

Appendix 1 IJB Risks





Report Author: Kenneth Ribbons


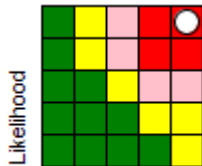
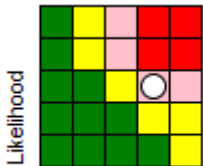
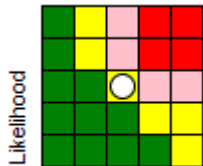

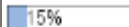




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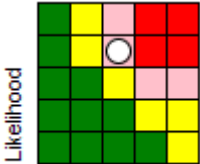
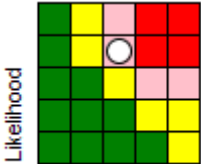
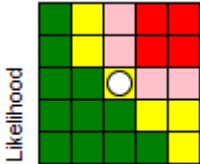


Report Layout: .R09b_Internal Controls, Original Score, Current Score, Target Score with linked Actions(grp=Category)_G


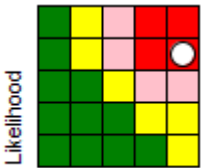
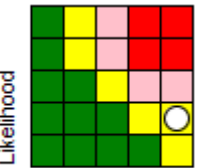
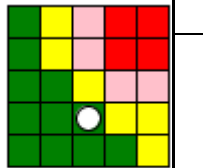


Rows are sorted by Risk Score, Risk Score


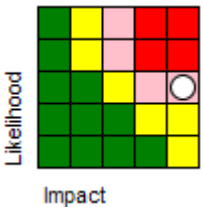
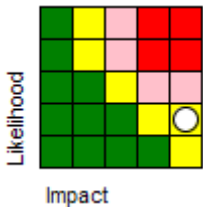
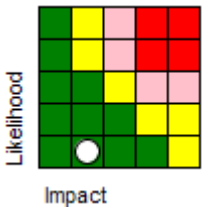







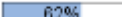
Key to Icons


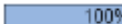




Icon	Score	Meaning
	16-25	High
	12-15	Medium High
	5-10	Medium
	1-5	Low


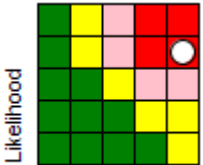
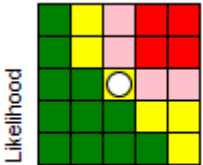
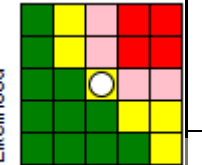

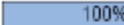
	IJB005 Inadequate Funding					Funding is inadequate to meet strategic objectives, or is inadequately prioritised.					
Current Controls:						S95 Officer Due diligence by S95 Officer Approval of resource allocations by IJB Board Monitoring / reporting of progress / outturn to IJB Board Scrutiny by Audit, Risk and Governance Committee Internal audit and external audit oversight. Financial Regulations WL Integration Scheme – agreed financial and budgetary responsibilities including for overspends against delegated IJB functions					
Risk Score	Original Risk Matrix	Risk Score	Current Risk Matrix	Risk Score	Target Risk Matrix	Linked	Risk Actions	Assigned to:	Due Date	Progress	Action
25	 Likelihood Impact	12	 Likelihood Impact	9	 Likelihood Impact		IJB16015_Ar Medium Term Financial Plan	Patrick Welsh	31-Dec-2017		Preparation of a medium term financial plan covering a minimum three year period to 31/3/21. Report on proposed approach to medium term financial plan will be presented to IJB on 27 June 2017.
							IJB16013_Ari Medium Term Financial Reporting Update	Patrick Welsh	31-Mar-2017		An update report on medium term financial planning will be presented to the Board following the 2017/18 Scottish Government budget announcement expected in late 2016 / early 2017.
							IJB16014_Ari Financial Assurance and Risk Review	Patrick Welsh	31-Mar-2017		Future monitoring reports and future year financial assurance reports will include reference to categorised risk areas noted as relevant.


