

# Report

## IJB Risk Register

### Edinburgh Integration Joint Board

14<sup>th</sup> December 2018



## Executive Summary

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1. The purpose of this report is to submit the current version of the Integration Joint Board (IJB) risk register for consideration and to update the board on the processes which are being established to manage, mitigate and escalate risks.

## Recommendations

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2. The Committee is asked to:
  - a) note the continued development of the IJB risk register and associated action plan;
  - b) note that the latest version of the register has been scrutinised by the Audit and Risk Committee on 16<sup>th</sup> November 2018; and
  - c) note that the Audit and Risk Committee has requested the addition of two additional risks.

## Background

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3. As a key part of its governance process, the risk register examines the risks that impact the IJB's ability to deliver its strategic plan. The IJB's Audit and Risk Committee (ARC) oversees risk management arrangements; this includes receipt, review and scrutiny of reports on strategic risks and escalation of any issues that require to be brought to the IJB's attention.
4. On 1<sup>st</sup> June 2018, the risk register was presented to, and scrutinised by, the ARC. It was subsequently presented to the IJB on 15<sup>th</sup> June 2018. IJB members requested that the risk register should be submitted to the board every six months. This report is in answer to this request.

## Main report

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5. The IJB risk register, a cornerstone of a comprehensive risk process, identifies and assesses risks, and clearly articulates the controls in place to manage them. Since the inception of the IJB the risk register has been presented in a number of different ways and both the ARC and the IJB have agreed the current format and approach.
6. It was recognised that further work to refine the risk register presented in June was necessary. In particular, the mitigating controls needed strengthening. Work to support this has been ongoing since June and, in anticipation of the next six-monthly update to the IJB, risk owners were encouraged to take a proactive approach to risk by:
  - a) self-assessing the effectiveness of current mitigating controls;
  - b) diminishing risk impacts and/or probability by refining controls; and
  - c) implementing action plans to address residual risk in a timely manner.
7. Another element of the work is the creation of a “risk register action plan”. This tool is designed to assist risk owners identify their course of action for managing their assigned risk(s). Listed actions will help reduce the likelihood of these risks occurring and lessen their impact if they do occur. The plan has been created to ensure that the agreed actions are carried out in a timely manner.
8. The IJB risk register has now been amended to reflect this work and the revision is attached as appendix 1. The associated risk register action plan, template and guidance notes are attached as appendix 2.
9. On 16<sup>th</sup> November 2018, the IJB Audit and Risk Committee considered the latest iteration of the register and requested the addition of two new risks.
  - a) The first risk should highlight the complex nature of the IJB’s regulatory environment. A consequence of the changing legal requirements imposed on integration authorities means that the IJB is juggling a growing number of compliance responsibilities. As such, it is the responsibility of the IJB to what it is responsible for under relevant legislation and there is a risk that the IJB is unsighted on one (or more) such requirement; and
  - b) The second additional risk should focus on potential conflicts of interests for senior managers in the Health and Social Care Partnership (the Partnership) where these individuals also have roles relating to the IJB. Best practice (as per the three lines of defence model) is that managers with second and third line assurance and scrutiny responsibilities (for example risk management and internal audit) should not also have operational responsibilities as this presents the possibility of conflicts of interest.
10. The Chief Officer will formally assign respective risk owner(s) to develop these risks with associated mitigating controls for the next ARC.

11. In November 2018, the Good Governance Institute (GGI) released a paper: *'Independent Review of the Governance of the Edinburgh Integration Joint Board'*. Section 9 is dedicated to 'Strategic Risk' and highlights the importance of the role of the IJB's strategic risk register in helping the IJB accomplish its objectives. The relevant recommendation is replicated below:

**Recommendation 7** – The Board should commit to an integrated risk and escalation framework, shaped by a risk appetite owned by all Board members, supported by a risk methodology, and supported by subcommittees and systems providing specific assurances and clear escalation processes.' (GGI, *Independent Review of the Governance of the Edinburgh Integration Joint Board*, page 9)

12. The GGI report referred to above is considered elsewhere on this agenda. One of the recommendations in that report is that the Chief Officer brings an action plan back to the February IJB meeting.

