



Dumfries and Galloway  
Integration Joint Board  
Audit and Risk Committee

9<sup>th</sup> March 2020

This Report relates to  
Item 8 on the Agenda

# Risk Management Quarterly Progress Report

*Paper presented by Katy Lewis*

*For Discussion*

<b>Author:</b>	Katy Lewis, Chief Finance Officer IJB katylewis@nhs.net
<b>List of Background Papers:</b>	Not required
<b>Appendices:</b>	Appendix 1 – IJB Corporate Risk Register

## 1. Introduction

- 1.1 This report provides an update on Risk Management Activity for the Integration Joint Board and the Health and Social Care Partnership over the last quarter.

## 2. Recommendations

### 2.1 The Integration Joint Board is asked to:

- Note the progress on the risk management improvement work to end February 2020.
- Note the review of the IJB corporate risks.

## 3. Background and Main Report

- 3.1 The IJB Risk Management Strategy was approved by the Joint Board in July 2016. At the Audit and Risk meeting on 24<sup>th</sup> June 2019 it was recognised that further work was required to develop the risk management arrangements for the IJB and to ensure that appropriate support was in place to progress the work required.

### *Corporate Risk Register*

- 3.2 Attached is a copy of the previously agreed IJB corporate risk register (**Appendix 1**), summarised in a format consistent with NHS and Council risk registers.

- 3.3 Additional information is required to finalise this, including target risk and risk appetite and this will be reviewed and completed during March 2020. In addition, all IJB corporate risks will be registered on the DATIX system by the end of March as an area has been developed to record these which will also support regular reporting.

- 3.4 Discussions have take place at the Partnership Executive Group (including Julie White, Vicky Freeman, Nicole Hamlet and Katy Lewis) to undertake the annual review of the IJB risk register where it was agreed we need to develop additional risks for a range of areas (these are summarised below):

- Directions
  - Failure to issue a complete set of directions against each of the functions delegated
  - Failure to adequately monitor the implementation of directions that ensure delivery of the IJB Strategic Commissioning Plan.
  - Failure to maintain an accurate up to date record of directions.
- Strategic Commissioning Intentions (SCI)
  - Failure to identify a set of strategic commissioning intentions that will accurately take account of the priorities of the IJB and set the framework for the IJB SCP.
  - Failure to introduce mechanisms that ensure that the IJB is cognisant of their SCIs as part of routine decision making.
- Strategic Planning Group (SPG)
  - Failure to establish and maintain a Strategic Planning Group (SPG).
  - Failure to introduce mechanisms and structures that ensure that the IJB is cognisant of the view(s) of their own SPG as part of routine

decision making (as required within the legislation).

- Information Sharing
  - Failure to agree and implement arrangements for information sharing for the Partnership.

The exact risk descriptor has yet to be finalised as a further session has been organised to conclude this. This will also include the scoring of the risks and development and assessment of control measures. The work which was kicked off through the risk sub group on assurances will be incorporated into this review.

#### *Risk Strategy Review*

- 3.5 The Chief Finance Officer has commenced a review of the risk strategy for the Integration Joint Board. This is being developed through a small short life working group which is also looking at the Risk Strategy and processes for the NHS Corporate services and Risk for the Health and Social Care Partnership. A series of meetings have been set up during March with an updated strategy presented to the next Audit and Risk meeting in June. It is planned that a workshop in between times will be held if required for Committee and the draft documents will be circulated in advance for comment. This is the review of the strategy which was agreed following the overall IJB Governance review led by the Chief Officer.

#### *Health and Social Care Risk Arrangements*

- 3.6 The Tactical and Operational risk arrangements for the Partnership are being developed through the Tactical Risk, Health and Safety Group (TRHSG) which is chaired by Nicole Hamlet (Deputy Chief Officer). Key points to note are:
- The TRHSG covers operational Directorate elements and feedback corporate issues to other standing groups/committees.
  - Discussions have taken place around current KPI's and overdue risks report. Going forward, risks will be highlighted before becoming overdue to ensure the group can anticipate and act proactively rather than reactively. In future, the KPI report will include everything that is categorised high and very high on the risk register. Percentages and numbers will be included within the KPI report with regards to number of risks per directorate.
  - Directorate updates will highlight very high/high risks along with mitigating factors. Category 1 and Category 2 adverse events will be discussed, sharing organisationally what is being done to mitigate the likelihood of these happening again and any learning from these events.
  - Review of outstanding Internal Audit actions are part of the core business of the Tactical Health Safety and Risk Group.
  - Additional narrative will be included within the Adverse Events report in order to give context to the charts included within the report. In addition, the report will be developed to include target setting for overdue risks, performance targets, narrative, directorate specific numbers and themes/trends for future reporting.
  - An update on KPI reporting will be tabled at the meeting being held in February 2020.

3.7 This is a relatively new group which has only met 3 times but is very well attended and seems to be moving forward the work in this area at a good pace.

#### **4. Conclusions**

4.1 Work is ongoing to review and fully embed risk management within the IJB. The further work planned through the Local Governance work and Audit Scotland's review of IJB's, is critical to support this. This issue is reflected in both Internal and External Audit recommendations and there is an impetus to progress this.

#### **5. Resource Implications**

5.1. No additional resources have been identified at this stage but work to assess ongoing capacity to support this is being progressed.

#### **6. Impact on Integration Joint Board Outcomes, Priorities and Policy**

6.1. Managing Risk and protecting the safety of our staff, patients and communities is core to delivering the IJB Vision and 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.

#### **7. Legal and Risk Implications**

7.1. There are no legal or risk implications identified.

#### **8. Consultation**

8.1. HSCSMT, Clinical Care and Governance (Duty of Candour)

#### **9. Equality and Human Rights Impact Assessment**

9.1. An Impact Assessment is not required at this time.

#### **10. Glossary**

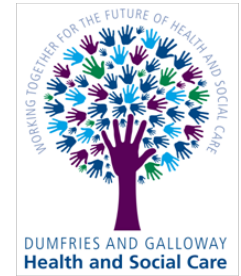
10.1 All acronyms must be set out in full the first time they appear in a paper with the acronym following in brackets.

DATIX	Board's Risk Management System
KPI's	Key Performance Indicators
HSCSMT	Health and Social Care Senior Management Team
IJB	Integration Joint Board
SCP	Strategic Commissioning Intentions
SPG	Strategic Planning Group
SCI	Strategic Commissioning Intentions



## 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	