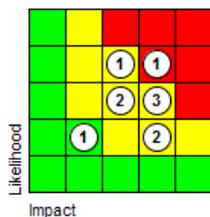


# IJB Risk Register (Summary)

Last Reviewed on: 26<sup>th</sup> August & 2<sup>nd</sup> September 2021



Risk Code	Risk Title	Risk Description	Risk Score	Status	Trend	Last Review Date	Risk Approach	Update
IJB001	Cultural change	If the required change in culture is not achieved then the delivery of the Partnership's strategic objectives may be delayed or may not be fully met	8 Major - Unlikely			26-Aug-2021	Treat	<p><b>Update from meeting with RMCC-G on 26.08.2021:</b> It is still the case that the advent of the Pandemic has demanded closer working of the senior Executive Teams of the Council and Health Services. Communications have improved and there is a greater understanding of agendas across organisations within the partnership.</p> <p>As per the previous update and with regards to Internal Control "Joint NHS/SBC Meetings" it should be noted that these meetings have now moved to fortnightly and a further TOR is being developed as progress has been made in response to both Covid-19 and the ongoing work of the IJB.</p> <p>Also, with regards to Internal Control "Appointment of temporary Director of Finance" - In light of the Feeley Report and the expected changes within the Executive Teams of NHSB and SBC a further review is underway for the IJB Exec Team which will include the appointment of a CFO.</p> <p>It should be noted that the current Chief Officer is now retiring in October 2021. The appointment process for a new CO as well as a new CFO has begun and a new Linked Action has been added to reflect this. Internal Control "Permanent Chief Officer" has also been reassessed and changed from Fully to Partially Effective in light of this.</p> <p>It was also noted that there is a continuing risk that new appointments might not be made and if so interim arrangements for both positions will be introduced.</p> <p>No change to Current Risk score at this review.</p>

