



REPORT TO: PERFORMANCE & AUDIT COMMITTEE – 24 MAY 2023
REPORT ON: DUNDEE HEALTH AND SOCIAL CARE PARTNERSHIP STRATEGIC RISK REGISTER UPDATE
REPORT BY: CHIEF FINANCE OFFICER
REPORT NO: PAC19-2023

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 recent work and future work on the Pentana Risk Management System in Section 7 of this 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 have changed since the last update in February. They are now: Staff Resource - Clinical; the National Care Service; Restrictions on Public Sector Funding, Staff Resource – Planned Performance Management and Primary Care.

- 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 24 March 2021 (Item VI of the minute refers).
- 5.4 Work has been underway by members of the Clinical Care and Professional Governance forum to ensure that the escalation of operation risks to strategic risks is given adequate scrutiny during all relevant meetings.

6 RISKS

- 6.1 There has been movement of risks since the last Strategic Risk Register update.
- 6.2 The Dundee Drug and Alcohol Recovery Service has decreased from the maximum risk to 4 x 4 (16) risk. This is due to several actions being taken and is evidenced by progress made on the MAT Standards.
- 6.3 A new risk around Data Quality has been entered on the Strategic Risk Register. This is around capacity to ensure accurate data is recorded on social care systems and ensuring statutory returns are accurate.

7.0 PENTANA RISK MANAGEMENT SYSTEM

- 7.1 Following on Risk Development Sessions with the Integration Joint Board members, development work on the Pentana Risk Management System is being undertaken.
- 7.2 Developments include linking the risks to the individual Actions in the current Strategic and Commissioning Plan Actions, and Performance Indicators where appropriate.
- 7.3 Documents will be added as links to the risks where they are part of the Control Factor. For example we plan to add the link to the Workforce Strategy document to the Staff Resource risk.
- 7.4 The inherent risks will be revisited to take into account external events which have meant that current scores are higher than previous inherent scores.
- 7.5 The target risk scores will be revisited following planned Risk Appetite sessions for the recent development work around risk appetite.

8.0 POLICY IMPLICATIONS

- 8.1 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.

9.0 RISK ASSESSMENT

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

10.0 CONSULTATIONS

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

11.0 BACKGROUND PAPERS

11.1 None.

Dave Berry
Chief Finance Officer

DATE: 27 April 2023

Clare Lewis-Robertson
Senior Officer, Strategy and Performance

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DUNDEE HEALTH AND SOCIAL CARE PARTNERSHIP – STRATEGIC RISK PROFILE APRIL 2023

PAC 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. The IJB has approved the Workforce Strategy</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 Strategy approved 	27/04/2023
<p>National Care Service</p> <p>The National Care Service risk continues to pose a risk to the IJB's future existence and its ability to carry out the Strategic Plan.</p> <p>Political changes and expected delays in the implementation of the NCS also mean that partner bodies may be reluctant to investment in HSCP projects due to uncertainty.</p>	Dundee HSCP Chief Officer	5	5	25	→	<ul style="list-style-type: none"> • Change Management • Engagement with consultation process 	27/04/2023
<p>Restrictions on Public Sector Funding</p> <p>Additional interventions by Scottish Government to seek the use of IJB's reserves has the potential to destabilise agreed investment plans eg Primary Care Improvement Funding.</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 	27/04/2023
<p>Primary Care</p> <p>Challenges continue to present within Primary Care services, including the recent closure of Ryehill Medical Practice. Progress around development of Primary Care Improvement Plan has been impacted by</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 	27/04/2023

the Scottish Government's changed stance on funding for 2022/23 by restricting overall funding available.						<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>Pressures still remain, however restructure and enhancement to service planned for over coming months. This risk was highlighted further in recent IJB reports around the the development of the IJB Strategic and Commissioning Plan.</p>	Dundee HSCP Chief Officer	5	4	20	→	<ul style="list-style-type: none"> Planned restructure and enhancement 	27/04/2023
<p>Dundee Drug and Alcohol Recovery Service</p> <p>There has been a reduction in risk that is evidenced by the progress made in Dundee on the MAT standards .</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	↓	<ul style="list-style-type: none"> ADP Residential Rehab Pathway Service Restructure ADP Risk Register 	27/04/2023
<p>Unable to maintain IJB Spend</p> <p>Most recent financial projections note that the IJB is likely to be in financial balance at the end of the current financial year</p>	Dundee HSCP Chief Finance Officer	4	4	16	→	<ul style="list-style-type: none"> Financial monitoring system Increase in reserves 	27/04/2023

						<ul style="list-style-type: none"> • Management of vacancies and discretionary spend • MSG and external audit recommendations • Savings and transformation plan 	
<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 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>	Dundee HSCP Chief Officer and Chief Finance Officer	4	4	16	→	<ul style="list-style-type: none"> • To be developed 	27/04/2023
<p>Cost of Living Crisis</p> <p>The cost of living and inflation will impact on both service users and staff , in addition to the economic consequences on availability of financial resources. The uncertainty of the fuel cost crisis is yet to be fully felt.</p>	Dundee HSCP Chief Officer and Chief Finance Officer	4	4	16	→	<ul style="list-style-type: none"> • To be developed 	27/04/2023
<p>Viability of External Providers</p> <p>Previous assessments have been affected by the Covid Pandemic, however the increase in energy prices in addition to fuel costs for staff travel in addition to staff pay pressures is already impacting this sector with concerns that a number will not be able to sustain their activities.</p>	Dundee HSCP Chief Officer	4	4	16	→	<ul style="list-style-type: none"> • Maintain regular communication with third sector essential service providers 	27/04/2023
<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 	27/04/2023
<p>Capacity of Leadership Team</p>	Dundee HSCP Chief Officer	3	4	12	→	<ul style="list-style-type: none"> • Restructure 	27/04/2023

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 intro of the NCS develop over the coming period.						<ul style="list-style-type: none"> Sharing of Management Team duties 	
Data Quality Capacity to ensure accurate data is recorded on social care systems and ensuring statutory returns are accurate.	Chief Finance Officer	3	4	12	↑	<ul style="list-style-type: none"> Analysis of data inadequacies Support by business support Changes to Mosaic 	27/04/2023
Impact of Covid 19 DHSCP continue to experience difficulties in delivering services due to significantly higher rates of sickness absence due to long term covid or other related covid illnesses. In addition some services which were paused due to Covid have still not been able to be resumed .	Dundee HSCP Chief Officer	4	3	12	↓	<ul style="list-style-type: none"> Remobilisation plans 	27/04/2023
Governance Arrangements being Established fail to Discharge Duties 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. Futher refinement of the Governance Action Plan is being undertaken to reduce duplication of actions.	Dundee HSCP Chief Officer	3	4	12	→	<ul style="list-style-type: none"> Implementation of Governance Action Plan 	09/01/2023
Increased Bureaucracy Potential for additional bureaucracy through Scot Gov Covid enquiry and National Care Service development.	Dundee HSCP Chief Officer	3	3	9	→	<ul style="list-style-type: none"> Support and roles 	09/01/2023
Category One Responder The Category One Responder Action Plan was presented to and approved by the IJB on the 26 th October 2022.	Dundee HSCP Chief Officer	2	4	8	→	<ul style="list-style-type: none"> 4 actions 	09/01/2023

Archived

No risks have been archived since the last Risk Register update.							
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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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