

REPORT

Item No: 12

SUBJECT:	Risk Register
TO:	Performance, Finance & Audit Committee
Lead Officer for Report:	Operational & Business Manager
Author(s) of Report	Operational & Business Manager
DATE:	14.5.21

1. PURPOSE OF REPORT

This paper is coming to the Performance, Finance & Audit Committee (P,F&A)

For approval	<input type="checkbox"/>	For endorsement	<input type="checkbox"/>	To note	<input checked="" type="checkbox"/>
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The purpose of this report is to provide an overview to the Performance, Finance & Audit Committee on risk management activity relevant to the Committee's remit noting any amendments or additions to the current risk register.

2. ROUTE TO THE BOARD

This paper has been:

Prepared	<input checked="" type="checkbox"/>	Reviewed	<input type="checkbox"/>	Endorsed	<input type="checkbox"/>
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By: Operational & Business Manager and IJB Chief Financial Officer

3. RECOMMENDATIONS

3.1 The PF&A Committee is asked to note the extract from the IJB Risk Register which highlights the risks associated with the remit of the PF&A agenda. (Appendix 1)

3.2 The PF&A committee is asked to note that the Assurance groups identified alongside each risk have continued to meet during the Covid period and are maintaining a focus on assurance reporting.

3.3 The PF&A Committee is asked to endorse the recommended changes to the risk register as set out in the change record attached as an Appendix 2.

3.3 The PF&A Committee is asked to consider if there are any further significant risks of current relevance to the P, F & A committee.

4. VARIATIONS TO DIRECTIONS?

Yes	<input type="checkbox"/>	No	<input type="checkbox"/>	N/A	<input checked="" type="checkbox"/>
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5. BACKGROUND/SUMMARY OF KEY ISSUES

- 5.1 NHSL Internal Audit had put forward a number of recommendations for the IJB to improve its approach to risk management and these had been considered at a recent IJB liaison development event in March 2020.
- 5.2 The auditor had recommended that reports to both the IJB and PF&A should include a section on risk and each report will be required to identify linkage with either an existing known risk recorded on the IJB Risk Register or highlight any new or emergent risks for consideration by the committee. The revised reporting template has now been approved.
- 5.3 The auditor also recommended that consideration be given to the identification of risks that should be overseen by the Performance, Finance & Audit Committee.
- 5.4 A table top review of the existing risk register was recently undertaken by the Chief Officer, IJB Section 95 officer and the Operational & Business manager and arising from the review, a number of risks were closed with the approval of the IJB in September 2020.
- 5.5. The finance risks identified for oversight by the PF&A committee is attached as Appendix 1. These risks were formally approved at the IJB meeting in December 2020 and were noted at its most recent meeting in March 2021.
- 5.6 The Assurance groups that have been highlighted against each risk are continuing to meet during Covid and are maintaining a focus on assurance reporting.
- 5.7 All recommended changes to the Risk register are highlighted in the Change Record at Appendix 2.
- 5.7.1. There were 2 financial risks rated as 'Very High' in the IJB risk register and these have been recently reviewed as follows;
- IJB03.20 – Impact of EU Withdrawal – following review by the IJB Chief Financial Officer, it is recommended that this risks be reduced to medium.
 - IJB04.20 – Notional Set Aside Budget – following review by the IJB Chief Financial Officer, it is recommended that this risk be reduced to High.
- 5.7.2 IJB.08.20 - Financial Implications of Responding to Covid -19 Pandemic has also been reviewed and the IJB Chief Financial Officer has recommended that the risk rating be increased from high to very high.

6. CONCLUSIONS

- 6.1 Internal Audit had recommended that the PF&A should identify and oversee any risk associated with the remit of the committee.

6.2 An extract from the IJB Risk Register is attached to this report and highlights the risks that link to the particular remit of the PF&A committee.

6.3 The PF&A has adopted a more proactive approach to risk management by;

- Identifying any new risks at each meeting
- Ensuring that each report has given due consideration to any risks associated with the subject matter
- Regularly reviewing and updating all risks identified within the remit of the P, F&A.

6.4 Internal Audit has recently recommended that Mitigating controls be separated into controls and actions and this will be completed in June 2021 for approval at the IJB meeting.

