



Dumfries and Galloway
Integration Joint Board
Audit and Risk Committee

10th June 2021

This Report relates to
Item 10 on the Agenda

IJB Corporate Risk Register

Paper presented by Alison Warrick

For Discussion/Noting

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Approved for Submission by:	Katy Kerr, Chief Finance Officer katy.kerr@nhs.scot
List of Background Papers:	N/A
Appendices:	Appendix 1 – IJB Corporate Risk Register

1. Introduction

1.1 The Integration Joint Board has a responsibility to review and assess the risks within its Corporate Risk Register, however, this has been delegated to the IJB Audit and Risk Committee who are tasked with ensuring the effectiveness of all risks and that they are adequately managed.

2. Recommendations

2.1 **The IJB Audit and Risk Committee is asked to:**

- **Discuss and note the Corporate Risk Register**

3. Background and Main Report

3.1 Following discussion at the IJB and the IJB Audit and Risk Committee a review of the current IJB Corporate Risk Register was undertaken and was then discussed via the Health and Social Care Executive Group.

3.2 It was previously agreed that the Corporate Governance Officer would meet with risk owners on a quarterly basis to review risks to ensure they continue to reflect current process, ensuring all hazards relating to the risks have been identified and that control measures are in place and have been highlighted to mitigate against the risk identified. However due to the Covid 19 pandemic this work has only recently commenced.

3.3 An update on the review of each risk has been undertaken and the Risk Register updated to reflect this. All risks will continue to be reviewed on a quarterly basis.

3.4 An additional risk has been added to the Register to reflect the issues relating to the ongoing issue of the inability to share data between practitioners which may compromise patient/service user care.

3.5 This issue is now being discussed through the Chief Officers Exec Group for Health and Social Care and will continue to be monitored by this Committee.

3.6 The revised IJB Corporate Risk Register attached at **Appendix 1** provides an overview of the description of the risk, the hazards which have been identified and the risk scoring, which determines whether the risks are scored as low, medium, high or very high.

3.7 The Corporate Risk Register contains 4 corporate risks which have now been added to the DATIX risk management system and are summarised as follows:

Risk Ref:	Risk	Control Measures	Risk Rating	Date to be reviewed
TBC	Sufficiency or stability of resource to meet the needs set out in the SCP	Standard Financial Instructions Contract monitoring process/team Council and NHS procurement HR/Workforce development plans, policies and procedures (local and regional) Governance arrangements – IJB Committees	Possible (3) X Moderate (3)	August 2021

		IJB Performance Framework HSG&P oversight of HSCP deliverables	= Medium (9)	
TBC	Failure to make progress against the nine National Health and Wellbeing Outcomes for Health and Social Care	Strategic Commissioning Plan Strategic Needs Assessment Sustainability and Modernisation Transformation Programme IJB Governance Structure IJB Performance Framework Directions Policy Financial Plan Integration Workforce Plan Annual Performance Report	Possible (3) X Moderate (3) = Medium (9)	August 2021
TBC	Failure to develop an adequate and effective Strategic Commissioning Plan	Strategic Commissioning Planning Process Strategic Planning and Commissioning Team Performance and Intelligence Team Public Health Team Financial modelling Workforce Planning Strategic Planning Group Carers Programme Board Volunteer Coordinator	Possible (3) X Moderate (3) = Medium (9)	August 2021
TBC	Inability to share data between practitioners which may compromise the quality of care and support	IJB Audit and Risk Committee Information Governance/Legal Department review of ISPs Data Sharing Board Local Authority Scrutiny Committee Chief Officers Group Annual and Interim Performance Reports	Possible (3) X Moderate (3) = Medium (9)	August 2021

3.8 The risk scoring for all four risks has been reduced due to further control measures being put in place. These will continue to be assessed as part of the quarterly review process.

3.9 It is anticipated that all IJB Corporate Risks will be added to the DATIX reporting system by the end of June 2021.

3.10 The Risk Register will be presented to the IJB on an annual basis at its November meeting, for discussion to ensure that the risks are aligned to the IJB priorities and Strategic Commissioning Plan.

