

**REPORT**

 Item No:
 

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<b>SUBJECT:</b>	Risk Management
<b>TO:</b>	<b>Integration Joint Board</b>
<b>Lead Officer for Report:</b>	Christine Jack , Operational & Business Manager
<b>Author(s) of Report</b>	Christine Jack , Operational & Business Manager
<b>DATE:</b>	5.8.19

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**1. PURPOSE OF REPORT**

This paper is coming to the IJB

For approval	<input checked="" type="checkbox"/>	For endorsement	<input type="checkbox"/>	To note	<input type="checkbox"/>
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**2. ROUTE TO THE IJB**

This paper has been:

Prepared	<input checked="" type="checkbox"/>	Reviewed	<input type="checkbox"/>	Endorsed	<input type="checkbox"/>
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2.1 The paper was prepared by the Operational &amp; Business Manager on behalf of the Risk Owners.

**3. RECOMMENDATIONS**

3.1.1 The IJB is asked to;

 3.1 Note the attached IJB Risk Register accurate as at 7<sup>th</sup> August 2019.

3.2 Consider the three Very High Graded Risks (IJB 9, 11 &amp; 20), &amp; consider the Key Actions for effective mitigation.

3.3. Note and approve the proposed approach to improve the risk management systems for IJB and collaboratively for Health &amp; Social care.

**4. BACKGROUND/SUMMARY OF KEY ISSUES**

4.1 There has been no new risks added to the IJB risk register since the last report in May 2019.

4.2 The current risk profile and scoring template are set out below:

Likelihood	Impact				
	1 -Negligible	2 -Minor	3 -Moderate	4 -Major	5 -Extreme
5 - Almost certain	5 Medium	10 High	15 High	20 Very high	25 Very high
4 - Likely	4 Low	8 Medium	12 High	16 Very high	20 Very high
3 - Possible	3 Low	6 Medium	9 Medium	12 High	15 High
2 - Unlikely	2 Low	4 Low	6 Medium	8 Medium	10 High
1 - Rare	1 Low	2 Low	3 Low	4 Medium	5 Medium

Risk Score	Number of Risks
Low (1-3)	1
Moderate (4-9)	7
High (10-15)	6
Very High (16+)	3

**\*Future reports will set out all IJB Risks plotted within the risk matrix to provide a continuous oversight of the risk profile and Heat maps.**

#### 4.2 Very High Graded Risks

4.2.1 There are three risks graded as Very High within the IJB Risk Register that are aligned with the NHSL Corporate Risk register and South Lanarkshire IJB. These are as follows;

HSCNL ID	Description of Risk	Risk Owner	Risk level (current)	Risk level (Target)	Key actions	Assurance Source
IJB9	Availability of GPs	Ross McGuffie	4VHIGH	2MED	1. GP clusters 2. Sustainability Assessment Framework 3. Engagement with LMC 4. Contingency planning within Primary Care administration dept 5. Primary Care Strategy Board and Primary Care Transformation Board 6. GP recruitment and retention fund 7. Implementation of GMS contract '18	SLT, IJB
IJB11	Prescribing costs	Ross McGuffie	4VHIGH	2MED	1. PQEP Programme 2. Review of Prescribing Management Board functions and membership 3. Deputy Lead Pharmacist joining H&SCP Senior Leadership Team 4. Locality Prescribing Action Groups 5. Continuation of Scriptswitch 6. Locality Pharmacist input 7. Increase in earmarked reserves	SLT, IJB Sub, IJB
IJB20	Brexit	Ross McGuffie	4VHIGH	2MED	1. Participation in NLC & NHSL resilience arrangements	SLT, IJB

HSCNL ID	Description of Risk	Risk Owner	Risk level (current)	Risk level (Target)	Key actions	Assurance Source
					2. H&SCP workshops organised to take place in Feb and March 19 3. Silver command group to be formed for H&SCP from Feb 19	

4.3 Plans are in place to improve the effectiveness of the risk management systems including oversight and management of the risk register through the development of a schedule of reporting and review at both operational and governance level.

**4.4 Improvement Plan**

4.4.1 NHS Internal Audit are currently reviewing the risk register systems within NHS Lanarkshire which has identified gaps where there will be opportunity for improving systems.

