



REPORT TO: PERFORMANCE & AUDIT COMMITTEE – 29 MAY 2018

REPORT ON: ANNUAL RISK MANAGEMENT OVERVIEW

REPORT BY: CHIEF FINANCE OFFICER

REPORT NO: PAC28-2018

1.0 PURPOSE OF REPORT

To provide the Performance and Audit Committee with an annual overview of Dundee Health and Social Care Partnership's Risk Management Strategy.

2.0 RECOMMENDATIONS

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

2.1 Notes the content of this report;

2.2 Notes the work being undertaken to formalise escalation protocols for specific risks to the Integration Joint Board and to partner bodies (section 4.4 of this report) and future developments around Locality Operational Risk Management Plans (section 4.3 of this report) and a Resilience Group (section 4.5 of this report).

3.0 FINANCIAL IMPLICATIONS

None.

4.0 MAIN TEXT

4.1 Development of Risk Management Recording System

4.1.1 Dundee Health and Social Care Partnership's risk management recording format was based on the Integration Joint Boards' Risk Management Policy and Strategy which was agreed at the IJB at its meeting held on 27 April 2017 (report number DIJB22-2016) which is attached as appendix 1 and the Risk Matrix on Pentana (Performance Management system). Work is ongoing to ensure that the Health and Social Care Partnership's risk management recording format is compatible with Risk Management recording in Dundee City Council (Pentana) and NHS Tayside (Datix).

4.1.2 The main focus this year has been the development of the Operational Risk Register, in addition to the already established Strategic Risk Register. Guidance on risk reporting has been developed for authors of reports to the IJB and PAC. The recording of risks in reports enables IJB and Committee members to consider the extent of the risks associated with any decisions they are being asked to make, and to accept these risks or otherwise. These risks are then recorded in the Operational (Appendix 2) or Strategic risk register (Appendix 3) on Pentana. The Pentana system allows for assigned persons responsible for the risk to make regular updates. The visual matrix on Pentana enables risks to be more easily understood.

4.1.3 Updates from the Strategic Risk Register on Pentana were taken to the Performance and Audit Committee held on 13 February 2018 (report number PAC10-2018 – Dundee IJB High Level Risk Register).

4.2 Effectiveness

- 4.2.1 The Integration Joint Board's Internal Auditor will be validating the risk management work carried out to date, and reviewing and commenting on proposed future approaches as part of the 2017/18 Internal Audit Plan. They will provide a report on the effectiveness of the Partnership's Risk Management Strategy.

4.3 Future Developments in Risk Management.

- 4.3.1 Planned developments to Dundee Health and Social Care Partnership's Risk Management Strategy include the development of Key Performance Indicators to provide assurance on the operation of the Risk Management system throughout the year.
- 4.3.2 Updates from the Strategic and Operational Risk Registers will be presented to the Integration Joint Board following detailed scrutiny by the Performance and Audit Committee. The Risk Registers will be taken to the IJB Meeting to be held on 26 June 2018 to allow the Risk Registers to be reviewed in the context of the annual report.
- 4.3.3 It is planned to engage the Integration Joint Board in work around setting the IJB's risk appetite. This is the amount and type of risk that an organisation is willing to take in order to meet its strategic objectives. Tolerance of risks are approved by the IJB, however the Senior Management Team and Chief Officer review individual risks in more detail.
- 4.3.4 Work is ongoing to develop detailed Locality Operational Risk Management plans. This has been an ongoing process that has been influenced by the Strategic and Operational Risk Registers.

4.4 Escalation Protocols

- 4.4.1 It has been recognised that work needs to be carried out to formalise escalation protocols for specific high risks to the Integration Joint Board, and to partner bodies: Dundee City Council and NHS Tayside.
- 4.4.2 Conversely the IJB also needs assurance around escalation protocols from both partners around any risks that need to be notified, or should have been notified, to the Integration Joint Board.

4.5 Resilience Group

- 4.5.1 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.

4.6 Financial Monitoring

- 4.6.1 Work will be undertaken to record the risks identified in the Financial Monitoring report on Pentana.

5.0 POLICY IMPLICATIONS

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

6.0 RISK ASSESSMENT

No risk assessment is necessary as this is an annual report.

7.0 CONSULTATIONS

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

8.0 BACKGROUND PAPERS

None.

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DATE: 9 May 2018

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