3.11 Work has begun to review the existing IJB Risk Strategy with an updated risk statement planned to be drafted and presented at a future meeting.

4. Conclusions

4.1 Based on the information Members of the Committee are asked to discuss and note the IJB Corporate Risk Register.

5. Resource Implications

5.1 There are no resource implications as a result of this report.

6.	Impact on Integration Joint Board Outcomes, Priorities and Policy				
6.1	The IJB Risk Register takes into consideration the nine National Health and Wellbeing Outcomes for Health and Social Care.				
7.	Legal and Risk Implications				
7.1	There are no legal or risk implications identified within this report other than those which are included in the Risk Register.				
8.	Consultation				
8.1	The Risk Register has been discussed with the Health and Social Care Executive Group.				
9.	Equality and Human Rights Impact Assessment				
9.1	As this report does not propose a change in policy or strategy, an EQIA is not required.				
10.	Glossary				
10.1	All acronyms must be set out in full the first time they appear in a paper with the acronym following in brackets.				
	<table border="1"> <tr> <td>EQIA</td> <td>Equalities Impact Assessment</td> </tr> <tr> <td>IJB</td> <td>Integration Joint Board</td> </tr> </table>	EQIA	Equalities Impact Assessment	IJB	Integration Joint Board
EQIA	Equalities Impact Assessment				
IJB	Integration Joint Board				



Dumfries and Galloway Integration Joint Board

Corporate Risk Register

Document Control		Policy No:	TBC
Policy Group	IJB Governance Documents		
Author	Katy Kerr Alison Warrick	Version No:	0.4
Reviewer	Health and Social Care Executive Group IJB Audit and Risk Committee	Implementation Date:	April 2021
Status	Draft	Review Date:	July 2021
Approved By		Last Review Date:	Not Required
Impact Assessed	Not Required	Data Impact Assessed	Not Required

Version Control	Date	Summary of Changes	Name
0.1	10/2018	Initial Risks	Katy Lewis
0.2	17/03/2021	Revision following meeting with Vicky Freeman	Alison Warrick
0.3	09/04/2021	Revision following meeting with Katy Kerr/Graham Gault	Alison Warrick
0.4	01/06/2021	Update following comments from Health and Social Care Exec Group	Alison Warrick

Severity x Likelihood = Risk Criteria e.g. Moderate x Possible = Medium Risk	Likelihood of Occurrence Chance of event occurring within the next year				
	Rare <i>(Little chance of occurrence)</i> (can't believe this event would happen – will only happen in exceptional circumstances (5-10 years))	Unlikely <i>(Probably won't occur)</i> (not expected to happen, but definite potential exists – unlikely to occur (2-5 years))	Possible (<i>May occur</i>) (may occur occasionally, has happened before on occasions – reasonable chance of occurring (annually))	Likely <i>(Probably will occur)</i> (strong possibility that this could occur – likely to occur (quarterly))	Almost Certain (this is expected to occur frequently/ in most circumstances – more likely to occur than not (daily/weekly/ monthly))
Negligible, e.g. ♦ Minor injury, not requiring first aid ♦ No media coverage, little effect on staff morale ♦ Financial losses, damage or claims less than £1k ♦ Budgetary impact less than £10k ♦ No impact on service delivery ♦ Reduced quality of client experience	Low	Low	Low	Medium	Medium
Minor, e.g. ♦ Minor temporary injury or illness, first aid treatment required ♦ Local media short term coverage, minor effect on staff morale/public attitudes ♦ Unsatisfactory client experience directly related to patient care – rapidly resolvable ♦ Short term disruption to service with minor impact ♦ Financial loss £1k-£10k ♦ Budgetary impact £10k-£100k	Low	Low	Medium	Medium	Medium
Moderate, e.g. ♦ Significant injury or ill health requiring medical intervention – temporary incapacity ♦ Long term local media coverage, moderate impact on staff morale and public perception ♦ Client outcome or experience below reasonable expectations in a number of areas ♦ Some disruption in services with unacceptable impact on client care ♦ Financial loss £10K - £100K ♦ Budgetary impact £100k-£1m	Low	Medium	Medium	High	High
Major, e.g. ♦ Single avoidable death or long term incapacity or disability ♦ National media coverage, public confidence in the Organisation undermined ♦ Significant impact on ability to deliver service objectives, service may have to be discontinued ♦ Financial loss £100k-£1m ♦ Budgetary impact more than £1m	Medium	Medium	High	High	Very High
Extreme, e.g. ♦ Multiple or repeated avoidable fatalities or major permanent incapacity/disability ♦ National media coverage, public confidence in the Organisation undermined ♦ Sustained loss of service with serious impact on delivery of client care, major contingency plans invoked ♦ Corporate obligations not met ♦ Financial loss more than £1m ♦ Budgetary impact more than £1m	Medium	High	High	Very High	Very High
Low	Low: No additional risk controls required. The person responsible shall document assurance that existing controls or contingency plans remain effective and ensure any weaknesses are addressed				
Medium	Medium: Further action shall be taken to reduce the risk but the cost of control should be proportionate. The person responsible shall ensure additional risk control measures are introduced within a defined timescale. Assurance that risk controls or contingency plans are effective shall be documented and evaluated by the relevant Head of Service and any weaknesses addressed				
High	High: Further action, possibly urgent and requiring considerable resources, shall be taken to reduce the risk. Responsibility for introducing risk control measures within a set timescale shall be explicitly defined by the appropriate Director or General Manager and followed up through the performance review process. Assurance that risk controls or contingency plans are effective shall be documented and evaluated by the relevant Director or General Manager				
Very High	Very High: If confirmed to be unacceptable, the risk should be escalated immediately to Director level. An immediate action plan should be drawn up with Executive level leadership. If appropriate, suspension of the activity until the risk has been reduced should be considered. The risk and the action taken to reduce it to an acceptable level should be taken to the next available Board				

