

West Lothian Integration Joint Board Audit, Risk and Governance Committee

Date: 9 September 2020

Agenda Item: 6

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

- | | | |
|-----------|--|--|
| 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 has eight risks which are set out in appendix one. There are two high risks which are:

- IJB004 “Inadequate Funding to Deliver Strategic Plan” score 16;
- IJB006 “Workforce Planning” score 12.

D3 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.

D4 Appendix two sets out in more detail the risk actions which are not yet complete.

D5 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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9 September 2020

Appendix 1 IJB Risks

Data Label : OFFICIAL





Report Author: Kenneth Ribbons

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Report Layout: .. KR06 (previously R09d)_Internal Controls, Original Score, Current Score, Target Score with linked actions (outstanding only)


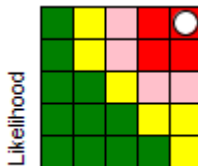
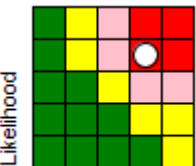
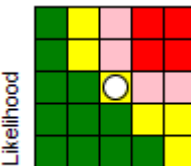


Rows are sorted by Risk Score


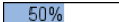

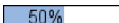
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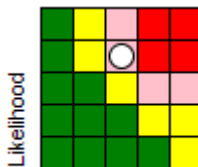
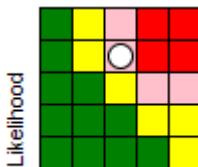
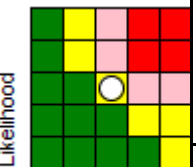

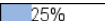

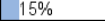
Icon	Score	Meaning
	16-25	High
	12-15	Medium High
	5-10	Medium
	1-6	Low


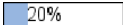

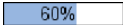
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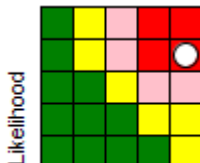
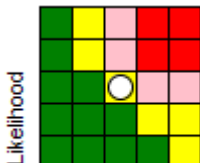
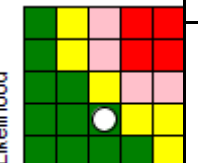

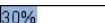

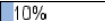

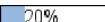
Icon	Status
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	Cancelled
	Approaching Due Date
	In progress
	Complete


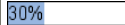

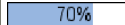
	IJB004 Inadequate Funding to Deliver Strategic Plan					Funding is inadequate, or is not effectively prioritised, including through the development of financial recovery plans, leading to failure to achieve a sustainable budget position and meet strategic objectives.					
Internal Controls:						Chief 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	 Likelihood Impact	16	 Likelihood Impact	9	 Likelihood Impact		IJB19021_Are MTFP savings gap	31-Mar-2020	21-Apr-2021		Further development of IJB Medium Term Financial Strategy and savings proposals will be undertaken during 2020/21. This will involve close partnership working with partner bodies and finance and will take account of Covid-19 impacts. As well as existing arrangements in place, this will be supported through joint Lothian Finance Group established comprising of NHS Lothian Director of Finance, Lothian Local Authority Section 95 officers and Lothian IJB


							Chief Finance Officers. A key area being progressed by the group is developing a more joined up approach to financial planning. EY annual audit report action plan item 2 refers.	
				IJB19002_Ar Development of Updated Medium Term Financial Plan	30-Jun-2020	20-Apr-2021	 50%	Assessment of 2021 Scottish Budget and work collaboratively with LG and NHS partners to develop updated IJB medium term financial plan taking account of Covid-19 and other key issues impacting on the wider economy and public sector.
				IJB19003_Ar Financial Implications of COVID-19 (IJB)	31-Mar-2021	31-Mar-2021	 50%	Identification and monitoring the financial implications of COVID-19 on the IJB's funding and expenditure.