IJB002	Resources	If we do not ensure that an effective Commissioning Plan is agreed, and the required resource are directed by the IJB and allocated by NHSB and SBC then we may not secure the expected outcomes or achieve best value.	12 Moderate - Likely			26-Aug-2021	<p><b>Update from meeting with RMcC-G on 26.08.2021:</b></p> <p>Risk Description has been amended from "If we do not ensure that resource directed by the IJB is used efficiently and effectively then we may not achieve best value" to read "If we do not ensure that an effective Commissioning Plan is agreed, and the required resource are directed by the IJB and allocated by NHSB and SBC then we may not secure the expected outcomes or achieve best value."</p> <p>Risk Factors updated to include: "Lack of a Strategic Commissioning Plan; Lack of joined-up working and shared understanding; Lack of strong direction from the IJB; Vacant senior posts; Increased pressure on care service (e.g. from demand); Failure to understand demand and subsequent resource requirements."</p> <p>Risk Consequences updated to include: "Negative financial implications; Negative impacts on ability to fund care if balance of care cannot be amended; Resources are not effectively or efficiently used; Demand outstrips supply."</p> <p>New Linked Action "Develop Strategic Commissioning Plan" added, assigned to the IJB with a placeholder date of 31.03.2022. <i>Action also to be assigned to the new CO once in post.</i></p> <p>As per the last review and with reference to Internal Control "Appointment of temporary Director of Finance" - In light of the Feeley Report and the expected changes within the Executive Teams of NHSB and SBC a further review is underway for the IJB Exec Team.</p> <p>It should be noted that the recruitment process for the appointment of a new CO and CFO is underway and a new Linked Action has been added to reflect this.</p> <p>The Joint Executive Team TOR has been agreed and support for the development of the Strategic Commissioning Plan has been allocated. There is a continuing risk, however, that this support may not be sufficient.</p> <p>Further work on the restructure of all Exec Teams across the partnership (reflected as a Linked Action) should reduce the likelihood to a 2 (Unlikely).</p> <p>Current Risk score reassessed and Likelihood increases from 3 (Possible) to 4 (Likely), while Impact remains the same.</p>
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IJB003	Future market for care	If the future market for care is insufficient to meet increasing demand then there may be gaps in service provision and poor outcomes/choices	12 Major - Possible			26-Aug-2021	Treat	<p><b>Update from meeting with RMCC-G on 26.08.2021:</b> As per the last review Covid-19 has developed more sufficiency within the community to care for those in lesser need, therefore we have been able to increase capacity. However, the impact of another cluster outbreak within one or more care homes, would significantly reduce our ability to staff at the required level. Relationships with independent care providers has also improved significantly.</p> <p>We are currently modelling demand for both hospital beds and residential care capacity. This will inform a further review of the IJB Strategic Plan, which will aim to recommission to an appropriate level of residential care. We expect to reduce the Likelihood of this risk to a 1 (Remote) following the implementation of this plan. Target Risk updated to reflect this and given a due date of 31.03.2023.</p> <p>It should also be noted that Scottish Care have been contracted with to employ an Independent Care Sector Representative. Funding for this post is currently short-term from slippage and it will need to be mainstreamed within the 2022/23 budget agreement (<i>consider adding this representative as an Internal Control at the next review</i>).</p> <p>Internal Control "Strategic Oversight Group" has been removed and replaced with "Joint Executive Team and the Senior Management Group for the Strategic Commissioning Plan". Control assessed as Partially Effective.</p> <p>With regards to Linked Action "Market Facilitation Plan" it is worth noting that we continue to meet to discuss this. We have appointed an independent co-ordinator to help pull this together. No change to % completion at this review.</p> <p>Linked Action "Review of IJB SIP" has been updated to read "...as part of the development of the new Strategic Commissioning Plan". No change to % completion at this review.</p> <p>Current Risk score reassessed and as we are short on packages of care Likelihood increases from 2 (Unlikely) to 3 (Possible). Impact remains the same.</p>
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IJB004	Stakeholder engagement	If we do not ensure that we have a partnership approach when communicating and engaging with stakeholders then we may fail to get them to play their part in delivering the partnership's strategic objectives	9 Moderate - Possible			26-Aug-2021	Treat	<p><b>Update from meeting with RMcC-G on 26.08.2021:</b> With the publication of the Feeley Report Scot Gov is considering its recommendations. As part of this a major consultation exercise began on 08.08.2021 and will conclude of 18.10.2021. The intended outcome of the consultation is the creation of a National Care Service which will have major implications on the whole of the Health and Social Care Partnership, along with the future of LAs and NHS Boards. There is an expectation that the consultation will be wide ranging and fully inclusive and IJBs have been given a specific role as champion for the consultation across all parties. The risk with this is that parties will have differing and potentially opposing views and this could present difficulties for the IJB in terms of challenges relating to culture and relationships.</p> <p>With regards to Linked Action "New Integrated Communications Strategy..." it is worth noting that the meetings between SBC and NHS Comms Teams have started again. The due date for this action has been amended from 31.07.2021 to 01.01.2022.</p> <p>No change to Current Risk score at this review but Target Risk revisited and due date changed from 31.10.2021 to 30.04.2022.</p>
IJB005	Delegated Budget	If both Partners do not sufficiently and rigorously plan and manage their Efficiency and Savings Programmes then the delegated budget may continue to overspend leading to inability to commission sufficient services to deliver the strategic objectives	12 Major - Possible			02-Sep-2021	Treat	<p><b>Update from meeting with RMcC-G on 02.09.2021:</b> Even though the IJB has still to appoint its Chief FO, the interim measures in place which include SBC Director of Finance acting as the Section 95 Officer for the IJB, have operated well. Both SBC and NHSB Directors of Finance continue to work closely with the CO, and are supported by the financial leads within the Council and NHSB.</p> <p>This arrangement although working well does place significant stress across the three agencies. We are currently advertising the CFO post which will remedy this. A new Linked Action has been added to reflect this along with the need to recruit a new CO as the current one is retiring.</p> <p>Budget planning and monitoring have continued and has been further complicated by the requirement to fund additional services and provide further resources as demanded by the current pandemic. These officers identified here have successfully implemented additional budgets through the Scottish Government's Remobilisation Funds. Work continues to secure the joint budget plan for 2021/22 and we expect this to complete before the end of this calendar year.</p> <p>No change to Current Risk Score at this review.</p>

