



REPORT TO: PERFORMANCE & AUDIT COMMITTEE – 20 JULY 2022

REPORT ON: DUNDEE HEALTH AND SOCIAL CARE PARTNERSHIP STRATEGIC RISK REGISTER UPDATE

REPORT BY: CHIEF FINANCE OFFICER

REPORT NO: PAC12-2022

1.0 PURPOSE OF REPORT

1.1 The purpose of this report is to update the Performance and Audit Committee in relation to the Strategic Risk Register and on strategic risk management activities in Dundee Health and Social Care Partnership.

2.0 RECOMMENDATIONS

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

- 2.1 Note the content of this Strategic Risk Register Update report.
- 2.2 Note the extract from the Strategic Risk register attached at Appendix 1 to this report.
- 2.3 Note the new risks escalated to the Strategic Risk Register as outlined in section 6 of the report.

3.0 FINANCIAL IMPLICATIONS

3.1 None.

4.0 BACKGROUND

- 4.1 The Dundee HSCP Strategic Risk Register is regularly presented to the NHS Tayside Strategic Risk Management Group and is available to Dundee City Council Risk and Assurance Board through the Pentana system.
- 4.2 Operational Risks are reviewed by the Clinical Care and Professional Governance forum with any significant areas of concern which may impact on the ability of the IJB to deliver its Strategic and Commissioning Plan reported to the PAC through the Clinical Care and Professional Governance Group's Chairs Assurance Report.
- 4.3 Operational Risks which should be escalated are identified through Senior Management meetings, the Clinical Care and Professional Governance forum and through reports to the IJB and PAC.

5.0 STRATEGIC RISK REGISTER UPDATE

5.1 The three highest scoring risks on the Strategic Risk Register are: Staff Resources, Dundee Drug and Alcohol Recovery Service; and the introduction of a National Care Service. All three highest

scoring risks are the maximum score of 5 (Extreme) Impact x 5 (Almost Certain) Likelihood giving a score of 25 which is an extreme risk level.

- 5.2 The Strategic Risk Register extract details the most recent updates and a brief description of the mitigating control factors identified.
- 5.3 All strategic risks are reviewed regularly and mitigating actions recorded and scored. Further development work is underway to link risk with performance as recommended in the Internal Audit Report on Performance Management presented to the PAC at its meeting on 24th November 2021 (Item VI of the minute refers).

6.0 NEW RISKS

- 6.1 There are four new strategic risks that have been entered on the Strategic Risk Register. These are the introduction of a National Care Service, IJB's as Category One Responders, Cost of Living Crisis and Lack of Capital Investment in Community Facilities (including Primary Care).
- 6.2 The recent Scottish Government legislation published on the establishment of the National Care Service sets out plans to introduce Local Care Boards with the abolition of Integration Joint Boards, and this therefore poses a significant risk to the IJB.
- 6.3 Limited assurance has been provided within the recent internal audit report around the IJB's preparedness as a Category One responder. Four recommended improvement actions have been identified and management has agreed to progress actions to meet the recommendations.
- 6.4 The cost of living crisis and inflation will impact on both service users and Health and Social Care Partnership staff, in addition to the economic consequences on availability of financial resources.
- 6.5 A further risk identified is around potential lack of capital investment available for community facilities (including Primary Care). Restrictions in access to capital funding from the statutory partner bodies and Scottish Government to invest in existing and potential new developments to enhance community based health and social care services. This could potentially be exacerbated by the transitional period until the establishment of a National Care Service due to the uncertainty of funding and ownership of assets by the local authority and Health Board.

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 This report has not been subject to a risk assessment as it provides the IJB with an overview of the IJBs Strategic Risks.

9.0 CONSULTATIONS

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

10.0 BACKGROUND PAPERS

10.1 None.

Dave Berry
Chief Finance Officer

DATE: 30 June 2022

Clare Lewis-Robertson
Senior Officer, Strategy and Performance

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Appendix 1

Description	Lead Director/Owner	Current Assessment			Status	Control Factors	Date Last Reviewed
		L	C	Exp			
<p>Staff Resource</p> <p>Post Covid recruitment challenges continue to exist in a range of roles including social care and nursing. 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 have been escalated as risks for the Strategic Risk Register</p>	Dundee HSCP Chief Officer	5	5	25	→	<ul style="list-style-type: none"> • Developments of new models of care • Organisational development strategy • Service redesign • Workforce plan 	28/06/2022
<p>Dundee Drug and Alcohol Recovery Service</p> <p>Dundee Drugs Commission follow up report noted some progress being made, however a range of challenges still exist. This poses a significant reputational risk for the DHSCP. Reducing Harm Associated with Drug Use report presented to both the IJB and Dundee City Council in June 2022 sets out findings and priority areas for improvement in relation to substance use services.</p>	Dundee HSCP Chief Officer	5	5	25	→	<ul style="list-style-type: none"> • ADP Residential Rehab Pathway • Service Restructure 	28/06/2022
<p>National Care Service</p> <p>The recent legislation published on the establishment of the National Care Service sets out plans to introduce Local Care Boards with the abolition of Integration Joint Boards.</p>	Dundee HSCP Chief Officer	5	5	25	↑	<ul style="list-style-type: none"> • Change Management • Engagement with consultation process 	28/06/2022
<p>Primary Care</p> <p>Challenges continue to present within Primary Care services, including the recent closure of Ryehill Medical Practice.</p>	Dundee HSCP Chief Officer	4	5	20	→	<ul style="list-style-type: none"> • Maximise skills mix. • Longer term national work to increase undergraduate training • Test of change for IT infrastructure 	28/06/2022

