



REPORT TO: PERFORMANCE & AUDIT COMMITTEE - 22 MAY 2024
REPORT ON: DHSCP STRATEGIC RISK REGISTER UPDATE
REPORT BY: CHIEF FINANCE OFFICER
REPORT NO: PAC18-2024

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.

3.0 FINANCIAL IMPLICATIONS

3.1 None

4.0 MAIN TEXT

- 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 Ideagen Risk Management 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 risk forum and are reported through reports to the PAC or IJB as appropriate.

5.0 STRATEGIC RISK REGISTER UPDATE

- 5.1 There has been a significant increase in scores for several risks since the last Strategic Risk Report update. There are currently six risks scoring at 20 or 25, which are High Risk Categories.
- 5.2 There are two risks which score at the maximum score of 25 are Staff Resource and Lack of Capital Investment in H&SC Integrated Community Facilities (including Primary Care).
- 5.3 The Staff Resource risk has remained at the highest score since 2021. The latest risk update highlights how staff resource impacts on the ability to progress the strategic plan actions. The implementation of the Safe Staffing Act is also demonstrating areas where staff resource is less than the standard. The impact of the half hour reduction of NHS workforce for Agenda for Change will also mean that across services available working week hours will reduce.

- 5.4 Lack of Capital Investment in H&SC Integrated Community Facilities (including Primary Care) has increased to a maximum of 25. The Scottish Government 2024/25 Capital Investment Resources available to LAs and NHS Boards has been severely restricted leading to minimal likelihood of resources being made available for community facilities.
- 5.5 The two financial risks: Restrictions on Public Spending; and Unable to Maintain IJB Spend remain at the same level of 20. Control factors continue to be updated.
- 5.6 The Primary Care Sustainability risk remains at a score of 20. The most recent update highlights closures of medical practices and Scottish Government funding
- 5.7 Capacity of Leadership Team has increased to a score of 16. This reflects the planned retirement of a Head of Health and Community Care and Chief Social Work Officer. Control factors include response from partner bodies, review of team structure and sharing of management team duties.
- 5.8 Data Quality risk has increased to a score of 16. The Strategy and Performance team are working with operational staff to improve data quality. Forthcoming changes to IT systems include the move from Oracle to SQL for hosting Mosaic and the change from DCC IT system Citrix which will impact on reporting mechanisms. Quality, Data, and Intelligence team are working with IT to improve reporting mechanisms and decide on most efficient and resilient reporting systems (e.g. Power BI, Crystal).
- 5.9 Increased Bureaucracy risk has increased to a score of 16. This is due to the potential for additional bureaucracy through the Scottish Government Covid Enquiry and National Care Service development.
- 5.10 National Care Service risk has decreased to a score of 20 (Impact 4 x Likelihood 5). We are still not able to assess the impact of the National Care Service on the IJB's ability to carry out its Strategic Plan.
- 5.11 A new risk of Changes to IT Systems has been developed due to multiple changes across IT Systems in both Dundee City Council and NHS Tayside, and the challenges these pose to integrated working.
- 5.12 The Viability of External providers risk remains at a score of 16 and the most recent update highlights the difficulties external providers face in staff recruitment and increasing reliance on agency staff.
- 5.13 Two risks have been archived. These are Staff Resource is insufficient to address Planned Performance Management improvements and Impact of Covid 19.
- 5.14 The risk Staff resource is insufficient to address planned performance management improvements in addition to core reporting requirements and business critical work has been archived. This is because we have absorbed elements of the risk into the Staff Resource and Data Quality Risks. However, the restructure of the Quality, Data and Intelligence team has identified several new posts, and these will be recruited to over the next six to twelve months.
- 5.15 The Impact of Covid 19 Risk has been deactivated because the risks associated with legacy of Covid have been captured in other risks.

6.0 POLICY IMPLICATIONS

- 6.1 This report has been subject to the Pre-IIA Screening Tool and does not make any recommendations for change to strategy, policy, procedures, services or funding and so has not been subject to an Integrated Impact Assessment. An appropriate senior manager has reviewed and agreed with this assessment.

7.0 RISK ASSESSMENT

- 7.1 No risk assessment is necessary for this report.