4.4.2 An improvement plan will be developed and presented to the IJB at a future meeting which will include a review of the IJB Risk Strategy with a focus on setting Risk appetite by IJB members.

**5. CONCLUSIONS**

5.1 There are 17 risk recorded on the IJB Risk Register records; three (18%) of which are graded very high with the potential to have a significant impact on the overall strategic plan of the IJB.

**6. IMPLICATIONS**

**6.1 NATIONAL OUTCOMES**

Effective risk management systems underpins the achievement of all nine national outcomes.

**6.2 ASSOCIATED MEASURE(S)**

Following the publication of the Internal Audit review, an Improvement plan will be developed and associated measures developed.

**6.3 FINANCIAL**

Financial implications will be specific to individual risks.

**6.4 PEOPLE**

The risk management strategy will support the identification, prioritisation and management of risks which may threaten the safety of staff and patients/service users.

**6.5 INEQUALITIES**

N/A

**7. BACKGROUND PAPERS**

Nil

**8. APPENDICES**

Appendix 1: IJB Risk Register



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CHIEF OFFICER (or Depute)

Members seeking further information about any aspect of this report, please contact Christine Jack on telephone number 01698 855539.

## North Integrated Joint Board Risk Register (Accurate as at 7th August 2019)

IJB ID	Category	Opened Date	Description of Risk	Risk level (Initial)	Mitigating Controls	Risk level (Current)	Risk level (Target)	Risk Owner	Risk Register Lead	Assurance Source	Review Date	Closed Date
IJB2	Financial Strategic	02/11/2016	There is a risk that the IJB will be unable to enact the Strategic Commissioning intentions because of budget reductions or late Scottish Government financial settlement, leading to a failure to achieve the desired strategic aims and an impact on service delivery.	VERY HIGH	<ol style="list-style-type: none"> <li>1. IJB Sub Committee</li> <li>2. HSCP Budget monitoring meetings</li> <li>3. Budget monitoring and oversight</li> <li>4. Prescribing Action Plans</li> <li>5. Capacity plans to maximise efficiency</li> <li>6. Regular budget meetings with Chief Executives and Directors of Finance</li> <li>7. Longer term financial projections in development</li> </ol>	HIGH	MEDIUM	Ross McGuffie	Ross McGuffie	SLT, IJB Sub, IJB	31.10.19	
IJB4	Financial Operational	02/11/2016	There is a risk that NHSL or NLC are unable or unwilling to implement the directions for service delivery from the IJB because of a range of pressures such as workforce or finance, leading to a failure to achieve the desired strategic aims.	HIGH	<ol style="list-style-type: none"> <li>1. IJB Sub Committee</li> <li>2. HSCP Budget monitoring meetings</li> <li>3. Budget monitoring and oversight</li> <li>4. Support, Care and Clinical Governance committee</li> <li>5. Workforce Plan</li> <li>6. Consultation with partners on directions</li> <li>7. Directions tracker and updates to both partners after each IJB Committee</li> </ol>	MEDIUM	MEDIUM	Ross McGuffie	Ross McGuffie	SLT, IJB Sub, IJB	31.12.19	
IJB5	Strategic Reputational	02/11/2016	There is a risk that the Strategic Commissioning Plan is unable to meet its desired aims because of an inability to enact genuine culture change in the North Lanarkshire population, leading to continued reliance on unscheduled services and continued service pressures.	HIGH	<ol style="list-style-type: none"> <li>1. Communication and Engagement Strategy</li> <li>2. Strategic Planning Group used to gain wide engagement on messages</li> <li>3. User and Carer Forum</li> <li>4. Partnership Boards - user and carers represented</li> <li>5. Use of PPE and Community Forums</li> </ol>	MEDIUM	MEDIUM	Ross McGuffie	Ross McGuffie	SLT, IJB Sub, IJB	31.12.19	
IJB6	Financial Reputational	02/11/2016	There is a risk that the IJB is unable to prevent and detect fraud and corruption within services because of inadequate governance and systems, leading to financial and reputational damage.	MEDIUM	<ol style="list-style-type: none"> <li>1. Fraud awareness e-learning</li> <li>2. National Fraud initiative</li> <li>3. Locality/SW Enablement Groups</li> <li>4. Segregation of duties in relation to authorising and processing direct payments</li> <li>5. Raise fraud awareness through team briefings</li> <li>6. Whistle blowing policies</li> <li>7. Procurement and Standing Financial Instructions presentations at Extended SLT</li> <li>8. Procurement processes and standing orders</li> <li>9. Oversight via NLC Audit and Scrutiny Panel and NHSL Audit</li> </ol>	LOW	LOW	Ross McGuffie	Ross McGuffie	SLT, IJB sub, IJB	31.12.19	
IJB7	Financial Operational	02/11/2016	There is a risk that the Strategic Commissioning Plan will be unable to fully mitigate rising demand because of demographic change, leading to an impact on the quality and accessibility of health and care services and a failure to achieve the desired strategic aims.	HIGH	<ol style="list-style-type: none"> <li>1. Joint Strategic Needs Assessment</li> <li>2. Performance, Scrutiny and Assurance Sub-Committee</li> <li>3. Strategic Planning Group</li> <li>4. Locality engagement sessions</li> <li>5. Partnership Boards</li> <li>6. Implementation of ISRB report</li> <li>7. Move towards preventative and anticipatory approaches (IPAC)</li> </ol>	MEDIUM	MEDIUM	Ross McGuffie	Ross McGuffie	SLT, Finance and audit sub, PS&A Sub, IJB	31.12.19	

