

Scottish Borders Health and Social Care Partnership Integration Joint Board

15 November 2023

IJB STRATEGIC RISK UPDATE

Report by: Chris Myers, Integration Joint Board Chief Officer



1. PURPOSE AND SUMMARY

- 1.1. **The purpose of this report is to provide Members of the Board with an update on 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.**
- 1.2. This report details work that has been undertaken to refresh and reframe the IJB Strategic Risk Register, following the approval of the Scottish Borders Health and Social Care Strategic Framework 2023-2026 at the meeting of the Integration Joint Board on 15 March 2023, to ensure alignment between the Strategic Risk Register and the Strategic Issues and Outcomes set out in the Framework.
- 1.3. This report will highlight changes to the IJB Strategic Risk Register resulting from the work detailed above and identify where risks have been retired, amalgamated, or newly identified and developed. An overview of any significant changes to those risks which predated the refresh and have since been retained, will also be provided.
- 1.4. Finally, this report includes Appendix 1 which is an IJB Summary Risk Register.

2. RECOMMENDATIONS

- 2.1. **The Scottish Borders Health and Social Care Integration Joint Board is asked to: -**
 - a) Consider the reframed and refreshed IJB Strategic Risk Register to ensure it covers the key risks to the IJB;
 - b) Note the work in progress to manage the risks;
 - c) Note that a further risk update will be provided in 2024.

3. ALIGNMENT TO STRATEGIC OBJECTIVES AND WAYS OF WORKING

- 3.1. It is expected that the proposal will impact on the Health and Social Care (H&SC) Strategic Framework Objectives and Ways of Working as indicated below because the application of sound risk management practices, through the management and review of the refreshed IJB Strategic Risk Register will underpin, support, and facilitate their achievement.

Alignment to our strategic objectives					
Rising to the workforce challenge	Improving access	Focusing on early intervention and prevention	Supporting unpaid carers	Improving our effectiveness and thinking differently to meet need with less	Reducing poverty and inequalities
X	X	X	X	X	X

Alignment to our ways of working					
People at the heart of everything we do	Good agile teamwork and ways of working – Team Borders approach	Delivering quality, sustainable, seamless services	Dignity and respect	Care and compassion	Inclusive co-productive and fair with openness, honesty and responsibility
X	X	X	X	X	X

4. INTEGRATION JOINT BOARD DIRECTION

4.1. A Direction is not required.

5. BACKGROUND

- 5.1. The IJB, as strategic commissioner of health and social care services, gives directions to NHS Borders (NHSB) and Scottish Borders Council (SBC) 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.
- 5.2. 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. The current Risk Management Policy and Risk Management Strategy were approved by the IJB on 19 August 2020.
- 5.3. 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.
- 5.4. The Risk Management Policy and Strategy states that six monthly risk reviews should be presented to the Board each year. The first report of 2023 was a delayed report from December 2022 and was presented on the 15 March 2023, outlining the progress made during December 2022 to review the IJB Strategic Risk Register. The first formal report of 2023 has been delayed from June 2023 to November 2023 to allow time to be spent on refreshing and reframing the risk register to better align it with the Strategic Objectives set out in the H&SC Strategic Framework 2023-2026. Given the timing of the first formal report of 2023 it is anticipated that the next update will be provided in the first half of 2024, in line with the Risk Management Policy and Strategy.

