REPORT TO: **PERFORMANCE & AUDIT COMMITTEE – 22 SEPTEMBER 2020**

REPORT ON: **RISK MANAGEMENT ACTION PLAN UPDATE**

REPORT BY: **CHIEF FINANCE OFFICER**

REPORT NO: **PAC26-2020**

1.0 PURPOSE OF REPORT

1.1 To inform the Performance and Audit Committee of the progress made on the Risk Management Action Plan that was developed in response to the outcome of the Internal Audit assessment of the Risk Maturity of the IJB.

2.0 RECOMMENDATIONS

It is recommended that the Performance & Audit Committee (PAC):

2.1 Approves the updated Action Plan in response to the Internal Audit Assessment of the Risk Maturity of the IJB that was presented to the PAC on 25th September 2018.

2.2 Instruct the Chief Finance Officer to provide a further update on the Action Plan in early 2021.

2.3 Note the work ongoing by the Tayside Risk Management group that has been set up and has had regular meetings.

3.0 FINANCIAL IMPLICATIONS

3.1 None

4.0 MAIN TEXT

4.1 The PAC received the Risk Management Internal Audit Report on the 25th September 2018 (Article IX of the minute of meeting and PAC36-2018 refers). The Chief Internal Auditor commended the IJB for the progress made, however a number of recommendations were made.

4.2 The action plan has been updated and is attached here for approval.

4.3 The Tayside Risk Management group is made up of risk managers from NHS Tayside, Dundee City Council, Dundee Health and Social Care Partnership, Angus Health and Social Care Partnership and Perth and Kinross Health and Social Care Partnership.

4.4 The work they are undertaking is necessary to ensure consistency in risk management across the Health and Social Care Partnerships and their partner bodies.

5.0 POLICY IMPLICATIONS

5.1 This report has been screened for any policy implications in respect of Equality Impact Assessment. There are no major issues.

6.0 RISK ASSESSMENT

6.1 This report has not been subject to a risk assessment as it does not require any policy or financial decisions at this time.

7.0 CONSULTATIONS

7.1 The Chief Officer and the Clerk were consulted in the preparation of this report.

8.0 BACKGROUND PAPERS

8.1 None.

Dave Berry   DATE: 02 September 2020
Chief Finance Officer

APPENDIX 1

Audit Recommendations	Actions Proposed	Responsible Officer	Timescales	Update
Update and Review Risk Management Strategies				
Work be undertaken by the Council, NHS and DHSCP Partnership to ensure that Risk Management Strategies are updated within a common set of agreed Risk Management principles to ensure consistency and congruence.	Tayside wide meetings proposed between NHS Tayside, IJBs and Local Authorities to discuss and agree on common set of principles and procedures that work across multiple systems	Risk Managers in DCC and NHS Tayside	April 2019	A Tayside Risk Management group has been set up and has had regular meetings. Work has progressed on the common set of principles and procedures. The Tayside Integration Joint Boards Risk Management Policy and Strategy has been updated and is being finalised.
Include a Governance, Roles and Responsibilities section in the DHSCP Risk Management Strategies to include the IJB to consider the Risk Register bi-annually	Update the Risk Management Strategy to include timescales for presenting the risk register to the IJB bi-annually in April and November.	Senior Officer (Business Planning and Information Governance) DHSCP	April 2019	The DHSCP Strategic Risk Register has been presented to the IJB in August 2020. The DHSCP Risk Management Strategy will be updated to include the timescales for presenting the Risk Register bi-annually in April and November.
Reflect the role of the Performance and Audit Committee to review the overall system of risk management	Update the Risk Management Strategy to include the role of the Performance and Audit Committee to review the overall system of risk management	Chief Finance Officer and Senior Officer (Business Planning and Information Governance) DHSCP	April 2019	The Risk Management Strategy will be updated following the finalisation of the Tayside Integration Join Boards Risk Management Policy.
Enhance the section in relation to the role of the Senior Management team in reviewing risks and considering current scores, controls and tolerance. To include an escalation process of risks to the IJB strategic risk register and to parent bodies. To also make	Work to be undertaken to ensure that the Risk Management Strategies reflect the escalation process across the DHSCP and parent bodies.	Chief Finance Officer and Senior Officer (Business Planning and Information Governance) DHSCP	April 2019	Operational Risks Registers are presented to the Clinical Care and Governance Forum. The DHSCP Strategic Risk Register is made available to the NHST and DCC risk group meetings. The DHSCP Risk Management strategy will be updated once the Tayside IJB Risk management policy and strategy has been finalised.

