

# Scottish Borders Health & Social Care Integration Joint Board

Meeting Date: 19 August 2020



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## STRATEGIC RISK REGISTER 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>	<p>The Health &amp; Social Care Integration Joint Board is asked to:</p> <ul style="list-style-type: none"> <li>a) <u>Consider</u> the IJB Strategic Risk Register to ensure it covers the key risks of the IJB;</li> <li>b) <u>Note</u> the actions in progress to manage the risks; and</li> <li>c) <u>Note</u> that a further risk update will be provided in December 2020.</li> </ul>
<b>Personnel:</b>	In line with the role and responsibilities, the IJB's Chief Officer has carried out the current review of the IJB Strategic Risk Register on 31 July 2020, supported by SBC's Risk Team.
<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.

## 1 Background

- 1.1 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.
- 1.2 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 new Risk Management Policy and refreshed Risk Management Strategy is presented for approval by the IJB on 19 August 2020.
- 1.3 In accordance with Risk Management Policy and Strategy, the IJB Chief Officer carries out a review of the risk register on a quarterly basis and the IJB considers the Strategic Risk Register on a six monthly basis i.e. June and December each year.
- 1.4 The previous six-monthly risk review report, representing the overview by the Chief Officer Health and Social Care of the IJB's strategic risks and mitigations as at 4 December 2019, was presented to and discussed at the IJB full Board on 17 December 2019.

## 2 Summary

- 2.1 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. The identification, evaluation, control and review of the IJB strategic risks is a Management responsibility. However, knowledge of the strategic risks faced by the IJB and associated mitigations will enable the Board members to be more informed when making business decisions.
- 2.2 The IJB Chief Officer carried out a quarterly review of the risk register on 28 February 2020. The most recent management review of the IJB Strategic Risk Register has taken place on 31 July 2020, taking into consideration the impact of Covid-19 and, to a certain extent, Brexit on governance, commissioning and service delivery arrangements. The review was undertaken by the IJB's Chief Officer in line with his role and responsibilities and was supported by SBC's Risk Team.
- 2.3 A high level summary of the IJB's Strategic Risk Register, which sets out the strategic 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; one Red and nine Amber rated risks.
- 2.4 Changes on specific risks for the IJB to note since the previous six-monthly report to the IJB Board on 17 December 2019 include:

- IJB001, while remaining Amber, has reduced from 12 to 8 due as the likelihood was reassessed from 3 (Possible) to 2 (Unlikely) due to improvements in joint working between the two partner organisations and lessons learned from Covid-19.
- IJB003 has reduced from Red to Amber, arising from progress with actions and internal controls to reduce the likelihood of the risk materialising.
- IJB005 has reduced from a score to 20 to 16 as the IJB directed the two partner organisations to produce a joint budget – an action that is now complete. However, the full financial implications of Covid-19 will become apparent over the coming months and will need to be considered at future reviews.
- IJB006, while remaining Amber, has reduced from 9 to 6 as the agility of the workforce has become clear in response to Covid-19, work with Borders College in relation to the training of Health and Support staff is underway, and recruitment has improved.
- IJB008 has reduced from 12 to 8 as new internal controls and actions have been added to this risk; the management approach has been changed from Tolerate to Treat as new ways have been devised to proactively mitigate this risk, for example through increased scrutiny of external providers.
- IJB009 has reduced in score from 12 to 6 in light of the new structure for support for the Strategic Implementation Plan that is being presented for approval at the IJB Board on 19 August 2020.

- 2.5 Further detail on the remaining Red-rated risk is shown in Appendix 2 to outline the current internal controls and further mitigation actions required to reduce the likelihood and/or the impact of the risk materialising.
- 2.6 This report and the IJB Strategic Risk Register are intended to provide the Board with assurance that the strategic risks associated with the achievement of objectives and priorities within the IJB's Strategic Plan are being effectively managed and monitored.
- 2.7 Reliance is placed on the risk management arrangements within the partner organisations in respect of the operational delivery of commissioned services. As stated in the IJB Risk Management Strategy, any of these risks that significantly impact on the delivery of the IJB Strategic Plan will be escalated to the Chief Officer for consideration.
- 2.8 The IJB Strategic Risk Register will continue to be reviewed alongside the implementation of the Strategic Plan by the IJB's Chief Officer on a quarterly basis with support from SBC's Risk Team. A further update will be presented to the Board in December 2020 i.e. on a six monthly basis in line with the IJB's Risk Management Policy and Strategy.