





Appendix 1 IJB Risks

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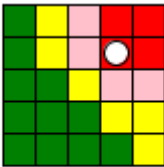
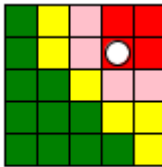
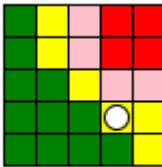

Report Layout: .R09d_Internal Controls, Original Score, Current Score, Target Score with linked actions
(outstanding only)






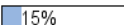
Key to Risk Scores


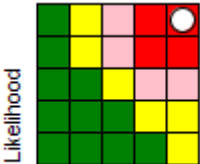
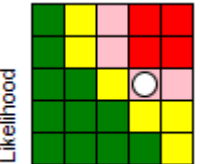
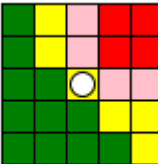

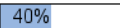
Icon	Score	Meaning
	16-25	High
	12-15	Medium High
	5-10	Medium
	1-6	Low


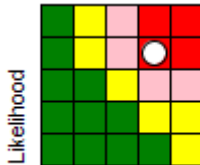
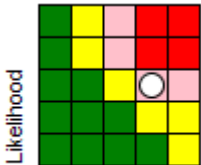
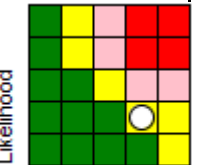

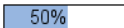
Key to Action Status


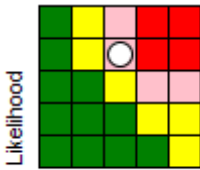
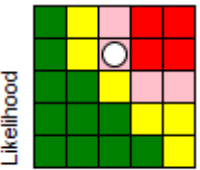
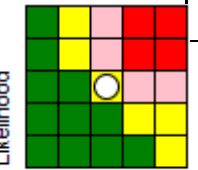
Icon	Status
	Overdue
	Approaching Due Date
	In progress


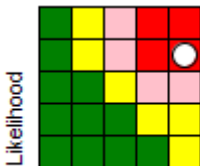
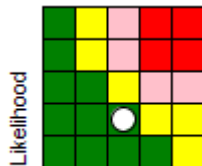
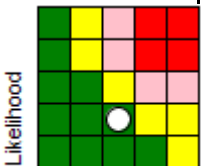



	IJB008 Delayed Discharge					There is a risk that patients are not being discharged in a timely manner resulting in suboptimal patient flow, impacting on poor patient and staff experience and poorer outcomes of care.					
Internal Controls:						Community health and social care teams working with discharge hub to facilitate timely discharge; daily MDT meetings Frail Elderly Programme to take forward key actions designed to improve performance Care at Home contract in respect of adequate supply and responsiveness of provision. National Care Home Contract in respect of adequate supply of provision Contract monitoring procedure Regular reports to Contracts Advisory Group Regular meetings with providers and Scottish Care Escalation of high cost packages to Depute CEO and Head of Finance Review of contract rates Joint Commissioning Plans Close partnership working with St John's hospital and other NHS Lothian colleagues. Strategic Commissioning Plan for Older People. Quarterly performance reports to Community Care Management Group Monthly performance reports to SMT Performance reports to IJB Single point of access for acute care Changes in eligibility criteria for social care Integrated discharge hub now operational					
Risk Score	Original Risk Matrix	Risk Score	Current Risk Matrix	Risk Score	Target Risk Matrix	Linked	Risk Actions	Original Due Date	Due Date	Progress	Description
16	<div><div>Likelihood</div><div></div><div>Impact</div></div>	16	<div><div>Likelihood</div><div></div><div>Impact</div></div>	8	<div><div>Likelihood</div><div></div><div>Impact</div></div>		IJB18014_Ar Intermediate Care	31-Dec-2020	31-Dec-2020	<div><div></div>25%</div>	Review intermediate care provision and determine future requirements to establish the type and capacity of intermediate care to be commissioned to meet the population needs.


