



**Thursday 24 August 2017 at 2.00pm**

## **Risk Register**

**Item number: 5.6**

### **Executive summary**

*This report accompanies the current version of the IJB's risk register for discussion by the Board. While the IJB agreed at its meeting of April 2016 that the Audit and Risk committee would scrutinise the register at its meetings and report back to the IJB as required, it is important that the IJB itself is kept informed of the key risks and how they are being managed.*

#### **Board members are asked to:**

*Consider and discuss the risk register with a particular emphasis on the critical risks highlighted in the covering report.*

## Risk Register

### 1. Purpose

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The report introduces the current version of the IJB's Risk Register and highlights the risks of major concern.

### 2. Recommendations

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- 2.1 To consider and discuss the Risk Register.
- 2.2 To confirm the risks and opportunities presented in this report reflect the current risks/opportunities facing the IJB.

### 3. Background and main report

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- 3.1 **Risk Management Policy:** The purpose of a risk management policy is to communicate how effective risk management will support the IJB in its achievement of its objectives. The policy strives to ensure a uniform approach to risk management and aims to remove uncertainty about the organisation's overall attitude to risk. The IJB approved its current policy on 11<sup>th</sup> February 2016.
- 3.2 **Risk Register:** The purpose of a risk register is to capture and maintain information on all the identified threats and opportunities relating to the IJB. The risk register provides a snapshot in time of the identified risks for the organisational activity, the rating of each risk, the "owner" for each, the internal controls in place and, where required, further action(s) being taken to manage the identified risks. The current risk register is attached at appendix 1.
- 3.3 **IJB:** The IJB are responsible for the completion of a strategic plan; for giving Directions to NHS Lothian and Midlothian Council; for agreeing the strategic use of the resources allocated to the IJB; and for maintaining some overview of the operational delivery of health and care services. In this regard the implementation of Directions is critical to the IJB's success in ensuring resources are used by the partners as intended. There will inevitably be risks and opportunities attached to this, therefore it is important to have an effective means of articulating these to assist the decision making process. The internal controls developed will form the basis of future internal audit plan activities on a risk prioritised basis.
- 3.4 **Links between Risk Management Arrangements:** It is important that systems are developed to ensure that there is no uncertainty about how risk is being managed, whilst recognising there will inevitably be close links between the risk management arrangements of the IJB, NHS Lothian and Midlothian Council in delivering health and care. High risks facing either partner will be escalated to the IJB risk register to ensure the Board retains operational oversight.

### 3.5 **Key Risks:** The main concerns are as follows:

#### IJB.RR.01: **Balancing Budgets in Future Years:** & IR 01**Financial Stability**

These have been the subject of regular reports by the Chief Finance Officer. Although an agreement has now been reached with the partners as to the financial position in 2016/17, a paper laying out the position for 2017/18 will be presented to the IJB. As is outlined in a separate report to the Board the financial pressures are severe. Despite a wide range of measures being taken to control expenditure there is a very real risk that the IJB will overspend. Unlike 2016-17 there is no undertaking from the Council and NHS Lothian that they will fund any overspend at the end of 2017-18

#### IJB.RR.15: **Service Provider Continuity:**

There has been an ongoing concern about the sustainability of care at home services. The IJB issued a new Direction to Midlothian Council requiring “a full review of how care at home services are commissioned and delivered to ensure high quality of care, long term sustainability and is able to fully participate in a multi- agency locality based approach”.

#### IJB.RR.18: **Use of Acute Hospital Beds** & IJB.IR.03 **Delayed Discharge:**

Midlothian’s performance in relation to delayed discharge, while still of concern, has improved and, in relation, to repeat emergency admissions has remained stable. Nevertheless the pressures on the Acute Hospitals are severe so it is incumbent on the Midlothian Partnership to do everything it possibly can to reduce avoidable use of acute hospital beds. Local weekly bed management meetings continue to be held, attended by the Head of Health, the Chief Nurse and Service Managers in Adult Care.

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## **4. Policy Implications**

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The establishment of the Integration Joint Board, as required by the Public Bodies (Scotland) Act 2014, introduces some complexity in the governance arrangements for health and social care. It is very important that clear governance arrangements are developed to ensure the achievement of the objectives of Integration. Robust Risk Management and Audit arrangements will be critical to the capacity of the IJB to function effectively.

## **5. Equalities Implications**

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There are no equalities issues arising from any decisions made on this report.

## **6. Resource Implications**

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There are no resource implications arising from this report.

## 7 Risks

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The purpose of this report is to summarise the risk exposure of the IJB

## 8 Involving People

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The identification of the Strategic Risks facing the IJB were considered as part of an IJB Risk Management workshop held on 14<sup>th</sup> January 2016 and again by the IJB on the 14<sup>th</sup> April 2016. On an ongoing basis members of both the IJB and IJB Risk and Audit Committee are able to suggest risks which should be considered for inclusion on the register.

## 9 Background Papers

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Appendix 1 Risk Register

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<b>CONTACT INFO</b>	
<b>DATE</b>	31 July 2017

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