



ANGUS HSCP

CORPORATE STRATEGIC RISK MANAGEMENT

Annual Report

2018/19

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 was agreed that the Audit Committee would receive and review the 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. However, given the dynamic nature of this issue and the changes in the risk management processes due to the work ongoing both within the IJB as well as Angus Council and NHS Tayside, there was a delay producing a report on this until further fieldwork had been undertaken as part of the provisional 2019/20 Annual Internal Audit plan.

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 has set out its strategic priorities in the HSCP Strategic Plan (2019-2022).

Angus HSCP continues to develop detailed locality operational risk management plans. This process is influenced by the Corporate Strategic Risk Management Register.

Angus HSCP is 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.

Angus IJB has an approved Risk Management Policy and Strategy in place. The IJB monitors a series of corporate strategic risks using agreed methodologies. The risks monitored include service, financial, clinical care and professional governance, performance management and workforce risks. The scrutiny and management of risks is devolved to the Angus HSCP Clinical, Care and Professional Governance Forum, chaired by the Health & Social Care Partnership's Clinical Director. Monitoring of risk performance is undertaken on a bi-monthly basis with an overview provided to Executive Management Team and information included in the 6 monthly performance reports to IJB.

Corporate Strategic Risk Profile

As well as review at operational management level, the Angus Clinical, Care & Professional Governance Forum receives an update report in the form of an assurance framework on the corporate clinical, care and professional strategic risks at each of its meetings. The forum provided its Annual Assurance Report to the Angus IJB Audit Committee in April 2019 and concluded that the forum fulfilled its remit during financial year 2018/19.

Finance risk updates are provided within finance reports to each IJB meeting.

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

An Angus Council / Angus HSCP Liaison Group has been established, meeting bi-monthly to work towards a number of issues including ensuring that the Health & Social Care Partnership's risk recording format is compatible with the risk management recording system used in Angus Council, ie Pentana, Health & Safety systems, excel spreadsheets. The process of discussing and evaluating risk is fully integrated, being discussed and monitored bi-monthly at the Clinical Care and Professional Governance Forum.

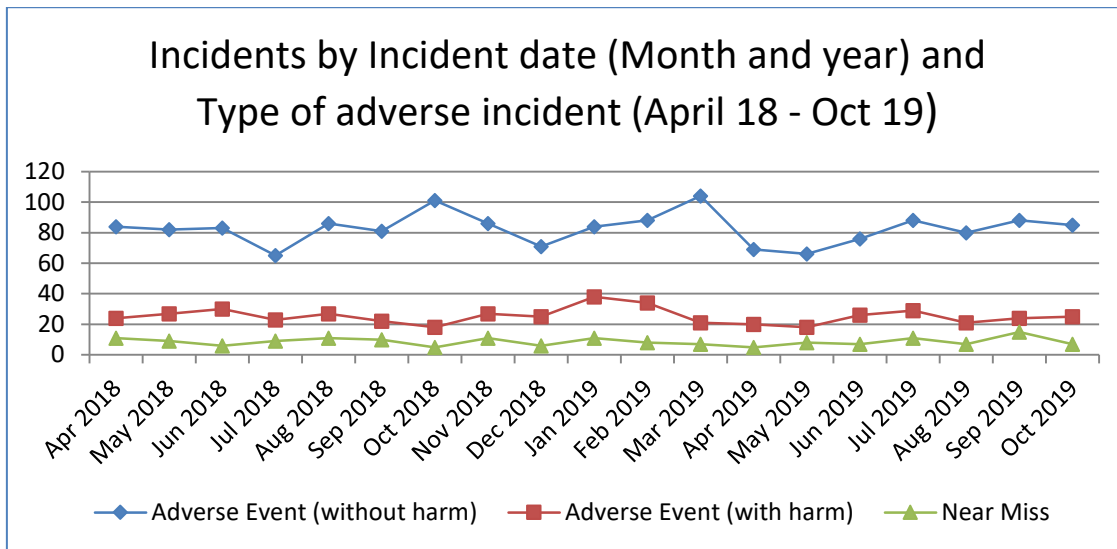
Adverse Event Data

Adverse reporting is a measure of the organisations' culture of disclosure. The aim within Angus HSCP is to maximise the recording of adverse events, leading to minimising the risk of harm and maximising the opportunities to learn.

The chart below highlights that during the period 1 April 2018 to 31 October 2019, 2210 adverse events were recorded.

479 of all adverse events recorded were events with harm. Significant themes included; slips, trips and falls and violence and aggression.

164 of all events recorded were 'near misses'. On review of near misses it is accepted that many events recorded as near misses are not true near misses. Improvement work is currently underway to address this, including changes to the data fields within the electronic recording system and review of near misses within the Adverse Event Management Group.



The operational detail of adverse event reporting has been considered at Clinical, Care & Professional Governance Service Improvement 'R3' Groups and is a standing agenda item and exception reported to the relevant groups i.e. 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.

Angus Clinical Care and Professional Governance have delegated scrutiny of Adverse Event Management to a newly established Adverse Event Management Group (AEM). Amongst the responsibilities of this group are to review all red events, quality check all local adverse event reviews against the quality checklist and to identify and

make recommendations to the Angus Clinical Care and Professional Governance Group in relation to areas of practice development, training and development needs

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. Duty of Candour came into force on 1 April 2018. It is a mandatory requirement, for all new staff to complete the Duty of Candour E-Learning module and this is monitored through the 'R3' Groups.

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

Conclusion

A review of Angus IJB risk management arrangements was approved by the IJB in April 2018 and the June 2018 Audit Committee received a Corporate Strategic Risk Management report setting out the arrangements to date. As well as review at operational management level, the Angus Clinical, Care & Professional Governance Forum receives an update report in the form of an assurance framework on the corporate strategic risks at each of its meetings. The forum provided its annual assurance report to the Angus IJB Audit Committee in April 2019 and concluded that the forum fulfilled its remit during financial year 2018/19.

The presentation of this report aims to demonstrate the current arrangements for Risk Management in place across Angus HSCP. It confirms the risk management framework has been strengthened, congruent with partner organisations (Angus Council/NHS Tayside). This framework comprises 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.

We have created an environment in Angus 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.

Further work is ongoing across the 3 Tayside partnerships to update and enhance risk management arrangements especially in relation to processes for ownership, identification and escalation of risk between the IJBs and their partners.

Areas under consideration are:-

- Consistency of risk management principles
- Risk escalation mechanisms
- Prevention of duplication of risk recording
- Judgement of effectiveness of risk management systems, eg Datix, Pentana and other recording systems
- Horizon scanning
- Regular review of the risk registers
- Hosted services risk reporting
- Risk appetite
- Sharing of information

The IJB's Risk Management Policy and Strategy will require revision once new arrangements have been agreed.