Ref: TBC

Date of Assessment: May 2021

Location	IJB	Department	Manager	Julie White	Assessors	H&SC Exec Group
Is Risk on Risk Register?		NO	YES		Ref No:	
Description of Operation/Activity/Task/Area/Environment/Issue					<i>Complete the relevant details of the activity or issue being addressed</i>	
Sufficiency or stability of resource - to meet needs set out in Strategic Commissioning Plan.						
Identify Hazards					<i>All hazards associated with the activity or issue should be entered here</i>	
<ul style="list-style-type: none"> • Insufficient Financial allocation to meet needs set out in Strategic Plan. • Inability of host organisations and partners to recruit to key positions to maintain service delivery and the triple aim (Improving experience of care through continually improving the quality and experience of care; improving health of the population and optimising financial return) • Capacity of people who deliver health and social Care and Support including unpaid carers. • Failure of IJB to meet financial constraints and ensure best value • Increase in demand • Failure to identify areas for disinvestment (that do not 'add value' from the point of view of the people using care and support) • Inability to realise disinvestment to enable effective reconfiguration of resources • Directions not used effectively 						
Individuals or Groups Exposed					<i>Highlight the people at risk and the likely maximum numbers exposed</i>	
Individuals and communities IJB, NHS, Local Authority						
Current Control Measures						
Standing Financial Instructions Contract monitoring process/team. Council & NHS procurement HR / Workforce development plans, policies and procedures(local and Regional) Governance arrangements – Performance and Finance; Audit & Risk Committee; Clinical and Care Governance IJB Performance Framework HSC Governance and Performance Group oversight of HSCP deliverables					<i>List current control measures, including physical controls but do not forget to include other controls including safe working procedures, information, instruction and training</i>	

INITIAL RISK RATING

Risk Rating Using information above and the risk matrix and taking into account the control measures in position, decide the Likelihood and Severity, and calculate the risk rating.	Likelihood Rarely happens Unlikely to occur Possibly can occur Likely to occur Almost certain	Severity Negligible injury, illness, loss Minor injury, illness, loss Moderate injury, illness, loss Major Injury, illness or loss Extreme loss, fatality, disaster	Rating R= L x S
Calculate Rating = Likelihood x Severity	Possible (3)	Major (4)	High (12)