8.0 CONSULTATIONS

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

9.0 BACKGROUND PAPERS

9.1 None

Kathryn Sharp
Acting Head of Service, Strategic Planning, Health Improvement and
Commissioning

DATE: 24 April 2024

Clare Lewis-Robertson
Lead Officer (Strategic Planning and Business Support)

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Description	Lead Director/Owner	Current Assessment			Status	Date Last Reviewed
		L	C	Exp		
<p>Staff Resource</p> <p>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. Corporate processes in partner bodies can lead to delays in recruitment. Market conditions can impact on ability to appoint suitable staff in a timely way. Impact on levels of staff absence impact on staff resource.</p> <p>Latest update</p> <p>Ability to progress strategic plan actions are impacted by staff resource available.</p> <p>Implementation of safe staffing act is demonstrating the levels of staffing operationally.</p> <p>Impact of half hour reduction of NHS workforce for Agenda for Change will mean that across services available working week hours will reduce.</p> <p>Control factors</p> <ul style="list-style-type: none"> • Additional focus on Absence Management • Development of new models of care • Organisational Development Strategy • Recruitment • Safe Staffing Act recording tools • Service Redesign • Workforce plan • Workforce wellbeing actions. 	Dundee HSCP Chief Officer	5	5	25	→	22.04.24
<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.</p>	Dundee HSCP Chief Officer and Chief Finance Officer	5	5	25	↑	22.04.24

<p>Latest update Scot Gov 2024/25 Capital Investment Resources available to LAs and NHS Boards has been severely restricted leading to minimal likelihood of resources being made available for community facilities.</p> <p>Control factors Development of IJB Property Strategy Joint working with Partner Bodies over alternative opportunities Reshaping non-acute care project</p>						
<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> <p>Latest update Our ability to assess the impact of the National Care Service is not fully known.</p>	Dundee HSCP Chief Officer	4	5	20	↓	24/04/2024
<p>Primary Care Sustainability</p> <p>Continued challenges around the sustained primary care services, arising from recruitment, inadequate infrastructure including IT and location, and inadequate funding to fully implement the Primary Care improvement plan.</p> <p>Latest update The recent closure of Invergowrie, Ryehill and Park Avenue Medical Practices has meant that the Primary Care Risk remains high. Progress around development of Primary Care Improvement Plan has been impacted by the Scottish Government's changed stance on funding through instructing IJB's to utilise primary care improvement funding reserves before drawing down Scottish Government funding. The Capital Planning for 2027 means that planning for leases will be challenging.</p>	Dundee HSCP Chief Officer	4	5	20	→	24/04/2024

<p>Restrictions on Public Sector Funding</p>	Dundee HSCP Chief Finance Officer	5	4	20	→	22.04.24
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<p>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.</p> <p>Latest Update</p> <p>Scot Gov medium term financial strategy published in May 2023, this highlights a significant gap in Scottish funding over the next 4 financial years. We await the May 24 publication, however national scot gov to NHS and LA's highlight the deteriorating position and ongoing challenges.</p> <p>Mitigating factors - include the development of the IJB's financial 5 year framework and transformation programme alongside strategic investment of IJB's reserves.</p> <p>Control factors</p> <ul style="list-style-type: none"> • Budgeting Arrangements • MSG and external audit recommendations • Savings and Transformation Plan 						
<p>Unable to maintain IJB Spend</p> <p>IJB is unable to maintain spend within allocated resources which could lead to being unable to deliver on the Strategic & Commissioning Plan.</p> <p>Latest update</p> <p>The latest financial projection for the IJB's delegated budget shows a deteriorating financial position from the planned position which may result in financial recovery action being required should this position not stabilise. The budgetary outlook for 2024/25, and future years, in relation to public sector funding will provide further challenges to being able to balance the IJB's budget. Increase demographic and service demands continue to increase pressures.</p> <p>Control factors</p> <ul style="list-style-type: none"> • Financial monitoring systems • Increase in reserves • Management of vacancies and discretionary spend • MSG and external audit recommendations • Savings and Transformation Plan 	<p>Dundee HSCP Chief Finance Officer</p>	<p>5</p>	<p>4</p>	<p>20</p>	<p>→</p>	<p>22.04.24</p>