## Key risks

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13. As set out in the IJB risk register.

## Financial implications

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14. No direct financial implications.

## Implications for Directions

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

## Equalities implications

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16. There are no equality issues within this report.

## Sustainability implications

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17. There are no direct sustainability implications arising from this report.

## Involving people

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18. 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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19. None

## Report author

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## Appendices

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<b>Appendix 1</b>	IJB Risk Register
<b>Appendix 2</b>	IJB Risk Register Action Plan
<b>Appendix 3</b>	IJB Risk Register Action Plan Template & Guidance notes

## Appendix 1 – IJB Risk Register

	Risk	Rating
	<b>Strategic planning and commissioning</b>	
1	There is a risk that the IJB fails to deliver its strategic objectives because the Council and/or NHS Lothian do not delegate sufficient resource – leading to a requirement to revise the strategic plan.	High
2	There is a risk that the IJB has limited ability to influence the decision making over set aside and hosted services which are not managed and delivered by the Partnership because of conflicting requirements – leading to the IJB's inability to drive strategy to help meet its objectives/outcomes.	High
3	There is a risk that the IJB will not achieve its strategic objectives and/or financial targets because delegated services are not delivered by Council and NHS Lothian within available budgets – leading to a requirement to revise the strategic plan.	Very high
4	There is a risk that the IJB has insufficient asset planning arrangements because of a lack of a capital plan – leading to failure or delays in delivering the strategic plan.	High

	Risk	Rating
<b>Issuing of directions</b>		
5	<p>There is a risk that NHS Lothian and the Council do not deliver directions because they are not:</p> <ul style="list-style-type: none"> <li>• well-articulated</li> <li>• properly understood</li> <li>• realistic/achievable</li> <li>• performance targets are not SMART</li> </ul>	High
6	<p>There is a risk that the IJB directions are not delivered because of the lack of a workforce strategy - leading to a mismatch between workforce requirements and availability.</p>	High
<b>Management and role of the IJB</b>		
7	<p>There is a risk that the IJB does not operate effectively as a separate entity because:</p> <ul style="list-style-type: none"> <li>• there is a lack of clarity about the separate roles of the IJB, HSCP, Council and NHS Lothian; and/or</li> <li>• members lack the necessary skills, knowledge and experience to undertake their role leading to a failure to deliver the principles of integration.</li> </ul>	High
8	<p>There is a risk that the IJB does not make best use of the expertise, experience and creativity of the third, independent and housing sectors, and other partners as a result of failing to engage and collaborate appropriately - leading to a negative impact on the delivery of the strategic outcomes and poor relationships.</p>	High
9	<p>There is a risk that the IJB lacks the infrastructure to operate effectively because of a failure by NHS Lothian and the Council to meet their obligations under the integration scheme to provide adequate professional, administrative and technical support – leading to failures in governance, scrutiny and performance arrangements.</p>	High

	Risk	Rating
10	There is a risk that the IJB receives insufficient or poor-quality assurance from assurance providers to support effective delivery of their scrutiny responsibilities.	Medium

**Strategic planning and commissioning**

**Current risk rating: High**

**There is a risk that the IJB fails to deliver its strategic objectives because the Council and/or NHS Lothian do not delegate sufficient resource – leading to a requirement to revise the strategic plan.**

Risk ID:	1
Risk Owner	Chief Officer
Date added to register	June 2016
Last revised date:	November 2018
Next review date:	

**Key Mitigating Controls:**

- Financial plan is approved annually by the IJB following the annual due diligence process on the budget offers from NHS Lothian and the Council
- Financial position reported to each meeting of the IJB
- Budget Setting Protocol agreed by IJB, NHS Lothian and the Council in place
- Timetable of engagement meetings with key stakeholders (IJB, CEC Head of Finance, NHS Lothian Director of Finance, Chief Executives from both Council and NHS Lothian)

**Target Risk:** Medium

Likelihood	Consequence				
	Neg	Min	Mod	Maj	Ext
Almost Certain	M	H	H	VH	VH
Likely	M	M	H	H	VH
Possible	L	M	M	H	H
Unlikely	L	M	M	M	H
Rare	L	L	L	M	M

**Evidence:**

- Sub group/committee/board membership lists
- Records of meetings

**Adequacy of current control measures:**

Uncertain

Impact of controls not known at this time and more work is required to identify current situation.

