



Scottish Borders
Health and Social Care
PARTNERSHIP

Scottish Borders Integration Joint Board

Risk Management Strategy

Version No.	2	Review Date:	10/02/20
Date Effective:			

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1. Introduction to Strategic Approach

1.1 The Scottish Borders Integration Joint Board (IJB) is committed to a culture where the workforce is encouraged to develop new initiatives, improve performance and achieve goals safely, effectively and efficiently by appropriate application of good risk management practice.

1.2 In doing so the IJB aims to provide safe and effective care and treatment for service users, and a safe environment for everyone working within and others who interact with the services delivered under the direction of the IJB.

1.3 The IJB believes that appropriate application of good risk management will prevent or mitigate the effects of loss or harm and will increase success in the delivery of better clinical and financial outcomes, the achievement of objectives and targets, and fewer unexpected problems.

1.4 The IJB purposefully seeks to promote an environment that is risk 'aware' and strives to place risk management information at the heart of key decisions. This means that the IJB can take an effective approach to managing risk in a way that both addresses significant challenges and enables positive outcomes.

1.5 The IJB promotes the pursuit of opportunities that will benefit the delivery of the Strategic Plan. Opportunity-related risk must be carefully evaluated in the context of the anticipated benefits for service users, the IJB and other stakeholders.

1.6 The IJB will receive assurance reports (internal and external) not only on the adequacy but also the effectiveness of its risk management arrangements. These assurance reports will be submitted by the partner organisations Scottish Borders Council and NHS Borders and will pertain to the relevant work streams under the strategic control of the IJB.

Key benefits of effective risk management:

- appropriate, defensible, timeous and best value decisions are made;
- risk 'aware' not risk 'averse' decisions are based on a balanced appraisal of risk and enable acceptance of certain risks in order to achieve a particular goal or reward;
- high achievement of objectives and targets;
- high levels of morale and productivity;
- better use and prioritisation of resources;
- high levels of user experience/satisfaction with a consequent reduction in adverse incidents, claims and/or litigation; and
- a positive reputation established for the Integration Joint Board.

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2. Risk Management Strategy - Implementing Health and Social Care Integration for the Scottish Borders

2.1 Objectives

The primary objectives of this strategy are to:

- Ensure that the risk management framework is applied consistently and with appropriate oversight.
- Establish standards and principles for the efficient and effective management of risks affecting the delivery of the Scottish Borders Health and Social Care Strategic Plan, including regular monitoring, reporting and review.
- Identify how and what risk information will be reported to the Integration Joint Board (IJB).

2.2 Governance structure

The Integration Joint Board (IJB) is responsible for the strategic planning of the functions delegated to it and the risks arising from that undertaking.

The IJB will identify any high level strategic risks.

The partner organisations Scottish Borders Council and NHS Borders will report any relevant risks via the reporting structures by having oversight of delivery and/or governance routes:

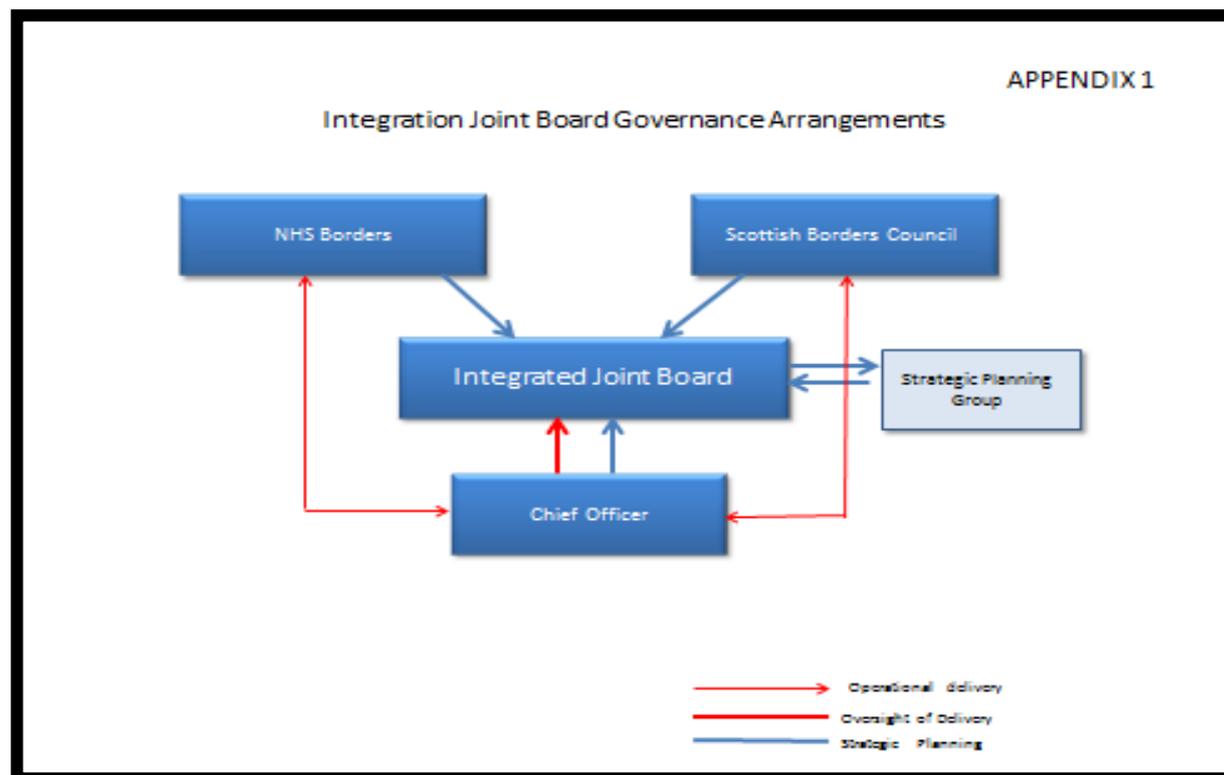


Diagram 1: Integration Joint Board Governance Arrangements Source: Scheme of Integration

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2.3 Types of risk to be reported

This strategy takes a positive and holistic approach to risk management. The scope applies to all risks, whether relating to the clinical and care environment, employee safety and wellbeing, business objectives, opportunities or threats.

2.3.1 Strategic risks represent the potential for the Integration Joint Board (IJB) to achieve (opportunity) or fail to meet (threat) its desired outcomes and objectives as set out within the Strategic Plan, and typically these risks require strategic leadership in the development of activities and application of controls to manage the risks.

2.3.2 Operational risks represent the potential for impact (opportunity or threat) within or arising from the activities of an individual service area or team operating within the scope of the IJB's activities which are more 'front-line' in nature. The development of actions and controls to respond to these risks will be led by local managers and team leaders which will be overseen by the Chief Officer. Where a number of operational risks impact across multiple service areas or, because of interdependencies, require more strategic leadership or significantly impact on the delivery of the strategic plan, then these will be proposed for escalation to 'strategic risk' status for the IJB.

2.3.3 Business continuity and resilience risks will be the responsibility of the partner organisations to identify and manage. Each partner organisation must have business continuity/resilience plans in place which are developed and tested in accordance with respective Scottish Borders Council and NHS Borders internal corporate policies and arrangements.

2.4 Risk management framework and process

This document represents the risk management framework to be implemented across the services delivered under the direction of the Integration Joint Board (IJB) and will contribute to the IJB's wider corporate governance arrangements.

Risk Management is about the culture, processes and structures that are directed towards realising potential opportunities whilst managing adverse effects. It is proactive in understanding risk and uncertainty; it learns and builds upon existing good practice and is a continually evolving process that has an important role in ensuring that defensible and beneficial decisions are made.

For consistency the IJB will **adopt the standard risk management process** shown in the diagram on the right. This reflects the processes currently used in both partner organisations.

