



**REPORT TO:** HEALTH AND SOCIAL CARE INTEGRATION JOINT BOARD –  
27 OCTOBER 2021

**REPORT ON:** DUNDEE HSCP STRATEGIC RISK REGISTER ANNUAL REPORT

**REPORT BY:** CHIEF FINANCE OFFICER

**REPORT NO:** DIJB54-2021

**1.0 PURPOSE OF REPORT**

1.1 To provide the Integration Joint Board with an overview of the Annual Strategic Risk Register Report.

**2.0 RECOMMENDATIONS**

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

- 2.1 Notes the work undertaken throughout the year in relation to Strategic Risk Management as set out in section 4.0 to this report.
- 2.2 Note the description of the most recent highest risks identified and reflected in the updated Strategic Risk Register as being Staff Resource and Dundee Drug and Alcohol Service as set out in sections 5.1 - 5.3 of this report.
- 2.3 Note the emergent risk for Mental Health services as outlined in section 5.5 of this report.
- 2.4 Note the most up to date extract from the Strategic Risk Register as set out in Appendix 1 to this report.

**3.0 FINANCIAL IMPLICATIONS**

3.1 None

**4.0 BACKGROUND**

**STRATEGIC RISK MANAGEMENT**

- 4.1 Summary reports from the Dundee Health and Social Care Partnership's (DHSCP) Strategic Risk Register are regularly presented to the Performance and Audit Committee in addition to NHS Tayside Strategic Risk Forum and Dundee HSCP Clinical Care and Professional Governance Forum.
- 4.2 The DHSCP Strategic Risk Register is also discussed at Dundee City Council's Risk Management Working Group and is recorded through the Pentana Risk Management system, hosted by Dundee City Council.

- 4.3 Operational risks that have been identified by Services which could potentially affect the aims of the Dundee Integration Joint Board's Strategic and Commissioning Plan are escalated and entered on the Strategic Risk Register. These are usually escalated through the Clinical Care and Professional Governance Forum but also flow from a range of IJB reports and national reports from scrutiny bodies and other national bodies.
- 4.4 During the past year the Tayside IJB Risk Management Strategy has been updated and approved by all partners. This provides the framework under which risk management arrangements will be progressed.
- 4.5 Dundee City IJB members took part in a Risk Development Session in August 2021 as part of the development of the Risk Management Strategy. A further development session for Risk Appetite is planned to be held within the coming months.

## **5.0 STRATEGIC RISKS**

- 5.1 As detailed in the Strategic Risk Profile there are two risks scoring the maximum risk of 5 (Likelihood) x 5 (Impact). These are Staff Resource and Dundee Drug and Alcohol Recovery Service (DDARS).
- 5.2 Staff Resource is a risk in the recruitment of consultants and doctors in specific areas such as Mental Health and Substance Misuse with posts remaining vacant due to recruitment challenges. These risks are detailed in Operational Risk Registers and have been escalated as risks to the Strategic Risk Register. The impact of Covid 19 continues to impact on these recruitment challenges.
- 5.3 Several risks for the Drug and Alcohol Recovery Service (formerly Integrated Substance Misuse Service) have been escalated from the Operational Risk Register. These include:
- 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
- 5.4 The controls available to DDARS have been applied and the risk exposure remains at 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.
- 5.5 Mental Health Services have identified a range of operational risks to be escalated to the Strategic Risk Register. These risks and controls will be entered on the Strategic Risk Register in the next month.

## **6.0 POLICY IMPLICATIONS**

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

## 7.0 RISK ASSESSMENT

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

## 8.0 CONSULTATIONS

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

## 9.0 DIRECTIONS

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	

## 10.0 BACKGROUND PAPERS

10.1 None

Dave Berry  
Chief Finance Officer

DATE: 15/10/2021

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

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**APPENDIX I**

**DUNDEE HEALTH AND SOCIAL CARE PARTNERSHIP – STRATEGIC RISK PROFILE SEPTEMBER 2021**

Description	Lead Director/Owner	Current Assessment			Status	Date Last Reviewed
		L	C	Exp		
<p><b>Staff Resource</b></p> <p>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.</p>	Dundee HSCP Chief Officer	5	5	25	→	28/08/21
<p><b>Dundee Drug and Alcohol Recovery Service</b></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"> <li>• Insufficient numbers of staff in integrated substance misuse service with prescribing competencies.</li> <li>• Increasing Patient demand in excess of resources</li> <li>• Current funding insufficient to undertake the service redesign of the integrated substance misuse service</li> <li>• COVID-19 Maintaining Safe Substance Misuse Service</li> <li>• Nursing Workforce</li> </ul> <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	→	28/08/21
<p><b>Staff resource is insufficient to address planned performance management improvements in addition to core reporting requirements and business critical work.</b></p> <p>The impact of Covid 19 continues to impact on recruitment challenges.</p>	Dundee HSCP Chief Officer	4	5	20	→	28/08/21
<p><b>Restrictions on Public Sector Funding</b></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	→	28/08/21
<p><b>Unable to maintain IJB Spend</b></p>	Dundee HSCP Chief Finance Officer	4	4	16	→	28/08/21

Increased reserves due to favourable 2020/21 financial year end position will support IJB activities during 2021/22 and beyond						
<p><b>Impact of Covid 19</b></p> <p>Rates of infection rose again sharply over the June/early July , and this impacted on Service Delivery. This had implications for demand and availability of staff. However services did not become overwhelmed.</p>	Dundee HSCP Chief Officer	4	4	16	→	28/08/21
<p><b>Increased Bureaucracy</b></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	→	28/08/21
<p><b>Viability of External Providers</b></p> <p>This area of risk will be subject to a substantive Internal Audit Review 21/22 which will be reported back to the PAC.</p>	Dundee HSCP Chief Officer	3	4	12	→	28/08/21
<p><b>Governance Arrangements being Established fail to Discharge Duties</b></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	→	28/08/21
<p><b>Staff Perception of Integration</b></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	→	28/08/21
<p><b>Employment Terms</b></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	→	28/08/21
<p><b>Uncertainty around future service delivery models</b></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	→	28/08/2021
<p><b>Capacity of Leadership Team</b></p> <p>Restructure of management team with further restructuring of operational management structure</p>	Dundee HSCP Chief Officer	2	4	8	↓	28/08/21
<p><b>Impact of EU Withdrawal</b></p> <p>The EU UK agreement signed on the 30 December 2020 means that there will not be disruption caused by a no deal transition. However the long term effects of the EU UK transition will still happen. This may include impact on wider staffing levels within HSCP and partner providers. The development of the workforce plan for Health and Social Care will look at this issue in more detail.</p>	Dundee HSCP Chief Officer	2	3	6	→	28/08/21

<b>Stakeholders not included/consulted</b>  Covid 19 response has meant that consultation with stakeholders may not have occurred so frequently. However consultation exercises are continuing.	Dundee HSCP Chief Officer	1	3	3	→	28/08/21

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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