				IJB19007_Ar Care Home Placements	31-Oct-2020	31-Oct-2020		Review policies on Choice and Moving On to improve effectiveness and manage expectations. Review assessment times and facilitate discharges in timeous manner.
				IJB19008_Ar Adults with Incapacity	31-Oct-2020	31-Oct-2020		Whilst fewer in number the length of delay can be significant for those requiring guardianship. Review the policy and procedures for Adults with Incapacity to ensure effective decision making supporting use of least restrictive options and coordinate guardianship process where required
				IJB19009_Ar Systems and Processes	31-Oct-2020	31-Oct-2020		Review systems and processes in relation to coordination of discharges and information flows to support effective case management and optimise options for discharge. Develop and implement improvement plan


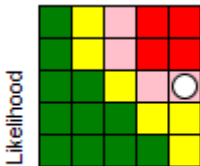
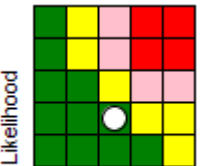
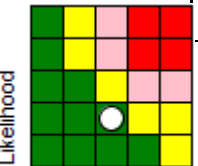
	IJB004 Inadequate Funding to Deliver Strategic Plan	Funding is inadequate, or is not effectively prioritised, including through the development of financial recovery plans, leading to failure to achieve a sustainable budget position and meet strategic objectives.									
Internal Controls:			Chief Finance Officer (S95 officer) Due diligence by S95 officer on contributions each year Approval of resource allocations by IJB Monitoring / reporting of progress / outturn to IJB Financial reports to IJB include key risks and uncertainties 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 Ongoing development of medium term financial plan 2019/20 to 2022/23 submitted to the IJB on 23/4/19 Reserves policy								
Risk Score	Original Risk Matrix	Risk Score	Current Risk Matrix	Risk Score	Target Risk Matrix	Linked	Risk Actions	Original Due Date	Due Date	Progress	Description
25		12		9			IJB19002_Ar Development of Updated Medium Term Financial Plan	30-Jun-2020	30-Jun-2020		Assessment of 2020 Scottish Budget and work collaboratively with LG and NHS partners to develop updated IJB medium term financial plan.


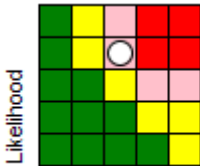
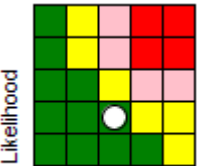
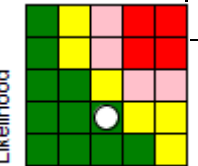
	IJB007 Sustainability of Primary Care					There is a risk that GP service provision will be disrupted, restricted or unavailable because of increasing capacity and demand issues as a result of population growth and/or GP practices experiencing difficulties in recruitment, retention or absence of medical staffing leading to significant capacity issues and inadequate and insufficient service provision.					
Internal Controls:						Risk register at HSCP level of all practices identifying vulnerability rating Programme of support measures developed and available to be tailored to each practices individual circumstances to increase their resilience and maintain service provision Additional investment to support practices through LEGUP, primary care investment fund Buddy practice arrangements in place across all practices; Cluster working arrangements established Primary Care Implementation and Improvement Plan prepared and submitted to the IJB on 26/6/18.					
Risk Score	Original Risk Matrix	Risk Score	Current Risk Matrix	Risk Score	Target Risk Matrix	Linked	Risk Actions	Original Due Date	Due Date	Progress	Description
16		12		8			IJB18011_Ar Implementation of Primary Care Improvement Plan 2018-2021	30-Sep-2021	30-Sep-2021		Phased investment and improvement plan to support implementation of the new 2018 GMS contract with focus on development of new roles and professionals within the wider Primary Health Care Team, transfer of vaccination services and development of community treatment and care centres, development of mental well-being hubs, use of technology and support of leadership development of GP and practice teams.


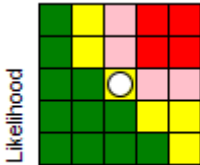
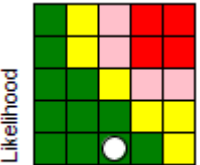
	IJB006 Workforce Planning					Lack of effective workforce planning leading to a failure to develop a sustainable workforce which has an adverse impact on performance and the ability of the IJB to achieve its strategic objectives.					
Internal Controls:						NHS and WLC workforce plans NHS and WLC recruitment policies Monitoring via review of performance in relation to staff absence, recruitment / turnover Training and development Performance review Strategic workforce planning framework approved by the IJB on 21 November 2018. Workforce planning group					
Risk Score	Original Risk Matrix	Risk Score	Current Risk Matrix	Risk Score	Target Risk Matrix	Linked	Risk Actions	Original Due Date	Due Date	Progress	Description
12		12		9							