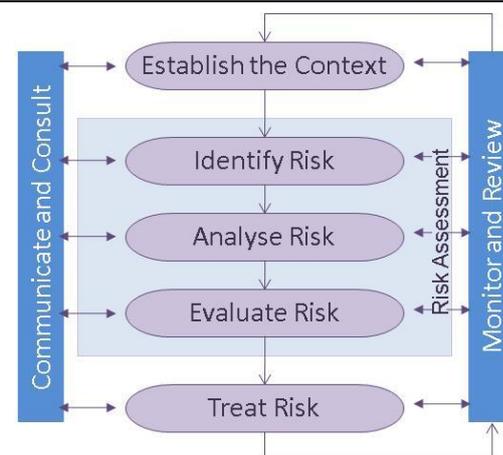


Diagram 2: Standard risk management process

Risk management tools for the purpose of identification and **risk scoring will be as used by each partner organisation.**

The strategic risk register will be held by the IJB with risk information from partner organisations being utilised to help identify the relevant risks to the strategic objectives of the IJB.

Effective communication of risk management information across the services delivered under the direction of the Integration Joint Board is essential in developing a consistent and effective approach to risk management.

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2.5 Roles and responsibilities

2.5.1 Integration Joint Board (IJB)

Members of the Integration Joint Board are responsible for:

- Ensuring awareness of any risks and mitigations linked to recommendations from the Chief Officer concerning new priorities, policies and decisions.
- Having oversight of its risk management arrangements and strategic or escalated risks to ensure risks are being adequately managed.
- Receiving and reviewing of risk reports on strategic risks and any key operational risks that require to be brought to its attention.

2.5.2 Chief Officer

The Chief Officer has overall accountability for the IJB's risk management framework, ensuring that suitable and effective arrangements are in place to manage the risks relating to the services delivered under the direction of the IJB. The Chief Officer will be responsible for drawing to the attention of the IJB any new or escalating risks and associated mitigations to ensure appropriate oversight and action.

The Chief Officer will keep the IJB and the Chief Executives of the partner organisations informed of any significant existing or emerging risks that could seriously impact the IJB's ability to deliver the outcomes and objectives of the Strategic Plan or the reputation of the IJB or the partner organisations.

2.5.3 Chief Financial Officer

The Chief Financial Officer will be responsible for promoting arrangements to identify, analyse, evaluate and manage key financial risks, risk mitigation and insurance for the IJB.

The Chief Financial Officer will be responsible for ensuring financial implications and risks are considered within decision making in alignment with the financial strategy of the IJB.

2.5.4 Partner Organisations

It is the responsibility of the partner organisations to provide risk information as required by the IJB as part of monitoring arrangements and/or highlight any significant single risk arising that requires immediate notification to the IJB. This risk information will be communicated via the reporting structures and when necessary by the Chief Officer.

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2.6 Monitoring risk management activity and performance

Measuring, managing and monitoring risk management performance is key to the effective delivery of the objectives within the Strategic Plan.

The Integration Joint Board (IJB) operates in a dynamic and challenging environment. A suitable system is required to ensure risks are monitored for change in context and scoring so that appropriate response is made.

Monitoring will include review of the risk profile, as defined by the content of the IJB strategic risk register, on a quarterly basis. Any new or emerging risks will be identified and escalated as appropriate to the IJB at any time.

It is expected that partner organisations will use the IJB strategic risk register to keep their own organisations updated on the management of the risks, highlighting any IJB risks that might impact on the partner organisation.

Reviewing the IJB's risk management arrangements and delivery of this Risk Management Strategy will be done on an annual basis.

Scottish Borders Council Internal Audit will review the efficacy of Risk Management arrangements and associated internal controls put in place by Management and provide independent assurance on the effectiveness of the Risk Management Strategy and activities as part of its assurance on the IJB's Corporate Governance arrangements.

2.7 Reporting of Risks to the Integration Joint Board

The IJB Strategic Risk Register will be reviewed on a quarterly basis by the Chief Officer and Chief Financial Officer. This will be done with the input from Senior Managers as necessary.

The Chief Officer will deliver bi-annual strategic risk register updates to the Board, ensuring they have adequate oversight to fulfil their role and responsibility with regard to the management of risk.

An evaluation of the efficiency and effectiveness of the IJB's risk management arrangements will be carried out as part of the annual assurance process on the IJB's corporate governance arrangements. The output will be considered by the IJB Audit Committee within the annual governance statement.

The Strategy (version 2) was approved by the Integration Joint Board at its meeting of.....

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