



REPORT TO: HEALTH AND SOCIAL CARE INTEGRATION JOINT BOARD –
25 AUGUST 2020

REPORT ON: DHSCP STRATEGIC RISK REGISTER AND RISK MANAGEMENT

REPORT BY: CHIEF FINANCE OFFICER

REPORT NO: DIJB37-2020

1.0 PURPOSE OF REPORT

1.1 The report is for information for the Integration Joint Board to update them of work ongoing to update the Dundee Health and Social Care Partnership (DHSCP) Strategic Risk Register, development of a Covid 19 Risk Register, and the Tayside Risk Management meeting.

2.0 RECOMMENDATIONS

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

- 2.1 Notes the content of this report and Appendix 1 including the new Risks added to the DHSCP Strategic Risk Register.
- 2.2 Note the work undertaken to develop a DHSCP Covid 19 Risk Register.
- 2.3 Note the work of the Tayside Risk Management meeting to co-ordinate the risk management interface between DHSCP, NHS Tayside and Dundee City Council.

3.0 FINANCIAL IMPLICATIONS

3.1 None

4.0 MAIN TEXT

4.1 Dundee Health & Social Care Partnership (DHSCP) Strategic Risk Register

4.1.1 The DHSCP Strategic Risk Register is maintained on Pentana Risk, which is an online performance management system. The individual risks can be allocated to risk owners and updated regularly. Pentana Risk allows complex risk management aspects such as inherent risk, residual risk and control factors to be recorded in an online system. Pentana's visual display of Pentana allows risk ratings to be displayed clearly. Appendix 1 is a report extracted from Pentana of the DHSCP Strategic Risk Register.

4.1.2 3 new risks have been added to the DHSCP Strategic Risk Register in the past year. These are Viability of Providers, Impact of EU Withdrawal and Impact of Covid 19.

4.2 DHSCP Covid 19 Risk Register

4.2.1 Work has been undertaken by Locality Managers to capture specific operational risks in their service areas relating to the response to Covid 19. Oversight of the development of the Covid 19 Risk Register is carried out by the DHSCP Clinical Care and Professional Governance forum.

4.3 Tayside Risk Management Meetings

4.3.1 Meetings have taken place between Risk Managers in Dundee, Angus and Perth Health and Social Care Partnerships, NHS Tayside and Dundee City Council. These meetings are taking place in order to take forward recommendations by the Risk Management Internal Audit in 2018 (Report No PAC8-2019)

4.3.2 These actions are to ensure that the Risk Management principles of the Partnerships, Councils and NHS Tayside are consistent and allow for risks to be escalated.

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 DIRECTIONS

8.1 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.

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

9.0 BACKGROUND PAPERS

9.1 None.

Dave Berry
Chief Finance Officer

DATE: 4th August 2020

Clare Lewis-Robertson
Senior Officer (Business Planning and Information Governance)

APPENDIX 1

Dundee Health and Social Care Partnership Strategic Risk Register August 2020 updated

● HSCR00 Dundee Health and Social Care Partnership High Level Risk Register-

Register
Description

Sub-Risks 3 7 3 / 14

Risk Matrix **5x5 DEFAULT - DCC Standard Matrix**

			1	1
		1	4	2
	2	1	1	
	1			
	1			

[Notes](#)
Risk Tree
[Internal Controls](#)
[Related To](#)
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Parent

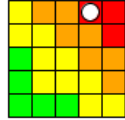

Code & Title	Current Assessment	Date Assessed	Score	Impact	Likelihood
⊕ ● 3.a HSC IJB / HSCP	17 18 40 5				

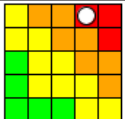
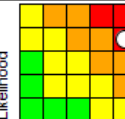
Sub-Risks ▾

Code & Title	Current Assessment	Date Assessed	Score	Impact	Likelihood
⊕ ● HSCR00a Financial	2				
⊕ ⚠ HSCR00b Workforce	2 1				
⊕ ● HSCR00c Governance	1 2 2 1				
⊕ ⚠ HSCR00d Resilience	3				

APPENDIX 1

Dundee Health and Social Care Partnership Strategic Risk Register August 2020 updated

