



ANGUS HEALTH AND SOCIAL CARE
INTEGRATION JOINT BOARD AUDIT COMMITTEE – 27 JUNE 2018
CORPORATE STRATEGIC RISK MANAGEMENT
REPORT BY VICKY IRONS, CHIEF OFFICER

ABSTRACT

To provide the Integration Joint Board (IJB) Audit Committee with an annual report in relation to Corporate Strategic Risk Management activities which have been undertaken during 2017/18.

1. RECOMMENDATIONS

It is recommended that the IJB Audit Committee:-

- (i) review and approve the report attached in Appendix 1;
- (ii) recommend any further action/reports it considers necessary

2. BACKGROUND

Members of the IJB are responsible for:

- oversight of the IJB's risk management arrangements;
- receipt, review and scrutiny of reports on corporate strategic risks and any key operational risks that require to be brought to the IJBs attention; and
- ensuring they are aware of any risks linked to recommendations from the Chief Officer concerning new priorities/policies and the like

3. CURRENT POSITION

The Angus Health & Social Care Partnership (HSCP) Chief Officer, as Accountable Officer, has responsibility for maintaining a sound system of internal control and reviewing the effectiveness of the risk management system within the organisation, facilitating the preparation of an annual Governance Statement.

As part of the minimum requirements an assessment of the effectiveness of risk management arrangements should be conducted and it is recommended that this is evidenced by a Mid and Year End Risk Management report confirming safe and effective risk management arrangements were in place.

Within Angus HSCP, the Angus IJB delegated responsibility to the Angus IJB Audit Committee for reviewing the organisations corporate strategic risk management arrangements, systems and processes.

The presentation of this report aims to demonstrate the early arrangements for Risk Management in place. It highlights the requirement to strengthen the process for a comprehensive risk management framework, congruent with partner organisations (Angus Council/NHS Tayside). This framework will comprising a robust governance, strategy,

structures, policies and procedures based on sound risk management principles appropriate to integrated working. This will provide assurance that there are systems in place to manage risk throughout the Angus HSCP.

During 2017/18 scrutiny and management of risks was devolved to the Angus HSCP Clinical, Care and Professional Governance Forum, chaired by the Health & Social Care Partnership's Clinical Director. Monitoring of corporate strategic risk performance has been undertaken on a bi-monthly basis during 2017/18 with an annual update received by the Angus IJB in April 2018. See Appendix 2 – Angus HSCP Corporate Strategic Risk Management Register.

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Appendix 1 – Angus Health & Social Care Partnership – Corporate Strategic Risk Management Report

ANGUS HSCP
CORPORATE STRATEGIC RISK
MANAGEMENT

ANNUAL REPORT

2017/18

Introduction

Within the Angus Health & Social Care Partnership (HSCP) the Integration Joint Board (IJB) Audit Committee has delegated responsibility from the IJB for ensuring all relevant strategic and operational risks are accurately identified, assessed, evaluated, recorded and monitored. Reliance is also placed on the NHS Tayside and Angus Council systems of internal control that support compliance with both organisations' policies and promotes achievement of each organisation's aims and objectives, as well as those of the IJB.

The Angus HSCP Chief Officer, as Accountable Officer, has responsibility for maintaining a sound system of Internal Control and reviewing the effectiveness of the system within the organisation culminating in the preparation of an annual Governance Statement. In addition, NHS Scotland bodies are subject to the requirements of the Scottish Public Finance Manual and must operate a risk management strategy.

As part of the governance reporting arrangements for risk management it has been agreed that the Audit Committee will receive and review the Mid Year and Annual Report on effectiveness, adequacy and robustness of risk management to provide assurance to the public, patients and staff that the organisation is doing its very best to manage risk adequately and effectively.

The management of risk is a key organisational responsibility and a strategy has been agreed that aims to control risk to an acceptable level by creating a culture of risk management that focuses on assessment and prevention rather than reaction and remedy. Risk extends much further than solely harm to patients, service users, staff and the public and Angus HSCP sets out its strategic priorities in the HSCP Strategic Plan (2016-2019).

Work is underway to develop detailed locality operational risk management plans. This process will be influenced by the Corporate Strategic Risk Management Register.