Further Control Measures Required/Action Plan	<i>Include any additional controls identified to eliminate or reduce the risk further – or state whether the risks are already as low as reasonably practicable</i>
<ul style="list-style-type: none"> Maximising Return On Investment through improving quality, efficiency and decommissioning programmes Remodelling service delivery Encourage Positive Risk Taking behaviours Agree and promote Risk Tolerance Recruitment/Talent Management drivers stepped up HSCP will be monitored and HSCSMT. Delivery challenges will be fed back to IJB to inform commissioning plans Strengthening the links between Strategic Commissioning Plan and Financial Plan when developing Plans Effective implementation of the Strategic Commissioning Plan A clear set of directions relating to each delegated function 	

RE-ASSESSED RISK RATING

Risk Rating Using information above and the risk matrix and taking into account the further control measures in position again decide the Likelihood and Severity, and calculate the risk rating.	Likelihood Rarely happens Unlikely to occur Possibly can occur Likely to occur Almost certain	Severity Negligible injury, illness, loss Minor injury, illness, loss Moderate injury, illness, loss Major Injury, illness or loss Extreme loss, fatality, disaster	Rating R= L x S
Calculate Rating = Likelihood x Severity	Possible (3)	Moderate (3)	Medium (9)

Date:	May 2021	Review Date:	August 2021
Assessors Names:	Health and Social Care Exec Group		
Comments:	All risks will be discussed at each IJB Audit and Risk Committee		

Ref:

Date of Assessment: May 2021

Location	IJB	Department	Manager	Julie White	Assessors	H&SCEG
Is Risk on Risk Register?		NO		YES	Ref No:	
Description of Operation/Activity/Task/Area/Environment/Issue					<i>Complete the relevant details of the activity or issue being addressed</i>	
<p>Failure to make progress against nine National Health and Wellbeing Outcomes:</p> <ul style="list-style-type: none"> • Outcome 1: People are able to look after and improve their own health and wellbeing and live in good health for longer • Outcome 2: People, including those with disabilities or long term conditions, or who are frail, are able to live, as far as reasonably practicable, independently and at home or in a homely setting in their community • Outcome 3. People who use health and social care services have positive experiences of those services, and have their dignity respected • Outcome 4. Health and social care services are centred on helping to maintain or improve the quality of life of people who use those services • Outcome 5. Health and social care services contribute to reducing health inequalities • Outcome 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 • Outcome 7. People using health and social care services are safe from harm • Outcome 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 • Outcome 9. Resources are used effectively and efficiently in the provision of health and social care services 						
Identify Hazards					<i>All hazards associated with the activity or issue should be entered here</i>	
<ul style="list-style-type: none"> • Insufficient resource (people and £) • Inability to sufficiently influence partners / stakeholders • Failure to identify and tackle health inequalities • Strategic Commissioning Plan does not set an appropriate or adequate strategic vision, direction and or provide an adequate high level framework under which progress against the outcomes will be delivered • Failure of IJB to map performance against delivery of its own Strategic Commissioning Plan • Change in IJB culture insufficient to deliver against Nine National Outcomes • Failure to issue sufficient and appropriate Directions to partner agencies 						
Individuals or Groups Exposed					<i>Highlight the people at risk and the likely maximum numbers exposed</i>	
<ul style="list-style-type: none"> • IJB and Health and Social Care Partnership • People who use care and support, their families, communities, staff, Unpaid Carers, Vulnerable adults, Volunteers 						
Current Control Measures						
<ul style="list-style-type: none"> • Strategic Commissioning Plan • Strategic Needs Assessment • Sustainability and Modernisation Transformation Programme • IJB Governance Structures • Performance Framework • Directions Policy • Financial Plan 					<i>List current control measures, including physical controls but do not forget to include other controls including safe working procedures, information, instruction and training</i>	

<ul style="list-style-type: none"> Integration Workforce Plan Annual Performance Report 	
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INITIAL RISK RATING

