



# Risk Management Annual Report

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## INTRODUCTION

Within the Angus Health and Social Care Partnership (HSCP), the Integration Joint Board (IJB) Audit Committee has delegated responsibility from the IJB for ensuring a process is in place such that 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 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. In addition, IJB's are subject to the requirements of the Scottish Public Finance Manual and must operate a risk management strategy.

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. Angus HSCP ensures that arrangements for managing risk are fully embedded within the day-to-day management processes. However, risk extends much further than solely harm to patients, staff and the public and also concerns itself with managing the threats to the achievement of the organisational objectives and the opportunities risk analysis offers.

Angus HSCP continues to develop detailed strategic and locality operational risk management plans. This process is influenced by the Tayside Integration Joint Boards Risk Management Strategy

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.

The updated Tayside Integration Joint Boards Risk Management Strategy was approved at the Angus Integration Joint Board on 21 April 2021. The IJB has a responsibility to monitor a series of corporate strategic risks using agreed methodologies. The risks monitored include service, financial, and workforce risks. The scrutiny and management of risks is devolved to the Angus HSCP Clinical, Care and Professional Governance Forum (CCPG), chaired by the Health and Social Care Partnership's Associate Medical Director (AMD). Monitoring of risk performance is undertaken on a bi-monthly basis with an overview provided to Executive Management Team and NHS Tayside Care Governance Committee.

Corporate Strategic Risk Profile - As well as review at operational management level, the Angus CCPG. 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 risk focused meetings (bi monthly). The forum provided its Annual Assurance Report to the Angus IJB Audit Committee in June 2021 and concluded that the forum fulfilled its remit during financial year 2019/20. Finance risk updates are also provided within finance reports to each IJB meeting.

## CLINICAL, CARE AND PROFESSIONAL GOVERNANCE FORUM AND BOARD ASSURANCE FRAMEWORK STRATEGIC RISK PROFILE

Throughout 2020/21 the Clinical, Care and Professional Governance Forum met in June, August, October, November, December, January, February and March (the planned meeting in April 2020 was stood down due to the COVID-19 pandemic) under the Chair of the Angus HSCP Associate Medical Director

During these meetings, the group received updates in relation to progress against each of the strategic and operational risks scheduled for peer review.

It was agreed that the risk for Prescribing has improved and has now been reduced in status to a Service Level risk.

Two risks were archived during 2020/21:-

- Prescribing Management
- Performance Management

Five new risks have been identified during 2020/21:-

- Adult Protection
- Storage of Paper Records
- Adverse Event and Risk Management
- Incorrect Patient Details on ADAstra
- Implementation of Strategic Planning Priorities

As a standing agenda item, each Risk Owner must provide an update reports on the risk status for each risk within their responsibility.

The strategic risks are reviewed throughout the year at each bimonthly meeting of CCPG. Service risks are discussed at the time of the annual assurance provided to CCPG. The recording of service risks both within the health and council services requires to be updated. Services are being supported to ensure that the recording is in place.

A Risk management report is submitted at every NHS Tayside Strategic Risk Management meeting (bimonthly) and also annually to the Angus Integration Joint Board Audit Committee.

## THE ADVERSE EVENT MANAGEMENT GROUP

It was agreed by the Clinical, Care and Professional Governance Forum to establish an Adverse Event Management (AEM) Group. The role of this Group is to provide assurance in relation to, and the quality of, Adverse Event Management. The group first met on 23 April 2019, COVID-19 additional workload and social distancing meant these meetings became virtual, however they did continue throughout 2020/21.

As part of ongoing work to ensure robust management of Adverse Events and Risk Management, it was agreed in January 2021 to change the frequency of the Clinical Care and Professional Governance Forum to monthly. A bimonthly CCPG has a focus on Assurance with services reporting according the assurance framework and their service risks. The alternate month CCPG is then devoted to Adverse Events

and Risk Management, including review of all strategic risks. The initial Adverse event and Risk focused CCPG took place on 29<sup>th</sup> March 2021.

The focus of Adverse Event Management review and monitoring continues to be

- Review Red Events
- Review Unverified Events
- Review Verified Events
- Review all LAERs in past month including audit against AEM Checklist
- Review Learning Summaries and ensure implementation across Angus
- Outstanding Actions

Improvement work is underway on the quality of event management monitoring and review and sharing learning. Angus CCPG supports the proactive prompting approach to completion of Datix actions, and Heads of Service (HoS) encourage their services to manage adverse events proactively through Datix.

## **FTF INTERNAL AUDIT SERVICE RISK MANAGEMENT**

The Risk Management Annual Report 2019/20 was presented to NHS Tayside Strategic Risk Management Group and Angus IJB in December 2020, the delay was as a result of responding to the COVID 19 Pandemic. The Report indicated that the Chief Officer was responsible for maintenance of a sound system of internal control and for reviewing the effectiveness of the risk management system within the Health and Care Partnership.