7. IMPLICATIONS

7.1 NATIONAL OUTCOMES

The proactive management of risk underpins the achievement of strategies and delivery plans associated with all national outcomes.

7.2 ASSOCIATED MEASURE(S) – none

7.3 FINANCIAL

This paper has been reviewed by Finance:

Yes	<input type="checkbox"/>	No	<input type="checkbox"/>	N/A	<input type="checkbox"/>
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7.4 RISK ASSESSMENT/RISK MANAGEMENT

The report sets out the risk management approach to be adopted within the PF&A and the risks associated with the committee remit.

7.5 PEOPLE

7.6 INEQUALITIES & FAIRER SCOTLAND DUTY

EQIA Completed & Fairer Scotland Impact Assessment Form Completed:

Yes	<input type="checkbox"/>	No	<input type="checkbox"/>	N/A	<input checked="" type="checkbox"/>
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8. BACKGROUND PAPERS

None

9. APPENDICES

Appendix 1: Section of IJB Risk Register overseen by P, F&A
Appendix 2 : Record Of Changes to Risk Register.



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CHIEF ACCOUNTABLE OFFICER

Members seeking further information about any aspect of this report, please contact Christine Jack or Marie Moy on telephone number **01698752590 /01698 453905**

ID	Category	Concept of Risk	Mitigating Controls	Responsible	Impact	Priority	Start	End	Review Date	Risk Closed
1801	Financial Strategic	<p>Financial Challenges</p> <p>There are a range of financial challenges which will impact on the IJB's ability to deliver the Strategic Commissioning Plan intentions within the financial envelope available. These include:</p> <ol style="list-style-type: none"> The absence of a unique IJB financial settlement from the Scottish Government. The IJB is dependent on funding from both partners. Low Scottish Government public expenditure e.g. Care & Protection in 2021. Budget reductions due to insufficient Scottish Government settlements and/or partner contributions. Low Scottish Government public expenditure e.g. Care & Protection in 2021. Demographic growth. Competing service priorities. Conflicting partner efficiency savings programmes which adversely impact on the HSCP's ability to deliver services. In-year performance emerging due to the underperformance of planned services, pandemics and other emerging risks which may lead to an over spend. Each partner may be unable to maintain their financial contribution to the IJB in future years which would impact on front-line health and social care services. The agreed transformation plans and service redesigns are not implemented in full and in line with the original implementation plan and/or do not secure the intended improved outcomes in both performance outcomes and financial efficiency targets. Future savings targets will continue to be challenging and will be impacted by external care services. The IJB Financial Plans cannot be adhered to and budget recovery plans fail to achieve financial balance for both partners. The impact of the pandemic on the financial sustainability of external providers in particular social care providers. The financial implications of the impact of the pandemic on the workforce e.g. increase in sickness absence, any retirement request and recruitment challenges. Additional Scottish Government funding to address Covid-19 costs and to progress the Rehabilitation and Recovery Plan in 2021/2022 is not sufficient. <p>The above factors would lead to a failure to achieve the desired strategic aims and would also impact on service delivery.</p>	<ol style="list-style-type: none"> IJB PFA Committee. IJB Chief Officer a member of each partner's key decision-making forums. Effective joint working between Chief Financial Officers and both Council and NHS Finance Departments. Annual budget setting processes within each of the partners. Regular budget meetings with Chief Executives and Directors of Finance. Regular HSCP budget monitoring meetings across Senior Leadership Teams. The IJB Financials 2021/2022 have been agreed and are being reviewed regularly. The development of the IJB Reserve Strategy 2021/2022 which regularly monitors throughout the year. The review and update of the IJB Medium to Long Term Financial Plan. The development of Budget Recovery Plans to address significant financial variances which emerge in year if required. Capacity plans to maximize efficiency. Integration Scheme setting out the budget recovery processes. Financial Sustainability Management arrangements in place to 31 June 2021 to support external social care providers. Consolidation and review of services with key stakeholders including service users and carers. Preserving Quality and Efficiency Programme, SMOG, ABC and other support monitoring groups are in place. Joint Strategic Needs Assessment and ongoing move towards preventative and anticipatory approaches. Strong Planning Group, quality engagement sessions and Partnership Boards. Effective and ongoing service user engagement, staff consultation and Trust Union based at strategic and local levels. Financial Sustainability Management arrangements in place to 31 June 2021 to support external social care providers. Rehabilitation Plan development and regularly updated which includes the Response, Recovery and Redesign Plans in place across the IJB and both partners for 2021/2022. Further additional Scottish Government funding is being sought to address the costs incurred to progress the response to the Covid-19 pandemic and also to progress the Rehabilitation and Recovery Plan in 2021/2022. Consultation with the Scottish Government in respect of the IJB Reserve Strategy 2021/2022 and the anticipated additional costs in 2021/2022 will be progressed by the IJB Chief Financial Officer. 	<p>Financial Strategic</p> <p>High</p> <p>2021</p> <p>2022</p>	<p>Previously 1802, 1801, 1803 and 1804</p> <p>Reviewed and updated on 15 May 21</p>					
