

Report

Report to:	South Lanarkshire Integration Joint Board
Date of Meeting:	26 March 2024
Report by:	Director, Health and Social Care

Subject:	Risk Management Update
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1. Purpose of Report

1.1. The purpose of the report is to:-

- ♦ provide an update on the Integration Joint Board's (IJB's) Risk Register and associated partner risks

2. Recommendation(s)

2.1. The Integration Joint Board is asked to approve the following recommendation(s):-

- (1) that the IJB Risk Register be approved.

3. Background

- 3.1. As a matter of good governance all public bodies are required to identify and take account of the impact of any potential risks in delivering their business.
- 3.2. The IJB requires to have an approved Risk Management Strategy and a Risk Register in place which details the organisation's approach to risk and how it will identify and manage risks to mitigate against subsequent impact.
- 3.3. The IJB has committed to promote an environment that is risk aware and strives to place risk management information at the heart of key decisions. This means that the IJB can take an effective approach to managing risk in a way that both addresses significant challenges and enables positive outcomes.
- 3.4. Governance and oversight arrangements are in place through a range of mechanisms detailed below:
- Quarterly updates on the Risk Register to the Performance and Audit Sub Committee (PASC) and IJB, alongside summary of the most recent published risk registers for NHS Lanarkshire and South Lanarkshire Council Social Work Resources rated as high or very high.
 - Monthly meetings to review the risk registers of the IJB, NHS Lanarkshire and Social Work Resources to ensure all risks which may impact on the IJB are taken account of.
 - Regular reporting of the Social Work Resources and NHS Lanarkshire Risk Registers to relevant committees and meetings plus oversight provided by Internal Audit colleagues.

- Annual risk workshop with PASC members which includes risk professional officers from NHS Lanarkshire, South Lanarkshire Council and the Internal Audit Consortium (4.2 below).
 - Reports to the IJB and PASC to highlight the subsequent impact or mitigation a policy or priority will have on the IJB delivering upon its Strategic Commissioning Plan (SCP) priorities or otherwise meet its statutory obligations (including setting and operating within a balanced budget).
- 3.5. As per the IJB's commitment to the ongoing assessment of risk, there will continue to be regular environment scanning undertaken to identify other risks which could impact on the business of the IJB. Where appropriate, this will be reported to the PASC and IJB in line with the current reporting arrangements.
- 3.6. Furthermore, the IJB Internal Audit Plan for 2024/25 will consider a number of areas which will assess the adequacy of reporting in relation to the following areas:
- The adequacy of performance monitoring to the IJB to provide relevant, reliable and sufficient data and timeous information on challenges, risks and responses.
 - Whether targets have been adjusted appropriately to reflect post-Covid realities and the SCP 2022-2025.
 - Whether performance reporting is used to update, and provide assurance on, the IJB Risk Register.
- 3.7. Future IJB Performance and Risk reports will include further information on work being undertaken with regard to the above areas.

4. Current position

- 4.1. The annual risk workshop for PASC members was held on the 22 August 2023. The workshop considered the current and forecast challenges for health and social care, nationally and locally, and was informed by horizon scanning undertaken by officers in advance. There was also discussion focused on the IJB's approach to risk tolerance and risk appetite, with a recognition that a dynamic approach to reviewing both by the IJB would be prudent given the external uncertainties and volatilities facing health and social care alongside the public sector more generally. Those insights and reflections have explicitly informed the updated IJB Risk Register (Appendix 1); quarterly reviewing of the IJB Risk Register by officers; the continued commitment to risk management being a routine item on both PASC and IJB agendas; and the review of the IJB Risk Management Strategy (for consideration at a future PASC meeting).
- 4.2. The update of the IJB Risk Register has taken cognisance of national risks for health and social care, notably those highlighted within reports presented to and briefing papers circulated to IJB members by officers – for example:
- The External Audit Annual Audit Report 2022/2023 which was presented to PASC on 28 September 2023 by the IJB's External Auditor, Audit Scotland.
 - Audit Scotland's national report on Integration Joint Board Financial Analysis 2021/22 (April 2023).
 - Audit Scotland's report on Local Government in Scotland Overview 2023 (May 2023).
 - Audit Scotland's report on The Scottish Government's Workforce Challenges (October 2023)
 - Audit Scotland's report on the NHS in Scotland 2023 (February 2024).

