

# REPORT

Item No: 7

---

<b>SUBJECT:</b>	Risk Management : IJB Risk Register
<b>TO:</b>	<b>Integration Joint Board</b>
<b>Lead Officer for Report:</b>	Operational & Business Manager
<b>Author(s) of Report</b>	Christine Jack, Operational & Business Manager
<b>DATE:</b>	7.6.21

---

## 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"/>
--------------	-------------------------------------	-----------------	--------------------------	---------	--------------------------

The purpose of this report is to provide a summary to the Integration Joint Board on risk management activity and IJB risk register, 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"/>
----------	-------------------------------------	----------	--------------------------	----------	--------------------------

By: The Operational & Business Manager and Chief Officer for H& SC NL.

## 3. RECOMMENDATIONS

3.1 The IJB is asked to note the contents of the report which includes; the latest version of the IJB risk register, the list of Covid related risks and a note of risks from partner agencies that impact upon delivery of IJB business.

3.2 The IJB is asked to approve the IJB Risk register, noting that the Performance, Finance & Audit Committee (PF&A) reviewed the finance risks contained within the IJB Risk Register at its last meeting in February 2021. The mitigating actions and risk rating for a number of risks were amended.

3.3 The IJB is asked to ensure that risks are developed and added to the IJB Risk Register across the whole range and remit of the IJB business including strategic planning.

#### 4. VARIATIONS TO DIRECTIONS?

Yes	<input type="checkbox"/>	No	<input checked="" type="checkbox"/>	N/A	<input type="checkbox"/>
-----	--------------------------	----	-------------------------------------	-----	--------------------------

#### 5. BACKGROUND/SUMMARY OF KEY ISSUES

- 5.1 From a good practice and sound governance perspective, all public bodies are required to identify and take account of the impact of any potential risks in delivering their business.
- 5.2 The IJB has previously agreed to review its current risk register as a standard agenda item at each meeting of the IJB in order to be assured that risk are being effectively managed. The risk report to the IJB will highlight;
- any new risks which the IJB needs to be sighted on together with the risk assessment and mitigating actions
  - any risks within North Lanarkshire Council and NHS Board Risk Registers which relate to the delegated functions and may impact on the ability of the IJB to deliver its Strategic Commissioning Plan (SCP)
  - where the risk has changed in status
- 5.4 The IJB meeting on 22.9.20 agreed to a significant number of amendments to the IJB Risk Register and these have now been incorporated within the new register. The IJB currently has ten identified risks on its risk register. Most of these risks are strategic financial in nature. The risks associated with the strategic planning role of the IJB, in particular the risks associated with Strategic Commissioning Plan 2020/23 have yet to be fully developed and these will be crucial if the IJB is committed to the development of a full and proactive risk register that covers the full IJB remit. The current IJB Risk Register is attached as Appendix 1.
- 5.5 A note of the risks associated with Covid is attached as Appendix 2. These have previously been presented to the IJB in September 2020 and have been regularly updated. A separate set of risks will be developed around the Performance targets and will be presented to the next meeting of the PF&A in August 2021 which will allow this generic risk to be closed. The Covid risk register will be reviewed in advance of the next meeting where it is expected that a number of risks can be recommended as closed and/or separate more specific and contemporary risks added to the main IJB risk register.
- 5.6 At the last meeting of the PF&A committee on 25<sup>th</sup> May 2021, the risks related to the remit of the PF&A were reviewed and mitigating actions were updated and the risk rating for risk were amended. These are noted in the Record of Change. Appendix 3.
- 5.7 A number of operational risks have been identified by NHS Lanarkshire and North Lanarkshire Council which are highlighted below as having a potential impact on IJB objectives and/or delivery of services;

No	Risk	Risk Rating	Lead Organisation
1450	Ability to maintain existing General Medical Services across NHSL	High	NHSL

1992	Continuous Covid Response & impact on routine PH Screening & surveillance programmes	High	NHSL
1587	Sustainability of the two-site model for the Out-of-Hours Service	Very High	NHSL
2004	Potential Impact on patients resulting from disruption of day to day clinical care in response to covid pandemic	Very High	NHSL
1989	Ability to maintain a workforce commensurate with need to support covid delivery, vaccine delivery & recovery & mobilisation plans.	High	NHSL
2015	Sustainable long term delivery of Covid Vaccination Programme	High	NHSL
2014	Recovery of Performance 2020/21	High	NHSL
446	Unable to deliver services due to funding issues	High	NLC
448	Availability of workforce to deliver services	High	NLC
449	Information & Data Protection	High	NLC
450	Health & Safety of staff in SW & partnership companies	High	NLC
453	Insufficient number of providers	High	NLC
457	Inadequate supervision governance & monitoring across professional working	High	NLC
458	IT system not fit for purpose	High	NLC