1802	Financial Reputational	<p>Ineffective Governance Arrangements</p> <p>There is a risk that the IJB is unable to prevent and detect fraud and corruption within services because of inadequate governance arrangements and inadequate internal control systems which could lead to financial and reputational damage.</p>	<ol style="list-style-type: none"> Fraud awareness training. National Fraud Initiative. Local Fraud Awareness Campaign. Segregation of duties in relation to authorising and processing direct payments. Local Fraud Awareness Training for staff. Whistle blowing policies. Government of Scotland Financial Practitioners' presentation at Edinburgh SLT. Prevention processes and standing orders. Overnight in UK, Audit and Security Panel and Public Accounts Committee. Effective governance arrangements are in place and subject to internal and external audit review. IJB and IJB PFA meetings established ensuring effective oversight of financial performance. 	<p>Financial Reputational</p> <p>High</p> <p>2021</p> <p>2022</p>	<p>Previously 1801</p> <p>Reviewed and updated on 15 May 21</p>					
1803	Financial Strategic	<p>Impact of EU Withdrawal</p> <p>There is a risk that the IJB is unable to implement the Strategic Plan because of the operational and financial challenges posed by EU withdrawal leading to a failure to achieve the desired strategic aims and to deliver impact on both operational and financial performance.</p>	<ol style="list-style-type: none"> HSCP fully participates in the NEC and NHS resilience arrangements. HSCP workshops undertaken. Clear contractual areas formed for HSCP. Business Continuity Plans reviewed and updated for all services and sites. 	<p>Financial Strategic</p> <p>High</p> <p>2021</p> <p>2022</p>	<p>Previously 1802</p> <p>Reviewed and updated on 15 May 21</p>					
1804	Financial Strategic	<p>National Set Aside Budget</p> <p>There is a risk that resources will not be transferred from Acute Services to the HSCP in line with the intention of a care from residential and acute settings to community based alternatives as an essential part of the national set aside concept. This includes the ongoing development of local pathways to support maintaining people at home e.g. transitional care models.</p>	<ol style="list-style-type: none"> The Chief Officer and the Chief Financial Officer continue to raise this concern at a national level. There is a complete transparency and ongoing dialogue between the IJB and the Health Board on the challenges associated with the implementation of the national set aside concept. Regular meeting and quality planning arrangements are in place. Effective working relationships between both partners and the IJB have been established. Since the inception of the IJB, an agreement is in place whereby the NHS Health Board set-aside budget is managed and undertaken across the national set aside budget. This arrangement continues to be in place for 2021/2022. 	<p>Financial Strategic</p> <p>High</p> <p>2021</p> <p>2022</p>	<p>Reviewed and updated on 15 May 21</p>					
1805	Financial Strategic	<p>Shared Services</p> <p>There is a risk of dispute between the North Lanarkshire IJB and the South Lanarkshire IJB in respect of the financial allocations underpinning the Shared Services particularly as a result of the budget changes linked to the implementation of devolved locality models. This could impact on the ability of each IJB to deliver its commissioning objectives and also have an adverse impact on service users across Lanarkshire.</p>	<ol style="list-style-type: none"> North and South IJBs wish to co-operate to ensure a pan Lanarkshire approach is achieved across all shared services. Performance reports are shared. Performance reports are shared. The Shared Services groups in respect of the management of the overruns and underruns are agreed for each financial year. 	<p>Financial Strategic</p> <p>High</p> <p>2021</p> <p>2022</p>	<p>Reviewed and updated on 15 May 21</p>					
1806	Financial Operational	<p>Prescribing Activity and Costs</p> <p>Prescribing costs continue to increase in prescribing activity and increasing price volatility, thereby becoming available, the response to the Covid-19 pandemic and the impact of EU withdrawal.</p>	<ol style="list-style-type: none"> Prescribing Quality and Efficiency Programme. Medicine Prescribing Management Board functions and membership. Quality Use Pharmacy supporting HSCP Senior Leadership Team. Quality Prescribing Action Group. Continuation of Supplychain. Quality Pharmacy Board. Contracted reserves established to address prescribing costs. 	<p>Financial Operational</p> <p>High</p> <p>2021</p> <p>2022</p>	<p>Previously 1801</p> <p>Reviewed and updated on 15 May 21</p>					
1807	Financial Strategic	<p>Third and Voluntary Sector</p> <p>There is a risk that Third Sector organisations in North Lanarkshire are vulnerable because of the lack of certainty in respect of long term funding sources. This uncertainty may impact on service users, particularly those with complex needs, and also have an adverse impact on statutory services.</p>	<ol style="list-style-type: none"> The annual HSCP funding which is directed to the third sector is recurring funding. Funding will be confirmed each year in line with the agreement of the IJB Financial Plan and subject to the Scottish Government financial settlements for future years. The Sector Strategy is agreed and in place. Community capacity building and care support infrastructure embedded across North Lanarkshire. Community capacity building is regularly reviewed. Maximising funding opportunities for the third and voluntary sector will continue to be progressed. 	<p>Financial Strategic</p> <p>High</p> <p>2021</p> <p>2022</p>	<p>Previously 1801</p> <p>Reviewed and updated on 15 May 21</p>					