Angus HSCP are required to ensure that arrangements for managing risks are fully embedded within the day to day management processes. To support this, there is a need to ensure that a progressive, honest and open environment exists, where mistakes and untoward adverse events are identified quickly and acted upon in a positive and constructive way without fear of blame.

Corporate Strategic Risk Profile

During 2017/18 scrutiny and management of risks was devolved to the Angus HSCP Clinical, Care and Professional Governance Forum, chaired by the Health & Social Care Partnership's Clinical Director. Monitoring of corporate strategic risk performance has been undertaken on a bi-monthly basis during 2017/18 with an annual update received by the Angus IJB in April 2018. See Appendix 2 – Angus HSCP Corporate Strategic Risk Rating Matrix.

Electronic Risk Management System – DATIX

Angus HSCP has adopted the use of DATIX (a web-based patient safety software solution for healthcare risk management applications) as the electronic Risk Management System, utilising the following modules;

- Risk Register module
- Incident recording module
- Complaints module
- Work is underway to ensure that the Health & Social Care Partnership's risk recording format is compatible with the Risk Management recording system (Pentana) used in Angus Council.

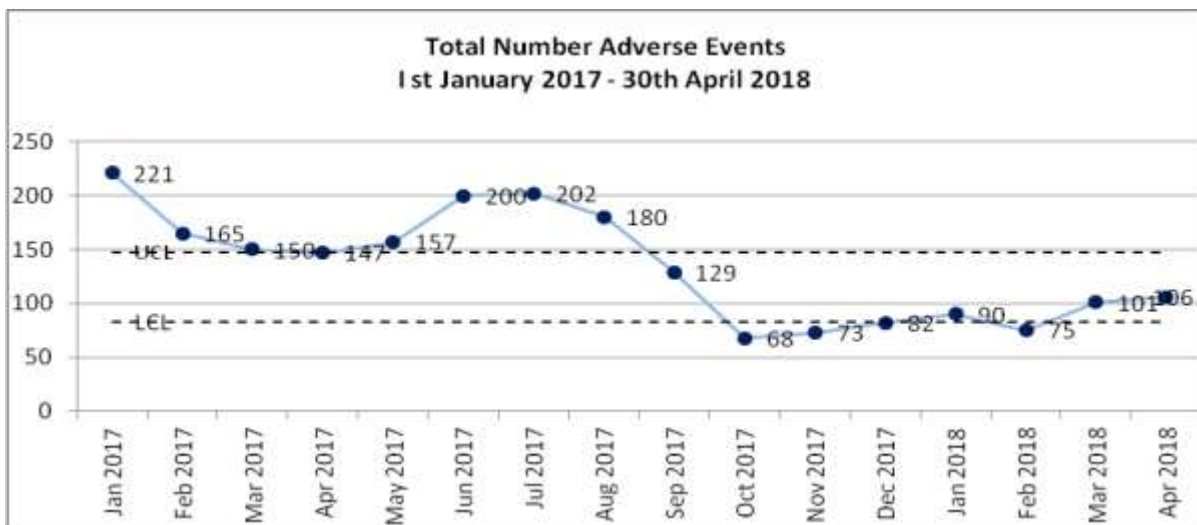
Escalation Protocols

It is recognised that work is required to formalise escalation protocols for risks to the Integration Joint Board, and to relevant partner bodies: Angus Council and NHS Tayside.