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IJB ID	Category	Opened Date	Description of Risk	Risk level (Initial)	Mitigating Controls	Risk level (Current)	Risk level (Target)	Risk Owner	Risk Register Lead	Assurance Source	Review Date	Closed Date
IJB9	Strategic	18/11/2016	There is a risk that the Strategic Commissioning Plan is unable to be enacted because of a lack of availability of GPs leading to a lack of continuity in medical provision within communities, including community hospital provision, and a significant impact on the developments around Locality Modelling.	VERY HIGH	<ol style="list-style-type: none"> <li>1. GP clusters to support more collaborative ways of working</li> <li>2. Implementing a Sustainability Assessment Framework</li> <li>3. Engagement with LMC</li> <li>4. Contingency planning within Primary Care administration dept</li> <li>5. Primary Care Strategy Board and Primary Care Transformation Board to identify new ways of working including extended roles of other clinicians (e.g. Pharmacists, Nurses) through the PCIP</li> <li>6. GP recruitment and retention fund from Scottish Government to enable local solutions to local problems over 2 financial years</li> <li>7. Implementation of GMS contract 2018</li> <li>8. New abbreviated procurement process approved and in place</li> <li>9. Executive group established to highlight and enact potential solutions</li> <li>10. Community bed modelling plan</li> </ol>	VERY HIGH	MEDIUM	Ross McGuffie	Ross McGuffie	SLT, IJB	31.10.19	
IJB10	Financial Strategic Reputational	24.01.17	There is a risk that the Carers (Scotland) Act is unable to be implemented in full because of pressures on funding, increasing demand, operational capacity and instability of local carer support organisations, leading to insufficient support for carers in North Lanarkshire and an impact on the balance of care.	HIGH	<ol style="list-style-type: none"> <li>1. Planning within NL Carers Strategy Implementation Group</li> <li>2. Working Group for roll out of Carers Act formed</li> <li>3. NL reps on key national working groups for Carers Act</li> <li>4. Carer representation on key strategic groups</li> <li>5. Funding secured to extend contracts for Lanarkshire Carers Centre and NL Carers Together until Nov 18</li> <li>6. Commissioning process for carer support underway</li> <li>7. Staff training on Act and new processes</li> <li>8. Discussions ongoing around GP LES for Carer support</li> <li>9. Pan Lanarkshire review of support for carers commenced</li> <li>10. Reviewing wider supports available for carers with VANL and</li> </ol>	MEDIUM	LOW	Ross McGuffie	Ross McGuffie	SLT, IJB	31.10.19	
IJB11	Financial Operational	24.04.18	There is a risk that the Strategic Commissioning Plan is unable to be enacted in full because of escalating prescribing costs leading to a lack of available finance to implement the desired model and an impact on service quality.	HIGH	<ol style="list-style-type: none"> <li>1. PQEP Programme</li> <li>2. Review of Prescribing Management Board functions and membership</li> <li>3. Deputy Lead Pharmacist joining H&amp;SCP Senior Leadership Team</li> <li>4. Locality Prescribing Action Groups</li> <li>5. Continuation of Scriptswitch</li> <li>6. Locality Pharmacist input</li> <li>7. Increase in earmarked reserves</li> </ol>	VERY HIGH	MEDIUM	Ross McGuffie	Ross McGuffie	SLT, IJB	31.10.19	
IJB 12	Financial Strategic Reputational	07.05.18	There is a risk that health and social care services will not be delivered by NHSL or NLC in line with the strategic commissioning plan because of in year budget pressures, leading to an impact on the quality of services and overall deliverability of the plan.	VERY HIGH	<ol style="list-style-type: none"> <li>1. IJB Sub Committee</li> <li>2. HSCP Budget monitoring meetings</li> <li>3. Budget monitoring and oversight</li> <li>4. PQEP Programme</li> <li>5. Capacity plans to maximise efficiency</li> <li>6. Balanced budget for 2018/19 has been agreed</li> <li>7. Longer term financial projections in development</li> <li>8. SWEC, ABC groups and Home Support monitoring in place</li> </ol>	HIGH	MEDIUM	Ross McGuffie	Ross McGuffie	SLT, IJB Sub, IJB	31.10.19	

