

Report

IJB Risk Register

Edinburgh Integration Joint Board

21 June 2019



Executive Summary

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

2. The Edinburgh Integration Joint Board is asked to:
 - a) note the continued development of the IJB risk register and associated action plan;
 - b) note the introduction of risk assurance level reporting; and
 - c) note that the latest version of the register has been scrutinised by the Audit and Risk Committee on 31 May 2019.

Background

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 the 15th 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

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.

IJB risk register update

6. Since the last IJB update in December 2018, the assurance levels for risk have been assessed. The objective of this work was to examine available evidence in order to provide assurance that the identified mitigating controls are in place and operating effectively. Prior to this, the adequacy of current control had been marked as '*uncertain*'. This was because the impact of controls for each risk was not known and that more work was required to identify the current situation.
7. Assurance levels are defined as follows:
Significant: the IJB Audit and Risk Committee members can take reasonable assurance that the system of control achieves will achieve the purpose that it is designed to deliver. There may be an *insignificant* amount of *residual* risk or none at all.
Moderate: members can take reasonable assurance that controls upon which the organisation relies to manage the risk(s) are in the main suitably designed and effectively applied. There remains a *moderate* amount of *residual* risk.
Limited: members can take some assurance from the systems of control in place to manage the risk(s), but there remains a *significant* amount of *residual* risk which requires action to be taken.
None: members cannot take any assurance from the information provided. There remains a *significant* amount of *residual* risk.
8. Following this work, the residual risk (i.e. the risk remaining taking into account design and effectiveness of the controls) will be considered in comparison to our target risk, and appropriate actions and timeframes agreed to ensure that target risk levels are achieved and maintained.
9. The risk register dashboard has now been changed to report on current assurance levels. Having now established a baseline on current assurance levels, these will be re-assessed every quarter. Any changes in levels will be highlighted in the dashboard.

Next Steps

10. The Chief Officer and the Executive Team intends on holding an IJB Risk Workshop within the next three months. It will be an opportunity to re-assess risk appetite, review owners and further develop mitigation plans.

Key risks

11. As set out in the IJB risk register.

Financial implications

12. No direct financial implications.

Implications for Directions

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

Equalities implications

14. There are no equality issues within this report.

Sustainability implications

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

Involving people

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

17. None.

Report author

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Appendices

Appendix 1	IJB Risk Register
Appendix 2	IJB Risk Register Dashboard Format
Appendix 3	IJB Risk Register Action Plan

Appendix 1 – IJB Risk Register

	Risk	Rating
	Strategic planning and commissioning	
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
Issuing of directions		
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"> • well-articulated • properly understood • realistic/achievable • performance targets are not SMART 	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
Management and role of the IJB		
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"> • there is a lack of clarity about the separate roles of the IJB, HSCP, Council and NHS Lothian; and/or • members lack the necessary skills, knowledge and experience to undertake their role. <p>- leading to a failure to deliver the principles of integration.</p>	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
11	There is a risk that the IJB may be non-compliant with applicable legislative and regulatory requirements due to a lack of awareness leading to legal breaches, fines and/or prosecution.	Medium
12	There is a risk that officers with operational responsibilities are being asked to scrutinise performance in areas where they are not totally independent leading to inadequate oversight of delegated IJB functions.	Medium

Appendix 2 – IJB Risk Register Dashboard Format

Strategic planning and commissioning																																														
Current risk rating: High			Risk ID:	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.			Risk Owner	Chief Officer																																										
			Date added to register	June 2016																																										
			Last revised date:	May 2019																																										
			Next review date:																																											
Key Mitigating Controls: <ul style="list-style-type: none"> 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			<table border="1"> <thead> <tr> <th rowspan="2">Likelihood</th> <th colspan="5">Consequence</th> </tr> <tr> <th>Neg</th> <th>Min</th> <th>Mod</th> <th>Maj</th> <th>Ext</th> </tr> </thead> <tbody> <tr> <td>Almost Certain</td> <td>M</td> <td>H</td> <td>H</td> <td>VH</td> <td>VH</td> </tr> <tr> <td>Likely</td> <td>M</td> <td>M</td> <td>H</td> <td>H</td> <td>VH</td> </tr> <tr> <td>Possible</td> <td>L</td> <td>M</td> <td>M</td> <td>H</td> <td>H</td> </tr> <tr> <td>Unlikely</td> <td>L</td> <td>M</td> <td>M</td> <td>M</td> <td>H</td> </tr> <tr> <td>Rare</td> <td>L</td> <td>L</td> <td>L</td> <td>M</td> <td>M</td> </tr> </tbody> </table>			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
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Assurance Level:			Moderate																																											
5 Year Financial Plan still outstanding – see action plan																																														
			Evidence: <ul style="list-style-type: none"> Sub group/committee/board membership lists Records of meetings Regular Financial Reports to IJB Recent annual plan was submitted to IJB in March 2019 																																											

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 Head of Strategic Planning
Date added to register	June 2016
Last revised date:	May 2019
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.
- Current outline strategic commissioning plan are still being used until Draft Strategic Plan is finalised.

