

# Report

## IJB Risk Register

### Edinburgh Integration Joint Board

15 June 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:
  - a) consider the IJB risk register and how the identified risks have changed since last assessed;
  - b) agree whether the management actions identified against the current risks provide suitable assurance that these risks are being appropriately managed; and
  - c) note the continued development of mitigating controls for IJB identified risks.

## Background

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3. Risk management is a means of identifying, evaluating and controlling risks. Effective risk management supports organisations to meet their objectives. As such, risk registers form part of the internal control framework and are a vital component in achieving and maintaining an intelligent framework for performance and governance.
4. The approach taken by the IJB and Edinburgh Health and Social Care Partnership (the Partnership) has evolved over the last few years, reflecting the growing understanding of the differing roles and responsibilities.
5. At its meeting on 9<sup>th</sup> February 2018 the Audit and Risk Committee endorsed an approach which decoupled IJB and Partnership risks and the development of a risk register for the IJB which reflected its strategic role. This meeting also agreed the methodology to be used, recognising that the risk rating is a two-

part process, which includes reviewing the risk area against an impact/probability matrix and determining the appropriate level of managerial input using an agreed plan of risk management and escalation.

6. A further update reflecting some minor restructuring and rewording was considered by the Committee at its meeting on 1<sup>st</sup> June 2018. The Committee welcomed this presentation of the register, albeit recognising that further work was required to fully develop the mitigating controls and assess their adequacy.

## Main report

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7. The initial IJB risk register was developed by the Partnership management team and validated in an IJB development session on 19<sup>th</sup> August 2016. The register was subsequently updated and presented to the Audit and Risk Committee on 2<sup>nd</sup> 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. Further, both these registers required an element of updating. This combination of factors created an overall complex landscape.
8. 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.
9. 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<sup>nd</sup> June 2017 and updated in September 2017.
10. 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<sup>nd</sup> 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.

11. As agreed by the Audit and Risk Committee the latest iteration of the register (attached as an appendix) has classified each risk against one of three key areas:
  - a) Strategic planning and commissioning;
  - b) Issuing of directions; and
  - c) Management and role of the IJB.
12. This reporting format will be used for producing other summary materials (e.g. papers for committees, senior management team, strategic groups, IJB, etc.).
13. The register will continue to be developed and maintained by the Partnership's Operations Manager with oversight arrangements remaining in place from the Chief Finance Officer.

## **Key risks**

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14. The proposed additional and amended risks will assist the Board in meeting its objectives.

## **Financial implications**

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15. No direct financial implications.

## **Implications for Directions**

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

## **Equalities implications**

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17. There are no equality issues within this report.

## **Sustainability implications**

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18. No direct sustainability implications.

## Involving people

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19. 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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20. None

## Report author

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**Judith Proctor**

**Chief Officer, Edinburgh Health, and Social Care Partnership**

Contact: Cathy Wilson

Operations Manager, Edinburgh Health and Social Care Partnership

E-mail: [cathy.wilson@edinburgh.gov.uk](mailto:cathy.wilson@edinburgh.gov.uk) | Tel: 0131 529 7153

## Appendices

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**Appendix 1**

IJB Risk Register

## Appendix 1 – IJB Risk Register

<b>Strategic Planning and Commissioning</b>				
<b>ID</b>	<b>Risk</b>	<b>Current Risk Rating</b>	<b>Previous Risk Ratings</b>	<b>Target Risk Rating</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	Very high (March 2018)	Medium
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	High (March 2018)	Medium
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	Very high (March 2018)	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	High (March 2018)	Medium

## Issuing of Directions

ID	Risk	Current Risk Rating	Previous Risk Ratings	Target Risk Rating
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	High (March 2018)	Low
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	High (March 2018)	Low

## Management and Role of the IJB

ID	Risk	Current Risk Rating	Previous Risk Ratings	Target Risk Rating
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.</li> </ul> <p>- leading to a failure to deliver the principles of integration.</p>	High	Medium (March 2018)	Low
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	High (March 2018)	Low
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	High (March 2018)	Medium
10	<p>There is a risk that the IJB receives insufficient or poor-quality assurance from assurance providers to support effective delivery of their scrutiny responsibilities.</p>	Medium	N/A (new risk)	Low

**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	Interim Chief Strategy and Performance Officer
Date added to register	June 2016
Last revised date:	June 2018
Next review date:	September 2018

**Mitigating Controls:**

- Annual financial plan presented to IJB for approval, 5 year plan under development
- Annual due diligence process
- Financial frameworks which support outline strategic commissioning plans
- Ongoing engagement with Head of Finance from the Council and Director of Finance from 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

**Assurances:**

- 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																																														
<b>Current risk rating: high</b>			Risk ID:	2																																										
<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><b>Mitigating Controls:</b></p> <ul style="list-style-type: none"> <li>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.</li> <li>Service specific forums are established to consider and agree major service changes which impact on more than 1 IJB (examples include the working group looking at the closure of Liberton Hospital and the Royal Edinburgh Campus Reprovision Project Board).</li> <li>Outline strategic commissioning plans</li> </ul>			Risk Owner	Interim Chief Strategy and Performance Officer																																										
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<b>Target Risk: Medium</b>			<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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			<p><b>Assurances:</b></p> <ul style="list-style-type: none"> <li>IJB reports</li> <li>Feedback from sub groups, particularly the SPG and reference boards</li> <li>Papers (including minutes) of meetings</li> </ul>																																											

**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:	June 2018
Next review date:	September 2018

**Mitigating Controls:**

- Finance is a standing item on the IJB agenda.
- Regular financial reports.
- 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.

