



Scottish Borders  
**Health and Social Care**  
PARTNERSHIP

---

# Scottish Borders Integration Joint Board

---

## **Risk Management Strategy**

Version No.	2	Review Date:	10/02/20
Date Effective:			

## **CONTENTS**

1.	Introduction to the Strategic Approach to and Benefits of effective Risk Management .....	2
2.	Risk Management Strategy - Implementing Health and Social Care Integration for the Scottish Borders .....	3
2.1	Objectives.....	3
2.2	Governance Structure .....	3
	<i>Diagram 1: Integration Joint Board Governance Arrangements Source: Strategic Framework .....</i>	<i>3</i>
2.3	Risk Management Framework and Process.....	4
	<i>Diagram 2: Standard risk management process.....</i>	<i>4</i>
2.4	Partners Organisations as Enablers - Risk Perspective.....	5
2.4.1	Operational risks .....	5
2.4.2	Business continuity and resilience risks .....	5
2.5	Reporting of Risks to the Integration Joint Board .....	6
2.6	Monitoring Risk Management Activity and Performance.....	6
2.7	Strategy Review .....	6

Document Title:	Risk Management Strategy	Owner:	Chief Officer
Version No.	2	Superseded Version:	1.10
Date Effective:		Review Date:	November 2023

# 1. Introduction to the Strategic Approach to and Benefits of effective Risk Management

- 1.1** The Scottish Borders Integration Joint Board (IJB), as the strategic commissioning authority, is committed to providing safe and effective care and treatment for service users, and a safe environment for everyone working within or interacting with commissioned services.
- 1.2** The IJB supports a culture where the workforce is encouraged to develop new initiatives, improve performance and achieve objectives safely, effectively and efficiently by appropriate application of good risk management practices.
- 1.3** The IJB believes that appropriate application of good risk management practices will assist in the prevention or mitigation/minimisation of negative impacts and will increase success in the achievement of objectives and targets set in the Strategic Framework and Annual Delivery Plans, and ensure decision-makers are risk aware.
- 1.4** The IJB purposefully seeks to promote an environment that is risk 'aware' and strives to place risk management information at the heart of key decisions. This means that the IJB can take an effective approach to managing risk in a way that both addresses significant challenges and enables positive outcomes.
- 1.5** The IJB promotes the pursuit of opportunities that will benefit the delivery of the Strategic Framework. Opportunity-related risk must be carefully evaluated in the context of the anticipated benefits for service users, the IJB and other stakeholders.

## Key benefits of effective risk management:

- appropriate, defensible, timeous and best value decisions are made;
- risk 'aware' not risk 'averse' decisions are based on a balanced appraisal of risk and enable acceptance of certain risks in order to achieve a particular goal or reward;
- high achievement of objectives and targets;
- high levels of morale and productivity;
- better use and prioritisation of resources;
- high levels of user experience/satisfaction with a consequent reduction in adverse incidents, claims and/or litigation; and
- a positive reputation established for the Integration Joint Board.

Document Title:	Risk Management Strategy	Owner:	Chief Officer
Version No.	2	Superseded Version:	1.10
Date Effective:		Review Date:	November 2023

## 2. Risk Management Strategy - Implementing Health and Social Care Integration for the Scottish Borders

### 2.1 Objectives

This strategy takes a positive and holistic approach to risk management. The scope applies to all risks, whether relating to the clinical and care environment, employee safety and wellbeing, business objectives, opportunities or threats.

The primary objectives of this strategy are to:

- Ensure that the risk management framework is applied consistently and with appropriate oversight.
- Establish standards and principles for the efficient and effective management of risks affecting the delivery of the Scottish Borders Health and Social Care Strategic Framework, including regular monitoring, reporting and review.
- Identify how and what risk information will be reported to the Integration Joint Board (IJB).

### 2.2 Governance Structure

The Integration Joint Board (IJB) is responsible for the strategic planning of the functions delegated to it and the risks arising from that undertaking.

The IJB will identify any high level strategic risks.

