

Scottish Borders Health & Social Care  
Integration Joint Board



Meeting Date: 25 September 2019

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**SCOTTISH BORDERS HEALTH & SOCIAL CARE INTEGRATION JOINT BOARD  
STRATEGIC RISK REGISTER BI-ANNUAL UPDATE**

<b>Purpose of Report:</b>	The purpose of this report is to provide Members of the Board with an update of the most recent review of the IJB Strategic Risk Register as it is important that the Board is kept informed of the IJB's key risks and the actions undertaken to manage these risks.
<b>Recommendations:</b>	The Health & Social Care Integration Joint Board is asked to: <ul style="list-style-type: none"> <li>(a) Consider the IJB Strategic Risk Register to ensure it covers the key risks of the IJB;</li> <li>(b) Note the progress in managing one of the risks to reduce its rating from Red to Amber; and</li> <li>(b) Note that a further risk update will be provided in December 2019.</li> </ul>
<b>Personnel:</b>	In line with their roles and responsibilities the IJB's Chief Officer and Chief Finance Officer have carried out the current review of the IJB Strategic Risk Register during late July 2019, supported by SBC's risk management service.
<b>Carers:</b>	There are no direct carers' impacts arising from the report.
<b>Equalities:</b>	There are no equalities impacts arising from the report.
<b>Financial:</b>	There are no direct financial implications arising from the proposals in this report.
<b>Legal:</b>	Good governance will enable the IJB to pursue its vision effectively as well as underpinning that vision with mechanisms for control and management of risk.
<b>Risk Implications:</b>	Risk Management arrangements will assist the IJB making informed business decisions and provide options to deal with potential problems in line with its agreed Risk Management Strategy within its governance arrangements.

## Background

- 2.1 The IJB, as strategic commissioner of health and social care services, gives directions to NHS Borders and Scottish Borders Council for delivery of the services in line with the Strategic Plan. The Scheme of Integration sets out how the managerial arrangements across the integrated arrangements flow back to the IJB and the Chief Officer. These arrangements are further supported by the IJB's Local Code of Corporate Governance.
- 2.2 Compliance with the principles of good governance requires the IJB to adopt a coherent approach to the management of risks that it faces in the achievement of its strategic objectives. A Risk Management Strategy was approved by the IJB on 7 March 2016 which includes the: reporting structure; types of risks to be reported; risk management framework and process; roles and responsibilities; and monitoring risk management activity and performance.
- 2.3 The Internal Audit Annual Assurance Reports for the Scottish Borders Health and Social Care Integration Joint Board 2016/17 and 2017/18 highlighted that Risk Management is not yet fully embedded into the culture of the IJB, the strategic risk register was prepared in 2016 but never finalised, and documentary evidence of risk deliberations in decision making requires improvement. In order to significantly improve the risk management process and fulfil its Risk Management Strategy by identifying, evaluating, managing and monitoring key risks and mitigations, Internal Audit made the following recommendations "The IJB strategic risk register should be finalised. Ensure IJB strategic risks are considered and reviewed regularly at IJB meetings. Risk management deliberations associated with IJB decision making should be clearly documented".
- 2.4 On the recommendation by the IJB Audit Committee (17 December 2018), the IJB Strategic Risk Register was approved by the full Board on 28 January 2019 with agreement that it reviews the IJB Strategic Risk Register on a six monthly basis i.e. June and December each year.
- 2.5 The Internal Audit Annual Assurance Report for the Scottish Borders Health and Social Care Integration Joint Board 2018/19 highlighted that progress had been made in finalising the IJB Strategic Risk Register though further improvement was required to fully embed the process. The Internal Audit recommendation is "Ensure IJB strategic risks are considered and reviewed regularly at IJB meetings".

## Summary

- 3.1 It is important that the IJB has its own robust risk management arrangements in place because if objectives are defined without taking the risks into consideration, the chances are that direction will be lost should any of these risks materialise. Furthermore the ability to manage risk will help the Board act more confidently on future business decisions. Knowledge of the risks they face will give them various options on how to deal with potential problems.
- 3.2 The current review of the IJB Strategic Risk Register has taken place during late July 2019, and was supported by SBC's risk management service. The review was undertaken by the IJB's Chief Officer and Chief Finance Officer in line with their roles and responsibilities.

- 3.3 A high level summary of the IJB's Strategic Risk Register, which sets out the key risks associated with the achievement of objectives and priorities within the IJB's Strategic Plan, is shown in **Appendix 1**. There are currently 10 risks on the IJB Strategic Risk Register; two Red and eight Amber rated risks. Risk IJB006 current risk score was reduced from Red to Amber during the recent risk review after reassessing the likelihood of the risk materialising and the impact due to progress with the workforce development plan which was highlighted as having had a positive effect on controlling this risk.
- 3.4 This report and the IJB Strategic Risk Register are intended to provide the Board with assurance that risks are being effectively managed and monitored.
- 3.5 The Strategic Risk Register will continue to be reviewed alongside the implementation of the Strategic Plan by the IJB's Chief Officer and Chief Finance Officer with support from SBC's risk management service, and a further update will be presented to the Board in December 2019. This will assist to address the Internal Audit recommendation on managing risks