**Strategic planning and commissioning**

**Current risk rating: HIGH**

**There is a risk that the IJB has limited ability to influence the decision making over set aside and hosted services which are not managed and delivered by the Partnership because of conflicting requirements – leading to the IJB’s inability to drive strategy to help meet its objectives/outcomes.**

Risk ID:	2
Risk Owner	Interim Chief Strategy and Performance Officer
Date added to register	June 2016
Last revised date:	November 2018
Next review date:	

**Mitigating Controls:**

- Regular (monthly) Chief Officer meetings attended by all four IJBs and officers from NHS Lothian provide a forum to reach consensus and raise any relevant issues.
- Specific service forums are established to consider and agree major service changes which impact on more than 1 IJB (examples include the Royal Edinburgh Campus Reprovision Project Board which meets monthly).
- Outline strategic commissioning plans detailed impact on hosted and set aside services

**Target Risk: Medium**

Likelihood	Consequence				
	Neg	Min	Mod	Maj	Ext
Almost Certain	M	H	H	VH	VH
Likely	M	M	H	H	VH
Possible	L	M	M	H	H
Unlikely	L	M	M	M	H
Rare	L	L	L	M	M

**Evidence:**

- IJB reports
- Feedback from sub groups, particularly the SPG and reference boards
- Meeting agenda, papers and minutes.

**Adequacy of current control measures:**

Uncertain

Impact of controls not known at this time and more work is required to identify current situation.

**Strategic planning and commissioning**

**Current risk rating: Very High**

**There is a risk that the IJB will not achieve its strategic objectives and/or financial targets because delegated services are not delivered by Council and NHS Lothian within available budgets – leading to a requirement to revise the strategic plan.**

Risk ID:	3
Risk Owner	Chief Officer
Date added to register	June 2016
Last revised date:	November 2018
Next review date:	

**Mitigating Controls:**

- Finance is a standing item on the IJB agenda.
- Regular financial reports to IJB, partnership executive team and the various governance forums in the Council and NHS Lothian
- Chief Finance Officer in post.
- Operational financial monitoring undertaken monthly by both NHS Lothian and the Council.
- Partnership Savings Governance Group meets monthly to scrutinise progress against the Partnership’s savings and recovery plans.
- Ongoing dialogue with NHS Lothian’s Director of Finance and the Council’s Head of Finance, through quarterly performance meetings and regular informal discussion.
- Chief Officer regularly meets with both Council and NHS Lothian Chief Executives
- Budget Setting Protocol agreed by IJB, NHS Lothian and the Council in place

**Target Risk:** High

Likelihood	Consequence				
	Neg	Min	Mod	Maj	Ext
Almost Certain	M	H	H	VH	VH
Likely	M	M	H	H	VH
Possible	L	M	M	H	H
Unlikely	L	M	M	M	H
Rare	L	L	L	M	M

**Evidence:**

- IJB reports
- Financial monitoring is undertaken on a regular basis and features as a regular item on the Executive Team agenda.
- Savings Governance Group meeting fortnightly. Action logs circulated.

**Adequacy of current control measures:**

Uncertain

Impact of controls not known at this time and more work is required to identify current situation.