The partner organisations Scottish Borders Council and NHS Borders will report any relevant risks via the reporting structures by having oversight of delivery and/or governance routes:

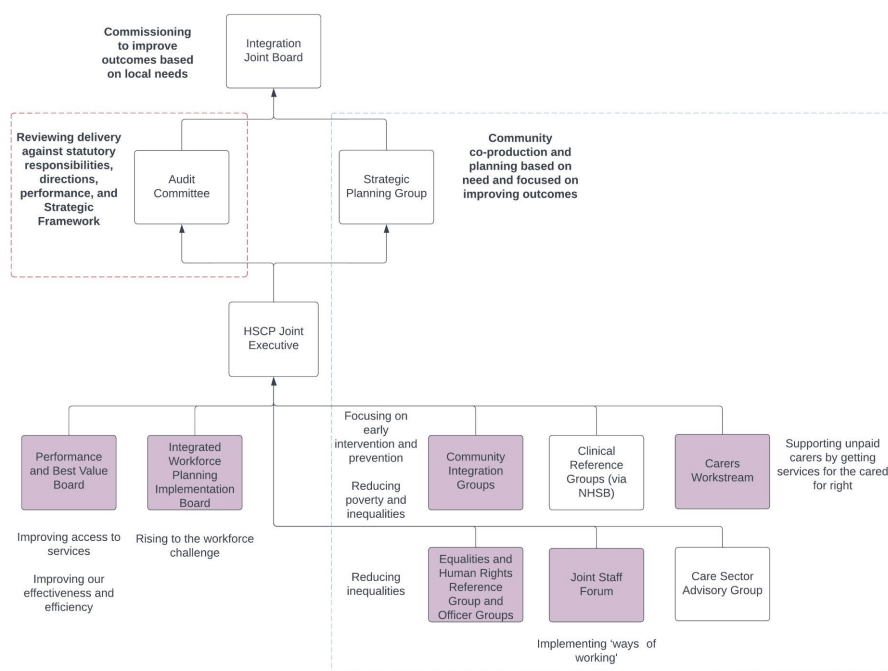


Diagram 1: Integration Joint Board Governance Arrangements Source: Strategic Framework

Document Title:	Risk Management Strategy	Owner:	Chief Officer
Version No.	2	Superseded Version:	1.10
Date Effective:		Review Date:	November 2023

## 2.3 Risk Management Framework and Process

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.

Risk Management is about the culture, processes and structures that are directed towards realising potential opportunities whilst managing adverse effects. It is proactive in understanding risk and uncertainty; it learns and builds upon existing good practice and is a continually evolving process that has an important role in ensuring that defensible and beneficial decisions are made.

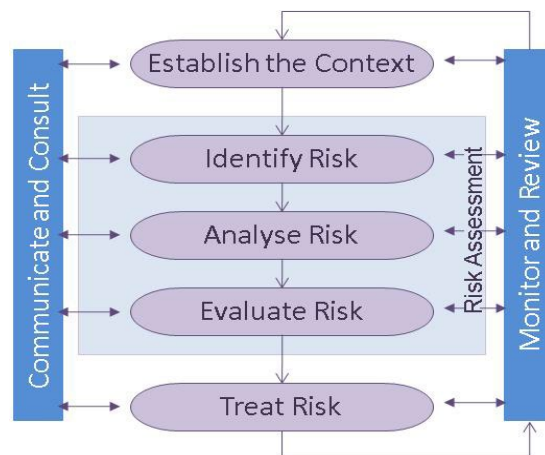


Diagram 2: Standard risk management process

For consistency the IJB will **adopt the standard risk management process** shown in the diagram 2. The standard as outlined makes clear that risk management is a dynamic process, with frequent review of existing risks and monitoring of the environment necessary to ensure the risks captured represent the current profile of the IJB.

**Risk management tools** for the purpose of supporting the risk management process (risk identification, analysis, evaluation, treatment and review) are being used by the IJB (i.e. Risk Identification Prompt List (PESTLE), Risk Matrix, and Process Guide). A **Risk Appetite** toolkit will be developed to ensure consistency of the approach to managing risks and to provide guidance on those levels of risks which are acceptable and those which are not in relation to any given Risk Category.

**The strategic risk register** will be held by the Integration Joint Board (IJB). Strategic risks represent the potential for the IJB to achieve (opportunity) or fail to meet (threat) its desired outcomes and objectives as set out within the Strategic Framework, and typically these risks require strategic leadership in the development of activities and the application of controls to manage the risks.