1808	Financial Strategic	<p>Financial Implications of Responding to and Recovering from the Covid-19 Pandemic</p> <p>There is a range of IJB risks associated with the response to and recovery from the Covid-19 pandemic. Additional funding was received from the Scottish Government in 2020/21 to meet the additional costs of the Covid-19 pandemic. Further funding for 2021/22 is being discussed to meet the additional costs of responding to and recovering from the Covid-19 pandemic however the total amount for 2021/22 has not yet been confirmed by the Scottish Government. There is therefore a risk that the HSCP may not be fully reimbursed in respect of the additional costs of responding to and recovering from the Covid-19 pandemic in 2021/2022. The IJB Reserve Strategy 2021/2022 will also be the subject of review by the Scottish Government, particularly in respect of how much of the 2020/21 underpinning has been allocated to address 2021/2022 Covid-19 costs and to implement the recovery and response and reimbursement of funding from the Scottish Government would impact on the implementation of the Response, Recovery and Redesign Plans for 2021/2022. The 2021/2022 Strategic Plan may also not be achieved in part or in full due to key resources continuing to be diverted to respond to the Covid-19 pandemic. This risk could lead to significant operational, financial, legal and/or reputational harm to the HSCP and also adversely impact on the Strategic Plan outcomes.</p>	<ol style="list-style-type: none"> Governance arrangements are in place in respect of the approval and monitoring of additional Covid-19 costs and the recovery and redesign plans. All costs associated with responding to the Covid-19 pandemic are being tracked and reported to the Scottish Government through the Rehabilitation Plan Financial Return. A financial tracker on Covid-19 related expenditure (as part of the Local Rehabilitation Plan) is updated on a weekly basis. Regular updates are submitted to the Scottish Government. The IJB Reserve Strategy 2021/2022 will be discussed with the Scottish Government. Review of funding will continue to be tracked and monitored. The financial position is being monitored on an ongoing basis by SLT, IJB PFA and IJB. The IJB Chief Officer and the Chief Financial Officer are actively engaging with the Scottish Government and other networks and providing regular updates on the rehabilitation and redesign plans and the associated costs. 	<p>Financial Strategic</p> <p>High</p> <p>2021</p> <p>2022</p>	<p>Reviewed and updated on 15 May 21</p>					
1809	Financial Strategic	<p>Impact on the Strategic Plan Due to the Covid-19 Pandemic</p> <p>1. Social Care providers continue to be significantly impacted by the Covid-19 pandemic. There are risks associated with the ongoing financial and operational support. If providers are unable to safely deliver services, there could be a risk of harm to service users and failure of the provider.</p> <p>2. Providers are operating under unique and significantly detrimental conditions including continuity of service being disrupted due to the requirement to focus on priority services only, increased infection control measures and associated costs, increased staff absence and associated costs, reduced availability of back-up staff and social distancing requirements. Previous may not be available to deliver services in these circumstances.</p> <p>3. Increased reporting requirements to provide data to regulatory bodies are affecting limited resources.</p> <p>4. Staff and emergency additional services to continue to respond to the Covid-19 pandemic may be available. Hospital admissions may not be accepted and discharges from hospital may be delayed. General Medical Services may not be available. There are a whole system capacity constraints across the health and social care system.</p> <p>5. Discharges from hospital may impact on care at home, residential care, nursing care and respite provision.</p> <p>6. There is an increased demand for health and social care services during the period of the pandemic, in line with Public Health advice. Insufficient workforce capacity and there is a risk the Working Time Directive may be breached. There is insufficient equipment for areas, e.g. ambulance, accident and emergency, etc. Priority may be limited. The required service specification and standard may not be met.</p> <p>7. There may be insufficient mobile IT devices.</p> <p>8. There are significant risks associated with the mutation of the Covid-19 virus and the new variants.</p> <p>9. There is an adverse impact on progress of transformation and/or service redesign opportunities including ongoing long-term efficiency savings.</p> <p>10. Prioritising the impact of the response to the Covid-19 pandemic may divert limited resources away from key essential services which may lead to additional resource requirements and costs over the medium to longer term.</p> <p>11. There may be a risk of HSCP management capacity and resilience to effectively manage the response to the pandemic. This may lead to an adverse impact on service delivery and financial outcomes.