**Strategic planning and commissioning**

**Current risk rating: High**

**There is a risk that the IJB has insufficient asset planning arrangements because of a lack of a capital plan – leading to failure or delays in delivering the strategic plan.**

Risk ID:	4
Risk Owner	Chief Finance Officer
Date added to register	June 2016
Last revised date:	November 2018
Next review date:	

**Mitigating Controls:**

- Joint NHS Lothian/Council asset management group has been established to agree on priorities.
- Representation on the Council Property Board and NHS Lothian Finance and Resources Committee.
- Outline strategic commissioning plans included outline of capital requirements to deliver the strategic plan
- IJB has agreed a number of strategic assessments for primary care developments which are now progressing to the next stage of development (initial assessments)

**Target Risk: Medium**

Likelihood	Consequence				
	Neg	Min	Mod	Maj	Ext
Almost Certain	M	H	H	VH	VH
Likely	M	M	H	H	VH
Possible	L	M	M	H	H
Unlikely	L	M	M	M	H
Rare	L	L	L	M	M

**Adequacy of current control measures:**

Uncertain

Impact of controls not known at this time and more work is required to identify current situation.

**Evidence:**

- IJB reports
- Feedback from sub groups, particularly the SPG and reference boards
- Papers (including minutes) of meetings

**Issuing of directions**

**Current risk rating: High**

**There is a risk that NHS Lothian and the Council do not deliver directions because they are not:**

- well-articulated
- properly understood
- realistic/achievable
- performance targets are not SMART

**leading to confusion and inefficiency**

**Mitigating Controls:**

- Directions emerge from the strategic plan which has been developed in collaboration with NHS Lothian, the Council and other partners.
- Directions themselves are also developed in collaboration with NHS Lothian and the Council.
- Plans are being developed to regularly monitor and report on progress in delivery of the directions
- Directions can be withdrawn or amended at any time if they are no longer to be appropriate/realistic/achievable.

Risk ID:	5
Risk Owner	Interim Chief Strategy and Performance Officer
Date added to register	June 2016
Last revised date:	November 2018
Next review date:	

**Target Risk: Low**

Likelihood	Consequence				
	Neg	Min	Mod	Maj	Ext
Almost Certain	M	H	H	VH	VH
Likely	M	M	H	H	VH
Possible	L	M	M	H	H
Unlikely	L	M	M	M	H
Rare	L	L	L	M	M

**Adequacy of current control measures:**

Uncertain

Impact of controls not known at this time and more work is required to identify current situation.

**Evidence:**

- Annual performance report
- IJB reports
- Feedback from sub groups, particularly the SPG and reference boards
- Papers (including minutes) of meetings

**Issuing of directions**

**Current risk rating: High**

Risk ID:	6
Risk Owner	Chief Nurse
Date added to register	June 2016
Last revised date:	October 2018
Next review date:	

**There is a risk that the IJB directions are not delivered because of the lack of a workforce strategy - leading to a mismatch between workforce requirements and availability.**

**Mitigating Controls:**

- A Workforce Development Steering Group has been established under the leadership of the Chief Nurse to oversee the development and implementation of a workforce strategy.
- Four sub-groups are now established to progress the workforce strategy
  - Group 1 – Workforce Data
  - Group 2 – Recruitment & Retention of Staff
  - Group 3 – Staff Experience
  - Group 4 – Workforce Development
- As part of a transparent and holistic approach, third, independent and housing sectors are members of the steering group to ensure inclusivity and compatibility for the delivery of care services.

**Target Risk: Low**

Likelihood	Consequence				
	Neg	Min	Mod	Maj	Ext
Almost Certain	M	H	H	VH	VH
Likely	M	M	H	H	VH
Possible	L	M	M	H	H
Unlikely	L	M	M	M	H
Rare	L	L	L	M	M

**Evidence:**

- IJB reports
- Record of feedback from sub groups, particularly the SPG and reference boards
- Papers (including minutes) of meetings

**Adequacy of current control measures:**

Uncertain

Impact of controls not yet known at this time and more work is required to identify current situation.