6. IJB RISK MANAGEMENT ARRANGEMENTS

- 6.1. 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.
- 6.2. Building on the above, 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 archived to ensure that an effective audit trail is maintained.
- 6.3. The IJB Chief Officer carried out a management review of the previous iteration of the Strategic Risk Register in December 2022, and this was then presented to the IJB Board at its meeting on 15 March 2023. Following the approval of the H&SC Strategic Framework 2023-2026 at the same meeting in March, risk management discussions have taken place at various intervals throughout 2023, prior to formal development sessions being held in October 2023. As part of the development of the Strategic Framework, the Strategic Objectives were identified to mitigate the 'mission critical' strategic risks and issues impacting on the delivery of the HSCP and on the health and wellbeing outcomes of our population. As indicated in paragraph 5.4 the purpose of these sessions was to reframe and refresh the IJB Strategic Risk Register to ensure strong alignment with the role and remit of the IJB, support and underpin the objectives of integration and the specific Strategic Objectives identified in the Framework.
- 6.4. As the management of risk is an iterative process, the IJB Strategic Risk Register is not a static document and will continue to evolve over time to reflect new and emerging threats and opportunities as well as any new strategic objectives set out in future iterations of the Health & Social Care Strategic Framework.
- 6.5. To facilitate stronger and more cohesive partnership working between the IJB, NHSB and SBC, in the context of risk management, NHSB's Risk Manager has been included in both the discussions held in relation to the IJB Strategic Risk Register during 2023 as well as the risk register development sessions held in October 2023. This new approach has been beneficial in that it has enabled the risk register to be refreshed with input from all three partners and nurture a shared sense of ownership in terms of the work progressed by partners and the impact this then has on the management of IJB Strategic Risks.
- 6.6. To further support and enhance partnership working, an Integrated Risk Forum was established during Summer 2023. The Forum meets monthly and is attended by SBC's Chief Officer Audit & Risk, SBC's Corporate Risk Officer and NHSB's Risk Manager. The Forum enables its members to learn about the risk management arrangements in place within the two organisations, share best practice knowledge and expertise and undertake engagement on key pieces of work such as reviewing and updating the IJB's Risk Management Policy Statement and Strategy. It is envisaged that the creation of this Forum and the close partnership working it enables will ultimately support and enhance the effective management of IJB Risks and the achievement of its Strategic Objectives.










7. RECENT RISK DEVELOPEMNT & REVIEW ACTIVITY

7.1. A high-level summary of the IJB’s Strategic Risk Register, which sets out the Risks associated with the achievement of Strategic Objectives within the Strategic Framework, is shown in Appendix 1. Following the development sessions undertaken in October 2023 there are now nine risks on the IJB Strategic Risk Register, four of which have been retained from the previous iteration of the risk register and five of which have been newly developed to support the delivery of those IJB Strategic Objectives not previously reflected on the risk register. The following tables illustrate the changes made to the risk register.

7.2. Table 1.1 illustrates the previous iteration of the IJB Strategic Risk Register, as presented to the IJB at its meeting on 15 March 2023, and details where risks have been retained, amalgamated, or retired following the refresh of the Risk Register in October 2023:

Risk Title	Risk Description	Notes
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.	Risk retired as Strategic Objectives are now reflected as individual risks on the Risk Register.
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.	Risk retained but has been renamed to “Increasing Demand & Financial Constraints” and the risk Description and subsequent focus of the risk has been enhanced.
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.	Risk amalgamated with “Operating as a Separate Entity” and retired as a separate risk.
Operating as a Separate Entity	If the IJB does not operate effectively as a separate entity in partnership with communities, the Council, and the Health Board, then it could result in a failure to deliver the principles of integration and achieve its objectives.	Risk retained but has been updated to subsume within it the “Issuing of Directions” risk and elements of the “Infrastructure” risk. Risk renamed and enhanced following this amalgamation.
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.	Risk retired as a separate risk and subsumed within the “Operating as a Separate Entity” risk and new risk “Rising to the Workforce Challenge”.
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.	Risk retired as a separate risk and subsumed within new risk “Poverty & Inequalities”.
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.	Risk retained.
National Care Service Bill	SG’s National Care Service Bill (ultimately disbanding Scottish IJBs) could result in partners ceasing to engage with the IJB, subsequently leading to negative impacts on the achievement of IJB objectives and the communities it serves.	Risk retained.

7.3. Table 1.2 illustrates the updated IJB Strategic Risk Register for noting by the Board, following its refresh in October 2023:

Risk Title	Risk Description	Current Risk Score
Increasing Demand & Financial Constraints	If we fail to ensure the effective and efficient delivery of delegated services within available budgets, in the context of increasing demand and resource constraints, then it could lead to poorer Health & Wellbeing Outcomes for the population and result in an inability to support the achievement of the Objectives contained within the Strategic Framework.	25 Almost Certain – Catastrophic 
Operating as a Separate Entity & Close Partnership Working	If the IJB does not operate effectively as a separate entity in partnership with Communities, the Council and the Health Board then there could be a failure in the delivery of the principles of integration and we may not achieve our objectives or deliver positive outcomes.	9 Possible – Moderate 
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.	8 Unlikely – Major 
National Care Service Bill	SG’s National Care Service Bill (ultimately disbanding Scottish IJBs) could result in partners ceasing to engage with the IJB, subsequently leading to negative impacts on the achievement of IJB objectives and the communities it serves.	6 Unlikely – Moderate 
Improving Access to Services	If we do not resolve long waiting times for services (incl. preventative services) then this will adversely impact upon the health and wellbeing outcomes of our communities and could result in inequalities, loss of confidence in the Health & Social Care Partnership. As a result population need could become more acute and we could see a deterioration in outcomes and an increase in resource use.	16 Likely – Major 
Rising to the Workforce Challenge	If the market and workforce conditions in the Scottish Borders are not conducive to attract and sustain External Providers, sufficient salaried workforce and NHS & SBC staff then there is a risk that H&SC provision will be challenging to sustain, resulting in an inability to provide appropriate H&SC services for our population and increased Health Board & Council service provision. This will result in associated increased resource use and negatively impact on people’s health and wellbeing, leading to increased failure demand.	16 Likely – Major 
Prevention & Early Intervention	If we fail to evolve from a focus on crisis management to having a strong focus on prevention and early intervention then there is a risk that the health and wellbeing of the population deteriorates resulting in poorer outcomes for the population, increased resources in terms of service delivery and reputational damage.	12 Possible – Major 
Supporting Unpaid Carers by getting Services for the cared for right	If we do not appropriately support the ‘cared for’ then there is a risk that the health and wellbeing of unpaid carers is negatively affected leading to poorer outcomes, increased demand for care & health support services and increased partnership resource requirements to support this.	16 Likely – Major 
Poverty & Inequalities	A rise in poverty and inequalities, linked to the current economic climate, could lead to an increase in inequality and worsening health and wellbeing amongst our population with poorer outcomes, greater need and higher resource requirements to address this need. This could be compounded if we fail to make best use of community assets and improve the social determinants of health.	12 Possible – Major 

7.4. The following paragraphs detail any significant changes to those risks which have been retained from the previous iteration of the risk register following their review in October 2023:

- 7.4.1. IJB Risk 002 (Increasing Demand & Financial Constraints) has increased from a risk score of 16 (Red) to 25 (Red). The Likelihood of the risk materialising has been reassessed at the most recent review and changed from 4 (Likely) to 5 (Almost Certain) in light of the risk that currently exists in relation to the delivery of Health savings and because the overspends in the set-aside functions have increased. In addition, the Impact of the risk should it materialise has been reassessed and changed from 4 (Major) to 5 (Catastrophic) to better reflect the consequences that could emerge at this juncture in relation to finances. Following the refresh of the Strategic IJB Risk Register in line with the H&SC Strategic Framework, a number of new Internal Controls and Mitigation Actions have been identified and added to this risk, which, once strengthened or completed, will aid in reducing the Current Risk Score to a more tolerable level. This will be supported by the completion of several actions contained within the Annual Delivery Plan (ADP) that relate to improving the effectiveness and efficiency of the H&SC Partnership.
- 7.4.2. IJB Risk 004 (Operating as a Separate Entity & Close Partnership Working) has increased from a risk score of 6 (Amber) to 9 (Amber). Specifically, the Likelihood of the risk materialising has been amended following the amalgamation of risk "Infrastructure" given that this risk was assessed as having a Likelihood of 4 (Likely) and now features as a key component of IJB Risk 004. It should be noted though that significant work has been undertaken to reposition the IJB into the centre of decision making in partnership with NHSB, SBC and relevant communities. There is now one Strategic Framework (2023-26) for the H&SC Partnership and work has also been undertaken in the development of the H&SC Joint Executive Team. Directions are routinely used to clarify the 'ask' of the IJB and there are strong underpinning approaches in place across the Risk, Finance, Communications & Engagement, Equality & Human Rights, Planning and Digital landscapes to support the work of the IJB and the H&SC Partnership.
- 7.4.3. IJB Risk 007 (Legislative/Regulatory Compliance) has decreased from a risk score of 12 (Amber) to 8 (Amber) with the Likelihood of the risk materialising reassessed and changed from 3 (Possible) to 2 (Unlikely). This change has been made to reflect the significantly improving picture in this area in terms of the progress made with Linked Actions, the identification of additional Fully Effective Controls, and improved awareness at both Board and Partnership level in relation to specific elements of legislative and regulatory compliance e.g. Integrated Impact Assessments and the Community Empowerment Act 2015 etc.
- 7.4.4. Finally, IJB Risk 008 (National Care Service Bill) has decreased from a risk score of 12 (Amber) to 6 (Amber) with both the Likelihood of the risk materialising and the impact should it materialise being revised downwards from 3 (Possible) to 2 (Unlikely) and 4 (Major) to 3 (Moderate), respectively. This change reflects joint local representations to the Scottish Parliament, Scottish Government and COSLA; and the recent Verity House Agreement which looks at closer co-operation between national and local government. This has resulted in a significant change to this risk as there is now an agreement that staff and revenue & capital budgets will remain with local government while the legal accountability for Adult Social Work and Social Care will sit between national and local government. It is now likely that the work of Integration Joint Boards will be constructively reformed in line with the Bill that remains in development.

