

**WEST DUNBARTONSHIRE HEALTH AND SOCIAL CARE PARTNERSHIP
BOARD**

Report by Head of Strategy and Transformation

20 September 2021

Subject: Strategic Risk Register Six Month Review

1. Purpose

1.1 The purpose of this report is to present the updated Strategic Risk Register for the West Dunbartonshire Health and Social Care Partnership (HSCP).

2. Recommendations

2.1 It is recommended that the HSCP Board:

2.1.1 Approve the reviewed and updated Strategic Risk Register (Appendix A).

2.1.2 Note the two current strategic risks selected by the HSCP Audit and Performance Committee to be presented in greater detail to the HSCP Board on the 24 March 2022.

2.1.3 Note that this review has been undertaken in line with the West Dunbartonshire HSCP Risk Management Policy recommended to the HSCP Board for approval by the Audit and Performance Committee on 24 June 2021.

3. Background

3.1 The Public Bodies (Joint Working) (Scotland) Act 2014 (the Act) states that an Integration Joint Board (IJB) must have effective governance arrangements in place, which includes systems for managing strategic risks.

3.2 The Integration Scheme confirms that a key element of the required risk management process is the preparation, scrutiny, approval and then annual review of the strategic risk register for the Health and Social Care Partnership. On the 25 March 2021 the HSCP Board approved the Strategic Risk Register including a new pandemic strategic risk.

3.3 The Chief Officer is responsible for ensuring that suitable and effective arrangements are in place to manage both strategic and operational risks relating to the Health and Social Care Partnership.

3.4 The HSCP Board's Financial Regulations reflect the recommendations of the national Integrated Resources Advisory Group which confirms the responsibility of the Chief Officer to develop a West Dunbartonshire Health

and Social are Partnership Risk Management policy and strategy. This policy and strategy was approved by the HSCP Board at its August 2015 meeting and internally reviewed in November 2017. A review of the Risk Management Policy and Strategy was presented to the HSCP Audit and Performance Committee on 24 June 2021 where it was recommended to the HSCP Board for approval. Final HSCP Board approval is sought via a separate report which will be presented to the HSCP Board on the 20 September 2021.

4. Main Issues

- 4.1** Risk Management is about the culture, processes and structures that are directed towards realising potential opportunities whilst managing adverse effects. It is pro-active in understanding risk and uncertainty, it learns and builds upon existing good practice and is a continually evolving process that has an important role in ensuring that beneficial and defensible decisions are made.
- 4.2** The attached Strategic Risk Register (Appendix A) has been prepared in accordance with the Risk Management Policy and Strategy, recommended by the HSCP Audit and Performance Committee for HSCP Board approval on the 24 June 2021. Similarly, in accordance with that Policy and Strategy, standard procedures are applied across all areas of activity within the Health and Social Care Partnership in order to achieve consistent and effective implementation of good risk management.
- 4.3** Strategic risks represent the potential for the HSCP Board to achieve (opportunity) or fail to meet (threat) its desired outcomes and objectives as set out within the Strategic Plan, and typically these risks require strategic leadership in the development of activities and application of controls to manage the risk. These are distinct from operational risks, which represent the potential for impact (opportunity or threat) within or arising from the activities of an individual service area or team operating within the scope of the Health and Social Care Partnership's activities.
- 4.4** The Chief Officer has responsibility for managing operational risks as those are more 'front-line' in nature and the development of activities and controls to respond to these risks can be led by local managers and team leaders. Operational risk registers are maintained by Heads of Service on behalf of the Chief Officer; and are the "building blocks" for the Strategic Risk Register.
- 4.5** Where a number of operational risks impact across multiple service areas or, because of interdependencies, require more strategic leadership, then these can be proposed for escalation to 'strategic risk' status for the HSCP Board.
- 4.6** The mitigating actions for the strategic risks have been updated to reflect Covid-19 response, recovery and rebuild. A new risk of pandemic has been included reflecting Covid-19 response and impact. All other risks within the Strategic Risk register have been further strengthened through additional mitigating actions.

4.7 At their meeting of 16 September 2021, the HSCP Audit and Performance Committee will be asked to select two current strategic risks to be presented in greater detail to the HSCP Board on the 24 March 2022. The Board will receive a verbal update on the agreed risks upon presentation of this report.

5. Options Appraisal

5.1 Not required for this report.

6. People Implications

6.1 Key people implications associated with the identified strategic risks are addressed within the mitigating actions of the Strategic Risk Register.

6.2 The Risk Management Policy and supporting strategy affirms that risk management needs to be integrated into daily activities, with everyone involved in identifying current and potential risks where they work.

6.3 Individuals have a responsibility to make every effort to be aware of situations, which place them, or others at risk, report identified hazards and implement safe working practices developed within their service areas

7. Financial and Procurement Implications

7.1 Key financial implications associated with the identified strategic risks are addressed within the mitigating actions of the Strategic Risk Register.

7.2 The Risk Management Policy and supporting strategy affirms that financial decisions in respect of these risk management arrangements rest with the Chief Financial Officer.

8. Risk Analysis

8.1 Failure to comply with the legislative requirement in respect of risk management would place the HSCP Board in breach of its statutory duties.

8.2 The HSCP Audit and Performance Committee reviewed, scrutinised and approved the Strategic Risk Register on the 25 February 2021. This 6 month update will again be reviewed by the HSCP Audit and Performance Committee at their meeting of 16 September 2021. The HSCP Board will receive a verbal update on the agreed actions from that meeting upon presentation of this report.

8.3 The Chief Officer and Strategic Management Team reviewed the Strategic Risk Register on the 1 September 2021, presented this to the HSCP Audit and Performance Committee for further scrutiny on 16 September 2021 and now seek final approval from the HSCP Board.

9. Equalities Impact Assessment (EIA)

9.1 An equality impact assessment is not required as the HSCP Board is not being asked to take a substantive decision at this time and the report does not have a differential impact on any of the protected characteristics.

10. Environmental Sustainability

10.1 A Strategic Environmental Assessment (SEA) is not required for this report.

11. Consultation

11.1 The Strategic Risk Register has been reviewed and confirmed by the Health and Social Care Partnership Strategic Management Team.

11.2 Relevant Monitoring Officers, including internal auditors, have been consulted in the preparation of this report.

12. Strategic Assessment

12.1 Effective risk management will support local and strategic priorities and national health and wellbeing outcomes. It will prevent or mitigate the effects of loss or harm; and will increase success in delivery of the HSCP Strategic Plan, improving lives with the people of West Dunbartonshire.

13. Direction

13.1 A direction is not required for this report, as it is an update on the Strategic Risk Register.

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Appendices: Strategic Risk Register (Appendix 1)