnership risks and was considered at the Audit and Risk Committee on 9 February 2018. The Committee supported the approach and requested that an amended register, reflecting some minor restructuring and rewording be presented to its meeting on 1 June 2018.

#### Main report

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6. The initial IJB risk register was developed by the Partnership management team and validated in an IJB development session on 19 August 2016. The register was subsequently updated and presented to the Audit and Risk Committee on 2 September 2016. At this point, the Partnership was working with 2 other (operational) risk registers, one for Council services and one for NHS Lothian

services, and both these registers required an element of updating, creating an overall complex landscape.

7. In subsequent months, the Partnership management team, supported by PwC, continued to identify and refine the mitigating controls. In February 2017, a workshop was held to develop the risk register further and to assign ownership of each risk. During this process, the extent of the linkages between IJB and Partnership risks was recognised, and it was agreed to capture the risks, responsibilities and ownership in one risk register, rather than hold separate registers for NHS Lothian, the Partnership, the City of Edinburgh Council and the IJB. Whilst this change simplified the process, it increased the number of risks being managed by the IJB.
8. One consolidated risk register was created which prioritised and scored all inherent and residual risks for both the IJB and the Partnership. This risk register, containing 49 identifiable risks, merged both “strategic” and “operational” risks into one document. This was considered and supported by the Audit and Risk Committee on 2 June 2017 and updated in September 2017.
9. After consulting with the Interim Chief Finance Officer, Chief Internal Auditor, Chief Nurse, representatives from the three Lothian IJBs and the Council’s Risk Officer, it was agreed to develop separate IJB and Partnership risk registers. Consequently an IJB risk register was developed which focused solely on risks related to strategy, scrutiny and performance. The extant risk register was used as the basis for this work and the initial output was discussed at the Audit and Risk Committee meeting on 2 February 2018. As well as considering the register itself the Committee discussed and supported the methodology to be used to assess risk and the underpinning framework for risk management and escalation.
10. The IJB risk register will be developed and maintained by the Partnership’s Operations Manager with oversight arrangements remaining in place from the Interim Chief Finance Officer. The Partnership risk register is being developed by the Quality and Assurance Manager and the 13 draft Partnership risks will be submitted to the Partnership’s Senior Management Team in February 2018 for endorsement.

## Key risks

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11. The proposed additional and amended risks will assist the IJB in meeting its objectives.

## Financial implications

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12. No direct financial implications.

## Implications for Directions

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13. There are no specific implications for directions arising from this report.

## Equalities implications

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14. There are no equality issues within this report.

## Sustainability implications

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15. No direct sustainability implications.

## Involving people

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16. The IJB risks were developed following consultation with the Chief Finance Officer, Chief Internal Auditor, Chief Nurse, representatives from the three Lothian IJBs and the Council's Risk Officer.

## Background reading/references

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17. None

## Report author

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## Appendices

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