



**REPORT TO: PERFORMANCE & AUDIT COMMITTEE – 13 FEBRUARY 2018**  
**REPORT ON: DUNDEE INTEGRATION JOINT BOARD HIGH LEVEL RISK REGISTER UPDATE**  
**REPORT BY: CHIEF FINANCE OFFICER**  
**REPORT NO: PAC10-2018**

**1.0 PURPOSE OF REPORT**

The purpose of this report is to note the status of the risks identified within Dundee Integration Joint Board's (IJB) High Level Risk Register.

**2.0 RECOMMENDATIONS**

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

- 2.1 Notes the status of the risks identified within Dundee IJB's High Level Risk Register as reflected in Appendix 1 to this report.
- 2.2 Instructs the Chief Finance Officer to continue to monitor and update these and other emerging strategic risks and present the risk position to the PAC on a regular basis.
- 2.3 Instructs the Chief Finance Officer to bring forward an annual Risk Management report to the PAC on 29 May 2018, covering the year to 31 March 2018.

**3.0 FINANCIAL IMPLICATIONS**

None.

**4.0 MAIN TEXT**

- 4.1 The Integrated Resources Advisory Group Finance guidance, developed to support financial governance around health and social care integration, states that "*The Chief Officer will be responsible for establishing the Integration Joint Board's risk strategy and profile and developing the risk reporting arrangements. There should be regular reporting on risk management to the Integration Joint Board*". The Performance and Audit Committee's terms of reference includes the responsibility to "Review risk management arrangements, receive regular reports on risk management and an annual Risk Management report".
- 4.2 Dundee Health and Social Care Partnership's (DHSCP) High Level Risk Register was initially approved by the Integration Joint Board at its meeting of the 30 August 2016 (Report DIJB35-2016) with an update provided to the first meeting of the Performance and Audit Committee held on 17 January 2017 (PAC6-2017).
- 4.3 Since then, DHSCP has further developed its approach to identifying and assessing risk with the inclusion of a comprehensive risk assessment section within each of its IJB and PAC reports which enables members of either committee 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 reflected in the risk register where appropriate, whether in the operational element of the risk register or the high level element.

- 4.4 A further development is to move the recording and monitoring of high level risks from a spreadsheet based approach to a performance management system based approach (Pentana) which is widely used by Dundee City Council. This enables real time updating and production of tailored reports. Reference is also made to NHS Tayside's DATIX system of risk monitoring. The high level risk register update set out in Appendix 1 to this report reflects the summary reporting from the Pentana system. Risks identified from PAC and IJB reports are also in the process of being uploaded to this system.
- 4.5 Within the three main high level risk areas of Financial, Workforce and Governance, there are only two areas of change in the current risk position following an updated assessment of the risk position with both of these a deterioration and reflect the actual experience of integration two years after establishment rather than the potential position as per the original assessment. These are highlighted as follows:

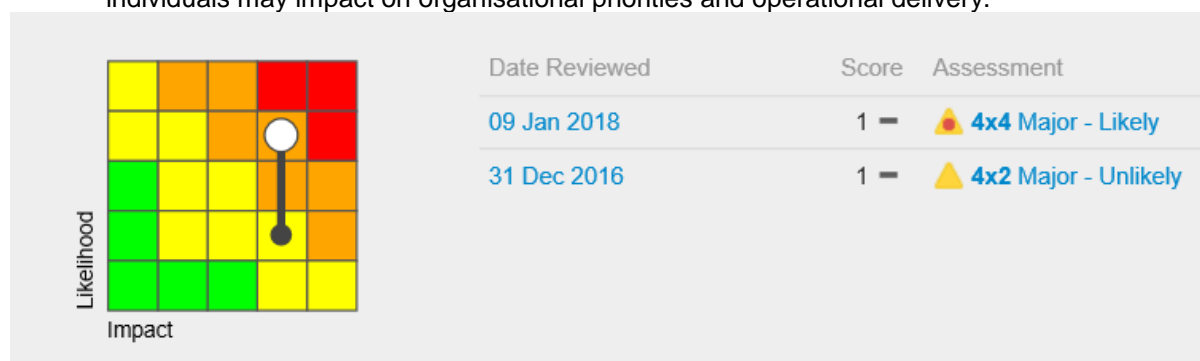
### Financial

Risks within the financial category remain the same.

### Workforce

Within the workforce category only one risk has increased. This is the risk around staff resources.

