



ANGUS HEALTH AND SOCIAL CARE

INTEGRATION JOINT BOARD – 21 APRIL 2021

INTEGRATION JOINT BOARDS RISK MANAGEMENT STRATEGY

REPORT BY GAIL SMITH, INTERIM CHIEF OFFICER

ABSTRACT

The purpose of this report is to update the Integration Joint Board (IJB) on the progress made to develop a joint Risk Management Strategy for NHS Tayside and all the IJBs in Tayside. The strategy demonstrates the commitments of IJBs to provide a culture where the workforce is encouraged to develop new initiatives improve performance and achieve goals safely, effectively and efficiently by the appropriate application of good risk management practice.

1. RECOMMENDATIONS

It is recommended that the Integration Joint Board:-

- (i) Approve the Integration Joint Boards Risk Management Strategy;
- (ii) Request the Interim Chief Officer to progress development of a local risk appetite for Angus IJB and bring back a final report regarding risk appetite to a future IJB;
- (iii) Approve the change in template for IJB reports to include a risk section for all relevant reports;
- (iv) Notes risk training for IJB Management and Board will be developed and delivered;
- (v) Notes an Annual Risk Management Report is submitted to the Audit Committee with next report due June 2021; and
- (vi) Supports continuation of reporting risk management via the Audit Committee.

2. BACKGROUND

NHS Tayside and the 3 Health & Social Care Partnerships (HSCP) have worked collaboratively to update risk management arrangements in relation to processes for ownership, identification, and escalation of risk between the IJBs and their partners. The Chief Officer (Interim) for Angus HSCP has actively contributed to the development of the joint IJBs Risk Management Strategy, which, has now been finalised and requires approval from the Angus Integration Joint Board.

The primary objectives of this strategy are to:

- Promote awareness of risk and define responsibility for managing risk within the IJBs and their partners;
- Establish communication and sharing of risk information;
- Initiate measures to reduce the IJBs exposure to risk and potential loss through the design & implementation of robust portfolios of internal controls; and establish standards and principles for the efficient management of risk, including regular monitoring, reporting and review.

The strategy takes a positive and holistic approach to risk management, it focusses on the IJBs strategic risks rather than operational risks which are the responsibility of the Health Board and Local Authority. The scope applies to all risks, such as those relating to the clinical and care environment, business risk, opportunities or threats and the risk to the delivery of strategic and commissioning plans.

Angus HSCP Chief Officer, as Accountable Officer, has responsibility for maintaining a sound system of internal control, reviewing the effectiveness of the risk management system within the organisation, and facilitating the preparation of an annual governance statement.

3. CURRENT POSITION

The IJB currently monitors a series of corporate strategic risks using agreed methodologies. The risks monitored include service sustainability, financial management, prescribing management, performance management and workforce and capacity risks.

The scrutiny and management of risks is devolved to Angus HSCPs Clinical, Care and Professional Governance (CCPG) group chaired by Angus HSCPs Associate Medical Director. Monitoring of risk performance is undertaken on a bi-monthly basis with an overview provided to the Executive Management Team and information included in the CCPG Annual Report. The IJB Audit Committee also receives a Risk Management Annual Report.

In addition to a review at operational management level, the Angus HSCP CCPG receives an update report in the form of an Assurance Framework on the corporate clinical, care and professional strategic risks bi-monthly.

Angus HSCP has a standard process for recording and monitoring the management of strategic level risks across the Partnership. The benefit of this approach brings all strategic risk reporting onto a single report.

This report and Appendix 1 address a number of issues that were raised in a previous IJB Internal Audit from 2019 (Internal Audit reference AN05/20).

CCPG shares an annual update regarding its overall work plan including risk issues with the IJB.

4. PROPOSALS

Subsequent to the approval of this report, the IJB's CCPG will ensure the development of appropriate actions to ensure the strategy is taken forward. This will include actions such as:-

- 1) Ensuring that IJB reports reference relevant strategic risks wherever appropriate
- 2) Develop local risk appetite for Angus IJB
- 3) Progressing risk training for IJB Management and Board to a proportionate level.

These proposals will not change the fundamental duties of the Audit Committee to assess the adequacy and effectiveness of Risk Management arrangements through the receipt of an Annual Risk Management Report from Angus HSCP CCPG.

In addition it will not alter the role of the IJB to review and approve the Strategic Risk Register at least biannually through both Annual CCPG Report and abbreviated half year CCPG update regarding risk.

5. FINANCIAL IMPLICATIONS

It is not anticipated that there will be any additional or new financial burdens arising directly from the risk management policy. The IJBs financial plan routinely has to adapt to new risk within the organisation

6. OTHER IMPLICATIONS

There are no other implications derived from this report

7. EQUALITY IMPACT ASSESSMENT

An Equality Impact Assessment is not required

8. DIRECTIONS

The Integration Joint Board requires a mechanism to action its strategic commissioning plans and this is provided for in Section 26 to 28 of the Public Bodies (Joint Working) (Scotland) Act 2014. This mechanism takes the form of binding directions from the Integration Joint Board to one or both of Angus Council and NHS Tayside.

Direction Required to Angus Council, NHS Tayside or Both	Direction to:	
	No Direction Required	x
	Angus Council	
	NHS Tayside	
	Angus Council and NHS Tayside	

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List of Appendices:

Appendix 1: IJBs Risk Management Strategy