The Internal Audit Report AN05/20 – Risk Management published in June 2020, categorised the risk management systems and processes within the Angus Health and Social Care Partnership and commended the IJB for its progress and the priority given to risk management, and also for the provision of an adequate risk management framework.

## **RECENT WORK AND IMPROVEMENTS**

Tayside work to develop a Risk Management Strategy has now been completed. This was submitted and approved at the Angus IJB on 21<sup>st</sup> April 2021. AHSCP Clinical Care and Professional Governance will support services to ensure the successful implementation of the strategy on final approval. As part of the work to implement this strategy additional training in risk management and appetite will be undertaken and there is a requirement for the Angus IJB to establish its own risk appetite.

NHS Tayside Clinical Governance and Risk Management Team will be providing support to run Risk Management Workshops for staff. Angus Council are running training / awareness programme with service management teams and hope to have this concluded and all registers on Pentana by December 2021.

NHS Tayside Risk Management Strategy require all services to record risks using the Datix system. Angus Council use the Pentana system.

Angus CCPG has agreed that all management and reporting of partnership risks, at both strategic and service level, should be integrated into a single online system. The aim is to improve accountability, reduce duplication, and enable an integrated understanding of risk across the partnership. This approach is particularly important

for integrated teams who currently report into two separate risk management systems.

This is part of a larger piece of work to specify single systems, or data system integrations and improvements, which we propose to mandate for both NHS and council provided AHSCP services through an IJB direction to NHS Tayside and Angus Council in due course.

It is anticipated that the integrated system selected will be the successor to the current DatixWeb product – currently used by NHS Tayside for risks, adverse events, complaints, FOIs, and other key governance and risk management functions – which is in the process of being procured.

The Clinical Care and Professional Governance Forum (CCPG) has a recently appointed a full time administrator (February 2021), and the part time administrator has now returned from a career break. This increased administrative capacity will support continued improvement around risk management.

Ongoing development of Risk Management continues:

- DatixWeb replacement - Adoption of the replacement for DatixWeb, currently being procured by NHS Tayside, as a single system for reporting and management of partnership risks will offer an improved integrated solution for Angus HSCP, bringing together adverse events, strategic and service risks, and customer feedback in a single location enabling improved analysis and learning.
- Mental Health and learning Disabilities Strategic Risk - Mental Health and Learning Disabilities sets out a standard operating procedure for the management of the Tayside wide Mental Health Strategic Risk and is underpinned by 8 System Wide Service Risks:

1. Strategy
2. Workforce
3. Pathways of Care
4. Ligature Anchor Points
5. Environment and Infrastructure
6. Doctors in Training
7. Prescribing
8. Stakeholder and Partnership Engagement

Angus HSCP Clinical Care and Professional Governance Forum recognise the good work behind this procedure and have engaged the support of the NHS Tayside Clinical Governance and Risk Management Facilitator to support the Angus Strategic Risk Sustainability of Primary Care, it is considered that this will be a successful approach to mitigating this risk and this will be a high priority item on the CCPG agenda.

- Service Level CCPG's – The CCPG Clinical Care and Professional Governance Administrators are working closely with NHST Clinical Governance and Risk Management Team to guide and support operational CCPG groups. The aim is that all service level CCPG groups will have a standardised agenda framework. The operational groups should focus on identifying service risks, any relevant ongoing quality improvements and safety of care as well as complying with clinical governance reporting structures. A NHST Clinical Governance Chairs Network is also available for service leads to attend for further support and advice.

Risk Appetite – Angus Clinical Care and Professional Governance Forum supported the recommendation to take forward developmental work in response to the updated strategy.

## ESTABLISHMENT OF GETTING IT RIGHT FOR EVERYONE

The Getting It Right For Everyone (GIRFE) framework has been agreed across Tayside, with the GIRFE group continuing to meet to support implementation. There is a particular focus on supporting service managed in one HSCP on behalf of Tayside (sometimes known as hosted services).

## RISK MANAGEMENT WORK PLAN

Each year, all Standing Committees and Sub Committees are required to produce an annual work plan. While the work plan for risk management is not a statutory requirement, it is recognised as being an element of good practice in providing assurances to the Audit Committee.

This workplan is recently developed and will be submitted to the CCPG Risk meeting on July 2021. In future years It will be included via this paper for information to the Angus Integration Joint Board Audit Committee.

## CONCLUSION

The Blueprint for Good Governance highlights two primary functions; “assessing risk” and “holding to account”. As part of those functions the IJB is required to:

- Approve risk management strategies and ensure they are communicated to the organisation's staff
- Identify current and future corporate, clinical, legislative, financial and reputational risks
- Oversee an effective risk management system that assesses level of risk, identifies mitigation and provides assurance that risk is being effectively treated, tolerated or eliminated
- Monitor, scrutinise, challenge and then if satisfied, support the Executive Management Team's management of the organisations activities in order to ensure that the organisation's aims, objectives, performance standards and targets are met
- Agree the organisations risk appetite.