**Management and role of the IJB**

**Current risk rating: High**

Risk ID:	7
Risk Owner	IJB Chair
Date added to register	June 2016
Last revised date:	May 2018
Next review date:	November 2018

**There is a risk that the IJB does not operate effectively as a separate entity because:**

- **there is a lack of clarity about the separate roles of the IJB, Partnership, Council and NHS Lothian; and/or**
- **members lack the necessary skills, knowledge and experience to undertake their role.**

**leading to a failure to deliver the principles of integration.**

**Mitigating Controls:**

- Regular development sessions for IJB members.
- Induction session for new IJB members.
- Members are encouraged to actively engage with the Partnership Senior Management Team.
- Members are advised that they can meet with Partnership Officers/ report owners prior to meetings to discuss the report content. Board members chair subgroups and reference boards which aids to broaden members knowledge, understanding, and decision making.
- IJB Standing Order / Code of Conduct
- ‘Declaration of Interest’ - members are responsible for declaring certain interest in IJB proceedings.
- The IJB Chair monitors the quality of the debates and if necessary, will ask the Partnership Chief Officer for additional information if the subject matter requires further clarification for members.
- Regular Edinburgh Integration Joint Board Newsletter to provide members/stakeholders with latest news from both the IJB and the Strategic Planning Group.
- Chair’s ‘Open Door’ policy – members regularly arrange to meet the Chair to ask questions and/or discuss IJB matters.

**Target Risk: Low**

Likelihood	Consequence				
	Neg	Min	Mod	Maj	Ext
Almost Certain	M	H	H	VH	VH
Likely	M	M	H	H	VH
Possible	L	M	M	H	H
Unlikely	L	M	M	M	H
Rare	L	L	L	M	M

**Evidence:**

- Record of development sessions taking place
- Record of inductions
- Records of ‘Declaration of Interests’
- EIJB Newsletter

**Adequacy of current control measures:**

Uncertain

Impact of controls not known at this time and more work is required to identify current situation.

**Management and role of the IJB**

**Current risk rating: High**

**There is a risk that the IJB does not make best use of the expertise, experience and creativity of the third, independent and housing sectors, and other partners as a result of failing to engage and collaborate appropriately - leading to a negative impact on the delivery of the strategic outcomes and poor relationships.**

Risk ID:	8
Risk Owner	Interim Chief Strategy and Performance Officer
Date added to register	June 2016
Last revised date:	May 2018
Next review date:	

**Mitigating Controls:**

- The third, independent and housing sectors represented on a range of IJB sub groups, sub committees and reference boards.
- Significant engagement undertaken as integral part of developing the strategic plan.
- The third, independent and housing sectors involved in the development of the outline strategic commissioning plans and all will have an integral role as these evolve into detailed commissioning plans.
- Development of an engagement strategy underway.
- The third, independent and housing sectors will be represented on the Workforce Development Steering Group

**Target Risk: Low**

Likelihood	Consequence				
	Neg	Min	Mod	Maj	Ext
Almost Certain	M	H	H	VH	VH
Likely	M	M	H	H	VH
Possible	L	M	M	H	H
Unlikely	L	M	M	M	H
Rare	L	L	L	M	M

**Evidence:**

- IJB reports
- Feedback from sub groups, particularly the SPG and reference boards
- Papers (including minutes) of meetings
- Lack of deputations

**Adequacy of current control measures:**

Uncertain

Impact of controls not known at this time and more work is required to identify current situation.

**Management and role of the IJB**

**Current risk rating: High**

**There is a risk that the IJB lacks the infrastructure to operate effectively because of a failure by NHS Lothian and the Council to meet their obligations under the integration scheme to provide adequate professional, administrative and technical support – leading to failures in governance, scrutiny and performance arrangements.**

Risk ID:	9
Risk Owner	Chief Officer
Date added to register	June 2016
Last revised date:	May 2018
Next review date:	

**Mitigating Controls:**

- The Chief Officer is a member of the senior management teams in both NHS Lothian and the Council, thus in a position to influence decision making.
- Through regular 1:1 with each respective Chief Executive, the Chief Officer is able to directly raise any issues and seek solutions.
- Comprehensive audit plan in place to understand the quantum of the risk.