Risk Code & Title	Risk Factors	Inherent Risk	Control Measure	Control Description	Residual Risk	Last Modified Date	Date Last Assessed	Latest Note
HSCR00a1 Restrictions on Public Sector Funding	Continuing restrictions on public sector funding will impact on Local Authority and NHS budget settlements in the medium term impacting on the ability to provide sufficient funding required to support services delivered by the IJB. This could lead to the IJB failing to meet its aims within anticipated timescales as set out in its Strategic and Commissioning Plan.	 Likelihood Impact	Budgeting Arrangements	Budget negotiations with the Local Authority and NHS Tayside to ensure a fair and proportionate share of resources	 Likelihood Impact	11-Aug-2020	31-Dec-2016	The 20/21 Budget granted includes 3% uplift from NHS Tayside plus £1 million shift balance of care funding, which will support budget pressures in Social Care.
			Savings and Transformation Plan	The development of the Transformation Plan and planned savings will mitigate the impact of restrictions on public sector funding			09-Jan-2018	
							11-Oct-2018	
							11-Oct-2018	
							01-Nov-2019	
		11-Aug-2020						

Risk Code & Title	Risk Factors	Inherent Risk	Control Measure	Control Description	Residual Risk	Last Modified Date	Date Last Assessed	Latest Note
HSCR00a2 Unable to maintain IJB Spend	IJB is unable to maintain spend within allocated resources which could lead to being unable to deliver on the Strategic & Commissioning Plan.	 Likelihood Impact	Financial monitoring system	Development of robust financial monitoring systems to highlight key pressure areas and enable action to be taken at an early stage.	 Likelihood Impact	11-Aug-2020	31-Dec-2016	Final outturn for 2019/20 was an overspend of £4 million. Current projected overspend for 2020/21 based on June financial monitoring position is an overspend of £1 million.
			Savings and Transformation Plan	The development of the Transformation Plan and planned savings will mitigate the impact of restrictions on public sector funding			09-Jan-2018	
			Management of vacancies and discretionary spend				11-Oct-2018	
							01-Nov-2019	
							09-Jan-2020	
		11-Aug-2020						

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Dundee Health and Social Care Partnership Strategic Risk Register August 2020 updated

Risk Code & Title	Risk Factors	Inherent Risk	Control Measure	Control Description	Residual Risk	Last Modified Date	Date Last Assessed	Latest Note
HSCR00c4 Uncertainty around future service delivery models	Uncertainty around future service delivery models may lead to resistance, delay or compromise resulting in any necessary developments or potential opportunities for improvement not being fulfilled.	 Likelihood Impact	Strategic vision	High-level strategic vision to be articulated. Clear guidance on service development during interim period.	 Likelihood Impact	11-Aug-2020	31-Dec-2016	Communication , participation and engagement with stakeholders
							09-Jan-2018	
							11-Aug-2020	
HSCR00b1 Staff Resource	The volume of staff resource required to develop effective integrated arrangements while continuing to undertake existing roles / responsibilities / workload of key individuals may impact on organisational priorities, operational delivery to support delivery of effective integrated services. The DCC recruitment restriction and internal DHSCP vacancy management process is restricting recruitment to posts.	 Likelihood Impact	Organisational development strategy	Ensure organisational development strategy is agreed, implemented and monitored.	 Likelihood Impact	11-Aug-2020	31-Dec-2016	Service redesign of in house Home Care Service and Care Homes is now complete.
			Development of new models of care				09-Jan-2018	
			Service redesign				11-Aug-2020	
HSCR00b2 Staff Perception of Integration	Negative staff perception of integration due to historical experiences and lack of communication will lead to an adverse effect on engagement / buy-in to new partnership.	 Likelihood Impact	Communication	Continued communication disseminated to staff highlighting key issues.	 Likelihood Impact	11-Aug-2020	31-Dec-2016	Tools such as NHS Imatters and Council feedback have been developed , however these are separate systems. Managers of integrated teams do not have access to a whole system. The Covid 19 response of DCC and NHST has also impacted on DHSCP workforce.
							09-Jan-2018	
							01-Nov-2019	
							11-Aug-2020	

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Dundee Health and Social Care Partnership Strategic Risk Register August 2020 updated

