



REPORT TO: HEALTH AND SOCIAL CARE INTEGRATION JOINT BOARD –
20 APRIL 2022

REPORT ON: DUNDEE CITY IJB STRATEGIC RISK REGISTER ANNUAL REPORT

REPORT BY: CHIEF FINANCE OFFICER

REPORT NO: DIJB23-2022

1.0 PURPOSE OF REPORT

1.1 To provide the Integration Joint Board with the annual report on developments and progress made in Dundee Health and Social Care Partnership’s Strategic Risk management over the past year. To provide the Integration Joint Board with further information about significant changes in specific risks over the past year.

2.0 RECOMMENDATIONS

It is recommended that the Integration Joint Board (IJB):

- 2.1 Note the progress made in Dundee Health and Social Care Strategic Risk Management including agreement of the Tayside IJB's Risk Management Framework, and the holding of two IJB Development Sessions on Risk Management and Risk Appetite.
- 2.2 Note the changes in the specific risks in the Strategic Risk Register including changes in scoring of existing risks, recording of new risks, and archived risks.
- 2.3 Note the future work planned to further embed Strategic Risk Management in the IJB.

3.0 FINANCIAL IMPLICATIONS

3.1 None

4.0 RISK MANAGEMENT

- 4.1 The Strategic Risk Register was created in 2016 and is regularly updated.
- 4.2 Changes in the Strategic Risk Register reflect the change in the risk maturity of the Dundee City IJB as an organization, and the changes in external forces in the environment in which it operates.
- 4.2 When the Strategic Risk Register was first created the risks captured were mainly focussed on anticipated risks to the IJB not operating successfully. Risks captured at that time included risks around Finance and Governance.
- 4.3 As the IJB has developed some service specific Operational risks have been escalated to the Strategic Risk Register. This is because they cannot be managed at an operational level. Additionally they pose a risk to the IJB not being able to successfully carry out its Strategic and Commissioning Plan.

- 4.4 During the past year the Tayside IJB Risk Management Framework has been developed and adopted by the IJB, which was coordinated with partners in the three Tayside IJBs, three Local Authorities, NHS Tayside, and internal audit. It was approved at the April 2022 IJB meeting.
- 4.5 The Tayside IJB Risk Management Framework clearly sets out the framework where risk management across the partner bodies are reported and shared. It is based on the review of existing framework agreed prior to integration of health and social care, reflecting the “lived experience” of integration.
- 4.6 The first Risk Management development session for the IJB was held in August 2021. The aim of the session was to introduce the new IJB Risk Management Strategy to IJB members, ensuring members are aware of their roles and responsibilities around risk including within decision making and assurances they should seek around risk management.
- 4.7 The second Risk Management Appetite, held in early March 2022, focussed on the development of risk appetite and setting targets for specific risks. IJB members completed a survey to look at models of setting targets for categories of risks. Follow up work is planned to further develop the risk appetite of the IJB.

5.0 **CHANGES IN RISKS**

- 5.1 Appendix 1 sets out details of the current Strategic Risk Register extract. Finance risks have remained the same over the past year. The control factors of increased reserves and additional Scottish Government funding towards Health and Social Care Integration continue to support the IJB’s financial position.
- 5.2 The Staff Resource risk has increased to the maximum score over the past year. Recruitment for Consultants and Doctors in specific areas such as Mental Health, and Substance Misuse has meant that there are significant difficulties in filling posts, with posts remaining vacant. These risks are detailed in Operational Risk Registers and are being escalated as risks for the Strategic Risk Register. The impact of Covid 19 continues to impact on recruitment challenges.
- 5.3 Several new Strategic Risks have been escalated from the Operational Risk Register over recent months. These are
- Drug and Alcohol Recovery Service
 - IJB as a Category One Responder
 - Mental Health Services
 - Primary Care (Including GP Practices)
- 5.4 The risk around the impact of European Withdrawal has been archived this year. This risk has been closed as other volatile and complex external factors such as the Covid 19 pandemic, inflation, and foreign conflict mean that the impact of EU withdrawal may not be fully identifiable at this time. The development of a workforce plan for Health and Social Care will mitigate wider staffing levels that may have been caused by EU Withdrawal.
- 5.5 The Viability of External Providers risk has decreased this year. This is due to the Scottish Government’s commitment to provide sustainability payments through the IJB to care providers in relation to Covid19 additional expenses.
- 5.6 The Impact of Covid 19 has decreased from a score of 20 to 16 since this time last year. However despite the success of the vaccination programme, infection rates continue to fluctuate with concerns raised nationally about the impact over the winter period, enhanced by concerns about increased flu outbreaks. Additional funding has been provided by the Scottish Government to try and mitigate against services being overwhelmed.