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IJB13	Strategic	07.05.18	There is a risk that the aims of the partnership's ten-year Strategic Plan are unable to be met because of a range of factors such as the impact of welfare reform, rejection by the North Lanarkshire public or failing to take into account true needs, leading to a failure to achieve the desired strategic aims.	HIGH	<ol style="list-style-type: none"> <li>1. Joint Strategic Needs Assessment</li> <li>2. Locality Profiles</li> <li>3. Strategic Planning Group fully engaged in development of plan</li> <li>4. Communication and engagement strategy</li> <li>6. P4C User and Carer Forum</li> <li>7. User/carer representation on partnership boards</li> <li>8. Use of PPF and Community Forums</li> <li>9. Locality engagement events to ensure frontline staff and users/carers involved</li> <li>10. Commissioning Plan Programme Board and workstreams</li> <li>11. Involvement in Community Planning Partnership</li> </ol>	HIGH	LOW	Ross McGuffie	Ross McGuffie	SLT, IJB Sub, IJB	31.10.19	
IJB14	Strategic Operational	07.05.18	There is a risk that the partnership is unable to implement the commissioning intentions agreed for delivery in 2019/20 because of competing operational and professional pressures, leading to a failure to achieve the desired strategic aims.	MEDIUM	<ol style="list-style-type: none"> <li>1. Strategic Commissioning Plan Programme Board</li> <li>2. Full implementation plans agreed</li> <li>3. Implementation structure in place</li> <li>4. Agreement to fund additional project management/implementation posts in 18/19 and 19/20</li> <li>5. Regular oversight at IJB Sub-Committee</li> </ol>	MEDIUM	LOW	Ross McGuffie	Ross McGuffie	SLT, IJB Sub, IJB	31.12.19	
IJB15	Strategic	07.05.18	There is a risk that the IJB is unable to provide adequate operational oversight because of insufficient operational and performance reporting, leading to a failure to mitigate operational performance deficits through the planning process.	MEDIUM	<ol style="list-style-type: none"> <li>1. IJB Sub-Committee</li> <li>2. H&amp;SCP Performance Framework</li> <li>3. Support, Care and Clinical Governance reporting</li> <li>4. Quarterly performance reviews</li> <li>5. Review of performance reporting in line with ISRB structures</li> </ol>	MEDIUM	LOW	Ross McGuffie	Ross McGuffie	SLT, IJB Sub, IJB	31.12.19	
IJB 16	Strategic Operational	07.05.18	There is a risk that Third Sector organisations in North Lanarkshire are vulnerable because of reductions in external funding available, leading to a reduction in available supports in North Lanarkshire communities and an increasing reliance on statutory services.	MEDIUM	<ol style="list-style-type: none"> <li>1. Third Sector Interface represented on key strategic groups</li> <li>2. H&amp;SCP funding of third sector</li> <li>3. Community Capacity Building and Carer Support infrastructure embedded in NL</li> <li>4. Review of community capacity building</li> </ol>	MEDIUM	LOW	Ross McGuffie	Ross McGuffie	SLT, IJB Sub, IJB	31.12.19	
IJB17	Reputational Operational	07.05.18	There is a risk of non-compliance with the General Data Protection Regulations (GDPR) because of system failure or human error, leading to adverse media impact, loss of public confidence and the potential for punitive fines.	MEDIUM	<ol style="list-style-type: none"> <li>1. IT solutions introduced where possible (e.g. Firewalls, withdrawal of portable memory sticks etc)</li> <li>2. Encryption of all laptops and remote access</li> <li>3. Staff training on information governance</li> <li>4. Information Sharing Agreement in place and update to reflect GDPR</li> <li>5. Reporting mechanism in place for any breaches</li> <li>6. Monitoring of policy compliance and breaches via Support, Care and Clinical Governance Committee and Senior Leadership Team</li> <li>7. NLC Data Protection Officer identified as DPO for the IJB</li> <li>8. IJB participation in NRS records keeper sessions - new records management policy to be in place by September 2018</li> <li>9. Operational Policies around walk rounds, closure of buildings, disposal of furniture and equipment etc</li> </ol>	MEDIUM	LOW	Ross McGuffie	Ross McGuffie	SLT, IJB Sub, IJB	31.12.19	