Risk Rating Using information above and the risk matrix and taking into account the control measures in position, decide the Likelihood and Severity, and calculate the risk rating.	Likelihood Rarely happens Unlikely to occur Possibly can occur Likely to occur Almost certain	Severity Negligible injury, illness, loss Minor injury, illness, loss Moderate injury, illness, loss Major Injury, illness or loss Extreme loss, fatality, disaster	Rating R= L x S
Calculate Rating = Likelihood x Severity	Likely (4)	Moderate (3)	High (12)
Further Control Measures Required/Action Plan <ul style="list-style-type: none"> Sustainability and Modernisation Programme Plan Alignment with NHS and Adult Social Work Delivery Plans Alignment of Service, Workforce and Financial plans Protocol for Directions to NHS & Council to be further developed and implemented			<i>Include any additional controls identified to eliminate or reduce the risk further – or state whether the risks are already as low as reasonably practicable</i>
<ul style="list-style-type: none"> Continue to embed use of inequalities framework across the Partnership. 			

RE-ASSESSED RISK RATING

Risk Rating Using information above and the risk matrix and taking into account the further control measures in position again decide the Likelihood and Severity, and calculate the risk rating.	Likelihood Rarely happens Unlikely to occur Possibly can occur Likely to occur Almost certain	Severity Negligible injury, illness, loss Minor injury, illness, loss Moderate injury, illness, loss Major Injury, illness or loss Extreme loss, fatality, disaster	Rating R= L x S
Calculate Rating = Likelihood x Severity	Possible (3)	Moderate (3)	Medium (9)

Date:	May 2021	Review Date:	August 2021
Assessors Names:	Health and Social Care Exec Group		
Comments:	Discussed at each IJB Audit and Risk Committee		

Ref:

Date of Assessment: May 2021

Location	IJB	Department		Manager	Julie White	Assessors	HSCEG
Is Risk on Risk Register?		NO		YES		Ref No:	
Description of Operation/Activity/Task/Area/Environment/Issue						<i>Complete the relevant details of the activity or issue being addressed</i>	
Failure to develop an adequate and effective Strategic Commissioning Plan.							
Identify Hazards						<i>All hazards associated with the activity or issue should be entered here</i>	
<ul style="list-style-type: none"> • Demographics modelling insufficient / wrong • Failure to engage and consult with relevant stakeholders • Failure to establish and sustain three yearly cycle of strategic commissioning • Changes in political, social and economic context • Failure to develop an accurate Strategic Needs Assessment • Sustaining sufficient capacity within the Strategic Planning Team 							
Individuals or Groups Exposed						<i>Highlight the people at risk and the likely maximum numbers exposed</i>	
<ul style="list-style-type: none"> • IJB • Communities • Staff • Host organisations and Partners • People who use care and support and their families • Unpaid Carers • Vulnerable adults • Volunteers 							

Current Control Measures		
<ul style="list-style-type: none"> • Strategic Commissioning Planning Process • Strategic Planning and Commissioning Team • Performance and Intelligence Team • Public Health Team • Financial modelling • Workforce Planning • Strategic planning group • Carers Programme Board • Volunteer Co-ordinator 		<i>List current control measures, including physical controls but do not forget to include other controls including safe working procedures, information, instruction and training</i>

INITIAL RISK RATING

Risk Rating Using information above and the risk matrix and taking into account the control measures in position, decide the Likelihood and Severity, and calculate the risk rating.	Likelihood Rarely happens Unlikely to occur Possibly can occur Likely to occur Almost certain	Severity Negligible injury, illness, loss Minor injury, illness, loss Moderate injury, illness, loss Major Injury, illness or loss Extreme loss, fatality, disaster	Rating R= L x S
Calculate Rating = Likelihood x Severity	Likely (4)	Major or Moderate (3/4)	High (12 or 16)

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Further Control Measures Required/Action Plan	<i>Include any additional controls identified to eliminate or reduce the risk further – or state whether the risks are already as low as reasonably practicable</i>
<ul style="list-style-type: none"> • Role/Governance clarification between IJB/Health and Social Care Management Team/H&SC Partnership • Process to identify whole system priorities that enables IJB to make investment and disinvestment decisions to be developed • Further clarification / awareness of Strategic Commissioning Cycle • Refinement & clarification of the key documents required to enable the IJB to fulfil its role as strategic commissioning body • Further develop Leadership knowledge and behaviour around strategic commissioning • Identify/recruit Strategic Planning and Commissioning Managers to address issues of capacity 	

