

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



Meeting Date: 20 March 2023

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IJB RISK MANAGEMENT UPDATE 2022/23	
Purpose of Report:	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.
Recommendations:	The Health & Social Care Integration Joint Board Audit Committee is asked to: <ul style="list-style-type: none"> a) Note that a refresh of the IJB Strategic Risk Register has been undertaken to better reflect the role and remit of the IJB, support and underpin the objectives of integration and reflect significant and strategic local and national developments. b) Acknowledge the improvements in the application of risk management within the IJB, in accordance with the IJB Risk Management Policy and Strategy. c) Note the benefits for the IJB that accrue from more systematic and assured risk management.
Personnel:	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.
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 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.
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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.

Application of Risk Management within the IJB

- 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 IJB Chief Officer carried out a management review of the previous iteration of the risk register in December 2021 and again on 25 March 2022. This was followed by a series of development sessions between May and July 2022 to reframe the Strategic IJB Risk Register to better reflect the role and remit of the IJB and support and underpin the objectives of integration, retaining all relevant elements from the original risk register before its deactivation.
- 2.2 The first formal report of 2022, presented to the IJB Board on 15 June 2022, detailed the progress that had been made in reframing the risk register to that date. The most recent review of the risk register took place between 7 & 16 December 2022, and constituted a first full review of the reframed IJB Strategic Risk Register since development work was undertaken earlier in 2022. This most recent review also had a focus on finalising the development of an eighth risk, reflecting Scottish Government's proposed introduction of a National Care Service for Scotland.

- 2.3 As noted above, the review in December 2022 constituted a first full review of the reframed IJB Risk Register. However, as the IJB and its delegated services operate in an ever changing landscape, the IJB Chief Officer continues to evaluate this landscape and reflect necessary considerations within the IJB Strategic Risk Register. As touched upon above, this has included a focus on the potential impacts arising from the Scottish Government's consultation on the National Care Review. Further considerations relate to, for example, the ongoing impacts of the Covid-19 pandemic and the UK's exit from the EU e.g. the increasing demand for Health & Social Care services (partly attributed to a build-up of need during Covid-19 lockdowns and restrictions) and the decreasing workforce pool that can be deployed by Partners to achieve the objectives of the IJB.
- 2.4 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.
- 2.5 The Risk Management Policy and Strategy states that six monthly risk reviews should be presented to the IJB Board in June and December each year. The disruption caused by Covid-19 during 2020 and 2021 have not been replicated during the course of 2022. The first Strategic Risk Register Update of 2022, which was presented to the IJB Board as expected on 15 June 2022, reflected the progress made to reframe the IJB Strategic Risk Register. The report provided a summary of the new strategic risks, associated with the achievement of objectives and priorities within the IJB's Strategic Commissioning Plan. The second Strategic Risk Register Update of 2022, which was due to be presented in December 2022, was included in the Agenda for the IJB Board in January 2023, though has been delayed to March 2023 due to the need to prioritise other significant business items for Board consideration.
- 2.6 The six monthly Strategic Risk Register Updates 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.
- 2.7 The IJB Strategic Risk Register will continue to be reviewed by the IJB Chief Officer and the IJB Chief Financial Officer on a quarterly basis with support from the SBC Corporate Risk Officer and in collaboration with NHS Borders Risk Manager.