**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

**Assurances:**

- IJB reports
- 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								
<b>Current risk rating: high</b>			Risk ID:	4				
<b>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.</b>			Risk Owner	Chief Finance Officer				
			Date added to register	June 2016				
			Last revised date:	June 2018				
			Next review date:	September 2018				
<b>Mitigating Controls:</b>								
<ul style="list-style-type: none"> <li>Joint NHS Lothian/Council asset management group has been established to agree on priorities.</li> <li>Representation on the Council Property Board and NHS Lothian Finance and Resources Committee.</li> <li>Outline strategic commissioning plans</li> </ul>								
<b>Target Risk: Medium</b>			Consequence					
			Likelihood	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
<b>Adequacy of current control measures:</b>			Uncertain					
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			<b>Assurances:</b>					
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<b>Current risk rating: high</b>	Risk ID:	5																																									
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<p><b>Mitigating Controls:</b></p> <ul style="list-style-type: none"> <li>• Directions emerge from the strategic plan which has been developed in collaboration with NHS Lothian, the Council and other partners.</li> <li>• Directions themselves are also developed in collaboration with NHS Lothian and the Council.</li> <li>• Plans are being developed to regularly monitor and report on progress in delivery of the directions.</li> <li>• Directions can be withdrawn or amended at any time if they are no longer to be appropriate/realistic/achievable.</li> </ul>																																											
<p><b>Target Risk: Low</b></p> <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	<p>Assurances:</p> <ul style="list-style-type: none"> <li>• Annual performance report</li> <li>• IJB reports</li> <li>• Feedback from sub groups, particularly the SPG and reference boards</li> <li>• Papers (including minutes) of meetings</li> </ul>	
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**Issuing of directions**

**Current risk rating: high**

**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.**

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

**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.
- Third, independent and housing sectors are members of the 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

**Assurances:**

- IJB reports
- 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 known at this time and more work is required to identify current situation.

Management and role of the IJB																																										
<b>Current risk rating: High</b>	Risk ID: 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, 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>	Risk Owner: IJB Chair																																									
	Date added to register: June 2016																																									
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<p><b>Mitigating Controls:</b></p> <ul style="list-style-type: none"> <li>• Regular development sessions for IJB members.</li> <li>• Induction session for new IJB members.</li> <li>• Members are encouraged to actively engage with the Partnership Senior Management Team.</li> <li>• Board members chair subgroups and reference boards.</li> </ul>																																										
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<b>Mitigating Controls:</b> <ul style="list-style-type: none"> <li>• The third, independent and housing sectors represented on a range of IJB sub groups, sub committees and reference boards.</li> <li>• Significant engagement undertaken as integral part of developing the strategic plan.</li> <li>• 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.</li> <li>• Development of an engagement strategy underway.</li> <li>• The third, independent and housing sectors will be represented on the Workforce Development Steering Group</li> </ul>																																											
<b>Target Risk:</b> Low <table border="1" data-bbox="667 821 1261 1066"> <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	<b>Assurances:</b> <ul style="list-style-type: none"> <li>• IJB reports</li> <li>• Feedback from sub groups, particularly the SPG and reference boards</li> <li>• Papers (including minutes) of meetings</li> <li>• Lack of deputations</li> </ul>	
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<p><b>Target Risk:</b> Medium</p> <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	<p><b>Assurances:</b></p> <ul style="list-style-type: none"> <li>Feedback from Chief Officer</li> <li>Annual assurance process and governance statement</li> </ul>		
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Management and Role of the IJB								
<b>Current Risk Rating: medium</b>			Risk ID:	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.			Risk Owner	Chief Officer				
			Date added to register	June 2016				
			Last revised date:	June 2018				
			Next review date:	September 2018				
<b>Mitigating Controls:</b>								
<ul style="list-style-type: none"> <li>Ensuring quality of assurance – annual Internal Audit opinion that covers the quality of the IA teams involved in providing assurance.</li> <li>Annual (NHS Lothian and Council) governance assurance statements from Directors.</li> </ul>								
<b>Target Risk: Low</b>			Consequence					
			Likelihood	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			
<b>Adequacy of current control measures:</b>			Uncertain					
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<b>Assurances:</b>								
<ul style="list-style-type: none"> <li>Risk assurance map is needed to outline assurance providers to the IJB and what risk they would cover.</li> <li>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.</li> </ul>								