	IJB002 Failure to effectively implement the Strategic Plan					The Strategic Plan sets out how the IJB intends to deliver the nine national health and well being outcomes through our strategic priorities and transformational change programmes. Failure to effectively develop and implement strategic commissioning plans for specific care groups within medium term financial planning framework may lead to key objectives not being achieved.					
Internal Controls:						National outcomes Local outcomes Extensive consultation on the strategic plan Strategic plan based on national and local policy Review of the strategic plan by IJB SMT Revised strategic plan approved by the IJB on 23/4/19 Associated strategic directions Revised strategic planning structure Strategic Planning group Health Care Governance group					
Risk Score	Original Risk Matrix	Risk Score	Current Risk Matrix	Risk Score	Target Risk Matrix	Linked	Risk Actions	Original Due Date	Due Date	Progress	Description
20		6		6			IJB19010_Ar Strategic Commissioning Plan Mental Health	31-Mar-2023	31-Mar-2023	<div><div>5%</div></div>	Ensure implementation of 3 year Strategic Commissioning Plans for Mental Health as approved by IJB on 21 January 2020
							IJB19011_Ar Strategic Commissioning Plan Older People	31-Mar-2023	31-Mar-2023	<div><div>5%</div></div>	Further develop and implement the Strategic Commissioning Plan for Older People as approved by IJB on 21 January 2020
							IJB19012_Ar Strategic Commissioning Plan Physical Disability	31-Mar-2023	31-Mar-2023	<div><div>5%</div></div>	Implement Strategic Commissioning Plan for Physical Disability as approved by IJB on 21 January 2020

				IJB19013_Ar Strategic Commissioning Plan Learning Disability	31-Mar- 2023	31-Mar-2023	<input type="text" value="5%"/>	Develop and implement Strategic Commissioning Plan for Learning Disability as approved by IJB on 21 January 2020
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	IJB001 Governance Failure					Appropriate internal processes and procedures are either not in place or are ineffective, leading to a lack of leadership, accountability or scrutiny, resulting in a failure to meet key objectives, financial overspends or reputational damage.					
Internal Controls:						Chief Officer Chief Finance Officer (S95 officer) Standing orders Scheme of administration Standards Officer Local code of corporate governance Code of conduct Audit, Risk and Governance Committee Internal auditor and annual audit plan Procedures for assessing disputes re resource allocations Risk management policy and strategy Annual risk management report by IJB risk manager Development sessions / training for IJB members					
Risk Score	Original Risk Matrix	Risk Score	Current Risk Matrix	Risk Score	Target Risk Matrix	Linked	Risk Actions	Original Due Date	Due Date	Progress	Description
15		6		6							

	IJB003 Inadequate Performance Management					Processes for the review and scrutiny of health and council performance are either not in place or are ineffective, leading to less than robust scrutiny arrangements, and resulting in failure to identify, challenge, or rectify poor performance. Ultimately will have an adverse impact on ability to achieve key objectives.					
Internal Controls:						Agreed outcomes / performance measures Robust performance management within WLC / NHS Regular monitoring by IJB SMT Regular reporting of performance to IJB including local indicators and balanced scorecard Annual performance report					
Risk Score	Original Risk Matrix	Risk Score	Current Risk Matrix	Risk Score	Target Risk Matrix	Linked	Risk Actions	Original Due Date	Due Date	Progress	Description
12		6		6							

	IJB005 Community Planning Failure					Inability to work effectively with partners leading to poorer outcomes. Community Planning officers from the council are represented on the Locality Groups to ensure a partnership approach to working and prevent duplication of effort where possible.					
Internal Controls:						Participation in Community Planning arrangements - Chief Officer is a member of the CPP Board. Strategic Plan. Community Planning officers from the council are represented on the Locality Groups to ensure a partnership approach to working and prevent duplication of effort where possible.					
Risk Score	Original Risk Matrix	Risk Score	Current Risk Matrix	Risk Score	Target Risk Matrix	Linked	Risk Actions	Original Due Date	Due Date	Progress	Description
9		3		3	