## 6. CONCLUSIONS

6.1 The IJB currently has 10 risks identified on its Risk Register with 4 risks rated as high or very high.

6.2 Risks identified by the partner agencies as potentially impacting on IJB business are highlighted in the report.

6.3 Risks associate with Covid are identified in Appendix 2.

6.4 A note of changes to the risk register are noted in Appendix 3

## 7. IMPLICATIONS

### 7.1 NATIONAL OUTCOMES

N/A

### 7.2 ASSOCIATED MEASURE(S)

N/A

### 7.3 FINANCIAL

This paper has been reviewed by Finance:

Yes	<input checked="" type="checkbox"/>	No	<input type="checkbox"/>	N/A	<input type="checkbox"/>
-----	-------------------------------------	----	--------------------------	-----	--------------------------

Financial risks are identified in the risk register.

7.4 RISK ASSESSMENT/RISK MANAGEMENT

This report sets out the IJB risk register and risk assurance process for the IJB

7.5 PEOPLE  
N/A

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"/>
-----	--------------------------	----	--------------------------	-----	-------------------------------------

8. BACKGROUND PAPERS

None

9. APPENDICES

- Appendix 1 IJB Risk Register
- Appendix 2 Covid 19 Risks
- Appendix 3 Record of Change



CHIEF ACCOUNTABLE OFFICER (or Depute)

Members seeking further information about any aspect of this report, please contact Christine Jack on telephone number 01698 752590

North Integrated Joint Board Risk Register (Accurate as 31.5.21)

