



Dumfries and Galloway
Integration Joint Board
Audit and Risk Committee

9th December 2021

This Report relates to
Item 7 on the Agenda

IJB Corporate Risk Register

Paper presented by Alison Warrick

For Discussion/Noting

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List of Background Papers:	N/A
Appendices:	Appendix 1 – At a Glance 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**
- **Discuss and note if any further risks are identified**

3. Background and Main Report

3.1 Further to the last Committee meeting in September a number of updates have been made to the Risk Register.

3.2 Work continues on the Actions arising from the risks which have been identified and these continue to be implemented.

3.3 As requested at the last Committee meeting an At A Glance template has been included to hopefully provide a more visual representation of the IJB Corporate Risk Register and to highlight the changes made since the last meeting. This is attached at **Appendix 1**

3.4 The table below summarises the current corporate risks:

Risk Ref:	Risk	Control Measures	Risk Rating	Date to be reviewed
3060	Sufficiency or stability of resource to meet the needs set out in the SCP	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 (work is due to begin in December)	Possible (3) X Moderate (3) = Medium (9)	February 2022
3061	Failure to make progress against the nine National Health and Wellbeing	Strategic Commissioning Plan Strategic Needs Assessment Sustainability and Modernisation	Possible (3)	May 2022

	Outcomes for Health and Social Care	Transformation Programme IJB Governance Structure IJB Performance Framework Directions Policy Financial Plan Integration Workforce Plan Annual Performance Report	X Moderate (3) = Medium (9)	
3062	Failure to develop an adequate and effective Strategic Commissioning Plan	Sustainability and Modernisation Programme Plan Alignment with NHS and Adult Social Work Delivery Plans Alignment of Service, Workforce and Financial Plans. Protocol for Direction to be development and implemented (now complete) Continue to embed use of inequalities framework across the HSCP Programme Board to be re-established by January 2022 Financial Recovery Board re-established (now complete)	Possible (3) X Moderate (3) = Medium (9)	May 2022
3063	Inability to share data between practitioners which may compromise the quality of care and support	All technical work has been complemented 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.	Possible (3) X Moderate (3) = Medium (9)	May 2022

3.5 There have been some significant changes made since the last report to Committee, in particular risk 3060 which highlights an increased level in the risk due to the significant pressures on workforce and finances during this time. However, Members will be pleased to hear that Risk 3063 regarding the inability to share data has moved on significantly with all technical aspects of this work now being completed.

3.6 Further controls have been added to Risk No 3061 with the re-established Financial Recovery Board and there are firm plans in place to establish the Programme Boards which will recommence in January.

3.7 Unfortunately Risk No 3062 has not been updated at this time due to the ongoing work with the Strategic Commissioning Plan, but assurance is given that this will be updated by the next meeting of the Committee.

3.8 Following discussion with KK we have agreed that going forward we will take the Risk Register to Health and Social Care Governance and Performance Group in order that they can provide an operational overview and feedback of the risks.

3.9 Members are welcome to bring forward any further aspects which they think should be included as a Risk on the Register for discussion by the Committee.

4. Conclusions

4.1 It is anticipated that Members will be reassured by the update to the Risk Register and are asked that if they feel there is a significant gap to bring forward for discussion any further risks.

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 This report has been shared with the Chief Finance Officer.

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.

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
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 IJB Performance Framework HSC Governance and Performance Group oversight of HSCP deliverables 	Possible (3)	Major (4)	High (12)	<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 (meeting scheduled for December) Further review of Strategic Commissioning Plan and links with the Workforce and Financial Plans. Ongoing work required around recruitment strategy and also financial recovery plan. 	Likely (4)	Major (4)	High (16)
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 	Julie White	<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 Integration Workforce Plan Annual Performance Report 	Likely (4)	Moderate (3)	High (12)	<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 (Directions Policy now approved by the IJB and a copy added to the risk) Continue to embed use of inequalities framework across the Partnership. Programme Boards to be re-established by January 2022 Financial Recovery Board already re-established 	Possible (3)	Moderate (3)	Medium (9)

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	<p>services contribute to reducing health inequalities</p> <ul style="list-style-type: none"> • 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 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 									
3062	<p>Failure to develop an adequate and effective Strategic Commissioning Plan.</p> <p>Hazards:</p> <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)	<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 	Possible (3)	Moderate (3)	Medium (9)

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							and Commissioning Managers to address issues of capacity			
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)	<ul 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 were 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. • The Action to include details of Project Manager role has been concluded now that this work has been completed 	Possible (3)	Moderate (3)	Medium (9)