**Target Risk:** Medium

Likelihood	Consequence				
	Neg	Min	Mod	Maj	Ext
Almost Certain	M	H	H	VH	VH
Likely	M	M	H	H	VH
Possible	L	M	M	H	H
Unlikely	L	M	M	M	H
Rare	L	L	L	M	M

**Evidence:**

- Feedback from Chief Officer
- Annual assurance process and governance statement

**Adequacy of current control measures:**

Uncertain

Impact of controls not known at this time and more work is required to identify current situation.

## Management and Role of the IJB

### Current Risk Rating: Medium

Risk ID:	10
Risk Owner	Chief Officer
Date added to register	June 2016
Last revised date:	May 2018
Next review date:	October 2018

**There is a risk that the IJB receives insufficient or poor-quality assurance from assurance providers to support effective delivery of their scrutiny responsibilities.**

### Mitigating Controls:

- The IJB has both internal and external audit assurance providers: Internal - NHS Lothian & Council; External - Scott-Moncrieff.
- Internal Audit (IA) delivers four IJB Audits per year – one from NHS Lothian IA and three from the Council IA.
- The IJB risks in the risk register are mapped to the annual IA plan to ensure that all key risks are covered.
- Annual IA plans of NHS Lothian and the Council are subject to review and scrutiny by the EIJB Audit and Risk Committee.
- Clear internal review process for all audits completed on behalf of the IJB and the Partnership.
- Independent external review of IA is performed every 5 years in line with Public Sector Internal Audit Standards (PSIAS) requirements (last review was performed 2016/17).
- Annual Internal Audit opinion for the EIJB is required to highlight any instance of non compliance with the PSIAS.
- The governance statement (incorporated in the annual accounts) and the annual IA opinion is subject to review and scrutiny by the EIJB A&R Committee.
- A clearly established follow-up process to ensure that all IA findings raised are appropriately closed and risks mitigated – an area of non PSIAS compliance for 2017/18.
- IA progress reports provided to the Audit and Risk Committee quarterly, updating progress on the audit plan and also the status of open and overdue IA findings.
- Established IA system that records and retains the audit work performed by the IA team. Also includes 'layered' levels of review and sign off that are linked to the roles in the team.
- Each year, external audit will perform a sample-based review of IA work to determine whether they can rely on the outcomes in relation to best value. A comment will be included in the annual accounts to reflect this.

**Target Risk: Low**

Likelihood	Consequence				
	Neg	Min	Mod	Maj	Ext
Almost Certain	M	H	H	VH	VH
Likely	M	M	H	H	VH
Possible	L	M	M	H	H
Unlikely	L	M	M	M	H
Rare	L	L	L	M	M

**Adequacy of current control measures:**

Uncertain

Impact of controls not known at this time and more work is required to identify current situation.

### Evidence:

- Need to receive assurance on the services and systems provided by external third parties by obtaining copies of their internal audit reports or professional inspectorate reviews.

## Appendix 2 - IJB Risk Register Current Action Plan – November 2018

IJB RISK ACTION PLAN						
Maintained by: Partnership Operations Manager						
Last Update: October 2018						
Risks	Action Required	By When	Responsibility Assigned to:	Resources Implications	Outcome Target	Progress to date
<b>IJB Risk #1</b>  There is a risk that the IJB fails to deliver its strategic objectives because the Council and/or NHS Lothian do not delegate sufficient resource – leading to a requirement to revise the strategic plan.	5 year financial plan being updated in parallel to development of strategic plan	Initial draft in January 2019, finalised by March 2019 in line with strategic plan	Moira Pringle, Chief Finance Officer	Appropriate information to be provided by CEC Head of Finance and NHSL Director of Finance	5 year financial plan presented to IJB	<b>NEW</b>
<b>IJB Risk #1</b>	Meeting schedule in support of budget protocol to be finalised	November 2018	Judith Proctor, Chief Officer	Administrative support to organise meetings	Timetable to be shared with all participants	<b>NEW</b>