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
IJB.01/21	Financial Strategic	01/04/2021	<p><b>Financial Challenges</b> 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"> <li>The absence of a unique IJB financial settlement from the Scottish Government.</li> <li>The IJB is dependent on funding from both partners.</li> <li>Late Scottish Government financial settlement.</li> <li>Budget reductions due to insufficient Scottish Government financial settlements and/or partner contributions.</li> <li>New Scottish Government policy commitments e.g. Carers (Scotland) Act 2016.</li> <li>Demographic growth.</li> <li>Competing service priorities.</li> <li>Conflicting partner efficiency savings programmes which adversely impact on the HSCP's ability to deliver services.</li> <li>In-year cost pressures emerging due to the underachievement of planned savings, pandemics and other emerging risks which may lead to an overspend.</li> <li>Each partner may be unable to maintain their financial contributions to the IJB in future years which would impact on frontline health and social care services.</li> <li>The agreed transformational plans and service redesigns are not implemented in full and in line with the original implementation plan and/or do not secure the intended improvement outcomes in both performance standards and financial efficiency targets.</li> <li>Future savings targets will continue to be challenging and are likely to impact on essential core services.</li> <li>The IJB Financial Plan cannot be adhered to and budget recovery plans fail to achieve financial balance for both partners.</li> <li>The impact of the pandemic on the financial sustainability of external providers in particular social care providers.</li> <li>The financial implications of the impact of the pandemic on the workforce e.g. increase in sickness absence, early retirement requests and recruitment challenges.</li> <li>Additional Scottish Government funding to address Covid-19 costs and to progress the Remobilisation and Recovery Plan in 2021/2022 is not sufficient.</li> </ol> <p>The above factors would lead to a failure to achieve the desired strategic aims and would also impact on service delivery.</p>	HIGH	<ol style="list-style-type: none"> <li>IJB PFA Committee.</li> <li>IJB Chief Officer is a member of each partner's key decision-making forums.</li> <li>Effective joint working between Chief Financial Officer and both Council and NHS Finance Departments.</li> <li>Annual budget setting processes within each of the partners.</li> <li>Regular budget meetings with Chief Executives and Directors of Finance.</li> <li>Regular HSCP budget monitoring meetings across Senior Leadership Team.</li> <li>The IJB Financial Plan 2021/2022 has been agreed and is being reviewed regularly.</li> <li>The development of the IJB Reserves Strategy 2021/2022 which is regularly monitored throughout the year.</li> <li>The review and update of the IJB Medium to Long Term Financial Plan.</li> <li>The development of Budget Recovery Plans to address significant financial variances which emerge in-year if required.</li> <li>Capacity plans to maximise efficiency.</li> <li>IJB Integration Scheme setting out the budget recovery processes.</li> <li>IJB Financial Regulations and financial procedures.</li> <li>Consultation and involvement with key stakeholders including service users and carers.</li> <li>Prescribing Quality and Efficiency Programme, SWEG, ARG and Home Support monitoring groups are in place.</li> <li>Joint Strategic Needs Assessment and ongoing move towards preventative and anticipatory approaches.</li> <li>Strategic Planning Group, Locality engagement sessions and Partnership Boards.</li> <li>Effective and ongoing service user engagement, staff consultation and Trade Union liaison at strategic and local levels.</li> <li>Financial sustainability payment arrangements in place to 30 June 2021 to support external social care providers.</li> <li>Remobilisation Plan developed and regularly updated which includes the Response, Recovery and Redesign Plans in place across the IJB and both partners for 2021/2022.</li> <li>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 Remobilisation and Recovery Plan in 2021/2022.</li> <li>Consultation with the Scottish Government in respect of the IJB Reserves Strategy 2021/2022 and the anticipated additional costs in 2021/2022 will be progressed by the IJB Chief Financial Officer.</li> </ol>	HIGH	MEDIUM	Marie Moy	Marie Moy	SLT, IJB PFA, IJB	15/05/2021		Previously IJB2, IJB7, IJB10 and IJB12.  Reviewed and updated on 15 May 21.