Risk Code & Title	Risk Factors	Inherent Risk	Control Measure	Control Description	Residual Risk	Last Modified Date	Date Last Assessed	Latest Note
HSCR00b3 Employment Terms	Differing employment terms could expose the partnership to equality claims and impact on staff morale.		Align conditions	Continue to monitor through staff feedback/surveys and align conditions where opportunities present		27-Jun-2019	30-Aug-2016	Separate terms and conditions remains an issue nationally however locally, all new recruitment is being carried out jointly with the option for many posts to choose which employer to work for.
							09-Jan-2018	

Risk Code & Title	Risk Factors	Inherent Risk	Control Measure	Control Description	Residual Risk	Last Modified Date	Date Last Assessed	Latest Note
HSCP001 Capacity of leadership team	Capacity of management team will be impacted by transition to new Chief Officer retirement. Head of Service, Health and Community Care is also performing duties as Chief Social Work Officer due to retirement of Chief SWO. In addition there is additional work due to a Locality Manager leaving their post.		Sharing of Management team duties	New internal control to be worked on		11-Aug-2020	09-Sep-2019	Progress is being made to enhance overall capacity within DHSCP. The impact of the response to Covid 19 has also impacted on the capacity of the Senior Management team.
			Review of Senior Management Team structure	New Chief Officer has identified that a review of the Senior Management Team Structure is necessary. The Chief Officer is undertaking a Senior Management Team Structure Review and priorities.			11-Aug-2020	

Risk Code & Title	Risk Factors	Inherent Risk	Control Measure	Control Description	Residual Risk	Last Modified Date	Date Last Assessed	Latest Note
HSCR00c1 Stakeholders not included/consulted	Relevant stakeholders have not been included and adequately consulted with during the development and subsequent implementation of the Strategic & Commissioning Plan which may lead to adverse political and/or reputational impact.		Participation and engagement strategy	Ensure consultation around the development and implementation of the Strategic & Commissioning Plan is as comprehensive as practically possible and compliant with statutory requirements as a minimum.		11-Aug-2020	31-Dec-2016	The Participation and Engagement strategy has been published
				Development of participation and engagement strategy which promotes wide stakeholder consultation and engagement throughout the planning, implementation and review cycle.			09-Jan-2018	
							11-Aug-2020	

APPENDIX 1

Dundee Health and Social Care Partnership Strategic Risk Register August 2020 updated

Risk Code & Title	Risk Factors	Inherent Risk	Control Measure	Control Description	Residual Risk	Last Modified Date	Date Last Assessed	Latest Note
HSCR00c2 Increased Bureaucracy	Revised governance mechanisms between the IJB and partners could lead to increased bureaucracy in order to satisfy the arrangements required to be put in place.	<p>Likelihood</p> <p>Impact</p>	Support and roles	Continue to monitor. Ensure clarity of respective roles of the IJB, Dundee City Council and NHS Tayside. Ensure appropriate corporate support provided by Dundee City Council and NHS Tayside.	<p>Likelihood</p> <p>Impact</p>	11-Aug-2020	31-Dec-2016	The Covid 19 response has meant an increase in reporting requirements to the Scottish Government, NHS Tayside and Dundee City Council.
							09-Jan-2018	
							11-Aug-2020	
HSCR00c3 Governance arrangements being established fail to discharge duties	Clinical, Care & Professional Governance arrangements being established fail to discharge the duties required. The IJB's Governance arrangements are assessed as weak/unsatisfactory.	<p>Likelihood</p> <p>Impact</p>	Review of processes established.		<p>Likelihood</p> <p>Impact</p>	11-Aug-2020	31-Dec-2016	The role of the Clinical Care Governance forum has been strengthened. The recommendations from the Internal Audit action plan have been completed.
			Implement Governance Action Plan				09-Jan-2018	The Annual Internal Audit plan 19/20 highlighted that while some progress has been made strengthening governance arrangements, a number of actions remained outstanding due to lack of management capacity.
							11-Aug-2020	Audit recommendations to escalate to IJB have been accepted and will be actioned by management.