6.0 FUTURE RISK MANAGEMENT WORK

- 6.1 As discussed in 4.7 work is planned to set Risk Appetite for the IJB.
- 6.2 Work is also planned for a development session to demonstrate the Pentana Risk Management system to IJB members.
- 6.3 Work is planned to embed the regular review of the Strategic Risk Register and escalation of operational risks across the Senior Management Team.

7.0 POLICY IMPLICATIONS

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

8.0 RISK ASSESSMENT

- 8.1 Not applicable

9.0 CONSULTATIONS

- 9.1 The Chief Finance Officer, and the Clerk have been consulted in the preparation of this report.

10.0 DIRECTIONS

- 10.1 The Integration Joint Board requires a mechanism to action its strategic commissioning plans and this is provided for in sections 26 to 28 of the Public Bodies (Joint Working)(Scotland) Act 2014. This mechanism takes the form of binding directions from the Integration Joint Board to one or both of Dundee City Council and NHS Tayside.

Directions Required to Dundee City Council, NHS Tayside or Both	Direction to:	
	1. No Direction Required	X
	1. Dundee City Council	
	1. NHS Tayside	
	1. Dundee City Council and NHS Tayside	

9.0 BACKGROUND PAPERS

- 9.1 None.

Dave Berry
Chief Finance Officer

DATE: 6th April 2022

Clare Lewis-Robertson
Senior Officer, Strategy and Performance

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Appendix 1 DUNDEE HEALTH AND SOCIAL CARE PARTNERSHIP – STRATEGIC RISK PROFILE MARCH 2022

Description	Lead Director/Owner	Current Assessment			Status move 14.03.21- 14.03.22	Date Last Reviewed
		L	C	Exp		
<p>Staff Resource</p> <p>Recruitment for Consultants, Doctors and other staff in specific areas such as Mental Health, and Substance Misuse has meant that there are significant difficulties in filling posts, with posts remaining vacant. These risks are detailed in Operational Risk Registers and are being escalated as risks for the Strategic Risk Register The impact of Covid 19 continues to impact on recruitment challenges.</p>	Dundee HSCP Chief Officer	5	5	25	↑ Previous Score 16 (4 x 4)	14/03/2022
<p>Dundee Drug and Alcohol Recovery Service</p> <p>Several risks for the Drug and Alcohol Recovery Service (formerly Integrated Substance Misuse Service) escalated from the Operational Risk Register. These include:</p> <ul style="list-style-type: none"> • Insufficient numbers of staff in integrated substance misuse service with prescribing competencies. • Increasing Patient demand in excess of resources • Current funding insufficient to undertake the service redesign of the integrated substance misuse service • COVID-19 Maintaining Safe Substance Misuse Service • Nursing Workforce <p>The controls available to DDARS have been applied and the risk exposure remains 25. Proposed controls include the relevant Dundee Partnership Action Plan for Change actions and the implementation of national Medication Assisted Treatment standards, which have been added as Datix risk actions to enable DHSCP and NHST to monitor the consequences of these planned controls. The risk exposure with the planned/proposed controls remains 25 as the controls do not yet address the prescribing capacity issues for those established on opiate substitution treatment with multiple complex needs, the population with the highest fatality risk.</p>	Dundee HSCP Chief Officer	5	5	25	↑ New Risk	14/03/2022
<p>Staff resource is insufficient to address planned performance management improvements in addition to core reporting requirements and business critical work.</p> <p>The impact of Covid 19 continues to impact on recruitment challenges. Proposals for service restructure are being developed.</p>	Dundee HSCP Chief Officer	4	5	20	→ Previous Score 20 (4x5)	14/03/2022
<p>Primary Care (including GP Practice)</p> <p>Several risks for Primary Care have been escalated from the Operational Risk Register. These include:</p>	Dundee HSCP Chief Officer	5	4	20	↑ New Risk	14/03/2022

<ul style="list-style-type: none"> recruitment and development of workforce Inadequate infrastructure, including both IT infrastructure and systems and buildings/premises the finance allocated via the primary care improvement fund will not adequately meet all the costs to implement the plan current Covid-19 pandemic has delayed aspects of implementation of the PCI plan locally and increased further the risk of the commitments in the MOU not being achieved by March 2022 (March 23 for urgent care) as planned Delays with implementation mean there is a financial underspend which is increasing due to further delays with recruitment and in some cases finding appropriate space. The controls available to Primary Care have been applied and the risk exposure remains 20. Proposed controls include : <ul style="list-style-type: none"> Maximise skills mix. Longer term national work to increase undergraduate training Test of change for IT infrastructure Other funding sources identified as opportunities arise 						
<p>Restrictions on Public Sector Funding</p> <p>Additional Scottish Govt funding directed towards Health and social care integration continues to support the IJB's financial position</p>	Dundee HSCP Chief Finance Officer	4	4	16	→ Previous score 16 (4 x4)	14/03/2022
<p>Unable to maintain IJB Spend</p> <p>Increased reserves due to favourable 2020/21 financial year end position will support IJB activities during 2021/22 and beyond</p>	Dundee HSCP Chief Finance Officer	4	4	16	→ Previous score 16 (4 x4)	14/03/2022
<p>Impact of Covid 19</p> <p>Despite the success of the vaccination programme infection rates continue to fluctuate with concerns raised nationally about the impact over the winter period. Enhanced by concerns about increased flu outbreaks.. Additional funding has been provided by the Scot Gov to try and mitigate against services being overwhelmed.</p>	Dundee HSCP Chief Officer	4	4	16	↓ Previous score 20 (4x5)	14/03/2022
<p>Mental Health Services</p> <p>There are system wide risks in the Mental Health Service. These include workforce issues. Control factors include : Introducing new roles with higher degree of skill mix</p>	Dundee HSCP Chief Officer	4	4	16	↑ New risk	14/03/2022

