



Dumfries and Galloway
IJB Audit and Risk Committee

8th September 2022

This Report relates to
Item 5 on the Agenda

IJB Corporate Risk Report Update

Paper presented by Alison Warrick

For Approval and Discussion

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List of Background Papers:	Please add hyperlinks if available
Appendices:	Appendix 1 – IJB ‘At a Glance’ Risk Report

1. Introduction

1.1

1.2 The Integration Joint Board (IJB) has a responsibility to review and assess the risks within its Corporate Risk Register, which it has 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 At a Glance Corporate Risk Report at Appendix 1
- Approve that risks 3062 and 3063 are now closed
- Approve the content of Risk 3023

3. Background and Main Report

3.1 Since the last report to this Committee there have been a number of changes made to the IJB corporate risks. With 2 risks recommended for closure due these risks now resolved or the issue mitigated. These are:

3062 – Failure to deliver an adequate and effective Strategic Commissioning Plan –the Plan has now been delivered

3063 - Inability to share data between practitioners which may compromise patient/service user care – this is no longer issue and data is shared and a final update has been shared with Members.

3.2 Risk 3060 has had significant change and only recently has been rated Very High. This is recognising the scale of financial challenge for 2022/23 and the ongoing workforce challenges. This will be reviewed on a monthly basis with KK and an action plan will be devised to mitigate the risks further.

3.3 3061 – is managed as a medium risk. There is ongoing work being undertaken via the HSCP Delivery Plan, which is a live document and a piece of work with the Equality and Human Rights Commission is scheduled for late September, to ensure Impact Assessments are carried out appropriately. There is also work ongoing with Dumfries and Galloway Council's Head of Legal Services around legal consequences, which will be included as it is embedded.

3.4 Following discussion with the Director of Strategic Planning and Transformation an additional risk 3203 Failure to deliver the strategic direction and intentions set out within the Strategic Commissioning Plan has been added for your review and approval.

3.5 The revised IJB At a Glance 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.

3.6	Work continues to revise the IJB Risk Strategy, which is being led by KK, and once this piece of work is completed it will be shared with the IJB for Approval.				
4.	Conclusions				
4.1	Based on the information provided in this Report and Appendix 1 members of the IJB Audit and Risk Committee are asked to consider the changes made to the IJB Corporate Risk Register.				
5.	Resource Implications				
5.1	There are no resource implications within this report.				
5.2	Any resource implications identified within individual risks on the IJB Corporate Risk Register are being addressed on an individual basis.				
6.	Impact on Integration Joint Board Outcomes, Priorities and Policy				
6.1	The IJB Corporate Risk Register takes into consideration the nine National Health and Wellbeing Outcomes for Health and Social Care.				
6.2					
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	This Report has been shared with the Chief Finance Officer and an overall discussion on this Report has taken place via a committee pre-meet.				
9.	Equality and Human Rights Impact Assessment				
9.1	As the Report does not propose a change to policy or practice an Equality Impact Assessment 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				

IJB 'At a Glance' Risk Register
(updates since the last Report are highlighted in blue)

Risk No	Description of Risk including Hazards	Risk Owner	Current Controls	Likelihood	Severity	Rating	Additional Controls	Likelihood	Severity	Rating	Actions (from Additional Controls)
3060	<p>Sufficiency or stability of resource - to meet needs set out in Strategic Commissioning Plan.</p> <p>Hazards:</p> <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 	Katy Kerr	<ul style="list-style-type: none"> 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 (currently under review to be presented to the IJB in September) IJB Performance Framework HSC Governance and Performance Group oversight of HSCP deliverables Sustainability and Modernisation Programme Development of NHS Financial Recovery Programme Financial Recovery Board meets regularly Delivery plan links with workforce and financial plans New Strategic plan in place International recruitment to support workforce capacity gaps Workforce plan developed and signed off by IJB and all partners Development of HSCP delivery plan Links between Strategic Commissioning Plan, Workforce Plan and Financial Plan have been strengthened 	Possible (3)	Major (4)	High (12)	<ol style="list-style-type: none"> Review and remodelling service delivery to more sustainable models. Review and development of updated risk strategy and operational implementation of risk appetite work Recruitment/Talent Management drivers stepped up further to expand to HCSW HSCP will be monitored and H&SCG&P. 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 Ongoing work required around recruitment strategy and also financial recovery plan. Review and implementation of new Scheme of Delegation and Committee arrangements 	Almost Certain (5)	Major (4)	Very High (16)	To be completed