APPENDIX 1

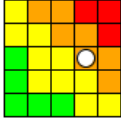

Dundee Health and Social Care Partnership Strategic Risk Register August 2020 updated

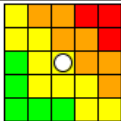
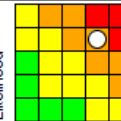
Risk Code & Title	Risk Factors	Inherent Risk	Control Measure	Control Description	Residual Risk	Last Modified Date	Date Last Assessed	Latest Note
HSCR00c5 Staff resource is insufficient to address planned performance management improvements in addition to core reporting requirements and business critical work.	Audit Scotland Annual Report 2016/17 - Performance Management Improvements Update (PAC14-2018)		Management plan	<p>Head of Service, Finance and Strategic Planning currently considering identified resource issues.</p> <ul style="list-style-type: none"> Action plan agreed with internal auditor and will be implemented. Workplan for existing staff resource is in place and regularly reviewed to ensure appropriate priority given to range of tasks. Performance management improvement capacity is on the high level risk register as part of wider support services capacity. Through the Tayside Analytical Network joint working with NHS Tayside Business Support Unit is continuing to develop and strengthen. Internal Audit report on workforce issues has been completed and identified capacity as an issue. 		11-Aug-2020	27-Mar-2018	Proposals for service restructure being developed
			Structure of teams	Proposals for service restructure being developed			11-Aug-2020	

Risk Code & Title	Risk Factors	Inherent Risk	Control Measure	Control Description	Residual Risk	Last Modified Date	Date Last Assessed	Latest Note
HSCP00d3 Impact of Covid 19	Coronavirus related pressure on resources (financial / workforce) will have a 'tail', resulting in ongoing medium / longer term pressure on the HSCP and by association on the council/ NHST and patients, service users and carers		Mobilisation and Remobilisation plans	<p>Mobilisation plans developed for the Covid 19 response</p> <p>Remobilisation plans developed to manage the move to business as usual</p>		11-Aug-2020	06-Mar-2020	<p>DHSCP experienced extreme impact from Covid 19 in both clinical and care settings, and a Covid 19 RR. There are likely to be ongoing cost and workforce implications extending well into the recovery period, and perhaps beyond, and the impacts of these need to be fully considered at all levels.</p> <p>Remobilisation plans have been developed to manage the move to business as usual. Capture of lessons learnt during the Covid 19 response to develop collaborative, flexible and creative responses.</p>
							23-Mar-2020	
							11-Aug-2020	

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Risk Code & Title	Risk Factors	Inherent Risk	Control Measure	Control Description	Residual Risk	Last Modified Date	Date Last Assessed	Latest Note
HSCP00d1 Viability of external providers	Financial instability / potential collapse of key providers leading to difficulty in ensuring short / medium term service provision. * Inability to source essential services * Financial expectations of third sector cannot be met * Increased cost of service provision * Additional burden on internal services * Quality of service reduces	 <p>Likelihood</p> <p>Impact</p>	Co-ordination to provide services	When required services work together to co-ordinate service provision in the event of lack of provision by external providers.	 <p>Likelihood</p> <p>Impact</p>	11-Aug-2020	01-Nov-2019	Moving from a day by day management of the Covid 19 response to business as usual. Work is going on to develop categorisation of ratings for Service providers including sustainability.
								11-Aug-2020

Risk Code & Title	Risk Factors	Inherent Risk	Control Measure	Control Description	Residual Risk	Last Modified Date	Date Last Assessed	Latest Note
HSCP00d2 Impact of EU Withdrawal	Ongoing uncertainty over Brexit terms with increasing potential for a 'hard' Brexit and lack of knowledge over the associated implications Impact / consequences: ~ loss of key staff of EU origin - council / partners / others (universities / colleges / businesses) ~ economic issues due to impact of Brexit on the UK / Scottish economy ~ loss of medium to long term funding ~ potential for changes to legislation / regulation ~ possible issues over procurement arrangements	 <p>Likelihood</p> <p>Impact</p>			 <p>Likelihood</p> <p>Impact</p>	11-Aug-2020	21-Nov-2019	.The UK has now left the EU. An interim period of maintaining EU rules and contributing to EU budget means that there will be little real change until 31/12/2020. Thereafter it will depend on the success of train agreement negotiations.
								11-Aug-2020