Document Title:	Risk Management Strategy	Owner:	Chief Officer
Version No.	2	Superseded Version:	1.10
Date Effective:		Review Date:	November 2023

## 2.4 Partners Organisations as Enablers - Risk Perspective

Effective communication of risk information across the services delivered under the direction of the Integration Joint Board is essential in developing a consistent and effective approach to managing the risks to the achievement of the IJB's strategic objectives.

It is the responsibility of the partner organisations to provide risk information as required by the IJB as part of monitoring arrangements and/or highlight any significant single risk arising that requires immediate notification to the IJB. This risk information will be communicated via the reporting structures and when necessary by the IJB Chief Officer.

An Integrated Risk Forum meets monthly, and is comprised of risk professionals from Scottish Borders Council (SBC) and NHS Borders, led by the Chief Officer Audit & Risk (SBC). The Forum enables its members to learn about the risk management arrangements in place within the Partner Organisations, share best practice knowledge and expertise, and undertake engagement on key pieces of work. The Forum, with the utilisation of risk information from partner organisations, will ultimately support and enhance the effective management of IJB Risks and the achievement of its Strategic Objectives.

It is the responsibility of the Partner Organisations to manage the following types of risks:

**2.4.1 Operational risks** associated with the delivery of services under the Direction of the IJB. These risks can arise from both an opportunity or threat. The development of actions and controls to respond to these risks will be led by managers and team leaders of the Partner Organisations. Where a number of operational risks impact across multiple service areas or, because of interdependencies, require more strategic leadership or significantly impact on the delivery of the IJB Strategic Framework, then these will be proposed for escalation to 'strategic risk' status for the IJB.

**2.4.2 Business continuity and resilience risks** associated with the delivery of services under the Direction of the IJB. Each Partner Organisation would be expected to have business continuity/resilience plans in place which are developed and tested in accordance with their respective internal corporate policies and arrangements.

Document Title:	Risk Management Strategy	Owner:	Chief Officer
Version No.	2	Superseded Version:	1.10
Date Effective:		Review Date:	November 2023

## 2.5 Reporting of Risks to the Integration Joint Board

The Chief Officer will deliver bi-annual strategic risk register updates to the Board, ensuring they have adequate oversight to fulfil their role and responsibility with regard to the management of risk.

The IJB will rely on assurance reports on the adequacy the effectiveness of risk management arrangements within the partner organisations, Scottish Borders Council and NHS Borders, pertaining to the relevant work streams under the strategic Directions of the IJB, presented to their respective Audit Committees (or equivalent).

## 2.6 Monitoring Risk Management Activity and Performance

Measuring, managing and monitoring risk management performance is key to the effective delivery of the objectives within the Strategic Framework helping to ensure that risk management adds value to the organisation's activities.

The Integration Joint Board (IJB) operates in a dynamic and challenging environment. The IJB Strategic Risk Register will be reviewed on a quarterly basis by the Chief Officer and Chief Financial Officer, with the input from Senior Managers as necessary. The quarterly review will include the identification and evaluation of any new or emerging risks. The regular risk review activity will ensure that any significant changes in the operating environment are reflected in the risk register.

As part of its planned assurance work for the IJB the Scottish Borders Council Internal Audit function will review the efficiency and effectiveness of Risk Management arrangements and associated internal controls put in place by Management and provide independent assurance on the effectiveness of the Risk Management Strategy and activities. This will form part of its assurance on the IJB's Corporate Governance arrangements that underpin the annual audit opinion reported to the IJB Audit Committee.

The IJB Audit Committee will scrutinise the adequacy and effectiveness of the IJB's risk management arrangements and consider the assurances on compliance with an appropriate risk management strategy within annual governance reports. Levels of assurance on the effectiveness of the management of IJB strategic risks, including any identified areas for improvement, will be reflected in the Annual Governance Statement.

## 2.7 Strategy Review

The Risk Management Policy, Strategy and process for the IJB will be reviewed annually to ensure their continued relevance and effectiveness. This strategy will be subject to document control, version control, and will be revised every three years to reflect changes in legislation, risk management best practice, and significant changes in corporate governance.

The Strategy (version 2) was approved by the Integration Joint Board at its meeting of.....

Document Title:	Risk Management Strategy	Owner:	Chief Officer
Version No.	2	Superseded Version:	1.10
Date Effective:		Review Date:	November 2023