reference to the role of the groups below the Senior Management Team				
Include an appropriate mechanism for formal escalation of risks to parent bodies and vice versa	To be agreed as part of the Tayside wide meeting	Risk Managers in DCC and NHS Tayside	April 2019	The DHSCP Strategic Risk Register is made available to the NHST and DCC risk group meetings. The DHSCP Risk Management strategy will be updated once the Tayside IJB Risk management policy and strategy has been finalised.
Agreement of parent bodies of Risk Registers to prevent duplication of or recording of similar risks	Risk is recorded on Datix and Pentanta.

Work to be undertaken to agree on appropriate place for recording risk and monitoring of risk registers. To be agreed as part of the Tayside wide meeting | Risk Managers in DCC and NHS Tayside | April 2019 | The DHSCP Strategic Risk Register is made available to the NHST and DCC risk group meetings. The DHSCP Risk Management strategy will be updated once the Tayside IJB Risk management policy and strategy has been finalised. |
| As systems develop, creation of operational procedures and policies to provide guidance to managers | Create operational procedures and policies | Senior Officer (Business Planning and Information Governance) DHSCP | December 2019 | Operational guidance is available about the use of Risk recording systems. However it is very much dependent on the use of systems. E.g. Pentana or Datix.

The work undertaken by the Tayside IJB Risk Management group will make explicit the systems to be used especially around escalation of operational to strategic risks. Thereafter the operational policies and procedures will be created. |
| Include a judgement of the adequacy and effectiveness of Risk management arrangements | Involve a recognised methodology to form the basis for judging the adequacy and effectiveness | Risk Managers in DCC and NHS Tayside | April 2019 | To be developed as part of the Tayside Risk Management group. |

	of the risk management arrangements.			
Prioritisation of the Partnership Risk management system	Support agreed from Risk Managers in DCC and NHS Tayside to support the DHSCP in the embedding of a consistent risk management strategy that supports the needs of Senior Management team and Operational managers to manage risk within their service areas	Risk Managers in DCC and NHS Tayside Chief Finance Officer, Head of Service, Health & Community Care	April 2019 and ongoing	Covid 18 has accelerated prioritisation of risk management across DHSCP services. The Tayside Risk Management group will finalise the use of the risk management systems which will support the needs of the Senior Management Team and operational managers.
Horizon Scanning	Annual event to be held to look at the risks to the delivery of the strategic plan, informed by the Risk Register of the Council and NHS In addition work is underway to develop a Resilience Group for operational services which will bring together Emergency Planning, Business Continuity and Risk Management within the remit of one specific group. This will ensure that emergent issues will be captured across all areas. This will enable them to be prioritised and mitigating factors identified.	Senior Officer, Business Planning and Information Governance, Chief Finance Officer, Head of Service, Health & Community Care	December 2019	To be completed as part of the Tayside Risk Management group.

Risk Management System				
Include information on assurances in place over the controls mitigating each risk, and timescales.	The Pentana Risk section has a control section that allows the control to be scored. All individual high level and operational risks recorded on Pentana will be updated and scored in the control section. The risk template section and associated guidance will be updated to include a scored control section	Senior Officer, Business Planning and Information Governance,	April 2019	Completed
Explicity link objectives, risks, controls/actions and assurances/performance reporting within the IJB governance structure	The Pentana system allows for links to be made between risks, performance indicators and actions. Following the review of the Strategic and Commissioning Plan work will be undertaken to link the identified risks with the appropriate actions and performance indicators.	Senior Officer, Business Planning and Information Governance,	September 2019	Work will be undertaken to finalise this once the risk reporting mechanisms have been finalised by the Tayside Risk Management Group.
Establish the regular review of the Risks registers and frequency of high scoring risks	Development of Locality Risk Registers and escalation processes.	Senior Officer, Business Planning and Information Governance,		Locality Managers have been working with Risk Registers and operational risks are recorded on Datix. In addition the development of Covid 19 Remobilisatoin Risk Register across teams has been developed.
Reporting from Risk Register on Pentana	These will be produced regularly from Pentana, once it is adequately populated with risks / controls / assessments	Senior Officer, Business Planning and Information Governance	September 2019	This Risk reporting has been completed and is ongoing.