

Midlothian Integration Joint Board Audit and Risk Committee



Midlothian IJB Risk Register – Q3 2023/24

7th December 2023

Item number:

Executive summary

This report presents the IJB's Risk Register for Q3 2023/24. The risk register has been reviewed and amendments made, these are detailed below. The Q1 risk register is also attached to allow committee members to clearly see the amendments. The risk around financial resources has been increased to 'critical' (the highest level), this is a reflection of the Q2 financial reporting and the initial outline financial plans for future years. The risk register is currently held as a document file but it should be integrated into one of the risk management systems used by the partners. NHS Lothian use the Datix system to manage its risk registers and a separate section could be set up for the IJB.

Committee members are asked to:

1. *Note the Q3 risk register*
 2. *Consider the amendments made from the Q1 risk register*
 3. *Consider if any further additions or changes should be made to the risk register.*
 4. *Require the management of the IJB to put the risk register into a more formal management system*
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Report

1. Purpose

- 1.1 This report presents the IJB's Q3 risk register for discussion by the committee.

2. Recommendations

- 2.1 Committee members are asked to
- Note the Q3 risk register
 - Consider the amendments made from the Q1 risk register
 - Consider if any further additions or changes should be made to the risk register.
 - Require the management of the IJB to put the risk register into a more formal management system

3. Background and main report

- 3.1 The IJB maintains a risk register in line with best practice. This register lays out the risks to the operation of the IJB – that is risks to the development of the Strategic Plan and the delivery of that plan through directions to its partners.
- 3.2 The register was last presented to the committee at quarter 1, 2023 and has now been reviewed and updated to reflect the current position.
- 3.3 The text for both the risk and the management of the risks has been reviewed to allow further clarity of both the risk and its consequences and to ensure that the risks simply relate to the work of the IJB as described above. One risk has been increased in severity. This is described below.
- 3.4 The following changes have been made :-

Risk – per Q1 (note the risks are in the same order in both reports)	Changes in Q3
Strategic Planning and Commissioning	This risk effect description has now been clarified and broadened to include the disruption of any of the care services delivered by the partners. The control measures have been adjusted accordingly
Issuing of directions	The risk effect description has also been clarified, the control measures remain the same

Category 1 responder status	No changes made
Workforce and retention	This risk has been removed. It refers to insufficient operational resources which is now covered in the second risk above.
Financial Sustainability	The risk effect description has been amended to clarify that it relates to the IJB's budget which is based on the offers from the partners. The control measures have not been changed. However the risk level has now been increased to 'critical'. This is discussed further below.
Impacts of new legislation	This risk effect description has been clarified and simplified.

- 3.5 As can be seen, the opportunity has also been taken to ensure consistency of the risk Identification – with each risk effect now having a clear risk consequence.
- 3.6 No new risks have been added although, as described above, the opportunity has been taken to clarify the risk and effect and its consequences in each instance.
- 3.7 One risk – Financial Sustainability which is the risk of inadequate financing for the IJB because of financial constraints on the partners - now been raised to a 'critical' level. Further discussions on the financial challenges will take place at the next meeting of the IJB but it is clear that the financial challenges both in year and in the future are now very significant.
- 3.8 There is a concern that without a proper risk management system there is a further challenge to the control of these risks. It is recommended that one of the partner's risk management system is used – the HSCP uses the health Datix system for example.

4. Policy Implications

- 4.1 There are no further policy implications arising from this report.

5. Equalities Implications

- 5.1 There are no equalities implications arising from this report

6. Resource Implications

- 6.1 There are no resource implications arising from this report.

7 Risks

7.1 The risks are described in the risk register which is attached

8 Involving People

8.1 There are no direct implications for involving people as a result of this report.

9 Background Papers

9.2 None

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DATE	November 2023

Appendix 1 – Risk Register – Q1 2023/24

Appendix 2 – Risk Register – Q3 2023/24