<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>Latest Update</p> <p>There has been a reduction in risk that is evidenced by the progress made in Dundee on the MAT standards .Feedback from the Mat standards implementation team (MIST)</p> <p>Dundee (in fact Tayside) was on monthly reporting to support early steps of progress against the background of a need to reduce risk and improve</p> <p>A vital role in the progress is also feedback we have had from the people that use our services. This dialogue with those who have lived experience and those who care for them is at an early stage, but this will be a primary driving force throughout all the work we are doing to improve and reduce risk of harm from drug and/or alcohol use</p> <p>There continue to be improvements that are required due to the level of drug death being higher than anyone would hope or expect. Figures show there has been some reduction but it's too early to confirm that has been due to steps we have taken so far. It is hoped that by sustaining the progress on MAT standards 1-5 and now starting major work on Standards 6-10 we will continue to see progress and a downward trend of risk and drug deaths.</p>	Dundee HSCP Chief Officer	4	4	16	→	22.04.24
<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. This is likely to have a significant impact on population health and the challenge this will present to the IJB in delivering its strategic priorities.</p> <p>Latest update</p>	Dundee HSCP Chief Officer and Chief Finance Officer	4	4	16	→	22.04.24

<p>The increased cost of living and inflation will impact on service users and staff, in addition to the economic consequences on availability of financial resources. This is likely to have a significant impact on population health</p> <p>Actions reflected in the HSCP's delivery plan to implement the priorities in the IJB's strategic plan will take cognisance of this impact.</p> <p>The work being undertaken by Engage Dundee continues to inform DHSCP and will aid efforts to tackle inequalities and support residents to cope in the current financial climate</p> <p>Control Factors</p> <ul style="list-style-type: none"> • Engage Dundee • Fairness and Equality Workstreams • Focus of Services identifying those most vulnerable 						
<p>Viability of External Providers</p> <p>Financial instability / potential collapse of key providers leading to difficulty in ensuring short / medium term service provision. * Inability to source essential services</p> <p>* Financial expectations of third sector cannot be met</p> <p>* Increased cost of service provision</p> <p>* Additional burden on internal services</p> <p>* Quality of service reduces</p> <p>Latest update</p> <p>IJB continues to support the external care providers through its budget process.</p> <p>External providers facing staff recruitment challenges with increased use of agency staff.</p> <p>Control factors</p> <ul style="list-style-type: none"> • Consistent engagement with service providers • Internal audit review to partnership's approach to viability of external providers • Potential Local or Scottish Government Intervention • Robust Contract Monitoring • Co-ordination to provider services 	<p>Dundee HSCP Chief Officer</p>	<p>4</p>	<p>4</p>	<p>16</p>	<p>→</p>	<p>22.04.24</p>

<p>Mental Health Services There are system wide risks in the Mental Health Service. These include workforce and demand issues.</p> <p>Latest update</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> <p>Control factors</p> <ul style="list-style-type: none"> • Development of Tayside Mental Health Strategy • Opening of Hope Point Community Wellbeing Centre 	Dundee HSCP Chief Officer	4	4	16	→	22.04.24
<p>Escalation of Property Safety Issues The Health and Social Care Partnership faces a significant strategic risk due to the due to the ability of the partner bodies to effectively repair and maintain critical health and social care infrastructure, crucial for the safe delivery of care and other essential support services</p> <p>Latest update</p> <p>Current areas of concern highlighted are at Kingsway Care Centre, RVH and DCC Records Store.</p> <p>Control factors include Property Rationalisation programme and escalation of these issues by Chief Officer.</p>	Dundee HSCP Chief Officer	4	4	16	→	22.04.24
<p>Capacity of Leadership Team Capacity of management team</p> <p>Latest update</p> <p>Several factors have contributed to the increase in likelihood for this risk, including the planned retirement of a Head of Health and Community Care and Chief Social Work Officer.</p> <p>The leadership team continue to be impacted by workload pressures of the wider workforce recruitment challenges. This is likely to be exacerbated as preparations for the introduction of the NCS develop over the coming period. The implementation of the new Leadership structure on a permanent basis will consolidate and provide clarity to roles.</p> <p>Control factors</p> <ul style="list-style-type: none"> • Response from Partner bodies • Review of Senior Management Team Structure 	Dundee HSCP Chief Officer	4	4	16	↑	24/04/2024