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IJB18	Strategic Operational Reputationa	07.11.18	There is a risk that the 2 site model of delivery of an Out of Hours (OOH) service cannot be sustained because of national and local disengagement of salaried and sessional GMPs, leading to the potential to adversely impact on patient care, partner services including A&E, the national performance targets and the reputation of the partner agencies.	HIGH	<ol style="list-style-type: none"> <li>1. Short-term increase in pay rates for GPs</li> <li>2. New Service business continuity plan</li> <li>3. Monitoring of performance against key Qis through NHSL CMT</li> <li>4. Introduction of Liaison Nursing Service for Mental Health and Paediatrics</li> <li>5. Planned approach to develop Advanced Practitioners for Nursing and Paramedics</li> <li>6. GMS Sustainability monitored through PC Strategy Board (see risk IJB9)</li> <li>7. Primary Care Improvement Plan agreed</li> </ol>	HIGH	LOW	Ross McGuffie	Ross McGuffie	SLT, IJB Sub, IJB	31.10.19	
IJB19	Strategic Operational	07.11.18	There is a risk that the IJB is unable to reach targets around the 'big 6' performance measures because of a range of pressures including demographic change and budget pressures or the strategic plan not enacting the desired impact, leading to poor patient outcomes including greater hospital admissions, delayed discharges and increases in institutional care.	HIGH	<ol style="list-style-type: none"> <li>1. Oversight at IJB Sub-Committee</li> <li>2. Quarterly national reporting on performance</li> <li>3. Reviewed weekly at NHSL CMT (unscheduled care and delayed discharge)</li> <li>4. Pan Lanarkshire Unscheduled Care Delayed Discharge Board</li> <li>5. Whole system action plans in place, with associated trajectories</li> <li>6. National ISD exercise to ensure all partnerships record correctly</li> </ol>	MEDIUM	LOW	Ross McGuffie	Ross McGuffie	SLT, IJB Sub, IJB	31.10.19	
IJB20	Strategic Operational	07.02.19	There is a risk that the IJB is unable to enact the Strategic Plan because of the operational and financial challenges posed by Brexit, leading to a failure to achieve the desired strategic aims and an impact on service delivery.	VERY HIGH	<ol style="list-style-type: none"> <li>1. H&amp;SCP fully participating in the NLC and NHSL resilience arrangements around Brexit</li> <li>2. H&amp;SCP workshops organised to take place in Feb and March 19</li> <li>3. 'Silver command' group to be formed for H&amp;SCP from Feb 19</li> </ol>	VERY HIGH	MEDIUM	Ross McGuffie	Ross McGuffie	SLT, IJB, IJB Sub	31.10.19	