



Integration Joint Board
Audit and Risk Committee

11th March 2019

This Report relates to
Item 5 on the Agenda

Risk Strategy Update

(Paper presented by Maureen Stevenson)

For Discussion and Noting

Approved for Submission by	Katy Lewis, Chief Finance Officer
Author	Maureen Stevenson, Patient Safety and Improvement Manager
List of Background Papers	None
Appendices	Appendix 1 - Risk Management Strategy

Direction Required to Council, Health Board or Both	Direction to:	
	1. No Direction Required	X
	2. Dumfries and Galloway Council	
	3. NHS Dumfries and Galloway	
	4. Dumfries and Galloway Council and NHS Dumfries and Galloway	

SECTION 1: REPORT CONTENT

Title/Subject: Risk Strategy Update
Meeting: IJB Audit and Risk Committee
Date: 11th March 2019
Submitted By: Katy Lewis
Action: For Discussion and Noting

1 Introduction

1.1. This report provides an update on Risk Management Activity.

2 Recommendations

- 2.1. **The IJB Audit and Risk Committee is asked to:**
- 2.2. **Note progress in implementing IJB Risk Management Strategy and the planned update to the strategy.**
- 2.3. **Note the ongoing work to review the IJB risk register and alignment to the Audit Scotland self assessment work.**

3 Background

- 3.1. The IJB Risk Management Strategy was approved by the Joint Board in July 2016.
- 3.2. Progress has been made in implementing the IJB Risk management Strategy, which includes:
- Promoting awareness of risk and defining responsibility for managing risk within the IJB
 - Sharing of risks between partners and Development of an IJB Risk Register
 - Agreement to roll out DATIX adverse event system to social services teams working on behalf of the partnership
 - Establishment of IJB Audit & Risk Committee
 - Implementation of Duty of Candour
 - Agreement of the IJB Risk Register
 - The ongoing review of risk management arrangements

4 Main Body of the Report

- 4.1. The Patient Safety and Improvement Team continues to work with Managers across the partnership to clarify and enhance risk management governance arrangements to ensure risks are identified, shared, reviewed and managed effectively
- 4.2. Governance arrangements across IJB are currently being reviewed by the Chief Officer; this will include a review of Risk Management arrangements.
- 4.3. **IJB Risk Register**
- 4.4. The Audit and Risk Committee agreed at its December meeting to approve the three risks which were developed through the Health and Social Care Senior Management Team (HSCSMT).
- 4.5. The 3 risks identified include:
 1. Failure to develop an adequate and effective Strategic Plan
 2. Sufficiency or stability of resource to meet the needs set out in the Strategic Plan
 3. Failure to make progress against the nine National Health & Wellbeing Outcomes
- 4.6. It was agreed that a further review of the IJB Risk Register was undertaken with the Chair and the Vice Chair of the Committee emailing all IJB members for their comments and input.
- 4.7. Work is ongoing to develop a self assessment following the Audit Scotland review and it has been agreed with the Chief Officer that we will undertake a further review of IJB risks linked to this review. This will be concluded following the Audit Scotland workshop scheduled for 15th April.
- 4.8. It is still proposed that through the Audit and Risk committee we schedule a risk workshop to further understand and assess IJB risks. This will be scheduled following the Audit Scotland session once members have had the opportunity to review the output of the self assessment.
- 4.9. **Risk System Development**
- 4.10. A plan to roll out access to all social work teams has been agreed but further testing has been delayed due to other strategic priorities. System configuration has now commenced but roll out will be delayed until health and social care are able to work off the same IT platform. Locality teams have developed a workaround to enable adverse events to be logged.
- 4.11. **Health & Social Care Risk Register**
- 4.12. HSCSMT has discussed and agreed to adopt the proposed partnership risks, previously IJB risks which are more tactical in nature. Maureen Stevenson and Nicole Hamlet have arranged to meet to review governance and assurance mechanisms.

4.13. Duty of Candour Implementation

4.14. A full implementation plan has been agreed. The Patient Safety & Improvement Team, the Complaints Team and Chief Social worker are working through the implementation plan to ensure staff, systems and processes are aligned and compliant with the act.

4.15. A report was prepared and presented to IJB Clinical & Care Governance Committee in February. Lead officers agreed to meet, review progress and provide a further update at the April meeting.

4.16. Internal Audit Recommendations Status update

4.17. One outstanding action in relation to risk remains outstanding, relating to the implementation of the risk strategy. We have been aware that the risk strategy requires to be updated, particularly in relation to operational and tactical risks and to reflect where and how they are reported. A copy of the current risk management strategy is included at appendix 1 for information.

5 Conclusion

5.1 Work is ongoing to fully embed risk management within the IJB and the further work planned through the Audit Scotland review is critical to support this. The short life working group to develop the self assessment is planning on meeting on three occasions during February and March. Key dates:

- 21 Feb 2019 - Email from Chair and Vice Chair to all IJB members to advise of IJB risks
- 11 March 2019 - IJB Audit and Risk Committee Update
- 3 April 2019 - Draft self assessment presented to IJB
- 15 April 2019 - Audit Scotland workshop
- 24 June 2019 - IJB Audit and Risk Committee, updated risks, updated risk management strategy (potential workshop)

SECTION 2: COMPLIANCE WITH GOVERNANCE STANDARDS

6 Resource Implications

6.1. No additional resources have been identified.

7 Impact on Integration Joint Board Outcomes, Priorities and Policy

7.1. Managing Risk and protecting the safety of our staff, patients and communities is core to delivering the IJB Vision and the 9 national outcomes, in particular:

- People using health and social care services are free from harm
- People who work in health and care services feel engaged with the work that they do and are supported to continuously improve the information, support, care and treatment they provide
- Resources are used effectively and efficiently in the provision of health and care services

8 Legal & Risk Implications

None identified

9 Consultation

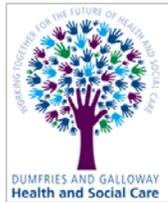
9.1 HSCSMT, Clinical and Care Governance (Duty of Candour)

10 Equality and Human Rights Impact Assessment

10.1 An Impact Assessment is not required at this time.

DATIX	-	Board's Risk Management system
HSCSMT	-	Health and Social Care Senior Management Team
IJB	-	Integration Joint Board

Dumfries and Galloway Integration Joint Board



DIRECTION

(ISSUED UNDER SECTIONS 26-28 OF THE PUBLIC BODIES (JOINT WORKING) (SCOTLAND) ACT 2014)

1.	Title of Direction and Reference Number	
2.	Date Direction Issued by Integration Joint Board	
3.	Date from which Direction takes effect	
4.	Direction to	
5.	Does this direction supersede, amend or cancel a previous Direction? If yes, include the reference number(s)	
6.	Functions covered by Direction	
7.	Full text of Direction	
8.	Budget allocated by Integration Joint Board to carry out Direction	
9.	Desired Outcomes	
10.	Performance Monitoring Arrangements	
11.	Date Direction will be Reviewed	