**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 and operational delivery.

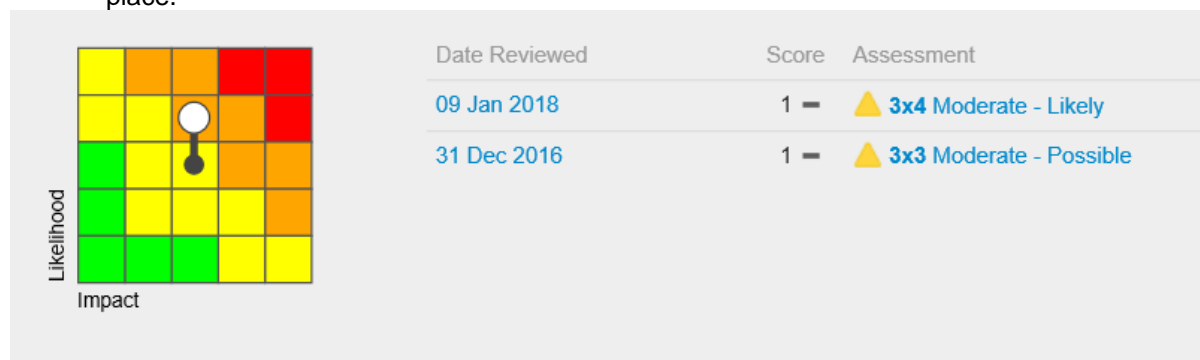


**Reason for change following re-assessment:** Staffing pressures are being experienced across various sections within the DHSCP. Internal audit report acknowledges some evidence of lack of corporate support.

### Governance

In the governance category one risk has increased, this is the risk around increased bureaucracy.

**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.



**Reason for change following re-assessment:** There have been considerable statutory bureaucratic procedures to comply with. These place increased workflow on specific areas of the DHSCP that prevent further transformational work from taking priority.

A fourth high level risk identified previously around legislative change impacting on health and social care integration has been suspended at this time given the low level of risk this currently presents. Should there be concerns around this in future, this will be re-activated.

- 4.6 The mitigating actions continue to be reviewed as part of the risk assessment process with a view to move the risk levels toward the target risk levels.

#### **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**

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

#### **7.0 CONSULTATIONS**

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

#### **8.0 BACKGROUND PAPERS**

None.

Dave Berry  
**Chief Finance Officer**

**Date:** 22 January 2018



# Dept RR - Health and Social Care

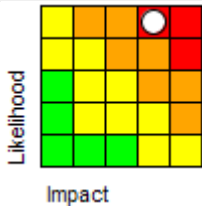
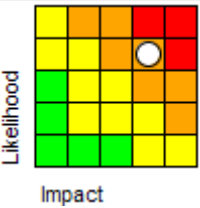
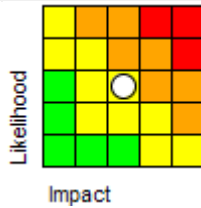
**Report Type:** Risks Report

**Report Author:** Dave Berry

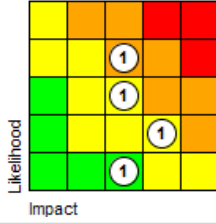
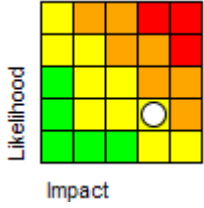
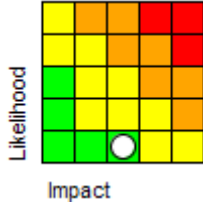
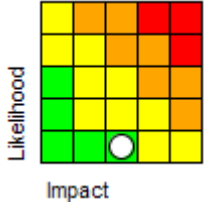
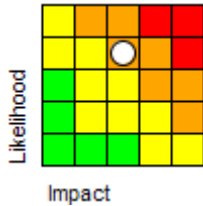
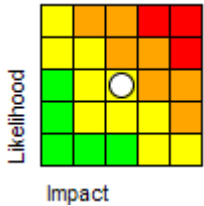
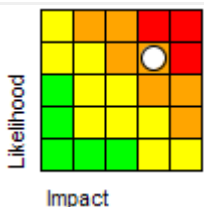
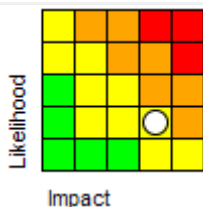
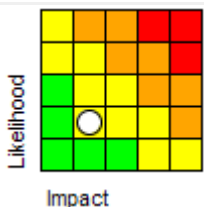
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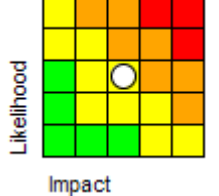
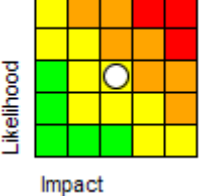
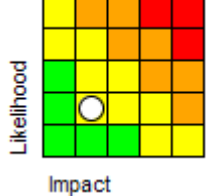
Title	Description	Original Risk	Mitigating Actions	Current Risk	Target Risk	Latest Note
Dundee Health and Social Care Partnership High Level Risk Register						
Financial						
Restrictions on Public Sector Funding	Continuing restrictions on public sector funding will impact on Local Authority and NHS budget settlements in the medium term impacting on the ability to provide sufficient		Scottish Government's Finance Settlement highlights further investment in Health and Social Care Partnerships for 2017/18 although a number of pre-determined commitments are set			Current mitigating actions being taken as detailed in transformation programme will significantly affect the IJB's financial position.