<p>Tayside Mental Health and Wellbeing Strategy provides whole system mental health vision and programme of work over the next 5 years.</p> <p>Whole system change programme is in place identifying key clinical pathways for development across the six project areas (Good Mental Health for All; Primary & Community Mental Health; Specialist Adult Mental Health; Children & Young Peoples Mental Health; Learning Disabilities & Mental Health; and Older Peoples Mental Health)</p> <p>Advanced practice and non-medical consultant roles needs analysis has been completed</p>						
<p>Category One Responder</p> <p>The Chief Officer and other supporting staff have historically had close involvement in LRP activities and local resilience arrangements; this has minimized the additional resource burden of recent legislative changes.</p> <p>Close co-operation is already in place across the LRP and with the corporate bodies.</p> <p>Dedicated Resilience Officers are in place within NHS Tayside and Dundee City Council who are available to provide expert advice and guidance to the Chief Officer and the wider Partnership when required.</p> <p>Further work is to be carried out to revise internal management and governance arrangements for the effective oversight of resilience and emergency planning functions.</p>	Dundee HSCP Chief Officer	3	4	12	↑ New risk	14/03/2022
<p>Increased Bureaucracy</p> <p>The Covid 19 response has meant an increase in reporting requirements to the Scottish Government, NHS Tayside and Dundee City Council.</p>	Dundee HSCP Chief Officer	4	3	12	→ Previous score 12 (3 x 4)	14/03/2022
<p>Governance Arrangements being Established fail to Discharge Duties</p> <p>Pressures of Covid 19 response mean that work to improve governance arrangements has not been progressed . The Governance Action Plan is implemented and overdue actions are being prioritised</p>	Dundee HSCP Chief Officer	3	4	12	→ Previous score 12 (4 x 3)	14/03/2022
<p>Staff Perception of Integration</p> <p>Staff perception over coming period may be influenced by developments around the potential implementation of a National Care Service and implications for local health and social care services</p>	Dundee HSCP Chief Officer	3	3	9	→ Previous score 9 (3 x 3)	14/03/2022

<p>Employment Terms</p> <p>The risks associated with difference in employment terms still remain, but management and HR work to manage these.</p>	Dundee HSCP Chief Officer	3	3	9	→ Previous score 9 (3 x 3)	14/03/2022
<p>Uncertainty around future service delivery models</p> <p>This will be managed through the review of the Strategic and Commissioning plan to reflect impact of Covid as indicated within the IJB's Remobilisation plan</p>	Dundee HSCP Chief Officer	3	3	9	→ Previous score 9 (3 x 3)	14/03/2022
<p>Capacity of Leadership Team</p> <p>Restructure of management team with further restructuring of operational management structure</p>	Dundee HSCP Chief Officer	2	4	8	↓ Previous score 16 (4 x 4)	14/03/2022
<p>Viability of External Providers</p> <p>The Scottish Government have committed to continuing to providing sustainability payments to March 2022..</p>	Dundee HSCP Chief Officer	2	4	8	↓ Previous score 12 (4x3)	14/03/2022
<p>Stakeholders not included/consulted</p> <p>Covid 19 response has meant that consultation with stakeholders may not have occurred so frequently. However consultation exercises are continuing.</p>	Dundee HSCP Chief Officer	3	1	3	→ Previous score 3 (3 x 1)	14/03/2022
<p>Impact of EU Withdrawal</p> <p>This risk has been closed as other volatile and complex external factors such as the Covid 19 pandemic, inflation, and foreign conflict mean that the impact of EU withdrawal may not be fully identifiable at this time. The development of a workforce plan for Health and Social Care will mitigate wider staffing levels that may have been caused by EU Withdrawal.</p>	Dundee HSCP Chief Officer	3	2	6	X Previous score 6 (3 x 2)	14/03/2022



Risk Status	
↑	Increased level of risk exposure
→	Same level of risk exposure
↓	Reduction in level of risk exposure
x	Treated/Archived or Closed

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