











## Appendix 1: West Lothian Integration Joint Board Risks





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Report Layout: Original and current risks with internal controls

Risk Code and Title	Description	Original Risk Score	Traffic Light Icon
<b>IJB005 Inadequate Funding</b>	Funding is inadequate to meet strategic objectives, or is inadequately apportioned.	25	
<b>IJB008 Workforce Management</b>	Performance inhibited by: funding pressures; IJB resource allocation; inability to recruit and retain key professional staff.	12	
<b>IJB002 Failure of Strategic Plan</b>	Ineffective delivery of strategic plan leading to key objectives not being achieved.	20	

Current Likelihood	Current Impact	Current Risk Score	Traffic Light Icon	Assigned To	Internal Controls
3	4	12		Jim Forrest	S95 Officer Due diligence by S95 Officer Approval of resource allocations by IJB Board Monitoring / reporting of progress / outturn Scrutiny by Audit Committee Financial Regulations / rules for overspends
4	3	12		Jim Forrest	Current NHS and WLC workforce management arrangements. Reporting to, and monitoring by, IJB SMT and Board.
2	5	10		Jim Forrest	National & local outcomes. Clear vision as to what is required Strategic Plan based on national and local policy Review of plan by IJB SMT Approval of plan by IJB Board Contingency plans for provider failure Performance monitoring

Risk Code and Title	Description	Original Risk Score	Traffic Light Icon
<b>IJB001 Governance Failure</b>	Lack of leadership and / or ineffective governance leading to failure to meet key objectives, financial overspends or reputational damage.	15	
<b>IJB009 Demographic Changes</b>	Current service models unable to meet future service demands, e.g. in relation to ageing population.	20	
<b>IJB004 Failure of Clinical and Care Governance</b>	Harm to service users.	25	
<b>IJB006 Failure of Health and Safety Arrangements.</b>	Harm to employees / volunteers	25	

Current Likelihood	Current Impact	Current Risk Score	Traffic Light Icon	Assigned To	Internal Controls
2	5	10		Jim Forrest	Director / S95 Officer Standing Orders / Scheme of Administration Audit Committee / scrutiny Code of Conduct Policies and Procedures – financial, governance, risk Procedures for assessing disputes re resource allocations Governance / legal advice
3	3	9		Jim Forrest	Strategic Plan Programme / service redesign Management of customer expectation
2	4	8		Jim Forrest	Existing clinical and care governance arrangements within NHS and Social Policy. Effective performance reporting to IJB SMT and Board. Care and governance group to be formed.
2	4	8		Jim Forrest	Existing health and safety arrangements on council and health sides Effective performance reporting to IJB SMT and Board

Risk Code and Title	Description	Original Risk Score	Traffic Light Icon
<b>IJB003 Inadequate Performance Management</b>	Inadequate performance management leads to key performance measures not met.	12	
<b>IJB007 Community Planning Failure</b>	Inability to work effectively with partners leading to poorer outcomes.	9	

Key



Low





Medium



Medium High



High

Current Likelihood	Current Impact	Current Risk Score	Traffic Light Icon	Assigned To	Internal Controls
2	3	6		Jim Forrest	Agreed outcomes / performance measures Robust performance management within WLC / NHS Regular monitoring by IJB SMT Regular reporting of performance to IJB
1	3	3		Jim Forrest	Participation in Community Planning arrangements. Strategic Plan.