

*Scottish Borders Health & Social Care
Integration Joint Board*



Meeting Date: 22 September 2021

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SCOTTISH BORDERS HEALTH AND SOCIAL CARE INTEGRATION JOINT BOARD STRATEGIC RISK REGISTER UPDATE	
Purpose of Report:	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.
Recommendations:	The Health & Social Care Integration Joint Board is asked to: <ul style="list-style-type: none"> a) Consider the IJB Strategic Risk Register to ensure it covers the key risks of the IJB; b) Note the actions in progress to manage the risks; and c) Note that a further risk update will be provided in December 2021.
Personnel:	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 26 th August and 2 nd September 2021, supported by SBC's Corporate Risk Officer.
Carers:	There are no direct carers' impacts arising from the report.
Equalities:	There are no equalities impacts arising from the report.
Financial:	There are no direct financial implications arising from the proposals in this report.
Legal:	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.
Risk Implications:	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 new Risk Management Policy and refreshed Risk Management Strategy were approved by the IJB on 19 August 2020.
- 2.3 In accordance with the Risk Management Policy and Strategy, the IJB Chief Officer carries out a review of the IJB Strategic Risk Register on a quarterly basis.
- 2.4 While the Risk Management Policy and Strategy states that six monthly risk reviews should be presented to the Board in June and December each year, the disruption caused by Covid-19 during 2020 and ongoing into 2021 has meant that only one report was formally presented to IJB full Board on 19 August 2020, and this one on 22 September 2021. The aim going forward is to align with the agreed schedule and as such the next strategic risk update will be presented to the IJB full Board in December 2021.

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. 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.
- 3.2 The IJB Chief Officer carried out a management review of the risk register on 27 July 2020, presented in August 2020. Subsequently, there were also reviews in February and May 2021. The most recent management review of the IJB Strategic Risk Register has taken place on 26th of August and 2nd September 2021 (over a spilt session), taking into consideration the continued 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 Corporate Risk Officer.
- 3.3 As part of this review, a further risk for the IJB and delegated services, was considered, potentially arising from the Scottish Government consultation on the National Care Review. Any proposals for change in structure and uncertainty over the future delivery of health and social care policy could result in a delay of implementing strategic commissioning decisions by the IJB.
- 3.4 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, eight Amber and one Green.

3.5 Changes on specific risks for the IJB to note since the previous report to the IJB Board on 19 August 2020 include:

- IJB002 (Efficient use of resources), while remaining Amber, has increased from a score of 9 to a 12 (after previously being reduced from a 12 to a 9 in February 2021, as a result of improvements in joint working, greater transparency and lessons learned from Covid-19). At the most recent review the likelihood was reassessed from 3 (Possible) to 4 (Likely) to reflect the fact that the risk description has been updated to give reference to the need for an effective Commissioning Plan, without which the direction of resources may not facilitate the achievement of expected outcomes or best value. It has been acknowledged that strong direction is needed from the IJB in order to make most effective and efficient use of resources and while a Commissioning Plan is being developed it is has not yet been agreed or implemented. Once in place the plan will have a significant and positive impact on this risk, allowing for a greater understanding of the nature of demand for services and the read across from health to social care (e.g. the balance of care).
- IJB003 (Future market for care), while remaining Amber, has increased from a score of 8 to a 12 (after previously being reduced to an 8 from a 12 in May 2021, reflecting the fact that partners and external providers had become much more experienced and able to react efficiently and effectively to the challenges brought about by Covid-19 by e.g. increasing capacity where needed). At the most recent review the likelihood was reassessed from 2 (Unlikely) to 3 (Possible) as we are currently falling short on packages of care, with demand surpassing our current ability to supply.
- IJB006 (Workforce that is fit for purpose), has changed significantly from an Amber (6) to a Red (16) with the risk score increasing in terms of both likelihood, from a 2 (Unlikely) to a 4 (Likely), and impact, from a 3 (Moderate) to a 4 (Major). This increase is a result of the ongoing impacts of Covid-19 on staff sickness/absences and the requirement to self-isolate from contact with positive cases, all of which has led to a significant shortage of staff across all services. There has also been a notable impact on service users in the form of greater increases in admissions to hospital, increases in delayed discharges through an inability to allocate care and the ultimate need to postpone elective surgeries which has a knock on impact to secondary care.
- IJB009 (Programmes and project management), while remaining Amber has increased from a score of 6 to a 9. At the most recent review the likelihood was reassessed from a 2 (Unlikely) to a 3 (Possible) to express the fact that the current CO is soon to retire, and that the CFO post remains vacant. The need to recruit to these posts, in line with the required changes to the management structure previously identified as being necessary, have a direct bearing on the continuity and subsequent success of programmes and projects. The advent of the Feeley review of adult social care further complicates the aforementioned plans to revisit the management

structure/leadership team, and only when the two vacant posts are filled can changes be made that will ultimately facilitate the implementation of the recommendations stemming from the review.

- 3.6 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.
- 3.7 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.
- 3.8 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 Corporate Risk Officer. A further update will be presented to the Board in December 2021 i.e. on a six monthly basis in line with the IJB's Risk Management Policy and Strategy.