RE-ASSESSED RISK RATING

Risk Rating	Likelihood	Severity	Rating
Using information above and the risk matrix and taking into account the further control measures in position again decide the Likelihood and Severity, and calculate the risk rating.	Rarely happens Unlikely to occur Possibly can occur Likely to occur Almost certain	Negligible injury, illness, loss Minor injury, illness, loss Moderate injury, illness, loss Major Injury, illness or loss Extreme loss, fatality, disaster	R= L x S
Calculate Rating = Likelihood x Severity	Possible (3)	Moderate (3)	Medium (9)

Date:	May 2021	Review Date:	August 2021
Assessors Names:	Health and Social Care Exec Group		
Comments:	Monitored via IJB Audit and Risk Committee		

Location	IJB	Department		Manager	Graham Gault	Assessors	HSCEG
Is Risk on Risk Register?	NO		YES		Ref No:		
Description of Operation/Activity/Task/Area/Environment/Issue						<i>Complete the relevant details of the activity or issue being addressed</i>	
Inability to share data between practitioners which may compromise the quality of care and support							
Identify Hazards						<i>All hazards associated with the activity or issue should be entered here</i>	
<ul style="list-style-type: none"> • Front line practitioners do not have up to date information at point of care delivery. This can result in poor decision making • Lack of availability of real time information/communication may compromise care and support and limits the flexibility to redesign service models to deliver Home Teams • The use of separate IT systems makes integrated working operationally challenging • Insufficient resources to deliver the ambitions set out in the Strategic Commissioning Plan • No reassurance that the workforce is being deployed efficiently • Adult and Child Support and Protection assurances may not be as effective as required • Information Governance requirements may be compromised without agreed Information Sharing Protocols being established for the safe sharing of information 							
Individuals or Groups Exposed						<i>Highlight the people at risk and the likely maximum numbers exposed</i>	
Individuals and communities IJB, NHS, Local Authority							

Current Control Measures	
IJB Audit and Risk Committee Information Governance/Legal Department review of ISPs Data Sharing Board Local Authority Scrutiny Committee – Chief Officers Group Annual and Interim Performance Reports	<i>List current control measures, including physical controls but do not forget to include other controls including safe working procedures, information, instruction and training</i>

INITIAL RISK RATING

Risk Rating Using information above and the risk matrix and taking into account the control measures in position, decide the Likelihood and Severity, and calculate the risk rating.	Likelihood Rarely happens Unlikely to occur Possibly can occur Likely to occur Almost certain	Severity Negligible injury, illness, loss Minor injury, illness, loss Moderate injury, illness, loss Major Injury, illness or loss Extreme loss, fatality, disaster	Rating R= L x S S
Calculate Rating = Likelihood x Severity	Possible (3)	Major (4)	High (12)

Further Control Measures Required/Action Plan	<i>Include any additional controls identified to eliminate or reduce the risk further – or state whether the risks are already as low as reasonably practicable</i>
<ul style="list-style-type: none"> • Maximising Return On Investment through improving quality, efficiency and decommissioning programmes • Remodelling service delivery • Encourage Positive Risk Taking behaviours 	

<ul style="list-style-type: none"> • Agree and promote Risk Tolerance • Recruitment/Talent Management drivers stepped up • HSCP will be monitored and HSCSMT. Delivery challenges will be fed back to IJB to inform commissioning plans. 	
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RE-ASSESSED RISK RATING

Risk Rating Using information above and the risk matrix and taking into account the further control measures in position again decide the Likelihood and Severity, and calculate the risk rating.	Likelihood Rarely happens Unlikely to occur Possibly can occur Likely to occur Almost certain	Severity Negligible injury, illness, loss Minor injury, illness, loss Moderate injury, illness, loss Major Injury, illness or loss Extreme loss, fatality, disaster	Rating R= L x S
Calculate Rating = Likelihood x Severity	Possible (3)	Moderate (3)	Medium (9)

Date:	May 2021	Review Date:	August 2021
Assessors Names:	Health and Social Care Exec Group		
Comments:	This will be reported via the IJB Audit and Risk Committee at each meeting		