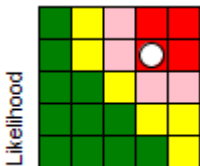
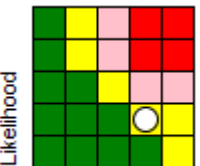
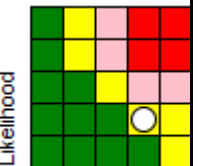

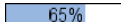
	IJB006 Workforce Planning					Lack of effective workforce planning leading to a failure to develop a sustainable workforce which has an adverse impact on performance and the ability of the IJB to achieve its strategic objectives.					
Internal Controls:						NHS and WLC workforce plans NHS and WLC recruitment 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			IJB19016_Ari Workforce Planning Action Plans	30-Jun-2020	07-Jan-2021		Preparation of workforce planning action plans which are aligned to the IJB Strategic Plan and Commission Plans. The action plans will clearly state the action owners and will include progress and performance measures. Agreed action for finding 3.2 in audit report EX1905 issued on 25 February 2020.
							IJB19019_Ari Employee Communication and Engagement Plan	30-Jun-2020	31-Dec-2020		To develop and present to the IJB for approval an Employee Communication and Engagement Strategy/Plan. Agreed action for finding 3.1 in audit report EX1905 issued on 25 February 2020.


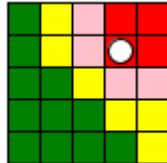
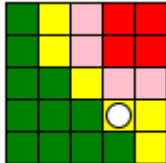
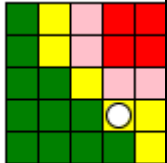

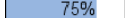
				IJB19018_Ari Aligning Workforce Plans	30-Dec- 2020	30-Dec- 2020		<p>West Lothian Council to give consideration to the development of workforce plans for Social Policy which align more closely with NHS Lothian workforce plans and the IJB Strategic Plan.</p> <p>Agreed action for finding 3.2 in audit report EX1905 issued on 25 February 2020.</p>
				IJB19017_Ari Staff Governance Reporting	30-Apr- 2020	30-Oct- 2020		<p>The format of staff governance reports to be reviewed to ensure consistency of reporting across the health and social care partnership.</p> <p>Staff governance reports will remain as items for regular review by the health and social care management team.</p> <p>Agreed action for finding 3.3 in audit report EX1905 issued on 25 February 2020.</p>






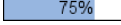
	IJB002 Failure to effectively implement the Strategic Plan					The Strategic Plan sets out how the IJB intends to deliver the nine national health and well being outcomes through our strategic priorities and transformational change programmes. Failure to effectively develop and implement strategic commissioning 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		9		6		 IJB19010_Ar Strategic Commissioning Plan Mental Health	31-Mar-2023	31-Mar-2023		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		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		Implement Strategic Commissioning Plan for Physical Disability as approved by IJB on 21 January 2020


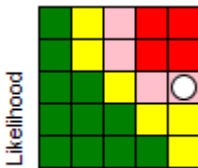
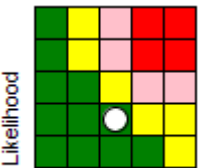
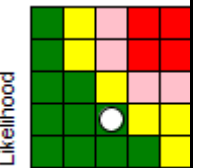

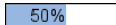
				IJB19013_Ar Strategic Commissioning Plan Learning Disability	31-Mar- 2023	31-Mar- 2023		Develop and implement Strategic Commissioning Plan for Learning Disability as approved by IJB on 21 January 2020
				IJB19014_Ari Strategic Plan Progress Reporting	30-Jun- 2020	22-Sep- 2020		<p>Review of arrangement for reporting on progress of the Strategic Plan 2019-2023:</p> <ul style="list-style-type: none"> - cycle of reports for the IJB to be reviewed and will include a commitment to formally updating the IJB on progress in relation to strategic commissioning plans twice per year. Strategic commissioning plans are the mechanism through which the strategic objectives of the IJB will be delivered. Revised cycle of reports to be submitted to IJB in January 2020. - a performance management framework will be developed to underpin commissioning plans and to provide a mechanism for monitoring impact and progress in relation to strategic objectives. The performance framework will be submitted to the IJB along with progress reports. Framework to be in place by June 2020. <p>Agreed actions for finding 3.1 in audit report EX1904 issued on 3 December 2019.</p>