IJB006	Workforce	If we do not have a workforce fit for purpose now and in the future then the Partnership may fail to deliver on the strategic objectives leading to poor outcomes	16 Major - Likely			02-Sep-2021	Treat	<p><b>Update from meeting with RMCC-G on 02.09.2021:</b> As per the last review and with reference to Brexit there have been no negative impacts felt yet in terms of workforce availability. However, it has proved difficult, in general, to appoint mid-range Social Workers.</p> <p>We also continue to develop a new marketing model to promote the Scottish Borders as an attractive place to live and work, with attractive employers and subsequent opportunities. Due date of Linked Action "Develop a new marketing model..." has been updated and changed from 01.06.2021 to 31.03.2022 and it should be noted that this is being undertaken by the workforce workstream of the SIP which is led by Clair Hepburn and Andrew Carter.</p> <p>Although we have experienced little impact as yet from Brexit, there has been a significant impact from the Covid-19 pandemic. This has been due to sickness/absence and the requirement for staff to self-isolate after contact with a positive case. We have seen significant shortages of staff across all services. The biggest impact on service users has been through: greater admissions to hospital; increases in delayed discharges through an inability to allocate care (both residential and homecare); and ultimately the need to postpone elective surgeries which has impacts on secondary care. Risk Factors and Consequences have both been updated to reflect this.</p> <p>Linked Action "Work underway with Borders College..." is ongoing but as more is still to be done on this the due date has been changed from 31.07.2021 to 31.03.2022.</p> <p>Internal Control "New GMS contract" has been reassessed and changed from Fully to Partially Effective.</p> <p>New Internal Control "Staff flexibility increased to provide support in e.g. home and residential care settings and creation of a care and nursing staff mix" has been added and assessed as Fully Effective, reflecting one of the measures we had available to offset the effects of Covid-19 on the workforce if needed. It is worth noting that while this was developed we did not need to implement it to a great extent.</p> <p>New Internal Control "To facilitate the skill mix, support and advice are provided along with monitoring across the whole care provision through the Oversight Care/Operational Group" has also been added and assessed as Fully Effective.</p> <p>Lastly, new Internal Control "Independent Care Sector provides</p>
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								<p>mutual support across different companies and share staff" added and assessed as Partially Effective.</p> <p>In light of the impacts that Covid-19 has had on the workforce and the subsequent knock-on impacts to e.g. delayed discharges, the allocation of care and postponement of elective surgeries, the Likelihood of this risk has increased from a 2 (Unlikely) to a 4 (Likely) while the Impact has increased from 3 (Moderate) to 4 (Major).</p> <p>Similarly, the original Target Risk was felt to be unachievable in the current context within which we are operating and given the knock-on impacts of Covid-19, that hitherto were completely unforeseen, the Target Risk has also been reassessed and revised up from a Likelihood of 1 (Remote) to 3 (Possible) and from an Impact of 3 (Moderate) to a 4 (Major), with a date of 01.05.2022. Once we have reached the new Target will look to revise it down again.</p>
IJB007	Supplier failure	If a significant supplier was unexpectedly unable to fulfil their contract then there may be a serious gap in service provision leading to risk of harm and reputational damage	12 Major - Possible			02-Sep-2021	Treat	<p><b>Update from meeting with RMCC-G on 02.09.2021:</b> As per the last review it remains true that improved communications and relationships with providers has reduced the likelihood of a supplier failing as there are early alert systems in place and we can react as a commissioner much quicker to prevent failure. However, the current pandemic continues to put pressure on this risk.</p> <p>New Internal Control "Monitoring visits, weekly reports and unannounced visits by the Care Inspectorate (all reporting to CHOG)" added and assessed as Fully Effective.</p> <p>No change to Current Risk Score at this review and similar to other risks in the series, going forward the aim is to reduce the Likelihood from 3 (Possible) to 2 (Unlikely) by which point we will be in line with the Target.</p>
IJB008	Harm to service users	If someone under the care of the IJB comes to harm because of a failure attributed to the Partners then this may result in significant reputational damage	8 Major - Unlikely			02-Sep-2021	Treat	<p><b>Update from meeting with RMCC-G on 02.09.2021:</b> Pre-pandemic we acknowledged that some improvements were needed across the fabric of our care estate and with our independent partners. Then, during the pandemic we have also registered some challenges with regards to infection control which were exacerbated by the age and format of the existing care estate. This has been mitigated to some extent by the level of staffing that has been required in each of the care homes.</p> <p>Risk Factors updated to include: "Age and format of care and partner estate/ failure to make improvements to fabric of estate and; With regards to Covid-19 some aspects of current estate has negative impacts on ability to maintain infection control e.g. ventilation."</p>

