



Thursday 9 February 2017 at 2pm

Risk Register

Item number: 5.4

Executive summary

This report accompanies the proposed IJB risk register for consideration and approval. The report delivers on the initial proposals approved at the IJB meeting held on 20th August 2015 and considered in more depth at the IJB Workshop on 14th January 2016. Reports on a risk policy, risk management and a draft risk register were considered and approved at IJB meetings held on 11th February, 14th April and 16th June 2016

Board members are asked to:

- 1. Consider and approve in principle the Risk Register.*
 - 2. Note that the register will be routinely monitored by the IJB Audit and Risk Committee .*
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Risk Register

1. Purpose

1. The report explains the development of an IJB risk register and invites comment on the risks and controls. This work builds upon the consideration of a Risk Management Policy at the IJB meeting on 11th February 2016 and incorporates the high level risks identified at the Risk Management Workshop held on 14 January 2016 and further developed and considered initially by the IJB in April 2016 and subsequently by the Audit and Risk Committee. It seeks consideration and approval of the Register and agreement to the proposal that the Register be routinely monitored by the IJB Audit and Risk Committee.

2. Recommendations

- 2.1 To approve the Risk Register.
- 2.2 To agree to remit the responsibility for monitoring the Risk Register to the IJB Audit and Risk Committee.
- 2.3 To agree to receive regular reports on the risks facing the IJB to support informed and effective decision making.
- 2.4 To confirm the risks presented in this report reflect the current risks/opportunities facing the IJB.

3. Background and main report

- 3.1 **Risk Management Policy:** The purpose of a risk management policy is to communicate how risk management will be implemented in an organisation to support the achievement of its objectives. A policy strives to ensure a uniform approach to risk management and aims to remove any uncertainty about the organisation's overall attitude to risk. The IJB approved such a policy on 11th 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 of the identified risks for the organisational activity, the priority of each risk, the "owner" for each, the internal controls currently in place and where required further action(s) being taken to manage the risks. The proposed risk register is attached at appendix 1.

- 3.3 **IJB:** The IJB will be 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. 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.
- 3.5 **Key Risks:** The main concerns are as follows:
1. **IJB.IR.02: Recruitment Pressures in Primary Care:** The growing and ageing population; the increased complexity of care; and workforce shortages have combined to put significant pressure on primary care services. Proposals to address these pressures were considered at the IJB meeting on 27th October 2016. At present 5 GP Practices are operating to restricted lists although all Practices are experiencing severe pressures. The situation relation to recruitment of Health Visitors has improved and while recruitment of District Nurses remains a significant pressure short term cover has been arranged through increased deployment of Band 5 Nurses.
 - 2 **IJB.RR.01: Budget Pressures:** These have been the subject of regular reports by the Chief Finance Officer. The specific pressures in 2016-17 in Adult Social Care were the subject of a separate report to the IJB on 10th December 2016. A separate report will be presented to a future IJB on the NHS Lothian pressures.
 - 3 **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”. The situation remains vulnerable with one local provider now the subject of a large scale investigation.
 4. **IJB.RR.18: Use of Acute Hospital Beds:** Midlothian’s performance in relation to delayed discharge 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 Primary Care and Older People, the Chief Nurse and Service Managers in Adult Care.

4. Policy Implications

- 4.1 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

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

6. Resource Implications

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

7 Risks

- 7.1 There are no risk implications as a result of this report.

8 Involving People

- 8.1 The identification of the Strategic Risks facing the IJB were considered as part of an IJB Risk Management workshop held on 14th January 2016 and again by the IJB on the 14th April 2016. A draft risk register has also been considered by the IJB Audit and Risk Committee. 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

Appendix 1 Risk Register

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