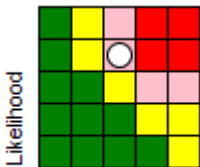
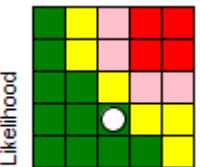
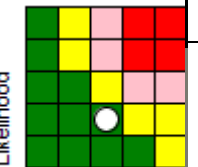
				 IJB19015_Ari Strategic Planning and Locality Planning	30-Jun- 2020	30-Jun- 2020	<div>0%</div>	<p>Review of arrangements for locality planning including:</p> <ul style="list-style-type: none"> - review to be undertaken of the remit of all relevant groups and committees to ensure revised approach to locality planning is adequately reflected. - review to be undertaken of strategic documents to ensure revised locality planning arrangements are appropriately reflected. - representative of Economic Development and Regeneration Service to become a member of the IJB's Strategic Planning Group to establish the link to regeneration plans and the IJB's Strategic Plan. - minutes from the SPP's Health and Wellbeing Group to be submitted routinely to the Strategic planning Group. <p>Agreed action for finding 3.2 from audit report EX1904 issued on 3 December 2019.</p>
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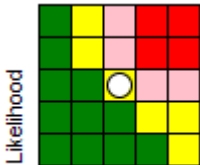
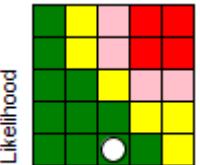
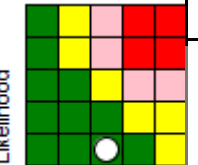
	IJB007 Sustainability of Primary Care					There is a risk that GP service provision will be disrupted, restricted or unavailable because of increasing capacity and demand issues as a result of population growth and/or GP practices experiencing difficulties in recruitment, retention or absence of medical 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	 Likelihood Impact	8	 Likelihood Impact	8	 Likelihood Impact		IJB18011_Ar Implementation of Primary Care Improvement Plan 2018-2021	30-Sep-2021	30-Sep-2021	 65%	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.

	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		8		8			IJB18014_Ar Intermediate Care	31-Dec-2020	31-Dec-2020		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

	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			IJB19022_Are Risk management	31-Mar-2020	30-Sep-2020		Risk management procedures will continue to be reviewed and developed taking account of the areas for consideration identified to ensure continuing good practice is applied to the IJB's approach to risk management. EY annual audit report action plan item 3 refers.

	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							

Appendix 2 Outstanding IJB risk actions


Report Type: Actions Report




Report Author: Kenneth Ribbons







Generated on: 02 September 2020 12:10





Report Layout: Actions progress summary with original due date, due date





Rows are sorted by Due Date

Status	Action Code & Title	Description	Original Due Date	Due Date	Progress Bar	Assigned To	Linked Risks Code & Title
	IJB19015_Ari Strategic Planning and Locality Planning	<p>Review of arrangements for locality planning including:</p> <ul style="list-style-type: none"> - review to be undertaken of the remit of all relevant groups and committees to ensure revised approach to locality planning is adequately reflected. - review to be undertaken of strategic documents to ensure revised locality planning arrangements are appropriately reflected. - representative of Economic Development and Regeneration Service to become a member of the IJB's Strategic Planning Group to establish the link to regeneration plans and the IJB's Strategic Plan. - minutes from the SPP's Health and Wellbeing Group to be submitted routinely to the Strategic planning Group. <p>Agreed action for finding 3.2 from audit report EX1904 issued on 3 December 2019.</p>	30-Jun-2020	30-Jun-2020	<div><div>0%</div></div>	Yvonne Lawton	IJB002 Failure to effectively implement the Strategic Plan

Status	Action Code & Title	Description	Original Due Date	Due Date	Progress Bar	Assigned To	Linked Risks Code & Title
	IJB19014_Ari Strategic Plan Progress Reporting	<p>Review of arrangement for reporting on progress of the Strategic Plan 2019-2023:</p> <ul style="list-style-type: none"> - cycle of reports for the IJB to be reviewed and will include a commitment to formally updating the IJB on progress in relation to strategic commissioning plans twice per year. Strategic commissioning plans are the mechanism through which the strategic objectives of the IJB will be delivered. Revised cycle of reports to be submitted to IJB in January 2020. - a performance management framework will be developed to underpin commissioning plans and to provide a mechanism for monitoring impact and progress in relation to strategic objectives. The performance framework will be submitted to the IJB along with progress reports. Framework to be in place by June 2020. <p>Agreed actions for finding 3.1 in audit report EX1904 issued on 3 December 2019.</p>	30-Jun-2020	22-Sep-2020	<div><div>70%</div></div>	Yvonne Lawton	IJB002 Failure to effectively implement the Strategic Plan
	IJB19022_Are Risk management	<p>Risk management procedures will continue to be reviewed and developed taking account of the areas for consideration identified to ensure continuing good practice is applied to the IJB's approach to risk management. EY annual audit report action plan item 3 refers.</p>	31-Mar-2020	30-Sep-2020	<div><div>50%</div></div>	Kenneth Ribbons	IJB001 Governance Failure
	IJB19017_Ari Staff Governance Reporting	<p>The format of staff governance reports to be reviewed to ensure consistency of reporting across the health and social care partnership.</p> <p>Staff governance reports will remain as items for regular review by the health and social care management team.</p> <p>Agreed action for finding 3.3 in audit report EX1905 issued on 25 February 2020.</p>	30-Apr-2020	30-Oct-2020	<div><div>60%</div></div>	Allister Short	IJB006 Workforce Planning