IJB02.21	Financial Reputational	01/04/2021	<p><b>Ineffective Governance Arrangements</b> 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>	LOW	<ol style="list-style-type: none"> <li>Fraud awareness e-learning.</li> <li>National Fraud initiative.</li> <li>Locality/SW Enablement Groups.</li> <li>Segregation of duties in relation to authorising and processing direct payments.</li> <li>Raise fraud awareness through team briefings.</li> <li>Whistle blowing policies.</li> <li>Procurement and Standing Financial Instructions presentations at Extended SLT.</li> <li>Procurement processes and standing orders.</li> <li>Oversight via NLC Audit and Scrutiny Panel and NHSL Audit Committee.</li> <li>Effective governance arrangements are in place and subject to internal and external audit review.</li> <li>IJB and IJB PFA meetings established ensuring effective oversight of financial performance.</li> </ol>	LOW	LOW	Ross McGuffie	Marie Moy	SLT, IJB PFA, IJB	15/05/2021		Previously IJB6.  Reviewed and updated on 15 May 21.
IJB03.21	Financial Strategic	01/04/2021	<p><b>Impact of EU Withdrawal</b> 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 an adverse impact on both operational service delivery and the achievement of financial balance.</p>	Medium	<ol style="list-style-type: none"> <li>HSCP fully participates in the NLC and NHSL resilience arrangements.</li> <li>HSCP workshops undertaken.</li> <li>'Silver command' group formed for HSCP.</li> <li>Business Continuity Plans revisited and updated for all services and sites.</li> </ol>	Medium	LOW	Ross McGuffie	Marie Moy	SLT, IJB PFA, IJB	15/05/2021		Previously IJB20.  Reviewed and updated on 15 May 21.
IJB04.21	Financial Strategic	01/04/2021	<p><b>Notional Set-Aside Budget</b> There is a risk that resources will not be transferred from Acute Services to the HSCP in line with the shift in the balance of care from residential and acute settings to community based alternatives as expected in terms of the notional set-aside concept. This includes the ongoing development of locality pathways to support maintaining people at home e.g. transitional care models.</p>	VERY HIGH	<ol style="list-style-type: none"> <li>The Chief Officer and the Chief Financial Officer continue to raise this concern at a national level.</li> <li>There is complete transparency and ongoing dialogue between the IJB and the Health Board on the challenges associated with the implementation of the notional set-aside concept.</li> <li>Bed modelling and capacity planning arrangements are in place.</li> <li>Effective working relationships between both partners and the IJB have been established.</li> <li>Since the inception of the IJB, an agreement is in place whereby the NHSL Health Board will manage the overspend or underspend across the notional set-aside budget. This arrangement continues to be in place for 2021/2022.</li> </ol>	HIGH	MEDIUM	Ross McGuffie	Marie Moy	SLT, IJB PFA, IJB	15/05/2021		Reviewed and updated on 15 May 21.
IJB05.21	Financial Strategic	01/04/2021	<p><b>Hosted Services</b> There is a risk of dispute between the North Lanarkshire IJB and the South Lanarkshire IJB in respect of the financial allocations underpinning the Hosted 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 achieve its commissioning intentions and may also have an adverse impact on service users across Lanarkshire.</p>	VERY HIGH	<ol style="list-style-type: none"> <li>North and South IJBs aim to co-operate to ensure a pan-Lanarkshire approach is achieved across all hosted services.</li> <li>Financial and budgetary controls.</li> <li>Performance reports on service delivery.</li> <li>The Hosted Services principles in respect of the management of the overspends and underspends are agreed for each financial year.</li> </ol>	MEDIUM	MEDIUM	Ross McGuffie	Marie Moy	SLT, IJB PFA, IJB	15/05/2021		Reviewed and updated on 15 May 21.
IJB06.21	Financial Operational	01/04/2021	<p><b>Prescribing Activity and Costs</b> Prescribing costs may escalate due to increases in prescribing activity and increasing price volatility, new drugs becoming available, the response to the Covid-19 pandemic and the impact of EU withdrawal.</p>	Medium	<ol style="list-style-type: none"> <li>Prescribing Quality and Efficiency Programme.</li> <li>Maintaining Prescribing Management Board functions and membership.</li> <li>Deputy Lead Pharmacist supporting HSCP Senior Leadership Team.</li> <li>Locality Prescribing Action Groups.</li> <li>Continuation of Scriptswitch.</li> <li>Locality Pharmacist input.</li> <li>Earmarked reserve established to address prescribing costs.</li> </ol>	Medium	LOW	Ross McGuffie	Marie Moy	SLT, IJB PFA, IJB	15/05/2021		Previously IJB11.  Reviewed and updated on 15 May 21.