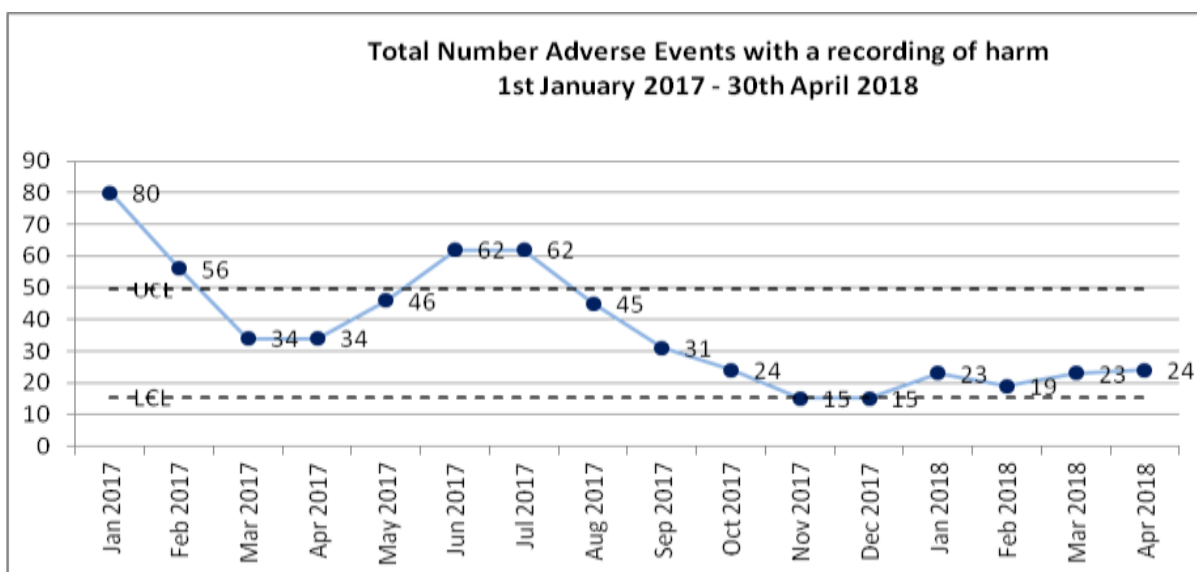
Adverse Event Data

Adverse reporting is a measure of the organisations' culture of disclosure. The aim within Angus HSCP is to minimise the risk of adverse events and to maximise opportunities to learn.

The chart below highlights that in the period 1 January 2017 to 30 April 2018, there were 2,146 adverse events recorded.



The chart below highlights that 573 adverse events were reported with harm between 1 January 2017 to 30 April 2018. Significant themes included; slips, trips and falls and violence and aggression.



The operational detail of adverse event reporting is to be considered at Clinical, Care & Professional Governance Service Improvement 'R3' Groups as a standing agenda item and exception reported to the relevant groups i.e. Strategic risks will be reviewed within the

Strategic Planning Group, Operational risks will be reviewed within the Senior Leadership Team and Financial risks will be reviewed within the appropriate Finance Group at a frequency to be agreed. Clinical, Care and Professional Governance (CCPG) risks are reviewed within the CCPG Forum on a bi-monthly basis.

Learning Outcomes from adverse event reporting are disseminated across Angus HSCP and NHS Tayside in a number of ways, including;

- Contribution to NHS Tayside Getting it Right Newsletters
- Local Adverse Event Reviews (LAER) and Significant Clinical Event Analysis (SCEA)
- Circulation of Risk Alerts

Duty of Candour

A number of Angus HSCP staff attended the Duty of Candour and Feedback and Complaints National Events 2018. Working in partnership, the Scottish Government, NHS Education for Scotland, Scottish Social Services Council, Scottish Public Services Ombudsman, the Care Inspectorate and Healthcare Improvement Scotland delivered four conferences across Scotland for all relevant health and social care staff including independent providers and care providers. The focus of the events was to provide staff with the skills, knowledge and confidence to implement the model Complaints Handling Procedures for the NHS and Social Work which were introduced in April 2017, as well as to understand the social care complaints process. The events also enabled staff to prepare themselves and their teams for the introduction of the new Duty of Candour, which came into force on 1 April 2018.

In addition, NHS Tayside Safety, Governance & Risk have provided local Duty of Candour sessions in various locations in Angus.

E-Learning Module

The Duty of Candour e-learning module has been launched. At present only a PC version is available with plans for a tablet/ipad version. Currently this can be accessed via Learnpro or The Little Things Make a Big Difference website at: www.knowledge.scot.nhs.uk/making-a-difference.aspx but this is only recommended for those who do not have access to Learnpro.

Conclusion

The presentation of this report aims to demonstrate the early arrangements for Risk Management in place. It highlights the requirement to strengthen the process for a comprehensive risk management framework, congruent with partner organisations (Angus Council/NHS Tayside). This framework will comprising a robust governance, strategy, structures, policies and procedures based on sound risk management principles appropriate to integrated working. This will provide assurance that there are systems in place to manage risk throughout the Angus Health & Social Care Partnership (HSCP).

We require to create an environment where we effectively manage the risks associated with provision of healthcare, making the best use of available resources to provide a service that is as safe as possible for patients and staff whilst seeking opportunity for continuous review and improvement.