WEST DUNBARTONSHIRE HEALTH AND SOCIAL CARE PARTNERSHIP BOARD

Report by Head of Strategy and Transformation

20 September 2021

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Subject: **Health and Social Care Partnership (HSCP) Risk Management Policy**

1. Purpose

1.1 The purpose of this report is to present the findings of the desktop review and internal audit of the Risk Management Policy and supporting strategy for the Health and Social Care Partnership.

2. Recommendations

2.1 The Health and Social Care Partnership Board is recommended to:

2.1.1 Note the content of this report;

2.1.2 Note that on the 24 June 2021 the HSCP Audit and Performance Committee scrutinised this report and agreed to recommend to the HSCP Board that the Risk Management Policy for the HSCP be approved;

2.1.3 Approve the Risk Management Policy for the Health and Social Care Partnership (Appendix A); and

2.1.4 Note the supporting strategy for Risk Management.

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 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.

3.3 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 Care Partnership Risk Management Policy and supporting strategy, the current version was approved by the Partnership Board August 2015.

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, builds upon existing good practice, and is a continually evolving process that has an important role in ensuring that defensible and beneficial decisions are made.

4.2 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.

4.3 The Chief Officer has responsibility for managing operational risks as those more 'front-line' in nature and local managers and team leaders can lead the development of activities and controls to respond to these risks. 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.

4.4 The Risk Management Policy and underpinning strategy (Appendix B) supports the regulatory frameworks within which health and social care professionals practice; and the established professional accountabilities that are currently in place within the NHS and local government. All health and social care professionals remain accountable for their individual clinical and care decisions.

4.5 The Policy and supporting strategy recognise the importance of routine reporting of risk information within and across teams and a commitment to a 'lessons learned' culture that seeks to learn from both good and poor experience in order to replicate good practice and reduce adverse events and associated complaints and claims

Internal Audit of Strategic Risk Assessment

4.6 A full internal audit was conducted during February 2021, in accordance with the 2020/21 Annual Internal Audit Plan. The objective was to provide HSCP management with an assessment of the adequacy and effectiveness of the governance and controls surrounding IJB Risk Management Policy and supporting strategy.

4.7 The audit focused on the high-level processes and procedures in relation to the Risk Management Policy and supporting strategy and concentrated on identifying areas of perceived higher risk, such as whether risk management is actively supported and promoted by senior officers. It also looked at whether the approach to identifying and prioritising risks and matching them

with appropriate responses is reasonable; and whether risks and the actions taken to mitigate them are regularly monitored.

4.8 Audit Scotland's Best Value Risk Assessment toolkit was used as a foundation framework for the review work undertaken. This incorporated an in-depth review of the updated Risk Management Policy and the supporting strategy. The audit has provided reassurance that the policy and strategy are aligned with recognised risk management methodology and that controls and procedures are being followed and has highlighted where they could be improved.

4.9 There were three points arising from the internal audit, these are incorporated into the implementation plan (Appendix B), which will contribute to further strengthening and embedding effective risk management across HSCP services.

<u>Monitoring and Review</u>

4.10 The Risk Management Policy and supporting strategy has been presented to the 24 June 2021 HSCP Audit and Performance Committee for review and scrutiny.

4.11 Subject to HSCP Board approval, the revised Risk Management Policy and supporting strategy will be live from 20 September 2021 and kept under review.

4.12 To align with the HSCP Strategic Planning cycle the next review will take place in 2022 and every three years thereafter. This will ensure it reflects the current standards and best practice in risk management and fully reflects the HSCP strategic priorities.

5. Option Appraisal

5.1 There is no requirement for an option appraisal for the content of this report.

6. People Implications

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

6.2 This policy and supporting strategy will be promoted and made readily accessible to Health and Social Care Partnership staff and will form the basis of any future risk management training.

7. Financial and Procurement Implications

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

8. Risk Analysis

8.1 It is the responsibility of the HSCP Board to approve a local Risk Management Policy and supporting strategy, alongside the establishment of adequate and proportionate internal audit arrangements for review of the adequacy of the arrangements for risk management. The implementation of such arrangements by the HSCP Board will be subject to scrutiny.

8.2 Failure to comply with this responsibility in respect of effective risk management would place the HSCP Board in breach of its statutory duties.

8.3 Risk management proactively reduces identified risks to an acceptable level by creating a culture founded upon assessment and prevention, rather than reaction and remedy. It plays a vital role supporting and informing decision making, in providing a safe and secure environment for citizens, service users, carers and staff.

8.4 It should be embedded into all organisational processes and involve everyone in the organisation. Organisations that manage risk effectively and efficiently are more likely to achieve safe and effective care, and do so at lower overall cost.

9. Equalities Impact Assessment (EIA)

9.1 An equality impact assessment is not required for the content of this report.

10. Environmental Sustainability

10.1 There is no requirement for an environmental sustainability review for the content of this report.

11. Consultation

11.1 The Risk Management Policy and supporting strategy has been reviewed by the Health and Social Care Partnership Senior Management Team and HSCP Audit and Performance Committee.

11.2 West Dunbartonshire Internal auditor carried out a full audit of the Risk Management Policy and supporting strategy.

11.3 Monitoring Officers within Audit and Fraud, Regulatory Services, Trade Union Representatives and Risk Management team 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. In particular outcome 9, resources are used effectively and efficiently in the provision of health and social care services. It will prevent or mitigate the effects of loss or harm; and will increase success in delivery of the 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 of the Risk Management Policy and Strategy, approved by the Board in 2015.

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Date: 5 September 2021

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Appendices:	Appendix 1 – Risk Management Policy Appendix 2 – Risk Management Strategy
Background Papers:	HSCPB Risk Management Policy and Strategy (August 2015) Health & Social Care Partnership Board Financial Regulations The Health and Social Care Integration Public Bodies (Joint Working) (Scotland) Act 2014 Guidance for Integration Financial Assurance
Localities Affected:	None