## IJB RISK ACTION PLAN

Maintained by: Partnership Operations Manager

Last Update: October 2018

Risks	Action Required	By When	Responsibility Assigned to:	Resources Implications	Outcome Target	Progress to date
<p><b>IJB Risk #2</b></p> <p>There is a risk that the IJB has limited ability to influence the decision making over set aside and hosted services which are not managed and delivered by the Partnership because of conflicting requirements – leading to the IJB’s inability to drive strategy to help meet its objectives/outcomes.</p>	Strategic commissioning plans under development to reflect the implications for hosted and set aside services	December 2019	Colin Briggs, Interim Head of Strategy and Performance	Being addressed via reference boards and working groups.	Strategic commissioning plans presented to the IJB	<b>NEW</b>
<p><b>IJB Risk #4</b></p> <p>There is a risk that the IJB has insufficient asset planning arrangements because of a lack of a capital plan – leading to failure or delays in delivering the strategic plan.</p>	Capital Plan Completion	March 2019	Moira Pringle, Chief Finance Officer	Project group to be established	Capital plan presented to the Strategic Planning Group for onward submission to the IJB	<b>NEW</b>
<p><b>IJB Risk #4</b></p>	Initial agreements (IAs) for primary care developments	Various, depending on the specific project	Colin Briggs, Interim Head of Strategy and Performance	Project teams in place for each individual development	IAs presented to the IJB for approval and submission to NHS Lothian Finance and Resources Committee	<b>NEW</b>

## IJB RISK ACTION PLAN

Maintained by: Partnership Operations Manager

Last Update: October 2018

Risks	Action Required	By When	Responsibility Assigned to:	Resources Implications	Outcome Target	Progress to date
<b>IJB Risk #5</b> There is a risk that NHS Lothian and the Council do not deliver directions because they are not: <ul style="list-style-type: none"> <li>well-articulated</li> <li>properly understood</li> <li>realistic/achievable</li> <li>performance targets are not SMART</li> </ul> leading to confusion and inefficiency	Directions policy to be agreed and implemented	March 2019	Nickola Paul, Programme Business Manager		Directions policy in place	<b>NEW</b>
<b>IJB Risk #5</b>	Arrangements for monitoring progress against directions to addressed via governance review	December 2018	Judith Proctor, Chief Officer	Good Governance Institute has been appointed	Revised IJB governance arrangements in place	<b>NEW</b>
<b>IJB Risk #6</b> There is a risk that the IJB directions are not delivered because of the lack of a workforce strategy - leading to a mismatch between workforce requirements and availability.	Workforce Strategy completion	March 2019	Pat Wynne, Chief Nurse  Partnership Executive Team  Workforce Development Steering Group	Operational Officers have been asked to lead sub-groups in additional to normal duties	New Workforce Strategy will be presented to IJB	<b>NEW</b>
	Baseline Report completion	December 2018	Neil Wilson, Workforce Planning Manager		Baseline report to capture scope and progress update.	<b>NEW</b>
	Presentation Test Site at North West Locality	TBC	TBC		Data and Trends to NW Locality Senior	<b>NEW</b>

