

West Lothian Integration Joint Board Audit, Risk and Governance Committee

Date: 4 March 2020

Agenda Item: 5

RISK MANAGEMENT

REPORT BY CHIEF OFFICER

A PURPOSE OF REPORT

- A1** To advise the Audit, Risk and Governance Committee of the IJB's risk register.

B RECOMMENDATION

- B1** It is recommended that the Audit, Risk and Governance Committee considers the risks identified, the control measures in place, and the risk actions in progress to mitigate their impact.

C SUMMARY OF IMPLICATIONS

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| C1 | Directions to NHS Lothian and/or West Lothian Council | A direction is not required. |
| C2 | Resource/ Finance | None. |
| C3 | Policy/Legal | The IJB's Policy is to effectively mitigate risks to the achievement of its objectives by implementing robust risk management strategies, policies and procedures, which enable managers to effectively identify, assess, and mitigate risk. |
| C4 | Risk | Directly relevant. This report sets out the IJB's high risks. |
| C5 | Equality/Health | The report has been assessed as having little or no relevance with regard to equality or the Public Sector Equality Duty. As a result, an equality impact assessment has not been conducted. |
| C6 | Environment and Sustainability | None. |

C7	National Health and Wellbeing Outcomes	Effective risk management is a pre-requisite for effective performance
C8	Strategic Plan Outcomes	Effective risk management is a pre-requisite for effective performance
C9	Single Outcome Agreement	Effective risk management is a pre-requisite for effective performance
C10	Impact on other Lothian IJBs	None.

D TERMS OF REPORT

D1 In accordance with the Risk Management Strategy approved by the IJB on 26 June 2018, the Audit, Risk and Governance Committee is required to review the risk register at least twice per annum.

D2 The IJB previously had ten risks. Following a review of the risks undertaken in conjunction with the IJB Risk Manager, two risks have been removed from the risk register, in relation to clinical care / governance and health and safety. These are considered to be operational risks to be managed by NHS Lothian and West Lothian Council and as such should be reflected in their risk registers.

D3 The IJB therefore now has eight risks which are set out in appendix one. The risks have been renumbered to ensure sequential numbering. The four highest risks are:

- IJB008 “Delayed Discharge” score 16;
- IJB004 “Inadequate Funding to Deliver Strategic Plan” score 12;
- IJB007 “Sustainability of Primary Care” score 12;
- IJB006 “Workforce Planning” score 12.

D4 In relation to appendix one:

- The traffic light icon represents the risk ranking based on the score; these are explained further in the table at the start of Appendix 1;
- There is a code, title and description for each risk;
- The original risk score represents the uncontrolled risk, that is to say the risk without controls in place, and provides an appreciation of the potential impact if controls are absent or fail;

- The current risk score represents the current risk, i.e. assuming that current controls are in place and effective;
- The internal controls are those processes in place to reduce the risk from original risk score to current risk score;
- The risk actions are those measures which are intended to further reduce the current risk. The report only includes those which are in progress.

D5 Appendix two sets out in more detail the risk actions which are not yet complete.

D6 The standard risk assessment methodology is attached as Appendix 3.

E CONSULTATION

E1 IJB Senior Management Team.

F REFERENCES/BACKGROUND

F1 None.

G APPENDICES

G1 1.IJB High Risks

G2 2. Outstanding Risk Actions

G3 3. Risk Assessment Methodology

H CONTACT

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