



Dumfries and Galloway  
IJB Audit, Risk and Governance

23<sup>rd</sup> February 2023

This Report relates to  
Item 9 on the Agenda

# IJB Corporate Risk Report Update

*Paper presented by Katy Kerr*

*For Discussion*

<b>Author:</b>	Katy Kerr – Chief Finance Officer <a href="mailto:katy.kerr@nhs.scot">katy.kerr@nhs.scot</a>
<b>List of Background Papers:</b>	N/A
<b>Appendices:</b>	<b>Appendix 1 – IJB At a Glance Corporate Risk Register</b>

## 1. Introduction

- 1.1 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. The Committee is 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
- Note that there are no substantive changes to the risk register although there will be a further reviewed in the first quarter of 2023/24 by the Health and Social Care Leadership Team

## 3. Background and Main Report

- 3.1 In the last report to this Committee there were a number of changes made to the IJB corporate risks. 2 risks were recommended for closure due to these being resolved or the issue mitigated. These were:

- 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 an issue, data is shared and a final update has been shared with Members.

- 3.2 Risk 3060 was reviewed and the risk rating increased to Very High. This is recognising the scale of financial challenge for 2022/23 and the ongoing workforce challenges. This has been reviewed on a monthly basis by the Chief Finance Officer and will be further reviewed as the draft budget/financial plan is developed for 2023/24.

- 3.3 Risk 3061 is managed as a medium risk with an ongoing work being undertaken via the HSCP Delivery Plan. This is a live document and has been developed to capture Equality Impact Assessments and where these should be carried out to support the plan.

- 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” was included and approved by Committee at the September 2022 meeting.

- 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 identified hazards and risk scoring, which determines whether the risks are scored as low, medium, high or very high. All narrative’s and risk mitigations have been updated since the version presented in September but there are no substantial changes requiring approval at this Committee.

- 3.6 Work continues to revise the IJB Risk Strategy, with no confirmed date for completion due to capacity and workload of the senior leadership team.

**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.

**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.

<b>HSCP</b>	<b>Health and Social Care Partnership</b>
<b>IJB</b>	<b>Integration Joint Board</b>

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

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><b>Hazards:</b></p> <ul style="list-style-type: none"> <li>Insufficient Financial allocation to meet needs set out in Strategic Plan.</li> <li>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)</li> <li>Capacity of people who deliver health and social Care and Support including unpaid carers.</li> <li>Failure of IJB to meet financial constraints and ensure best value</li> <li>Increase in demand</li> <li>Failure to identify areas for disinvestment (that do not 'add value' from the point of view of the people using care and support)</li> <li>Inability to realise disinvestment to enable effective reconfiguration of resources</li> <li>Directions not used effectively</li> </ul>	Katy Kerr	<ul style="list-style-type: none"> <li>Standing Financial Instructions</li> <li>Contract monitoring process/team.</li> <li>Council &amp; NHS procurement</li> <li>HR / Workforce development plans, policies and procedures(local and Regional)</li> <li>Governance arrangements – Performance and Finance; Audit &amp; Risk Committee; Clinical and Care Governance (currently under review to be presented to the IJB in September)</li> <li>IJB Performance Framework</li> <li>HSC Governance and Performance Group oversight of HSCP deliverables</li> <li>Sustainability and Modernisation Programme</li> <li>Development of NHS Financial Recovery Programme</li> <li>Financial Recovery Board meets regularly</li> <li>Delivery plan links with workforce and financial plans</li> <li>New Strategic plan in place</li> <li>International recruitment to support workforce capacity gaps</li> <li>Workforce plan developed and signed off by IJB and all partners</li> <li>Development of HSCP delivery plan</li> <li>Links between Strategic Commissioning Plan, Workforce Plan and Financial Plan have been strengthened</li> </ul>	Possible (3)	Major (4)	High (12)	<ol style="list-style-type: none"> <li>Review and remodelling service delivery to more sustainable models.</li> <li>Review and development of updated risk strategy and operational implementation of risk appetite work</li> <li>Recruitment/Talent Management drivers stepped up further to expand to HCSW</li> <li>HSCP will be monitored and H&amp;SCG&amp;P. Delivery challenges will be fed back to IJB to inform commissioning plans</li> <li>Strengthening the links between Strategic Commissioning Plan and Financial Plan when developing Plans</li> <li>Effective implementation of the Strategic Commissioning Plan</li> <li>Ongoing work required around recruitment strategy and also financial recovery plan.</li> <li>Review and implementation of new Scheme of Delegation and Committee arrangements</li> </ol>	Almost Certain (5)	Major (4)	Very High (16)	<ol style="list-style-type: none"> <li>Review of IJB risk strategy.</li> <li>Development of 23/23 IJB financial plan including savings opportunities identification.</li> <li>Finalise scheme of delegation review and get approved by IJB.</li> <li>Further review of FRB and it's role across whole partnership.</li> </ol>