North Integrated Joint Board Risk Register (Accurate as 31.5.21)

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
IJB07.21	Financial Strategic	01/04/2021	<b>Third and Voluntary Sector</b> 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 security. This uncertainty has the potential to lead to service instability, recruitment and retention challenges and an increasing reliance on statutory services.	HIGH	<ol style="list-style-type: none"> <li>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.</li> <li>Third Sector Interface represented on key strategic groups.</li> <li>Community capacity building and carer support infrastructure embedded across North Lanarkshire.</li> <li>Community capacity building is regularly reviewed.</li> <li>Maximising funding opportunities for the third and voluntary sector will continue to be progressed.</li> </ol>	LOW	LOW	Ross McGuffie	Marie Moy	SLT, IJB PFA, IJB	15/05/2021		Previously IJB16.  Reviewed and updated on 15 May 21.
IJB08.21	Financial Strategic	01/04/2021	<b>Financial Implications of Responding to and Recovering from the Covid-19 Pandemic</b> There are 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 2020/2021 to meet the additional costs of the Covid-19 pandemic. Further funding for 2021/2022 is being discussed to meet the additional costs of responding to and recovering from the Covid-19 pandemic however the total amount for 2021/2022 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 2020/2021 underspend has been allocated to address 2021/2022 Covid-19 costs and to implement the recovery and redesign plan. Insufficient 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 Savings Plans 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.	VERY HIGH	<ol style="list-style-type: none"> <li>Governance arrangements are in place in respect of the approval and monitoring of additional Covid-19 costs and the recovery and redesign plans.</li> <li>All costs associated with responding to the Covid-19 pandemic are being tracked and reported to the Scottish Government through the completion of the Remobilisation Plan Financial Returns.</li> <li>A financial tracker on Covid-19 related expenditure (as part of the Local Remobilisation Plan) is updated on a 4 weekly basis. Regular updates are submitted to the Scottish Government.</li> <li>The IJB Reserves Strategy 2021/2022 will be discussed with the Scottish Government officers.</li> <li>Delivery of savings will continue to be tracked and monitored.</li> <li>The financial position is being monitored on an ongoing basis by SLT, IJB PFA and IJB.</li> <li>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 mobilisation and remobilisation plans and the associated costs.</li> </ol>	VERY HIGH	MEDIUM	Ross McGuffie	Marie Moy	SLT, IJB PFA, IJB	15/05/2021		Reviewed and updated on 15 May 21.
IJB09.21	Financial Strategic	01/04/2021	<b>Impact on the Strategic Plan Due to the Covid-19 Pandemic</b> <ol style="list-style-type: none"> <li>Social Care providers continue to be significantly impacted by the Covid-19 pandemic. There are risks associated with the ongoing financial stability of providers during the Covid-19 pandemic and some external providers may be unable to continue operating without ongoing financial and operational support. If providers are unable to safely staff services, there could be a risk of harm to service users and failure of the provider.</li> <li>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. Premises may not be suitable to deliver services in these circumstances.</li> <li>Increased reporting requirements to provide data to regulatory bodies are stretching limited resources.</li> <li>Sufficient emergency/additional services to continue to respond to the Covid-19 pandemic may not be available. Hospital admissions may not be avoided and discharges from hospital may be delayed. General Medical Services may not be sustainable. There are whole system capacity constraints across primary care services impacting on Acute Services.</li> <li>Discharges from hospital may impact on care at home, residential care, nursing care and respite provision.</li> <li>There is an increase in demand for a range of health and social care services as a result of the Covid-19 pandemic. There is insufficient workforce capacity and there is a risk the Working Time Directive may be breached. There is insufficient equipment for key areas e.g. ventilators, pumps, etc. Personal Protective Equipment and supplies may be limited. The required service specification and standard may not be procured. There may be insufficient mobile IT devices.</li> <li>There may be constraints in respect of the supply of vaccinations.</li> <li>There are significant risks associated with the mutation of the Covid-19 virus and the new variants.</li> <li>There is an adverse impact on the progress of transformation service redesign opportunities including implementing agreed efficiency savings.</li> <li>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.</li> <li>There may be a lack of HSCP management capacity and resilience to co-ordinate the response to the pandemic. This may lead to an adverse impact on service delivery and financial overspends.</li> </ol>	VERY HIGH	<ol style="list-style-type: none"> <li>Scottish Government and COSLA guidance is being complied with.</li> <li>In addition to existing SLT and Core Leadership arrangements, the HSCP has increased the frequency of key meetings including regular huddles during the peak periods of the pandemic.</li> <li>Emergency Command and Control structures have been established by each partner. Infection Prevention Control and Social Distancing requirements are being complied with.</li> <li>NHS National Services Scotland are supporting primary care and social care services. PPE is available in line with Health Protection Scotland guidance.</li> <li>Chief Medical Officer guidance as adopted by the four nations has been published, put into effect and endorsed by the Scottish Government/COSLA. Updates are also adopted.</li> <li>Scottish Government are focusing on the care home sector to support continuity of service delivery. A national protocol to support discharge of Covid-19 patients is in place. Care home liaison nurses are in place.</li> <li>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 NLC websites</li> <li>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.</li> <li>IJB and partner business continuity plans are being regularly reviewed.</li> <li>Arrangements are in place across the partnership to review service user and carer prioritisation in terms of accessing service and support. Resources are targeted to those with critical or substantial needs.</li> <li>Arrangements are in place to support carers in their caring role, working in partnership with voluntary organisations to provide early intervention and preventative supports.</li> <li>The HSCP is actively engaging with the third and independent sector in relation to service opportunities to meet the low/moderate needs of service users/patients and their associated costs.</li> <li>Reliance to date is being placed on the Social Care Sustainability Payments by External Social Care Providers. The HSCP is liaising with providers to ensure there is early identification of problems and early intervention if necessary.</li> <li>The Response, Recovery and Redesign Remobilisation Plan has been developed and is regularly updated. Response, Recovery and Redesign Plans are in place across the IJB and both partners.</li> <li>Additional funding is being sought from the Scottish Government.</li> <li>Safe systems of working have been adopted. Regular cleaning regime is in place across all premises. All workplace appropriate social distance signage is in place.</li> <li>Risk registers are in place for the IJB and each partner. Each partner has a specific HSCP Covid-19 Risk Register in place.</li> <li>The vaccination programme is continuing to be rolled out.</li> <li>The Scottish Government is taking appropriate action to mitigate the impact of the variants of the Covid-19 virus as far as possible.</li> </ol>	HIGH	MEDIUM	Ross McGuffie	Marie Moy	SLT, IJB PFA, IJB	15/05/2021		Reviewed and updated on 15 May 21.
IJB.10.21	Financial Strategic	01/04/2021	<b>Ineffective Governance Arrangements Due To the Covid-19 Pandemic</b> <ol style="list-style-type: none"> <li>There is a risk that the intensity of the required response to 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 service delivery. Routine governance processes could be overwhelmed.</li> <li>New or amended Covid-19 legislation and Scottish and UK Government guidance may not be adopted effectively and timeously.</li> <li>There is no / limited public access to IJB and PFA meetings during the period of the pandemic, in line with Public Health advice.</li> <li>Ineffective information governance controls could lead to data breaches and an impact on the General Data Protection Regulations.</li> <li>Communications with employees, patients and service users may be ineffective.</li> <li>There will require to be changes to the working environment including remote working and working from home.</li> <li>There is a reduced ability to protect the wellbeing of employees, patients and service users.</li> <li>There may be adverse media coverage locally, a loss of public confidence and reputational damage.</li> </ol>	MEDIUM	<ol style="list-style-type: none"> <li>National Networks are established which are providing the framework to support a national approach where appropriate.</li> <li>Public Health advice and support is in place.</li> <li>Increased numbers of agile workers and increased number of laptops/tablets.</li> <li>Continued working from home arrangements supported by the roll out of MS Teams / Zooms. Regular updates on the guidance for the use of MS Teams / Zoom Meetings is circulated.</li> <li>Risk registers are in place for the IJB and each partner. Each partner has a specific HSCP Covid-19 Risk Register in place.</li> <li>The IJB and both partners aim to comply with the European Working Time Directive (WTD) and minimise the risk of all staff working beyond 48 hours per week, in particular front-line 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 implement the EU Working Time Directive will continue to apply unless and until amended by UK law.</li> <li>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.</li> </ol>	MEDIUM	LOW	Ross McGuffie	Marie Moy	SLT, IJB PFA, IJB	15/05/2021		Reviewed and updated on 15 May 21.

