

*Scottish Borders Health & Social Care
Integration Joint Board*



Meeting Date: 15 June 2022

Report By:	Chris Myers, Chief Officer Health & Social Care
Contact:	Jill Stacey (Chief Officer, Audit and Risk) Emily Elder (Corporate Risk Officer)
Telephone:	Jill Stacey – 01835 825036 Emily Elder -01835 824000 Ext: 5818
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) Note the progress made to reframe the IJB Strategic Risk Register to reflect the remit of the IJB; b) Note that the previous risks contained in the IJB Strategic Risk Register have been archived as they focus on partnership risks; c) Note that a further risk update will be provided in September and December 2022.
Personnel:	In line with the role and responsibilities, the IJB's Chief Officer carried out a review of the IJB Strategic Risk Register on 6 th December 2021 and on 25 th March 2022 and since then has been reframing the IJB Risk Register to better reflect the role and remit of the IJB, 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 the 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 meant that the first formal report of 2021 was presented to the Board on 22nd September 2021, delayed from June 2021. In line with the agreed structure the second most recent report was presented on 15th December 2021, and is followed by this report on 15th June 2022.







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's 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 previous IJB Chief Officer carried out a management review of the risk register in February, May and August 2021 and the new IJB Chief Officer carried out a review in December 2021 and most recently on 25th March 2022. At this most recent review the decision was taken to reframe the IJB Strategic Risk Register to better reflect the role, remit and strategic objectives of the IJB rather than focusing on risks which are essentially partnership considerations. Work has been underway since March 2022 to develop a new suite of risks which will support and underpin the objectives of integration while continuing to take into consideration the impacts of Covid-19 and, furthermore, give reference to key policy revisions that will ultimately have a positive bearing on governance, commissioning and service delivery arrangements. This work continues to be undertaken by the IJB's Chief Officer in line with his role and responsibilities, supported by SBC's Corporate Risk Officer and it should be noted that reframing the risk register with the inclusion of new risks takes significantly more time than it does to review existing risks.
- 3.3 Building on the last report to the IJB in December 2021 the potential impacts for the IJB and delegated services arising from the Scottish Government's consultation on the National Care Review continue to be a consideration when evaluating the IJB's





risk landscape. The same is true of the ongoing impacts of the Covid-19 pandemic and the UK's exit from the EU e.g. the increasing demand for H&SC services (partly attributed to a build-up of need during Covid-19 lockdowns and restrictions) and the decreasing workforce pool that can be utilised by partners to achieve the objectives of the IJB (partly, attributable to the UK's exit from the EU and the demand for staff in other sectors such as hospitality). Furthermore, the IJB Chief Officer continues to remain alert to risks being faced by Scotland's other IJBs to ensure awareness of the types of risks that may threaten the objectives of the SBIJB.




- 3.4 The Risk Management Policy Statement states that: "The IJB will continue to systematically identify, analyse, evaluate, control and monitor those risks that potentially endanger or have a detrimental effect upon its people, property, reputation and financial stability..." Part of this systematic and continuous process involves revisiting the Strategic Risk Register at regular intervals to assess its continued relevance and where appropriate make changes to ensure that it remains reflective of the IJB's aims and objectives and captures and manages those risks that threaten their achievement. In the same vein this continuous process requires that risks which are no longer relevant should be retired but retained to ensure that an effective audit trail is maintained.
- 3.5 A summary of the progress made to reframe 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 presented below in addition to those risks which are to be archived as they have a stronger focus on partner considerations rather than the role and remit of the IJB as a separate entity. Although nearing its final stages, work to reframe the Strategic Risk Register is still in progress and as such it is intended that a second report is presented to the IJB at its meeting on 21 September 2022 at which point a more detailed summary of those risks will be provided.
- 3.6 Seven new risks have been identified and where relevant have carried forward aspects of the original ten risks in the form of risk factors, consequences, internal controls and mitigating actions.
- 3.7 The previous suite of ten IJB Strategic Risks, identified in 2018, which have been archived are as follows:

Risk Title	Risk Description	Risk Score
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.	4 Major – Remote 
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 
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	16 Major – Likely 
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	12 Moderate – Likely 

	their part in delivering the partnership's strategic objectives.	
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.	16 Major – Likely 
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 
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.	20 Catastrophic – Likely 
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 
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 
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 

- 3.8 A reframed suite of IJB Strategic Risks have been identified along with the risk causes/factors, consequences, internal controls and mitigating actions. As risk management is an iterative process these will continue to be developed, managed, monitored and presented to the IJB in line with agreed reporting arrangements, the risks are as follows:

Risk Title	Risk Description	Risk Score
Strategic Objectives	Failure to deliver the SBIJB strategic objectives could lead to the inability of the IJB to deliver the intended health and wellbeing outcomes and achieve the core aims of integration for the Scottish Borders population.	9 Moderate – Possible 
Budget	If we fail to ensure the effective delivery of outcomes/delegated services within the available budgets then it could lead to poorer outcomes and an inability to deliver the Strategic Commissioning Plan.	20 Major – Almost Certain 
Issuing of Directions	If the Directions issued by the IJB are unclear or are not implemented by partners then it may adversely impact on outcomes, resources and on the principles of integration.	12 Major – Possible 
Operating as a Separate Entity	If the IJB does not operate effectively as a separate entity then it could result in a failure to deliver the principles of integration and achieve its objectives.	16 Major – Likely 

Infrastructure	If the IJB lacks the professional, administrative and technical infrastructure to operate effectively it could result in failures of planning, governance, scrutiny and performance arrangements.	16 Major – Likely 
Resources	If the IJB fails to make best use of the expertise, experience and creativity of its communities then it could result in negative impacts to the delivery of its strategic outcomes and poor relationships with its communities.	12 Major – Possible 
Legislative/Regulatory Compliance	If the IJB fails to comply with legislative and regulatory requirements it could lead to legal breaches and result in fines and/or prosecution.	10 Catastrophic – Unlikely 

- 3.9 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 identified, managed and monitored.
- 3.10 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.
- 3.11 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 September 2022 along with a summary of the reframed IJB Strategic Risk Register and then in December 2022 (reflecting the six monthly reporting arrangements as detailed in the IJB’s Risk Management Policy and Strategy).