						<ul style="list-style-type: none"> Other funding sources identified as opportunities arise 	
<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. Pressures still remain, however restructure and enhancement to service planned for over coming months.</p>	Dundee HSCP Chief Officer	5	4	20	→	<ul style="list-style-type: none"> Planned restructure and enhancement 	28/06/2022
<p>Restrictions on Public Sector Funding</p> <p>The impact of the Scot Gov spending review indicates that LA funding will be severely impacted upon and NHS spend increasing but not in real terms.</p>	Dundee HSCP Chief Finance Officer	5	4	20	↑	<ul style="list-style-type: none"> Additional Scot Gov funding Budgeting arrangements MSG and external audit recommendations Savings and Transformation Plan 	28/06/2022
<p>Unable to maintain IJB Spend</p> <p>No IJB savings required for 22/23 however range of pressures exist in addition to uncertainty over inflationary pressures including pay awards.</p>	Dundee HSCP Chief Finance Officer	4	4	16	→	<ul style="list-style-type: none"> Financial monitoring system Increase in reserves Management of vacancies and discretionary spend MSG and external audit recommendations Savings and transformation plan 	28/06/2022
<p>Lack of Capital Investment in Community Facilities (including Primary Care)</p> <p>Restrictions in access to capital funding from the statutory partner bodies and Scottish Government to invest in existing and potential new developments to enhance community based health and social care services. This could potentially be exacerbated by the transitional period</p>	Dundee HSCP Chief Officer and Chief Finance Officer	4	4	16	↑	To be developed	6/07/2022

until the establishment of a National Care Service due to the uncertainty of funding and ownership of assets by the local authority and Health Board.							
<p>Cost of Living Crisis</p> <p>Cost of living and inflation will impact on both service users and staff , in addition to the economic consequences on availability of financial resources.</p>	Dundee HSCP Chief Officer and Chief Finance Officer	4	4	16	↑	To be developed	28/06/2022
<p>Impact of Covid 19</p> <p>Impact of new variants of covid 19 continues to cause an impact to delivery of services and health of our service users.</p>	Dundee HSCP Chief Officer	4	4	16	→	<ul style="list-style-type: none"> Remobilisation plans 	28/06/2022
<p>Mental Health Services</p> <p>Tayside Mental Health Strategy continues to make progress, developments such as the Community Wellbeing Centre will enhance community supports for people with mental health issues.</p>	Dundee HSCP Chief Officer	4	4	16	→	<ul style="list-style-type: none"> Community Wellbeing Centre development Tayside Mental Health Strategy 	28/06/2022
<p>Capacity of Leadership Team</p> <p>Leadership team continue to be impacted by workload pressures of the wider workforce recruitment challenges.</p>	Dundee HSCP Chief Officer	3	4	12	↑	<ul style="list-style-type: none"> Restructure 	28/06/2022
<p>Viability of External Providers</p> <p>Provider sustainability payments will be restricted post June 2022, as directed by Scottish Government. However a range of policy led cost pressures around covid will continue to impact on care providers leading to additional costs e.g. infection prevention control.</p>	Dundee HSCP Chief Officer	3	4	12	↑	<ul style="list-style-type: none"> Maintain regular communication with third sector essential service providers 	28/06/2022
<p>Governance Arrangements being Established fail to Discharge Duties</p> <p>Further progress made on ensuring actions on Governance Action Plan have been completed. External audit plan for 2021/22 noted a reduction in the key areas of assessment due to reduced risk associated with governance.</p>	Dundee HSCP Chief Officer	3	4	12	→	<ul style="list-style-type: none"> Implementation of Governance Action Plan 	28/06/2022
<p>Category One Responder</p> <p>Limited assurance provided within the recent internal audit report around the IJB's preparedness as a Category One responder. 4 actions have been identified.</p>	Dundee HSCP Chief Officer	3	4	12	→	<ul style="list-style-type: none"> 4 actions 	28/06/2022

<p>Increased Bureaucracy</p> <p>Reduction in bureaucracy around Covid 19</p>	Dundee HSCP Chief Officer	3	3	9	↓	<ul style="list-style-type: none"> Support and roles 	28/06/2022
<p>Employment Terms</p> <p>There is unlikely to be any further changes pending the development of the National Care Service.</p>	Dundee HSCP Chief Officer	3	3	9	→	<ul style="list-style-type: none"> Align conditions wherever possible 	28/06/2022
<p>Uncertainty around future service delivery models</p> <p>Covid remobilisation plan sets out new service models which will continue. The extended Strategic and Commissioning Plan sets out a more detailed service delivery plan.</p>	Dundee HSCP Chief Officer	3	3	9	→	<ul style="list-style-type: none"> Extended Strategic and Commissioning Plan 	28/06/2022
<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. Recent consultation on the development of the extension to the Strategic and Commissioning Plan.</p>	Dundee HSCP Chief Officer	1	3		→	<ul style="list-style-type: none"> Participation and Engagement Strategy 	28/06/2022

Archived

<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				x	Archived as the development of the risk around the development of the National Care Service will incorporate similar issues .	28/06/2022
<p>Impact of EU Withdrawal</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				x	Archived as any residual risks being captured in other risks e.g. Workforce	28/06/2022

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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