</p>	<ol style="list-style-type: none"> Scottish Government and COSA guidance is being complied with. In addition to existing SLT and Care Leadership arrangements, the HSCP has increased the frequency of key meetings including regular huddles during the peak periods of the pandemic. Emergency Command and Control structure has been established by each partner. Infection Prevention Control and Social Distancing requirements are being complied with. NHS National Care Services Scotland are supporting primary care and social care services. PPE is available in line with health Protection Scotland guidance. Chief Financial Officer guidance is updated for the four sectors has been published, and this advice is endorsed by the Scottish Government/COSA. Updates are also adopted. Scottish Government are focusing on the care home sector to support continuity of service delivery. A national process to support delivery of Covid-19 patients in a care home has been set up and is in place. Up-to-date information is disseminated to all staff across the HSCP as the situation develops and a consistent communication strategy is in place with employees across IJB, NHS, and NCL. Remote working and flexible working arrangements are also in place. There is an increase in the number of agile workers and an increase in the number of laptops/tablets provided. IJB and partner business continuity plans are being regularly reviewed. Arrangements are in place across the partnership to review service user and carer participation in terms of accessing service and support. Resources are targeted to those with most critical or complex needs. Arrangements are in place to support carers in their caring role, working in partnership with voluntary organisations to provide early intervention and preventative supports. The HCP is actively engaging with the local and regional support to ensure service user opportunities to meet the health and social care needs of service users and their associated costs. Advice to date is being published in the Social Care Sustainability Payments by External Social Care Providers. The HSCP is having with partners to ensure there is early identification of problems and early resolution. The Response, Recovery and Redesign Remediation Plan has been developed and is regularly updated. Response, Recovery and Redesign Plans are in place across the IJB and both partners. Additional funding is being sought from the Scottish Government. Safety systems of working have been adopted. Regular cleaning regime is in place across all premises. All workplace appropriate social distance signage is in place. Staff registers are in place for the IJB and each partner. Each partner has specific HSCP Covid-19 Risk Register in place. The vaccination programme is continuing to be rolled out. The Scottish Government is taking appropriate action to mitigate the impact of the variants of the Covid-19 virus as far as possible. 	<p>Financial Strategic</p> <p>High</p> <p>2021</p> <p>2022</p>	<p>Reviewed and updated on 15 May 21</p>					
1810	Financial Strategic	<p>Ineffective Governance Arrangements Due To the Covid-19 Pandemic</p> <p>1. There is a risk that the transparency of the response to the Covid-19 could result in a failure of governance impacting on the effectiveness of the IJB decision-making, IJB directions to partners and IJB oversight of operational services delivery. Routine governance arrangements will be impacted.</p> <p>2. There is an amended Covid-19 legislation and Scottish and UK Government guidance may not be adequate, effective and timely.</p> <p>3. There is no national public access to IJB and PFA meetings during the period of the pandemic, in line with Public Health advice.</p> <p>4. Ineffective information governance controls could lead to data breaches and an impact on the General Data Protection Regulations.</p> <p>5. Communications with employees, patients and service users may be ineffective.</p> <p>6. There will require to be changes to the working environment including remote working and working from home.</p> <p>7. There is a reduced ability to protect the wellbeing of employees, patients and service users.</p> <p>8. There may be adverse media coverage locally, a loss of public confidence and reputational damage.</p>	<ol style="list-style-type: none"> National Networks are established which are progressing the framework to support a national approach where appropriate. Public health advice and support is in place. Increased number of agile workers and increased number of laptops/tablets. Continued working from home arrangements supported by the roll out of MS Teams / Zooms. Regular updates on the guidelines for the use of MS Teams / Zoom Meetings is circulated. Risk registers are in place for the IJB and each partner. Each partner has a specific HSCP Covid-19 Risk Register in place. The IJB and both partners are in contact with each other to ensure working Time Directive (WTD) and increase the risk of all staff working beyond 48 hours per week, in particular from the live service delivery. As a result of the withdrawal from the European Union, the WTD ceased to apply to the United Kingdom at the end of the transition period (31 December 2020). However, the UK's Working Time Regulations which require up to 48 hours per week continue to apply unless and until amended by UK law. Staff health and well-being is a key priority for both partners and all key stakeholders. The commitment to staff health and well-being is being actively promoted through all available forums. 	<p>Financial Strategic</p> <p>High</p> <p>2021</p> <p>2022</p>	<p>Reviewed and updated on 15 May 21</p>					