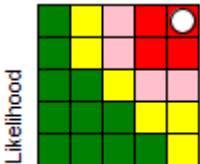
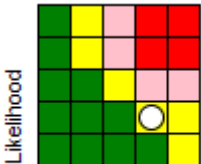
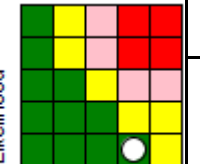

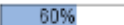


 IJB008 Workforce Management		Failure to develop a sustainable workforce will affect performance and ability to achieve strategic objectives.									
Current Controls:						NHS and WLC workforce plans NHS and WLC recruitment policies Monitoring via review of performance in relation to staff absence, recruitment / turnover Training and development Performance review					
Risk Score	Original Risk Matrix	Risk Score	Current Risk Matrix	Risk Score	Target Risk Matrix	Linked	Risk Actions	Assigned to:	Due Date	Progress	Action
12		12		9			IJB16001_Ar Workforce Plan	Alan Bell	30-Sep-2017	<div><div>30%</div></div>	Finalise and deploy workforce plan.
							IJB16017_Ar Organisational Development Plan	Carol Bebbington	31-Jul-2017	<div><div>50%</div></div>	Finalise and deploy organisational development plan.


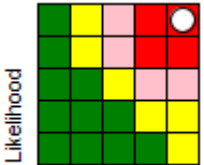
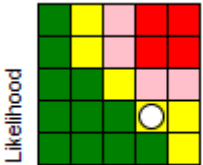
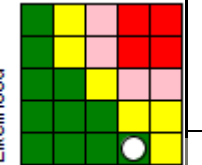

 IJB002 Failure to effectively implement the Strategic Plan		Failure to effectively implement the strategic plan leading to key objectives not being achieved.									
		Current Controls: National outcomes. Local outcomes. Clear vision as to what is required Strategic Plan based on national and local policy Review of plan by IJB SMT Approval of plan by IJB Board									
Risk Score	Original Risk Matrix	Risk Score	Current Risk Matrix	Risk Score	Target Risk Matrix	Linked	Risk Actions	Assigned to:	Due Date	Progress	Action
20		10		6			IJB16005_Ar Delivery of the Annual Report	Carol Bebbington	31-Jul-2017	<div><div>50%</div></div>	Delivery of the 2016/17 Annual Report to the IJB.
							IJB16004_Ari Presentation of Strategic Plan Action Plan to the IJB	Carol Bebbington	31-Mar-2017	<div><div>100%</div></div>	The action plan will be presented to the Board by 31 March 2017.


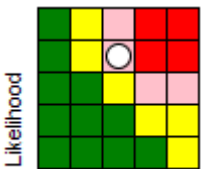
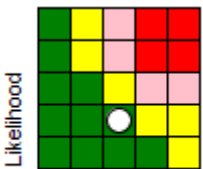
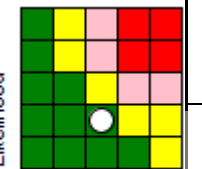


 IJB001 Governance Failure		Lack of leadership and / or ineffective governance leading to failure to meet key objectives, financial overspends or reputational damage.									
		Current Controls: Director / S95 Officer Standing Orders / Scheme of Administration Audit Committee / scrutiny Code of Conduct Policies and Procedures – financial, governance, risk Procedures for assessing disputes re resource allocations Governance / legal advice									
Risk Score	Original Risk Matrix	Risk Score	Current Risk Matrix	Risk Score	Target Risk Matrix	Linked	Risk Actions	Assigned to:	Due Date	Progress	Action
15		10		2			IJB16007_Ari IJB Audit, Risk and Governance Committee Membership	Jim Forrest	31-Mar-2017		There is scope to consider ways in which non-voting “advisers” or “associate members” may be involved in the Audit, Risk and Governance Committee in some capacity.
							IJB16009_Ari Independent audit of IJB risk management	Kenneth Ribbons	31-Mar-2018		With the permission of the IJB Audit Risk and Governance Committee, the Falkirk internal audit team will be invited to provide independent assurance as to the IJB’s risk management activities.
							IJB16010_Ari SLA's for IJB Audit, Risk and Governance Services	Jim Forrest	31-Mar-2017		SLA's will be put in place by 31 March 2017.
							IJB16011_Ari Progress in IJB Governance Arrangements	Jim Forrest	30-Sep-2017		The requirements of the integration scheme are scheduled to be completed by the 31 March 2017, with the exception of the full implementation of