Status	Action Code & Title	Description	Original Due Date	Due Date	Progress Bar	Assigned To	Linked Risks Code & Title
	IJB19007_Ar Care Home Placements	Review policies on Choice and Moving On to improve effectiveness and manage expectations. Review assessment times and facilitate discharges in timeous manner.	31-Oct-2020	31-Oct-2020	<div><div>60%</div></div>	Carol Bebbington	IJB008 Delayed Discharge
	IJB19008_Ar Adults with Incapacity	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	31-Oct-2020	31-Oct-2020	<div><div>80%</div></div>	Carol Bebbington	IJB008 Delayed Discharge
	IJB19009_Ar Systems and Processes	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	31-Oct-2020	31-Oct-2020	<div><div>75%</div></div>	Carol Bebbington	IJB008 Delayed Discharge
	IJB19018_Ari Aligning Workforce Plans	West Lothian Council to give consideration to the development of workforce plans for Social Policy which align more closely with NHS Lothian workforce plans and the IJB Strategic Plan. Agreed action for finding 3.2 in audit report EX1905 issued on 25 February 2020.	30-Dec-2020	30-Dec-2020	<div><div>20%</div></div>	Allister Short	IJB006 Workforce Planning
	IJB18014_Ar Intermediate Care	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.	31-Dec-2020	31-Dec-2020	<div><div>75%</div></div>	Carol Bebbington	IJB008 Delayed Discharge
	IJB19019_Ari Employee Communication and Engagement Plan	To develop and present to the IJB for approval an Employee Communication and Engagement Strategy/Plan. Agreed action for finding 3.1 in audit report EX1905 issued on 25 February 2020.	30-Jun-2020	31-Dec-2020	<div><div>15%</div></div>	Yvonne Lawton	IJB006 Workforce Planning

Status	Action Code & Title	Description	Original Due Date	Due Date	Progress Bar	Assigned To	Linked Risks Code & Title
	IJB19016_Ari Workforce Planning Action Plans	Preparation of workforce planning action plans which are aligned to the IJB Strategic Plan and Commission Plans. The action plans will clearly state the action owners and will include progress and performance measures. Agreed action for finding 3.2 in audit report EX1905 issued on 25 February 2020.	30-Jun-2020	07-Jan-2021	<div><div>25%</div></div>	Yvonne Lawton	IJB006 Workforce Planning
	IJB19002_Ar Development of Updated Medium Term Financial Plan	Assessment of 2021 Scottish Budget and work collaboratively with LG and NHS partners to develop updated IJB medium term financial plan taking account of Covid-19 and other key issues impacting on the wider economy and public sector.	30-Jun-2020	20-Apr-2021	<div><div>50%</div></div>	Patrick Welsh	IJB004 Inadequate Funding to Deliver Strategic Plan
	IJB19021_Are MTFP savings gap	Further development of IJB Medium Term Financial Strategy and savings proposals will be undertaken during 2020/21. This will involve close partnership working with partner bodies and finance and will take account of Covid-19 impacts. As well as existing arrangements in place, this will be supported through joint Lothian Finance Group established comprising of NHS Lothian Director of Finance, Lothian Local Authority Section 95 officers and Lothian IJB Chief Finance Officers. A key area being progressed by the group is developing a more joined up approach to financial planning. EY annual audit report action plan item 2 refers.	31-Mar-2020	21-Apr-2021	<div><div>50%</div></div>	Patrick Welsh	IJB004 Inadequate Funding to Deliver Strategic Plan
	IJB18011_Ar Implementation of Primary Care Improvement Plan 2018-2021	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.	30-Sep-2021	30-Sep-2021	<div><div>65%</div></div>	Carol Bebbington	IJB007 Sustainability of Primary Care