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

3061	<p><b>Failure to make progress against nine National Health and Wellbeing Outcomes:</b></p> <ul style="list-style-type: none"> <li>• <b>Outcome 1:</b> People are able to look after and improve their own health and wellbeing and live in good health for longer</li> <li>• <b>Outcome 2:</b> 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</li> <li>• <b>Outcome 3.</b> People who use health and social care services have positive experiences of those services, and have their dignity respected</li> <li>• <b>Outcome 4.</b> Health and social care services are centred on helping to maintain or improve the quality of life of people who use those services</li> <li>• <b>Outcome 5.</b> Health and social care services contribute to reducing health inequalities</li> <li>• <b>Outcome 6.</b> 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</li> <li>• <b>Outcome 7.</b> People using health and social care services are safe from harm</li> <li>• <b>Outcome 8.</b> 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</li> <li>• <b>Outcome 9.</b> Resources are used effectively and efficiently in the provision of health and social care services</li> </ul> <p><b>Hazards:</b></p> <ul style="list-style-type: none"> <li>• Insufficient resource (people and £)</li> <li>• Inability to sufficiently influence partners / stakeholders</li> <li>• Failure to identify and tackle health inequalities</li> <li>• 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</li> <li>• Failure of IJB to map performance against delivery of its own Strategic Commissioning Plan</li> <li>• Change in IJB culture insufficient to deliver against Nine National Outcomes</li> <li>• Failure to issue sufficient and appropriate Directions to partner agencies</li> </ul>	Julie White	<ul style="list-style-type: none"> <li>• Strategic Commissioning Plan</li> <li>• Strategic Needs Assessment</li> <li>• Modernisation and Transformation Programme</li> <li>• IJB Governance Structures – work will be presented to the IJB in September</li> <li>• Performance Framework</li> <li>• Directions Policy</li> <li>• Financial Plan</li> <li>• Integration Workforce Plan</li> <li>• Annual Performance Report</li> <li>• Mapping through HSCP Delivery Plan</li> </ul>	Likely (4)	Moderate (3)	High (12)	<ol style="list-style-type: none"> <li>1. Alignment with NHS and Adult Social Work Delivery Plans</li> <li>2. Alignment of Service, Workforce and Financial plans</li> <li>3. Protocol for Directions to NHS &amp; Council to be further developed and implemented (Directions Policy now approved by the IJB and a copy added to the risk)</li> <li>4. Continue to embed use of inequalities framework across the Partnership.</li> <li>5. Working with Equality and Human Rights Commission to provide education to staff</li> <li>6. Programme Boards have been re-established .</li> <li>7. Financial Recovery Board already re-established</li> <li>8. Working with partners on the staff wellbeing agenda and ensuring this is undertaken</li> <li>9. Development of the Annual Delivery Plan for 2023/24 with direct linkages made to the strategic commissioning intentions and tactical priorities set out within the Strategic Commissioning Plan, thereby ensuring the delivery of agreed strategic direction in line with local system pressures</li> </ol>	Possible (3)	Moderate (3)	Medium (9)	<ol style="list-style-type: none"> <li>1. Directions Policy now approved and added to the risk for information</li> <li>2. Programme Boards have been refreshed and Financial Recovery Board re-established.</li> <li>3. Develop a framework to monitor and report the impact of transformation - Summer 2023</li> </ol>
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**IJB 'At a Glance' Risk Register**  
**(updates since the last Report are highlighted in yellow)**

<p><b>3203</b></p>	<p>Failure to develop an adequate and effective Strategic Commissioning Plan.</p> <p>Hazards:</p> <ul style="list-style-type: none"> <li>Operational actions not being aligned to the Strategic Commissioning Plan</li> <li>Lack of robust governance arrangements to oversee and monitor delivery of the Plan</li> <li>Changes to national policy, strategy or direction</li> <li>Sufficient capacity within the Strategic Planning and Transformation Directorate to monitor and report progress</li> </ul> <p>Any major change to the financial situation across the Health and Social Care Partnership</p>	<p>David Rowland</p>	<ul style="list-style-type: none"> <li>HSCP Delivery Plan</li> <li>Monitoring arrangements in place (quarterly)</li> <li>Tying the financial aspects to the Financial Recovery Board</li> <li>The Strategic Planning and Transformation Directorate to continue to assess the input required to monitor progress</li> <li>Annual and Mid Year Reviews of Directorate performance established</li> </ul>	<p>Likely (4)</p>	<p>Major or Moderate(3 or 4)</p>	<p>High(12 or 16)</p>	<ul style="list-style-type: none"> <li>Progress and monitoring will be undertaken via the revised IJB Committee Structure</li> <li>This will also be progressed via the Leadership Team</li> <li>Embed progress against the actions via 6 monthly reporting</li> <li>Development of the Annual Delivery Plan for 2023/24 with direct linkages made to the strategic commissioning intentions and tactical priorities set out within the Strategic Commissioning Plan, thereby ensuring the delivery of agreed strategic direction in line with local system pressures</li> </ul>	<p>Possible (3)</p>	<p>Moderate (3)</p>	<p>Medium (9)</p>	<ol style="list-style-type: none"> <li>Develop a framework to monitor and report the impact of transformation - Summer 2023 as set out in risk 3061.</li> <li>Development of the Annual Delivery Plan for 2023/24 - Summer 2023</li> <li>Development of the Three Year Delivery Plan - Summer 2023</li> </ol>
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