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3061	<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 <p>Hazards:</p> <ul style="list-style-type: none"> Insufficient resource (people and £) Inability to sufficiently influence partners / stakeholders Failure to identify and tackle 	Julie White	<ul style="list-style-type: none"> Strategic Commissioning Plan Strategic Needs Assessment Modernisation and Transformation Programme IJB Governance Structures – work will be presented to the IJB in September Performance Framework Directions Policy Financial Plan Integration Workforce Plan Annual Performance Report 	Likely (4)	Moderate (3)	High (12)	<ol style="list-style-type: none"> HSCP Delivery 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 (Directions Policy now approved by the IJB and a copy added to the risk) Continue to embed use of inequalities framework across the Partnership. Working with Equality and Human Rights Commission to provide education to staff Programme Boards have been re-established Financial Recovery Board already re-established Working with partners on the staff wellbeing agenda and ensuring this is undertaken 	Possible (3)	Moderate (3)	Medium (9)	<ol style="list-style-type: none"> Mapping health and wellbeing outcomes to the action in the HSCP Delivery Plan. Directions Policy now approved and added to the risk for information Programme Boards have been refreshed and Financial Recovery Board re-established.

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 (updates since the last Report are highlighted in blue)

Risk No	Description of Risk including Hazards	Risk Owner	Current Controls	Likelihood	Severity	Rating	Additional Controls	Likelihood	Severity	Rating	Actions (from Additional Controls)
3062	Failure to develop an adequate and effective Strategic Commissioning Plan. Hazards: <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 	David Rowland	<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 	Likely (4)	Major or Moderate(3 or 4)	High(12 or 16)	1. Role/Governance clarification between IJB/Health and Social Care Management Team/H&SC Partnership 2. Process to identify whole system priorities that enables IJB to make investment and disinvestment decisions to be developed 3. Further clarification / awareness of Strategic Commissioning Cycle 4. Refinement & clarification of the key documents required to enable the IJB to fulfil its role as strategic commissioning body 5. Further develop Leadership knowledge and behaviour around strategic commissioning 6. Identify/recruit Strategic Planning and Commissioning Managers to address issues of capacity	Possible (3)	Moderate (3)	Medium (9)	The Strategic Commissioning Plan has now been finalised and approved by the IJB therefore this risk is now closed.

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3063	<p>Inability to share data between practitioners which may compromise the quality of care and support</p> <ul style="list-style-type: none"> Hazards: 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 	Graham Gault	<ul style="list-style-type: none"> IJB Audit and Risk Committee Information Governance/Legal Department review of ISPs Data Sharing Board Local Authority Scrutiny Committee – Chief Officers Group General Manager ICT leading on resolving this 	Possible (3)	Major (4)	High (12)	<ol style="list-style-type: none"> All technical work has been completed and implemented in a live environment. Both parties are in a position where practitioners can define what happens next in terms of levels of data to be shared using the technology platform. This evidences a significant milestone in improving information data sharing. A Workshop was delivered on the 16th June 2021 where all participants were happy with the progress of the technical workstream. Future work is now underway to enhance data sharing under the direction of the new HOME TEAMS approach to delivering care. As of 24/07/2022 the ISP has been signed authorising access for DGC staff to use NHS systems. 	Possible (3)	Moderate (3)	Medium (9)	It is recommended that this risk now been closed as the risk of inability to share data is no longer an issue. The final update from Graham Gault has been circulated.

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Risk No	Description of Risk including Hazards	Risk Owner	Current Controls	Likelihood	Severity	Rating	Additional Controls	Likelihood	Severity	Rating	Actions (from Additional Controls)
3203	Failure to develop an adequate and effective Strategic Commissioning Plan. Hazards: <ul style="list-style-type: none"> Operational actions not being aligned to the Strategic Commissioning Plan Lack of robust governance arrangements to oversee and monitor delivery of the Plan Changes to national policy, strategy or direction Sufficient capacity within the Strategic Planning and Transformation Directorate to monitor and report progress Any major change to the financial situation across the Health and Social Care Partnership 	David Rowland	<ul style="list-style-type: none"> Establishing a HSCP Delivery Plan Monitoring arrangements in place Tying the financial aspects to the Financial Recovery Board The Strategic Planning and Transformation Directorate to continue to assess the input required to monitor progress 	Likely (4)	Major or Moderate(3 or 4)	High(12 or 16)	<ul style="list-style-type: none"> Progress and monitoring will be undertaken via the revised IJB Committee Structure This will also be progressed via the Governance and Performance Team Embed progress against the actions via 6 monthly reporting 	Possible (3)	Moderate (3)	Medium (9)	To be approved by the Committee