8. Community Health and Wellbeing Outcomes

8.1. The refresh and reframing of the IJB Strategic Risk Register to align it with the H&SC Strategic Framework 2023-2026 will support the delivery of all Community Health and Wellbeing Outcomes through the effective management of associated risks and the progression of actions that will underpin their achievement.

N	Outcome description	Increase / Decrease / No impact
1	People can look after and improve their own health and wellbeing thus live in good health for longer.	Delivery supported by IJB Strategic Risk Register.
2	People, including those with disabilities or long-term conditions, or who are frail, can live, as far as reasonably practicable, independently and at home or in a homely setting in their community.	Delivery supported by IJB Strategic Risk Register.
3	People who use health and social care services have positive experiences of those services, and have their dignity respected.	Delivery supported by IJB Strategic Risk Register.
4	Health and social care services are centred on helping to maintain or improve the quality of life of people who use those services.	Delivery supported by IJB Strategic Risk Register.
5	Health and social care services contribute to reducing health inequalities.	Delivery supported by IJB Strategic Risk Register.
6	People who provide unpaid care are supported to look after their own health and wellbeing, including to reduce any negative impact of their caring role on their own health and well-being.	Delivery supported by IJB Strategic Risk Register.
7	People who use health and social care services are safe from harm.	Delivery supported by IJB Strategic Risk Register.
8	People who work in health and social care services feel engaged with the work they do and are supported to continuously improve the information, support, care, and treatment they provide.	Delivery supported by IJB Strategic Risk Register.
9	Resources are used effectively and efficiently in the provision of health and social care services.	Delivery supported by IJB Strategic Risk Register.

8.2. The purpose of this report is to provide the IJB with an update on 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. There are no identifiable actions or recommendations contained within the report that will have a direct bearing on other local outcomes.

Financial impacts

8.3. There are no costs attached to any of the recommendations contained in this report.

Equality, Human Rights and Fairer Scotland Duty

8.4. There are no equalities impacts arising from the report.

Legislative considerations

- 8.5. 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.

Climate Change and Sustainability

- 8.6. There are no climate change or sustainability impacts arising from this report.

Risk and Mitigations

- 8.7. This report is concerned with providing the IJB with an update on the progress made to refresh and review the IJB Strategic Risk Register. 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.

9. CONSULTATION

Communities consulted:

- 9.1. While there has been no requirement to undertake formal consultation regarding this report, engagement has taken place with several identified H&SC Partnership staff to seek their views and input on the refreshed IJB Strategic Risk Register. This engagement will continue over the coming months and years as the risk register evolves and the key aims of doing so are to raise awareness of IJB Risk Management arrangements, help to nurture shared ownership of Strategic IJB Risks and provide ongoing opportunities for feedback.

Integration Joint Board Officers consulted:

- 9.2. The refresh and review of the IJB Strategic Risk Register has been undertaken in collaboration with the IJB Chief Officer and the Risk Manager of NHS Borders.

Approved by:

Chris Myers, Integration Joint Board Chief Officer

Author(s):

Chris Myers (IJB Chief Officer)
Jill Stacey (SBC Chief Officer, Audit and Risk; IJB Chief Internal Auditor)
Emily Elder (SBC Corporate Risk Officer)

Background Papers: There are no direct background papers relevant to this report but the previous Strategic Risk Register Update and Appendix 1 – IJB Summary Risk Register was presented to the IJB at its meeting on 15 March 2023 (Item 8).

Previous Minute Reference: As above, the previous Strategic Risk Register Update and Appendix 1 – IJB Summary Risk Register can be found contained within the Minutes of the meeting of the IJB on 15 March 2023 (Item 8).

For more information on this report, contact us at:

Jill Stacey (SBC Chief Officer, Audit and Risk; IJB Chief Internal Auditor) - 01835 825036
Emily Elder (SBC Corporate Risk Officer) - 01835 824000 Ext: 5818