Assurance Level:

Limited

Draft Strategic Plan is currently going through a consultation period.

List of all service specific forums remain to be identified. Some groups may need to be established to align itself to the Transformation Programme.

Good Governance Review Action Plan will aid in improving controls for this risk.

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:	May 2019
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

Assurance Levels:

Moderate

Evidence found for all listed mitigating controls, risk rating to be reviewed

Evidence:

- Regular IJB reports found
- Financial monitoring is undertaken on a regular basis and features as a regular item on the Executive Team agenda.
- Regular Savings Governance Group are taking place - Action logs circulated.
- CFO Office confirmation of regular meetings taking place with NHSL and CEC Finance Executives
- CO Office confirmation of regular meetings taking place with NHSL & CEC CEs.

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:	May 2019
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

Assurance Level

Limited/None

No evidence of recent Joint Asset Management Group.
Capital Plan remains outstanding

Evidence:

- CFO is named representative of the Council’s Asset management Group and NHS Lothian Finance and Resources Committee.

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:	May 2019
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

Assurance Level:

Limited

Draft Strategic Plan is currently in a consultation period.
Directions report to follow in August 2019.

Evidence:

- Annual performance report
- IJB reports
- Feedback from sub groups, particularly the SPG and reference boards
- Papers (including minutes) of meetings
- Draft strategic Plan is currently in a consultation period.

Issuing of directions

Current risk rating: High

Risk ID:	6
Risk Owner	Chief Nurse
Date added to register	June 2016
Last revised date:	May 2019
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 Engagement 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:

- Workforce Development Steering Papers (minutes, action note)
- IJB reports – Baseline Workforce Plan signed off by IJB in December 2018

Assurance Level:

Moderate

Workforce Development Steering Group is well established.

Integrated Workforce Plan to Scottish Government is to be submitted to IJB by March 2020.

Until workforce requirements are met, risk will remain High.

Management and role of the IJB

Current risk rating: High

Risk ID:	7
Risk Owner	Chief Officer
Date added to register	June 2016
Last revised date:	May 2018
Next review date:	

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 regular and frequent development sessions taking place
- Record of inductions & supported induction pack
- Records of 'Declaration of Interests'
- EIJB Newsletter
- Recent IJB Communication Action Plan (February 2019)

Assurance Level

Moderate

IJB membership is stable and members have benefited from several IJB Development sessions to date. IJB Chair regularly updates members, risk rating to be reviewed.

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 Head of Strategic Planning
Date added to register	June 2016
Last revised date:	May 2019
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:

- Third Sector involvement/membership found for several reference boards (Core Group, Collaborative Groups, Workforce Development Steering Group, etc.)
- Lack of deputations

Assurance Level:

Limited/None

The development of an Engagement Strategy is pending. Governance Map (through Transformation Programme) identifying groups with 3rd Sector inclusion is currently under development.

Terms of reference for relevant group needed to confirm 3rd Sector engagement.

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:

- ongoing discussions and negotiations
- Transformation Programme is underway.

Adequacy of current control measures:

Limited

Difficulty in ascertaining when specific discussions took place. This is currently being looked into as part of Transformation Programme.

Ongoing discussions noted in attempting to place service level agreements (where appropriate).

Management and Role of the IJB

Current Risk Rating: Medium

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

Risk ID:	10
Risk Owner	Chief Officer
Date added to register	June 2016
Last revised date:	May 2019
Next review date:	

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

Assurance Level:

TBD

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.

Management and Role of the IJB

Current risk rating: Medium

There is a risk that the IJB may be non-compliant with applicable legislative and regulatory requirements due to a lack of awareness leading to legal breaches, fines and/or prosecution.

Risk ID:	11
Risk Owner	Chief Officer
Date added to register	February 2019
Last revised date:	May 2019
Next review date:	

Key Mitigating Controls:

- Horizon Scanning
- Executive Management Team are members of National Groups (e.g. Chief Officer Group, Strategic Commissioning and Improvement Group, etc.)
- Affiliation with regulatory groups (e.g Care Inspectorate, Scottish Social Services Council, Scottish Government)
- Advice/guidance available for both NHS Lothian and Council partners through established boards

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

Additional time needed to ascertain Assurance Level. Impact of controls not known at this time and more work is required to identify current situation.

Evidence:

- Regular attendance to relevant National Groups
- Various reports from regulatory groups and associated action plan/response

Management and Role of the IJB

Current risk rating: High

There is a risk that officers with operational responsibilities are being asked to scrutinise performance in areas where they are not totally independent leading to inadequate oversight of delegated IJB functions.

Risk ID:	12
Risk Owner	Chief Officer
Date added to register	February 2019
Last revised date:	N/A
Next review date:	

Key Mitigating Controls:

- Under development

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:

Adequacy of current control measures:

Uncertain

Additional time needed to ascertain assurance level. Impact of controls not known at this time and more work is required to identify current situation.