Appendix 2. : Covid Risks

ID	Title	Open date	Risk level	Mitigating Controls & Actions	Risk Owner
IJB.21	<p><u>Financial Risk</u> There is a risk that COVID-19 will adversely influence H&amp;SC NL's ability to sustain recurring financial balance for 2020/21 with significant impact on planned expenditure.</p>	22.9.20	High	<ol style="list-style-type: none"> <li>1. A process for capturing expenditure implication of Covid-19 against every change is in place aligned to the NHSL mobilisation plan.</li> <li>2. Links established with SG to ensure additional expenditure is highlighted to them for recovery of expenditure. Additional non-Recurring funding received in February 2021.</li> <li>3. The IJB Financial Plan 2021/2022 has been drafted and a review of use of reserve funding is underway.</li> </ol>	M Moy
IJB 22	<p><u>Governance</u> There is a risk that the pace required to effectively manage Covid response could result in a failure of governance impacting on the effectiveness of IJB decision IJB directions to partners, &amp; IJB oversight to operational service delivery.</p>	22.9.20	Medium	<ol style="list-style-type: none"> <li>1. IJB meetings have been continued via conference calls and MS meetings with public accessibility.</li> <li>2. A governance paper was agreed that set out principles for crisis management and agreed delegated responsibility to the Chair, Vice Chair &amp; Chief Officer to call short virtual meetings as required to ensure a flexible and timely response to recovery.</li> </ol>	R McGuffie
IJB 23	<p><u>Delivery of services to Vulnerable people</u> There is a risk that the IJB Strategic Commissioning Plan does not address the impact of Covid on people living in the Scottish Index of Multiple Deprivation (SIMD) Areas or other groups emerging as potentially more vulnerable to the disease.</p>	22.9.20	HIGH	<ol style="list-style-type: none"> <li>1. Individuals identified via shielding process provided with additional support.</li> <li>2. All services asked to review caseload and put in place additional supports for most vulnerable.</li> </ol>	M Dendy