								<p>Internal Control "Monthly meetings with External Providers to increase Oversight" has been reassessed and changed from Partially to Fully Effective.</p> <p>We are in the process of co-producing a Commissioning Strategy with external partners to provide additional capacity and in so doing rectify some of the poor aspects of the existing estate. This has been added as a Linked Action, assigned to RMCC-G (this will change when the new CO is appointed) and given a due date of 31.12.2022.</p> <p>There is no change to the Current Risk score at this review and the risk remains stable.</p>
IJB009	Programmes/ projects management	If we fail to manage and appropriately resource major programmes/projects undertaken simultaneously then we may be unable to achieve objectives	9 Moderate - Possible			02-Sep-2021	Treat	<p><b>Update from meeting with RMCC-G on 02.09.2021:</b> As per the last update the restructure intended has been impacted by further changes within the Exec Teams of NHSB, SBC and IJB. In addition, with the advent of the Feeley review of adult social care more time is required to determine the shape and function of the Exec Teams across the three organisations, to deliver health and social care. Linked Action "Implement changes to management structure..." has been updated to reflect this and the due date changed from 31.10.2021 to 01.05.2022.</p> <p>The current CO is retiring imminently and as such the opportunity has been taken to review the required skill mix for the leadership team of the IJB. Both the CO and CFO posts are being appointed to now and once in place they will lead on the creation of a new leadership team for the IJB to support and prepare for the recommendations of the Feeley Report.</p> <p>Risk Factors updated to reflect that fact that the current CO is retiring and that the CFO post remains vacant at present.</p> <p>Current Risk score has been reassessed and the Likelihood has increased from a 2 (Unlikely) to a 3 (Possible) as we have yet to appoint to the two aforementioned posts, or put in place the team, however this is only a matter of time. There is no change to the Impact of this risk which remains 3 (Moderate).</p> <p>Target Risk date has been amended from 31.10.2021 to 01.05.2021 in line with the Linked Action.</p>

IJB010	Data Breach	If the Partners lose sensitive data or use data inappropriately then we may be in breach of data protection legislation resulting in fines and reputational damage	4 Minor - Unlikely			02-Sep-2021	Treat	<p><b>Update from meeting with RMCC-G on 02.09.2021:</b></p> <p>It is worth reiterating that the risk of data breaches lies within the two host agencies. The IJB may have reputational damage, as a result of any failure within the organisations. The Leadership Team of the IJB working within the host agencies, abide by internal controls to mitigate this risk.</p> <p>All staff need to undertake training on data protection through respective agencies. Board members also need to complete an equivalent but this has not happened.</p> <p>We have restarted the Data Governance/Data Control Group (<i>check with IJB</i>). There is also a joint NHS/IJB group that focuses on the governance of data and they meet around 4 times per year. This has been added as a new Internal Control and assessed as Fully Effective.</p> <p>With regards to Linked Action "Find out about Mandatory Data Protection Training..." there is a need to have a conversation with the IJB, as indicated above, to find out about the mandatory training that Board members undertake.</p> <p>Risk Management Approach changed from Tolerate to Treat until we know more about the mandatory training undertaken by the Board.</p> <p>No change to Current Risk score at this review.</p>
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