

*Scottish Borders Health & Social Care  
Integration Joint Board Audit Committee*



Meeting Date: 14 March 2022

<b>Report By:</b>	Chris Myers, IJB Chief Officer
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<b>IJB RISK MANAGEMENT UPDATE 2021/22</b>	
<b>Purpose of Report:</b>	To set out to members of the IJB Audit Committee, for their scrutiny and oversight, the risk management arrangements that have been applied in practice during the last 12 months.
<b>Recommendations:</b>	The Health & Social Care Integration Joint Board Audit Committee is asked to: <ul style="list-style-type: none"> <li>a) <b>Acknowledge</b> the improvements in the application of risk management within the IJB, in accordance with the IJB Risk Management Policy and Strategy.</li> <li>b) <b>Note</b> the benefits for the IJB that accrue from more systematic and assured risk management.</li> <li>c) <b>Endorse</b> the proposal to refresh the IJB Strategic Risk Register to reflect significant and strategic local and national developments.</li> </ul>
<b>Personnel:</b>	In line with the role and responsibilities, the IJB Chief Officer carries out the quarterly reviews of the IJB Strategic Risk Register, supported by SBC's Corporate Risk Officer.
<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 in 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

- 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 Commissioning 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 were approved by the IJB on 19 August 2020, following their endorsement by the IJB Audit Committee on 9 March 2020.
- 1.3 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.

## Summary

- 2.1 In accordance with the IJB Risk Management Policy and Strategy, the IJB Chief Officer, on a quarterly basis, carries out a review of the IJB Strategic Risk Register, which sets out the strategic risks associated with the achievement of objectives and priorities within the IJB Strategic Commissioning Plan. The previous IJB Chief Officer carried out a management review of the IJB Strategic Risk Register in February, May and August 2021. The new IJB Chief Officer carried out a management review of the IJB Strategic Risk Register in December 2021.
- 2.2 The review in December 2021 reflected the first impressions of the new IJB Chief Officer while continuing to take into consideration the impacts of Covid-19 and gave reference to key policy revisions that will ultimately have a positive bearing on governance, commissioning and service delivery arrangements.
- 2.3 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 Commissioning Plan will be escalated to the IJB Chief Officer for consideration.
- 2.4 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 the first formal report of 2021 was presented to the Board in September 2021, delayed from June 2021, with the second report being presented in December 2021, as intended.

- 2.5 The six monthly risk review reports 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 Strategic Commissioning Plan are being effectively managed and monitored.
- 2.6 The refreshed Strategic Commissioning Approach, Directions Policy, and plans for the development of a 3-year Integrated Workforce Plan agreed by the IJB on 15 December 2021, along with implications associated with the Scottish Government consultation on the National Care Review, provide the opportunity to refresh the IJB Strategic Risk Register to ensure it remains an effective management tool. This aim is to ensure that the IJB Strategic Risk Register clearly sets out to all stakeholders the strategic risks and the mitigating actions associated with the achievement of objectives and priorities within the IJB Strategic Commissioning Plan.
- 2.7 The IJB Strategic Risk Register will continue to be reviewed by the IJB Chief Officer on a quarterly basis with support from the SBC Corporate Risk Officer.