Status	Action Code & Title	Description	Original Due Date	Due Date	Progress Bar	Assigned To	Linked Risks Code & Title
	IJB19010_Ar Strategic Commissioning Plan Mental Health	Ensure implementation of 3 year Strategic Commissioning Plans for Mental Health as approved by IJB on 21 January 2020	31-Mar-2023	31-Mar-2023	<div><div>30%</div></div>	Carol Bebbington; Yvonne Lawton	IJB002 Failure to effectively implement the Strategic Plan
	IJB19011_Ar Strategic Commissioning Plan Older People	Further develop and implement the Strategic Commissioning Plan for Older People as approved by IJB on 21 January 2020	31-Mar-2023	31-Mar-2023	<div><div>10%</div></div>	Carol Bebbington	IJB002 Failure to effectively implement the Strategic Plan
	IJB19012_Ar Strategic Commissioning Plan Physical Disability	Implement Strategic Commissioning Plan for Physical Disability as approved by IJB on 21 January 2020	31-Mar-2023	31-Mar-2023	<div><div>20%</div></div>	Carol Bebbington; Yvonne Lawton	IJB002 Failure to effectively implement the Strategic Plan
	IJB19013_Ar Strategic Commissioning Plan Learning Disability	Develop and implement Strategic Commissioning Plan for Learning Disability as approved by IJB on 21 January 2020	31-Mar-2023	31-Mar-2023	<div><div>30%</div></div>	Carol Bebbington	IJB002 Failure to effectively implement the Strategic Plan

RISK ASSESSMENT METHODOLOGY

RISK MATRIX

PROBABILITY	Almost Certain 5	5 Low	10 Medium	15 High	20 High	25 High
	Very Likely 4	4 Low	8 Medium	12 High	16 High	20 High
	Likely 3	3 Low	6 Low	9 Medium	12 High	15 High
	Possible 2	2 Low	4 Low	6 Low	8 Medium	10 Medium
	Unlikely 1	1 Low	2 Low	3 Low	4 Low	5 Medium
		Insignificant 1	Minor 2	Significant 3	Major 4	Catastrophic 5
		IMPACT				

PROBABILITY TABLE

Score	Description	Estimated Percentage Chance
1	Unlikely	0-10
2	Possible	10-50
3	Likely	50-70
4	Very Likely	70-90
5	Almost Certain	90-100

Each risk is scored 1-5 for likelihood.

In assessing probability consider a three year time horizon.

In assessing probability managers should use their knowledge and experience of previous issues, both within the council and elsewhere.

IMPACT TABLE

Impact Risk Assessment - Each column is independent. Use the highest score.

<u>Hazard / Impact of Risk</u>	Personal safety	Property loss or damage	Regulatory / statutory / contractual	Financial loss or increased cost of working	Impact on service delivery	Personal privacy infringement	Community / environmental	Embarrass- ment
Insignificant 1	Minor injury or discomfort to an individual	Negligible property damage	None	<£10k	No noticeable impact	None	Inconvenience to an individual or small group	Contained within service unit
Minor 2	Minor injury or discomfort to several people	Minor damage to one property	Litigation, claim or fine up to £50k	£10k to £100k	Minor disruption to services	Non sensitive personal information for one individual revealed / lost	Impact on an individual or small group	Contained within service
Significant 3	Major injury to an individual	Significant damage to small building or minor damage to several properties from one source	Litigation, claim or fine £50k to £250k.	>£100k to £500k	Noticeable impact on service performance.	Non sensitive personal information for several individuals revealed / lost	Impact on a local community	Local public or press interested
Major 4	Major injury to several people	Major damage to critical building or serious damage to several properties from one source	Litigation, claim or fines £250k to £1m	>£500k to £2m	Serious disruption to service performance	Sensitive personal information for one individual revealed / lost	Impact on several communities	National public or press interest
Catastrophic 5	Death of an individual or several people	Total loss of critical building	Litigation, claim or fines above £1m or custodial sentence imposed	>£2m	Non achievement of key corporate objectives	Sensitive personal information for several individuals revealed / lost	Impact on the whole of West Lothian or permanent damage to site of special scientific interest	Officer(s) and/or members dismissed or forced to resign