## IJB RISK ACTION PLAN

Maintained by: Partnership Operations Manager

Last Update: October 2018

Risks	Action Required	By When	Responsibility Assigned to:	Resources Implications	Outcome Target	Progress to date
					Management Team.	
<p><b>IJB Risk #7</b></p> <p>There is a risk that the IJB does not operate effectively as a separate entity because:</p> <ul style="list-style-type: none"> <li>• there is a lack of clarity about the separate roles of the IJB, Partnership, Council and NHS Lothian; and/or</li> <li>• members lack the necessary skills, knowledge and experience to undertake their role.</li> </ul> <p>- leading to a failure to deliver the principles of integration.</p>	Creation of an Induction Pack for new IJB Members.	November 2018	Chief Officer	N/A	Induction Pack to be shared with new IJB Members at Induction Sessions	<b>NEW</b>  Draft submitted to IJB Chair and Deputy Chair ahead of November Induction Session for approval.
	Governance Review	December 2018	Chief Officer	N/A	The results of the Governance Review will provide members with a greater understanding of IJB and Partnership governance.	<b>NEW</b>
	<p><b>IJB Risk #7</b> (continued)</p> <p>IJB Chair Risk – Mitigating Controls Review</p> <p>Review current mitigating controls and action plan with deputy chair and other IJB Members to assess if controls are adequate in managing this risk.</p>	November 2019	IJB Chair	N/A	Confirmation, review and/or addition of mitigating controls  Action Plan update	<b>NEW</b>
<p><b>IJB Risk #10</b></p> <p>There is a risk that the IJB receives insufficient or poor-quality assurance from assurance providers to support effective delivery of their</p>	Regular meetings between the EIJB Chair and CIA to be established	December 2018	Lesley Newdall, CIA / Cllr Henderson, IJB Chair	N/A	Regular diary dates organised for the next 6 months.	<b>NEW</b>

## IJB RISK ACTION PLAN

Maintained by: Partnership Operations Manager

Last Update: October 2018

Risks	Action Required	By When	Responsibility Assigned to:	Resources Implications	Outcome Target	Progress to date
scrutiny responsibilities.						
<b>IJB Risk #10</b>	Assurance statements to be obtained from other assurance providers	February 2019	Cathy Wilson, Operations Manager	Meeting with CIA and other representatives as required	Mitigating controls added to risk register	<b>NEW</b>

## Appendix 3 – IJB Risk Register Action Plan – Template

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<b>RISK ACTION PLAN</b>						
Officer Name:						
Date:						
<b>Risks</b>	<b>Action Required</b>	<b>By When</b>	<b>Responsibility Assigned to:</b>	<b>Resources Implications</b>	<b>Outcome Target</b>	<b>Progress to date</b>

## IJB Risk Register Action Plan - Guidance Notes

GUIDANCE NOTES ON COMPLETING YOUR RISK ACTION PLAN						
Risks	Action Required	By When	Responsibility Assigned to:	Resources Implications	Outcome Target	Progress to date
List the IJB Risk e.g	1. You should break down your actions into a number of tasks that are required to achieve it	Insert Date e.g Dec18	1. Please include the name of the officer responsible	Consider and state implications for staffing, cost	Coherent and balanced set of SMART performance targets based around the needs of the IJB.	Please use key below to highlight individual status of targets
IJB Risk 01 - There is a risk that the IJB fails to deliver its strategic objectives because the Council and/or NHS Lothian do not delegate sufficient resource – leading to a requirement to revise the strategic plan.	2. One risk may have a number of actions required. These should be listed and the rest of the columns completed for each of them.		2. State any Governance Body/Board this officer may need to report to.		<ul style="list-style-type: none"> <li>Relate to a service or strategic objective</li> <li>Be achievable</li> <li>Be of a manageable number</li> <li>Short or Long term?</li> </ul>	<b>A - Target <b>ACHIEVED</b> on time (Green)</b>
					<ul style="list-style-type: none"> <li>Financial &amp; non-financial</li> <li>Be clear and easily understood</li> <li>Have the commitment of authority members, service users, patients, staff &amp; other stakeholders</li> <li>Be readily measurable.</li> </ul>	<b>B - Target <b>BEHIND</b> schedule (Red)</b>
						<ul style="list-style-type: none"> <li><i>Provide explanatory notes detailing why</i></li> <li><i>Strikethrough the original 'by when date &amp; insert new target date</i></li> </ul> Please provide
						<b>C – Target <b>ON SCHEDULE</b> for completion.</b>
						<ul style="list-style-type: none"> <li><i>Provide explanatory notes detailing circumstances</i></li> </ul>