North Integrated Joint Board Risk Register (Accurate as 31.8.20)

31.8.20

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	Risk Closed - Changes By MM
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"> 1. IJB Sub Committee 2. HSCP Budget monitoring meetings 3. Budget monitoring and oversight 4. Prescribing Action Plans 5. Capacity plans to maximise efficiency 6. Regular budget meetings with Chief Executives and Directors of Finance 7. Longer-term financial projections in development 	HIGH	MEDIUM	Ross McGuffie	Ross McGuffie	SLT, IJB Sub, IJB	31.8.20	04.11.20	Closed and new risk opened. Please see below.
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"> 1. IJB Sub Committee 2. HSCP Budget monitoring meetings 3. Budget monitoring and oversight 4. Support, Care and Clinical Governance committee 5. Workforce Plan 6. Consultation with partners on directions (awaiting government advice on directions - due end of January 2020) 	MEDIUM	MEDIUM	Ross McGuffie	Ross McGuffie	SLT, IJB Sub, IJB	31.8.20	04.11.20	Closed and no longer required as evidence since 1 April 2020 is that partners will implement IJB directions. The arrangements for effective partner consultation in advance of IJB directions being issued is critical to securing the support from both partners.
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"> 1. Communication and Engagement Strategy 2. Strategic Planning Group used to gain wide engagement on messages 3. User and Carer Forum 4. Partnership Boards - user and carers represented 5. Use of PPF and Community Forums 	MEDIUM	MEDIUM	Ross McGuffie	Ross McGuffie	SLT, IJB Sub, IJB	31.8.20		Not a direct finance risk therefore no change proposed by MM.

