



## RISK, AUDIT AND PERFORMANCE COMMITTEE

<b>Date of Meeting</b>	28 November 2023
<b>Report Title</b>	Strategic Risk Register
<b>Report Number</b>	HSCP23.083
<b>Lead Officer</b>	Martin Allan
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<b>Consultation Checklist Completed</b>	Yes
<b>Directions Required</b>	No
<b>Exempt</b>	No
<b>Appendices</b>	a. Strategic Risk Register
<b>Terms of Reference</b>	10. Ensure the existence of, and compliance, with an appropriate risk management strategy including: reviewing risk management arrangements; receiving biannual Strategic Risk Management updates and undertaking in-depth review of a set of risks and annually review the IJB’s risk appetite document with recommendations being brought to the IJB

### 1. Purpose of the Report

- 1.1. To present an updated version of the Integrated Joint Board’s (IJB) Strategic Risk register, following the deep dive undertaken in October on Risks 1 and 7.



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### **2. Recommendations**

**2.1.** It is recommended that the Risk, Audit and Performance Committee:

Consider the revised Strategic Risk Register (SRR) as detailed in the Appendix to this report, including the proposal that the risk ratings of the 2 very high risks (Risks 1 and 7) be reduced to High, as outlined in the report.

### **3. Strategic Plan Context**

**3.1.** Risk management is referenced in the Strategic Plan, specifically in relation to the management of risk to enablers to the Plan eg workforce, technology, finances, as well as in the Strategic Aims of the Plan.

### **4. Summary of Key Information**

- 4.1.** The fundamental purpose of the SRR is to provide the IJB with assurance that it is able to deliver the organisation's strategic objectives and goals This involves setting out those issues or risks which may threaten delivery of objectives and assure the IJB that they are being managed effectively and that opportunity to achieve goals can be taken: it is the lens through which the IJB examines the assurances it requires to discharge its duties. The IJB uses this document to monitor its progress, demonstrate its attention to key accountability issues, ensure that it debates the right issue and that it takes remedial actions to reduce risk to integration. Importantly, it identifies the assurances and assurance routes against each risk and the associated mitigating actions
- 4.2.** The Senior Leadership Team reviews the SRR in light of their experiences and insight into key issues, including commissioning risk, and recommends the updated version to the Risk, Audit and Performance Committee (RAPC) for formal review (twice a year) and an annual review by the IJB. The IJB also hold an annual risk workshop whereat the Board review the Risk Appetite Statement and the Strategic Risks.



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- 4.3.** At its last meeting in June, 2023, the Committee asked that a deeper dive be undertaken on the 2 very high risks on the SRR, these are Risk 1 (Commissioning) and Risk 7 (Workforce).
- 4.4.** A session was arranged for 13 of October, 2023 (conducted via Teams), at which 28 participants attended, this being a mixture of internal and external stakeholders. Councillor Martin Greig opened the event before participants were given some context as to the purpose of the session. The participants were then talked through relevant data sets around both risks. The data included headcount, staff turnover, absences and reasons, feedback from the most recent i-matters report. The data also had details around practice list size, the number of General Practitioners (GP's), and list size per GP. The data also had high level details about the Partnership's Workforce Plan and its Workstreams.
- 4.5.** The Participants discussed the context and the data ahead of splitting into 2 Groups, one to discuss the Commissioning Risk, the other to discuss the Workforce Risk. The Groups were asked to consider the following questions:  
What are ACHSCP doing to help mitigate the risk?  
What are our stakeholders doing to help mitigate the risk?  
What are the current gaps in assurance?  
What are the next steps to help plug these gaps?
- 4.6.** The Groups were then asked to return to the main "room" to discuss the main points raised and covered within the breakout Groups.
- 4.7.** Some of the main general themes coming from the breakout Groups were: continue the good working arrangements across the wider health and social care system with internal and external stakeholders. Sessions like this further help build relationships across the system.
- 4.8.** Specifically, for Risk 1, the main proposal to help provide further assurance was: A joint approach to be taken to mitigate the risk.
- There are further opportunities to collaborate
  - Mutual aid approach can be examined.
  - The 10 providers work well together to keep people safe and prevent hospital admission.
- During extreme weather conditions providers are responsive to support around this and have pulled together and shared resources.
- Specifically in relation to Risk 7, the main proposals raised/assurances given were: Improve the application processes; promote retention



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opportunities; look at guaranteed interview schemes, change advertising processes; utilise the untapped workforce refugees and asylum seekers and support them in to our workforce; promote shadowing opportunities; the holding of the Partnership's recruitment fair; and streamline information for the workforce.

- 4.9.** The Business and Resilience Manager has met with the risk owners for these 2 risks and the SRR has been amended and updated to reflect the outcomes of the deeper dive (as detailed at the Appendix to this report).
- 4.10.** The deeper dive provided the opportunity for the Committee members to meet with key stakeholders both internally and externally and, coupled with the data evidence, allowed members to have detailed discussions about the 2 strategic risks. As explained, the 2 risks are classed as "very high", and with regard to the workforce risk in particular, some of the risk is out-with the IJB's control. However, given the levels of assurance outlined in the SRR and evidenced through the deeper dive, it is proposed that the risk ratings for the 2 risks be reduced from Very High to High.
- 4.11.** The Committee are asked to consider the amended version of the SRR, including the risk ratings of the 2 very high risks, and note that the annual IJB workshop on risk will be held on 16 January 2024 (a holding date appointment has been sent to all members). At this workshop the IJB members will review the risk appetite statement and all the strategic risks in the risk register.
- 4.12.** As mentioned, the SRR is also considered by the Partnership's Senior Leadership Team (SLT) on a quarterly basis. Through this process, no new risks have been recommended to be added to the Register and no risks have been recommended for de-escalation.

### **5. Implications for Committee**

**5.1. Equalities, Fairer Scotland and Health Inequality**

There are no direct equalities, Fairer Scotland and Health Inequalities implications arising from this report.

**5.2. Financial**

There are no direct financial implications arising from this report.

**5.3. Workforce**



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The report outlines that Risk 7 (Workforce) on the SRR has been at the “Very High” risk rating for some time. The deeper dive on 13 of October, 2023 discussed this risk in detail. The outcomes of the session have been reflected in the amended version of the risk, as detailed in the Appendix to this report. The rating is proposed to be reduced to “High”

### **5.4. Legal**

There are no direct legal implications arising from this report.

### **5.5. Unpaid Carers**

There are no direct implications relating to Unpaid Carers arising from this report.

### **5.6. Information Governance**

There are no direct information governance implications arising from this report.

### **5.7. Environmental Impacts**

There are no direct environmental implications arising from this report.

### **5.8. Sustainability**

There are no direct sustainability implications arising from this report.

### **5.9. Other**

There are no other implications arising from this report.

## **6. Management of Risk**

The IJB’s Board Assurance and Escalation Framework outlines the governance processes for the consideration and escalation of risks through the Partnership. The SRR is part of the governance arrangements.

### **6.1. Identified risks(s)**

All known strategic risks.

### **6.2. Link to risks on strategic or operational risk register:**

The report has the full SRR appended.