4.3. Reflective of the discussions at the annual risk workshop, the IJB Risk Register has subsequently been revised and refined to focus and provide visibility on risks identified and assessed as being very high or high pre-mitigation. Those risks as identified at February 2024 are as follows (scores below reflecting risk scoring after mitigation with controls):-

- Financial sustainability – very high
- Workforce availability and capacity – very high
- Performance delivery – very high
- Failure to meet public protection and legislative requirements – high
- Performance Reporting does not capture performance across the whole health and social care system – medium
- Winter pressures – medium

4.4. Appendix 1 provides more information on each of these risks. Appendix 2 provides a summary of the top risks (designated very high or high) within the most recent risk registers of NHS Lanarkshire and Social Work Resources.

5. Employee Implications

5.1. This report does not describe any new employee implications.

6. Financial Implications

6.1. This report does not describe any new financial implications.

7. Climate Change, Sustainability and Environmental Implications

7.1. There are no implications for climate change, sustainability or the environment in terms of the information contained in this report.

8. Other Implications

8.1. Internal audit provides the PASC and IJB with independent assurance on risk management as well as internal control and corporate governance processes. For the South Lanarkshire IJB, internal audit is delivered on a joint basis by the Chief Auditors of NHS Lanarkshire and South Lanarkshire Council.

8.2. The Internal Audit Annual Assurance Report 2022/2023, which is a separate report to the PASC on 30 May 2023, includes the following opinion:

Overall, reasonable assurance can be placed on the adequacy and effectiveness of the partnership's framework of governance, risk management and control arrangements for the year ending 31 March 2023.

8.3. This report relates to all national outcomes as effective governance arrangements will ensure the IJB can fulfil its statutory duties. The contents of this report are material to the delivery of the SCP, notably the following outcome:

- Resources are used effectively and efficiently in the provision of health and social care services (Outcome 9).

8.4. There are no other issues associated with this report.

9. Equality Impact Assessment and Consultation Arrangements

- 9.1. This report does not introduce a new policy, function or strategy, or recommend a change to an existing policy, function or strategy and, therefore, no Equality Impact Assessment is required.
- 9.2. The report reflects ongoing engagement with and the expertise of risk professional officers from NHS Lanarkshire, South Lanarkshire Council and the Internal Audit Consortium.
- 9.3. No consultation was required in relation to the content of this report.

10. Directions

Direction to:	
1. No Direction required	<input checked="" type="checkbox"/>
2. South Lanarkshire Council	<input type="checkbox"/>
3. NHS Lanarkshire	<input type="checkbox"/>
4. South Lanarkshire Council and NHS Lanarkshire	<input type="checkbox"/>

Professor Soumen Sengupta
Director, Health and Social Care

1 March 2024

Link(s) to National Health and Wellbeing Outcomes

People are able to look after and improve their own health and wellbeing and live in good health for longer	<input type="checkbox"/>
People, including those with disabilities or long term conditions, or who are frail, are able to live, as far as reasonable practicable, independently and at home or in a homely setting in their community	<input type="checkbox"/>
People who use Health and Social Care Services have positive experiences of those services, and have their dignity respected	<input type="checkbox"/>
Health and Social Care Services are centred on helping to maintain or improve the quality of life of people who use those services	<input checked="" type="checkbox"/>
Health and Social Care Services contribute to reducing health inequalities	<input type="checkbox"/>
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 wellbeing	<input type="checkbox"/>
People who use Health and Social Care Services are safe from harm	<input checked="" type="checkbox"/>
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	<input type="checkbox"/>
Resources are used effectively and efficiently in the provision of Health and Social Care Services	<input checked="" type="checkbox"/>

Previous References

- ◆ None

List of Background Papers

- ◆ None

Contact for Further Information

If you would like to inspect the background papers or want further information, please contact:-

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