North Integrated Joint Board Risk Register (Accurate as 31.8.20)

31.8.20

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	Risk Closed - Changes By MM
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"> 1. Fraud awareness e-learning 2. National Fraud initiative 3. Locality/SW Enablement Groups 4. Segregation of duties in relation to authorising and processing direct payments 5. Raise fraud awareness through team briefings 6. Whistle blowing policies 7. Procurment and Standing Financial Instructions presentations at Extended SLT 8. Procurement processes and standing orders 9. Oversight via NLC Audit and Scrutiny Panel and NHSL Audit Committee 	LOW	LOW	Ross McGuffie	Ross McGuffie	SLT, IJB sub, IJB	31.8.20	04.11.20	Closed and new risk opened. Please see below.
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"> 1. Joint Strategic Needs Assessment 2. Performance, Scrutiny and Assurance Sub-Committee 3. Strategic Planning Group 4. Locality engagement sessions 5. Partnership Boards 6. Implementation of ISRB report 7. Move towards preventative and anticipatory approaches (IPAC) 	MEDIUM	MEDIUM	Ross McGuffie	Ross McGuffie	SLT, Finance and audit sub, PS&A Sub, IJB	31.8.20	04.11.20	Closed and new risk opened. Please see below.

North Integrated Joint Board Risk Register (Accurate as 31.8.20)

31.8.20

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	Risk Closed - Changes By MM
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"> 1. GP clusters to support more collaborative ways of working 2. Implementing a 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 to identify new ways of working including extended roles of other clinicians (e.g. Pharmacists, Nurses) through the PCIP 6. GP recruitment and retention fund from Scottish Government to enable local solutions to local problems over 2 financial years 7. Implementation of GMS contract 2018 8. New abbreviated procurement process approved and in place 9. Executive group established to highlight and enact potential solutions 10. Community bed modelling plan 	VERY HIGH	MEDIUM	Ross McGuffie	Ross McGuffie	SLT, IJB	31.8.20		Not a direct finance risk therefore no change proposed by MM.
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"> 1. Planning within NL Carers Strategy Implementation Group 2. Working Group for roll out of Carers Act formed 3. NL reps on key national working groups for Carers Act 4. Carer representation on key strategic groups 5. Funding secured to extend contracts for Lanarkshire Carers Centre and NL Carers Together until Nov 18 6. Commissioning process for carer support underway 7. Staff training on Act and new processes 8. Discussions ongoing around GP LES for Carer support 9. Pan Lanarkshire review of support for carers commenced 10. Reviewing wider supports available for carers with VANL and senior officers 	MEDIUM	LOW	Ross McGuffie	Ross McGuffie	SLT, IJB	31.8.20	04.11.20	Closed and new risk opened. Please see below.

North Integrated Joint Board Risk Register (Accurate as 31.8.20)

31.8.20

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	Risk Closed - Changes By MM
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.	MEDIUM	<ol style="list-style-type: none"> 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 	Medium	MEDIUM	Ross McGuffie	Ross McGuffie	SLT, IJB	31.8.20	04.11.20	Closed and new risk opened. Please see below.
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"> 1. IJB Sub Committee 2. HSCP Budget monitoring meetings 3. Budget monitoring and oversight 4. PQEP Programme 5. Capacity plans to maximise efficiency 6. Balanced budget for 2018/19 has been agreed 7. Longer term financial projections in development 8. SWEG, ARG groups and Home Support monitoring in place 	HIGH	MEDIUM	Ross McGuffie	Ross McGuffie	SLT, IJB Sub, IJB	31.8.20	04.11.20	Closed and new risk opened. Please see below.
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"> 1. Joint Strategic Needs Assessment 2. Locality Profiles 3. Strategic Planning Group fully engaged in development of plan 4. Communication and engagement strategy 6. P4C User and Carer Forum 7. User/carer representation on partnership boards 8. Use of PPF and Community Forums 9. Locality engagement events to ensure frontline staff and users/carers involved 10. Commissioning Plan Programme Board and workstreams 11. Involvement in Community Planning Partnership 	HIGH	LOW	Ross McGuffie	Ross McGuffie	SLT, IJB Sub, IJB	31.8.20		Not a direct finance risk therefore no change proposed by MM.