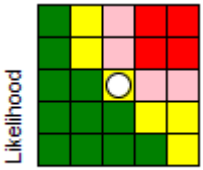
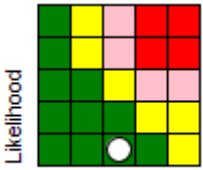
							Community Planning participation which is scheduled for completion by 30 June 2017 and the preparation of a Code of Corporate Governance which is scheduled for completion by 30 September 2017.	
				IJB15001_Ari Governance and Key Actions	Jim Forrest	29-Feb-2016	 100%	A report was submitted to the IJB meeting of 8/12/15 agreeing the establishment of an Appointments Committee to deal with the appointments of the Director (Chief Officer), Finance Officer, Internal Audit Officer and Standards Officer.
				IJB16002_Ar Review of outstanding actions re IJB integration scheme	Alan Bell	31-Dec-2016	 100%	Report on outstanding actions and monitoring of progress.
				IJB16008_Ari IJB Risk Management Strategy and Policy	Kenneth Ribbons	14-Mar-2017	 100%	The Risk Management Strategy and Policy will be finalised and reported to the IJB meeting on 14 March 2017.

 IJB009 Demographic Changes		Current service models unable to meet future service demands, due to the rapid increase in the ageing population and corresponding increase demand for health and social care services.									
		Current Controls: Strategic Plan Older People Commissioning Plan Frailty Programme Management of customer expectation via participation and engagement plan									
Risk Score	Original Risk Matrix	Risk Score	Current Risk Matrix	Risk Score	Target Risk Matrix	Linked	Risk Actions	Assigned to:	Due Date	Progress	Action
20		9		9			IJB16006_Ar IJB Commissioning Plans	Carol Bebbington	31-Mar-2016		Approval and implementation of commissioning plans.

 IJB004 Failure of Clinical and Care Governance		Resulting in harm to service users, harm to reputation, or service failure.									
		Current Controls: 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.									
Risk Score	Original Risk Matrix	Risk Score	Current Risk Matrix	Risk Score	Target Risk Matrix	Linked	Risk Actions	Assigned to:	Due Date	Progress	Action
25		8		4			IJB16003_Ar Health and Care Governance Group	Carol Bebbington	31-Dec-2016		Health and Care Governance Group operational.
							IJB16012_Ari Clinical Director Annual Report	Jim Forrest	30-Jun-2017		The Clinical Director will prepare a report covering clinical governance for 2016/17 and this will be presented to the Board by 30 June 2017.

 IJB006 Failure of Health and Safety Arrangements.		Harm to employees, volunteers or contractors.									
Current Controls:						Existing health and safety arrangements on council and health sides Effective performance reporting to IJB SMT Integrated health and safety committee meets quarterly.					
Risk Score	Original Risk Matrix	Risk Score	Current Risk Matrix	Risk Score	Target Risk Matrix	Linked	Risk Actions	Assigned to:	Due Date	Progress	Action
25		8		4			IJB16016_Ar Health and Safety reporting to IJB	Jim Forrest	30-Sep-2017	<input type="text" value="0%"/>	Implementation of appropriate health and safety reporting arrangements to the IJB

 IJB003 Inadequate Performance Management		Inadequate performance management leads to key performance measures not met.									
Current Controls:						Agreed outcomes / performance measures Robust performance management within WLC / NHS Regular monitoring by IJB SMT Regular reporting of performance to IJB					
Risk Score	Original Risk Matrix	Risk Score	Current Risk Matrix	Risk Score	Target Risk Matrix	Linked	Risk Actions	Assigned to:	Due Date	Progress	Action
12		6		6			IJB16005_Ar Delivery of the Annual Report	Carol Bebbington	31-Jul-2017		Delivery of the 2016/17 Annual Report to the IJB.

 IJB007 Community Planning Failure		Inability to work effectively with partners leading to poorer outcomes.									
Current Controls:						Participation in Community Planning arrangements. Strategic Plan.					
Risk Score	Original Risk Matrix	Risk Score	Current Risk Matrix	Risk Score	Target Risk Matrix	Linked	Risk Actions	Assigned to:	Due Date	Progress	Action
9		3		3	