Appendix 3 - IJB Risk Register Current Action Plan – May 2019

IJB RISK ACTION PLAN						
Maintained by: Partnership Operations Manager						
Last Update: 20 May 2019						
Risks	Action Required	By When	Responsibility Assigned to:	Resources Implications	Outcome Target	Progress to date
IJB Risk #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.	Medium Term financial plan being updated in parallel to development of strategic plan	Initial draft in January 2019, finalised 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	Medium Term financial plan presented to and agreed by the IJB	Draft Strategic Plan report is out for consultation. Initial iteration of the medium-term financial plan/framework to be discussed at IJB development session on 23 rd May 2019.
IJB Risk #1	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	Completed

IJB RISK ACTION PLAN

Maintained by: Partnership Operations Manager

Last Update: 20 May 2019

Risks	Action Required	By When	Responsibility Assigned to:	Resources Implications	Outcome Target	Progress to date
<p>IJB Risk #2</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>	<p>Strategic commissioning plans under development to reflect the implications for hosted and set aside services</p>	<p>December 2019</p>	<p>Tony Duncan, Interim Head of Strategic Planning</p>	<p>Being addressed via reference boards and working groups.</p>	<p>Strategic commissioning plans presented to the IJB</p>	<p>Completed</p>
<p>IJB Risk #4</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>	<p>Capital Plan Completion</p>	<p>March 2020</p>	<p>Moira Pringle, Chief Finance Officer</p>	<p>Project group to be established</p>	<p>Capital plan presented to the Strategic Planning Group for onward submission to the IJB</p>	<p>Initial data collection exercise is being undertaken by partners in NHSL and CEC. This will give us of an overview of the current partnership estate.</p> <p>Work to translate the ambition in the strategic plan into a property and asset strategy for the IJB will be completed by the end of March 2020.</p>

IJB RISK ACTION PLAN

Maintained by: Partnership Operations Manager

Last Update: 20 May 2019

Risks	Action Required	By When	Responsibility Assigned to:	Resources Implications	Outcome Target	Progress to date
IJB Risk #4	Initial agreements (IAs) for primary care developments	Various, depending on the specific project	Tony Duncan, Interim Head of Strategic Planning	Project teams in place for each individual development	IAs presented to the IJB for approval and submission to NHS Lothian Finance and Resources Committee	On going. Update to follow (June 2019)
IJB Risk #5 There is a risk that NHS Lothian and the Council do not deliver directions because they are not: <ul style="list-style-type: none"> • well-articulated • properly understood • realistic/achievable • performance targets are not SMART leading to confusion and inefficiency	Directions policy to be agreed and implemented	August 2019	Tony Duncan, Interim Head of Strategic Planning		Directions policy in place	Directions policy scheduled to be presented to IJB in August 2019.
IJB Risk #5	Arrangements for monitoring progress against directions to be addressed via governance review	December 2018 (Completed) New date for revised IJB governance arrangements TBA	Judith Proctor, Chief Officer	Governance Institute has been appointed	Revised IJB governance arrangements in place	Completed Governance Review Recommendations were approved by IJB in December 2018. Action Plan to follow

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IJB Risk #6 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 2020	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	Ongoing
	Baseline Report completion	December 2018	Neil Wilson, Workforce Planning Manager		Baseline report to capture scope and progress update.	Completed
IJB Risk #7 There is a risk that the IJB does not operate effectively as a separate entity because: <ul style="list-style-type: none"> 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.	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	Completed
	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.	Completed
	Implementation of agreed actions following governance review	June 2020	Chief Officer	The office of the Chief Officer	Confirmation, review and/or addition of mitigating controls	Ongoing

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IJB Risk #7 (continued)					Action Plan update	
IJB Risk #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.	Regular meetings between the EIJB Chair and CIA to be established	August 2019	Lesley Newdall, CIA / IJB Chair	N/A	Regular diary dates organised for the next 6 months.	New diary dates will need to be confirmed with new IJB Chair.
IJB Risk #10	Assurance statements to be obtained from other assurance providers	August 2019	Cathy Wilson, Operations Manager	Meeting with CIA and other representatives as required	Mitigating controls added to risk register	On going
IJB Risk #11 There is a risk that the IJB may be non-compliant with applicable legislative and regulatory requirements due to a lack of awareness leading to legal	Development of regulatory compliance route map for various IJB functions.	December 2019	TBA	Discussions with relevant officers in partner organisations.	Recognised arrangements between the IJB and partner organisations	NEW

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breaches, fines and/or prosecution.						
<p>IJB Risk #11</p> <p>There is a risk that the IJB may be non-compliant with applicable legislative and regulatory requirements due to a lack of awareness leading to legal breaches, fines and/or prosecution.</p>	Development of Regulatory Compliance Map	TBD	Chief Officer	The office of the Chief Officer	Regulatory Compliance Mapping	New
<p>IJB Risk #12</p> <p>There is a risk that people with operational responsibilities are being asked to scrutinise performance within their own areas due to the membership make up of the IJB leading to inadequate oversight of delegated IJB functions.</p>	Development of IJB Handbook	TBC	Chief Officer	TBC	Good governance arrangements across the IJB	NEW

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