North Integrated Joint Board Risk Register (Accurate as 31.8.20)

31.8.20

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	Risk Closed - Changes By MM
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"> 1. IJB Sub-Committee 2. H&SCP Performance Framework 3. Support, Care and Clinical Governance reporting 4. Quarterly performance reviews 5. Review of performance reporting in line with ISRB structures 	MEDIUM	LOW	Ross McGuffie	Ross McGuffie	SLT, IJB Sub, IJB	31.8.20		Not a direct finance risk therefore no change proposed by MM.
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"> 1. Third Sector Interface represented on key strategic groups 2. H&SCP funding of third sector 3. Community Capacity Building and Carer Support infrastructure embedded in NL 4. Review of community capacity building 	MEDIUM	LOW	Ross McGuffie	Ross McGuffie	SLT, IJB Sub, IJB	31.8.20	04.11.20	Closed and new risk opened. Please see below.

North Integrated Joint Board Risk Register (Accurate as 31.8.20)

31.8.20

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	Risk Closed - Changes By MM
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"> IT solutions introduced where possible (e.g. Firewalls, withdrawal of portable memory sticks etc) Encryption of all laptops and remote access Staff training on information governance Information Sharing Agreement in place and update to reflect GDPR Reporting mechanism in place for any breaches Monitoring of policy compliance and breaches via Support, Care and Clinical Governance Committee and Senior Leadership Team NLC Data Protection Officer identified as DPO for the IJB IJB participation in NRS records keeper sessions - new records management policy to be in place by September 2018 Operational Policies around walk rounds, closure of buildings, disposal of furniture and equipment etc 	MEDIUM	LOW	Ross McGuffie	Ross McGuffie	SLT, IJB Sub, IJB	31.8.20		Not a direct finance risk therefore no change proposed by MM.
IJB18	Strategic Operational Reputational	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"> Short-term increase in pay rates for GPs New Service business continuity plan Monitoring of performance against key Qis through NHSL CMT Introduction of Liaison Nursing Service for Mental Health and Paediatrics Planned approach to develop Advanced Practitioners for Nursing and Paramedics GMS Sustainability monitored through PC Strategy Board (see risk IJB9) Primary Care Improvement Plan agreed 	HIGH	LOW	Ross McGuffie	Ross McGuffie	SLT, IJB Sub, IJB	31.8.20		Not a direct finance risk therefore no change proposed by MM.

North Integrated Joint Board Risk Register (Accurate as 31.8.20)

31.8.20

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	Risk Closed - Changes By MM
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"> Oversight at IJB Sub-Committee Quarterly national reporting on performance Reviewed weekly at NHSL CMT (unscheduled care and delayed discharge) Pan Lanarkshire Unscheduled Care Delayed Discharge Board Whole system action plans in place, with associated trajectories National ISD exercise to ensure all partnerships record correctly 	MEDIUM	LOW	Ross McGuffie	Ross McGuffie	SLT, IJB Sub, IJB	31.8.20		Not a direct finance risk therefore no change proposed by MM.
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 EU withdrawal leading to a failure to achieve the desired strategic aims and an impact on service delivery.	VERY HIGH	<ol style="list-style-type: none"> H&SCP fully participating in the NLC and NHSL resilience arrangements. H&SCP workshops undertaken. 'Silver command' group formed for H&SCP. BCPs revisited and updated for all services & sites. Weekly meeting established with Operational Leads. 	MEDIUM	MEDIUM	Ross McGuffie	Ross McGuffie	SLT, IJB, IJB Sub	31.8.20	04.11.20	Closed and new risk opened. Please see below.

Appendix 2

Summary of Significant Material Changes to the IJB Risk Register

Since the last reporting Period in February 2021, the following significant changes have been made to the Risk Register.

Closed Risks
There are no closed risks in this reporting period.
New Risks Identified
No new risks have been identified.
Risk Rating Amended
The following risk ratings have been amended; <ol style="list-style-type: none">1. IJB0321 – Impact of EU withdrawal – Risk rating reduced from Very High to Medium2. IJB0421 – Notional Set Aside Budget – Risk rating reduced from Very High to Medium3. IJB0521 – Hosted Service – Risk rating reduced from High to Medium4. IJB0821 – Financial Implication of Responding to Covid 19 – risk rating increased from High to Very High
Planned Updates
Risks associated with the delivery of the Strategic Commissioning Plan are to be developed.
Risks Managed by Partner Bodies but Impacting on IJB
Not Applicable for the P, F & A Committee but will be reported to the IJB Committee in June 2021.