				<ul style="list-style-type: none"> <li>3. Statutory services working closely with third sector to support most vulnerable</li> <li>4. Continue to implement (COVID 19) Recovery Plan in line with national guidance.</li> <li>5. An updated recovery plan is being developed</li> </ul>	
IJB 24	<u>Care Homes</u> Inability of care homes to sustain service due to staffing or Covid outbreaks resulting in closure to new placements may increase delayed discharge numbers putting additional pressure on acute site capacity and impacting on recovery	22.9.20	HIGH	<ul style="list-style-type: none"> <li>1. Public Health teams providing guidance on infection control</li> <li>2. Increased engagement with care homes to provide support if required</li> <li>3. National protocol to support discharge of Covid 19 patients in place.</li> <li>4. Additional quality assurance and care home liaison nurses in place</li> <li>5. Additional care home team in place to provide enhanced testing services.</li> <li>6. Vaccination roll out to residents and staff has had positive impact on number of outbreaks.</li> <li>7. Roll out of proactive lateral flow testing has improved speed of reporting &amp; opportunities to limit spread.</li> </ul>	R McGuffie
IJB 25	<u>Independent Providers</u> Inability of independent providers to provide previous level of care and support due to Covid implications including staffing availability, financial sustainability due to increased costs or loss of income.	22.9.20	HIGH	<ul style="list-style-type: none"> <li>1. Increased engagement with independent providers to offer support if required.</li> <li>2. Review of Business Continuity plans</li> <li>3. Regular review of patients receiving service</li> </ul>	R McGuffie



IJB 25	<u>Delivery of Strategic Commissioning Plan</u> There is a risk that the IJB Strategic Commissioning intentions and Programme of Work will not be achieved within the original timescale	22.9.20	HIGH	<ol style="list-style-type: none"> <li>1. Mobilisation Plan developed and regularly updated.</li> <li>2. Response, Recovery and Redesign Plan in place across the IJB and both partners.</li> <li>3. Arrangements in place across the partnership to review service user and carer prioritisation in terms of accessing service and support. Resources are to be targeted to those with critical or substantial needs.</li> <li>4. Increased numbers of agile workers delivering services in different ways. Safe systems of working adopted.</li> <li>5. A review of the recovery and mobilisation plan has been undertaken</li> </ol>	M Dendy
IJB 26	<u>Achievement of Performance Targets</u> There is a risk that previously agreed targets and trajectories around performance will not be achieved due to Covid and in some cases waiting list numbers have increased during lockdown period where services had been suspended.		HIGH	<ol style="list-style-type: none"> <li>1. Response, Recovery and Redesign Plan in place across the IJB and both partners to reinstate services.</li> <li>2. Recovery plans have highlighted that in some case delivery of services during Covid has fast tracked plans for different ways of working leading to greater efficiency.</li> <li>3. Risks around achievement of specific performance targets are being developed &amp; will be presented to the next meeting of the PF&amp;A in August 2021.</li> </ol>	M Dendy
IJB 27	<u>Demand for Mental Health Services</u> There is a risk that the demand for mental health services will increase following a period of isolation and trauma		HIGH	<ol style="list-style-type: none"> <li>1. National initiative launched to support people e.g. Community Wellbeing Line</li> </ol>	M Dendy

	for people during Covid and the service will be unable to cope with demand.			<ol style="list-style-type: none"><li>2. NHSL support for staff health &amp; wellbeing</li><li>3. NLC enhanced employee support services available</li><li>4. Monitoring of trends in referrals to allow services to adapt to trends</li><li>5. Targeted engagement via third sector to support most vulnerable</li></ol>	
--	---	--	--	---	--

## Appendix 3

### Summary of Significant Material Changes to the IJB Risk Register

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

<b>Closed Risks</b>
There are no closed risks in this reporting period.
<b>New Risks Identified</b>
No new risks have been identified.
<b>Risk Rating Amended</b>
<p>The following risk ratings have been amended;</p> <ol style="list-style-type: none"><li>1. IJB0321 – Impact of EU withdrawal – Risk rating reduced from Very High to Medium</li><li>2. IJB0421 – Notional Set Aside Budget – Risk rating reduced from Very High to Medium</li><li>3. IJB0521 – Hosted Service – Risk rating reduced from High to Medium</li><li>4. IJB0821 – Financial Implication of Responding to Covid 19 – risk rating increased from High to Very High</li></ol>
<b>Planned Updates</b>
<p>Risks associated with the delivery of the Strategic Commissioning Plan and associated Programme of work are being developed.</p> <p>Risks associated with specific performance targets are being developed taking account of impact of Covid during 2020.</p> <p>The Covid Risk register will be reviewed by senior officers and nominated lead officers before the next IJB meeting in September where it is expected that a number of the risks will be closed or further developed into risks within the main Risk Register for 2021/22.</p>