<ul style="list-style-type: none"> Sharing of Management Team duties 						
<p>Data Quality Data Quality of information on Mosaic case recording system is not accurate leading to difficulties in providing statutory government returns and accurate billing for billable services delivered.</p> <p>Latest Update</p> <p>Strategy and Performance research team are working with operational staff to improve data quality.</p> <p>Forthcoming changes to IT systems include the move from Oracle to sql for hosting Mosaic and the change from DCC IT system Citrix which will impact on reporting mechanisms.</p> <p>Quality, Data and Intelligence team are working with IT to improve reporting mechanisms and decide on most efficient and resilient reporting systems (e.g. Power BI, Crystal).</p>	Senior Manager	4	4	16	↑	24/04/2024
<p>Increased Bureaucracy Governance mechanisms between the IJB and partners could lead to increased bureaucracy in order to satisfy the assurance arrangements required to be put in place.</p> <p>Latest update Potential for additional bureaucracy through Scot Gov Covid enquiry and National Care Service development.</p> <p>Control factors</p> <ul style="list-style-type: none"> Support and roles Work with partner bodies to streamline report requirements for respective accountabilities 	Dundee HSCP Chief Officer	4	4	16	↑	22.04.24
<p>Changes to IT Systems There are significant changes coming to IT systems across DHSCP. These include move from Citrix to AWS. There are also moves from hosting Mosaic, Case Management system from Oracle to sql and issues arising from changes to reporting. There are also difficulties in ensuring access to information on Sharepoint between DCC and NHST. Hybrid working is being affected by these challenges. Morse is being implemented in NHST.</p> <p>Latest Update Short timescales for implementation of change from Citrix is</p>	Dundee HSCP Chief Officer	4	4	16	↑	22/04/2024

<p>Implementation of Safe Staffing Risk is around management teams capacity to ensure staff awareness and utilise appropriate recording systems.</p> <p>Latest Update</p> <p>Control factors being developed to ensure: Safe level recording in real time; Gap Mitigation; Escalation systems; Identification of Chronic Issues.</p>	<p>Dundee HSCP Head Of Health and Community Care</p>	<p>3</p>	<p>4</p>	<p>12</p>	<p>→</p>	<p>22.04.24</p>
<p>Employment Terms</p> <p>Differing employment terms could expose the partnership to equality claims and impact on staff morale.</p> <p>Latest Update</p> <p>Management continue to have an overview of where issues arise within integrated teams with differing employment terms, and continue to assess and review within integrated teams.</p>	<p>Dundee HSCP Chief Officer</p>	<p>3</p>	<p>3</p>	<p>9</p>	<p>→</p>	<p>22.04.24</p>
<p>Category One Responder</p> <p>Additional responsibilities associated with Category 1 responder status are not supported by additional resources from Scottish Government and existing resources are not sufficient to meet statutory duties.</p> <p>Latest Update</p> <p>A report will be taken to the IJB in June 2024 on Category One Responder arrangements.</p>	<p>Dundee HSCP Chief Officer</p>	<p>2</p>	<p>4</p>	<p>8</p>	<p>→</p>	<p>22.04.24</p>
<p>Governance Arrangements being Established fail to Discharge Duties</p> <p>Clinical, Care & Professional Governance arrangements being established fail to discharge the duties required.</p> <p>The IJB's Governance arrangements were assessed as weak/unsatisfactory.</p> <p>Latest update</p> <p>Reports from CCPG to the PAC consistently provide a level of reasonable assurance of good and sound governance. leading to a reduction in the likelihood of this risk occurring..</p> <p>This risk will be revisited when we receive the Internal and External Audit governance report conclusions, with a view to potentially archiving.</p>	<p>Dundee HSCP Chief Officer</p>	<p>2</p>	<p>4</p>	<p>8</p>	<p>→</p>	<p>24/04/2024</p>

Control factors							
<ul style="list-style-type: none"> • Development of IJB Member Governance development sessions • Implement Governance Action Plan • Review of processes established 							

New Risks for entry

Information Governance							
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Archived

<p>Staff resource is insufficient to address planned performance management improvements in addition to core reporting requirements and business critical work. Pressures still remain, however restructure and enhancement to service planned for over coming months. Service restructure has identified several new posts and these will be recruited to over the next 6- 12 months. This risk has been archived and absorbed into Staff Resource risk and Data Quality Risk.</p>	Dundee HSCP Service Manger						24/04/2024
<p>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</p> <p>Risks associated with legacy of Covid have been absorbed into other risks.</p>	Dundee HSCP Chief Officer						24/04/2024

Risk Status	
↑	Increased level of risk exposure
→	Same level of risk exposure

↓	Reduction in level of risk exposure
x	Treated/Archived or Closed