Title	Description	Original Risk	Mitigating Actions	Current Risk	Target Risk	Latest Note
	<p>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.</p>		<p>against this such as the full year effect of the delivery of the Living Wage for adult social care staff. The settlement sets out parameters for the scale of efficiency savings the Council and NHS can set against delegated budgets however, the detail of this is yet to be determined and therefore no adjustment has been made to the risk scoring. In addition a risk sharing agreement is in place with partner bodies for years 1 and 2.</p>			
Unable to maintain IJB Spend	<p>IJB is unable to maintain spend within allocated resources which could lead to being unable to deliver on the Strategic &amp; Commissioning Plan.</p>		<p>As per latest Financial Monitoring report presented to the IJB, a net overspend is anticipated however, these mainly relate to areas highlighted in the Due Diligence process and are subject to the risk sharing arrangement with Dundee City Council and NHS Tayside. These do not at this stage impact on the partnership's ability to deliver on the Strategic and Commissioning Plan.</p>			<p>Current year spend continues to be within budget with the exception of the prescribing budget and impact of services hosted elsewhere. These areas will continue to be funded by NHS Tayside under the risk sharing arrangement.</p>

Title	Description	Original Risk	Mitigating Actions	Current Risk	Target Risk	Latest Note
Workforce						
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 and operational delivery.		Recruitment of key posts including Locality Managers will see a further transition of services and the workforce into integrated services and thereby continuing to reduce this risk over time. Internal Audit to undertake a review of the level of corporate support.			Staffing pressures are being experienced across various sections within the DHSCP.  Internal audit report acknowledges some evidence of lack of corporate support.
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.		As with (3) above this risk is likely to continue to reduce over time as services become more integrated.			Staff perception of integration may be adversely affected due to workforce pressures.  Tools such as Staff surveys and IMatters will assist in identifying what actions need to be taken to reduce this risk.
Employment Terms	Differing employment terms could expose the partnership to equality claims and impact on staff morale.		Continue control measures as noted previously.			Separate terms and conditions remains an issue nationally however locally, all new recruitment is being carried out jointly with the option for many

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Governance						posts to choose which employer to work for.
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.		Current version of Strategic and Commissioning Plan now published with low risk however, recommendation to continue on the risk register for future/updated versions of the plan.			Ongoing consultation activities with stakeholders are still ongoing and are carried out across the DHSCP.
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.		Continue control measures as noted previously - governance scenario workshops not yet in place.			There have been considerable statutory bureaucratic procedures to comply . These place increased workflow on specific areas of the DHSCP that prevent further transformational work from taking priority.
Governance arrangements being established fail to discharge duties	Clinical, Care & Professional Governance arrangements being established fail to discharge the duties required.		Continue control measures as noted previously - governance scenario workshops not yet in place.			Internal and external audit assessment of IJB Governance arrangements as part of the 2016/17 annual accounts process indicated that there are no major issues in relation to



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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.		Continue control measures as noted previously.			governance arrangements. The IJB continues to form and develop the vision and strategic intentions around service change. This is communicated to its stakeholders. Recent events to demonstrate this include the Celebrating Success event held in November 2017. The publication of the Market Facilitation Strategy in 2017 also supported this.

