



**REPORT TO:** PERFORMANCE & AUDIT COMMITTEE – 22 NOVEMBER 2023  
**REPORT ON:** DUNDEE HEALTH AND SOCIAL CARE PARTNERSHIP STRATEGIC RISK REGISTER UPDATE  
**REPORT BY:** CHIEF FINANCE OFFICER  
**REPORT NO:** PAC43-2023

**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 Risk Appetite as set out 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 risk forum and are reported through reports to the PAC or IJB as appropriate.

**5.0 STRATEGIC RISK REGISTER UPDATE**

5.1 The three highest scoring risks on the Strategic Risk Register have not changed slightly since the last update provided to the PAC in September 2023. These are: Staff Resource - Clinical; the National Care Service; Restrictions on Public Sector Funding, Staff Resource – Planned Performance Management, Primary Care and Unable to Maintain IJB Spend.

- 5.2 Unable to Maintain IJB Spend has increased its risk score due to budgetary outlook for 2024/25 in relation to anticipated public sector funding.
- 5.3 The Strategic Risk Register extract details the most recent updates and a brief description of the mitigating control factors identified.
- 5.4 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).
- 5.5 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 Three new risks are being worked on to be entered on the Strategic Risk Register, these are around Property Safety Management Issues and Information Governance.
- 6.2 The Property Issues Management risk was identified at the Clinical Care and Professional Governance Risk meeting. It reflects the process of resolving property safety issues through NHS property management arrangements.
- 6.3 The Information Governance risk relates to capacity challenges within the DHSCP to appropriately process complex Subject Access Requests given an increase in demand for such requests.
- 6.4 These risks will be entered on the Strategic Risk Register and presented to the Clinical Care and Professional Governance Risk meeting and Senior Managers for feedback.

## **7.0 RISK APPETITE DEVELOPMENT**

- 7.1 Following on from the Risk Appetite Sessions with Integration Joint Board members in August 2023, a further feedback questionnaire is being developed to identify risk categories and appropriate risk appetite and target scores. This will be issued to members shortly and will better inform risk-based decision making for the IJB in the future.
- 7.2 Following that, the inherent risks will be revisited to take into account external events which have meant that current scores are higher than previous inherent scores. In addition, target risk scores will be revisited following feedback from Risk Appetite sessions.

## **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 PAC 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:** 1 November 2023

Clare Lewis-Robertson  
Senior Officer, Strategy and Performance

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Description	Lead Director/Owner	Current Assessment			Status	Date Last Reviewed
		L	C	Exp		
<p><b>Staff Resource</b></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. The DCC recruitment restriction and internal DHSCP vacancy management process is restricting recruitment to posts.</p> <p><b>Latest update</b></p> <p>CCPG reports presented to PAC in May 23 highlights continued staffing pressures across wide range of teams across DHSCP including Nursing and OTs, and Social Care workforce. Mitigating factors include rolling ads across Job train, exploring international recruitment, development of new models of care, service redesign and workforce plan.</p>	Dundee HSCP Chief Officer	5	5	25	→	27/10/2023
<p><b>National Care Service</b></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><b>Latest update</b></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	→	27/10/2023
<p><b>Primary Care</b></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><b>Latest update</b></p>	Dundee HSCP Chief Officer	4	5	20	→	27/10/2023

<p>The closure of the Invergowrie Medical Practice has meant that the Primary Care Risk remains high. 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 the Scottish Government's changed stance on funding for 2022/23 by restricting overall funding available.</p>						
<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>As identified by Audit Scotland Annual Report 2016/17 - Performance Management Improvements Update (PAC14-2018)</p> <p><b>Latest Update</b></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>	<p>Dundee HSCP Chief Officer</p>	<p><b>5</b></p>	<p><b>4</b></p>	<p><b>20</b></p>	<p>→</p>	<p>27/10/2023</p>

<p><b>Restrictions on Public Sector Funding</b></p> <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><b>Latest Update</b></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.</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>	Dundee HSCP Chief Finance Officer	5	4	20	→	27/10/2023
<p><b>Unable to maintain IJB Spend</b></p> <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><b>Latest update</b></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 in relation to anticipated public sector funding will provide further challenges to being able to balance the IJB's budget</p>	Dundee HSCP Chief Finance Officer	5	4	20	↑	27/10/2023
<p><b>Lack of Capital Investment in Community Facilities (including Primary Care)</b></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> <p><b>Latest update</b></p> <p>Restrictions in access to capital funding from the statutory partner bodies and Scottish Government to invest in existing and potential new</p>	Dundee HSCP Chief Officer and Chief Finance Officer	4	4	16	→	27/10/2023

<p>developments to enhance community based health and social care services.</p> <p>Scottish Government's medium term financial strategy published in May 23 highlights severe restrictions in availability of capital funding for Scottish Government</p> <p>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>						
<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><b>Latest Update</b></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>	<p>Dundee HSCP Chief Officer</p>	<p>4</p>	<p>4</p>	<p>16</p>	<p>→</p>	<p>27/10/2023</p>



<p><b>Cost of Living Crisis</b>          .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> <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>	Dundee HSCP Chief Officer and Chief Finance Officer	<b>4</b>	<b>4</b>	<b>16</b>	→	27/10/2023
<p><b>Viability of External Providers</b></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> <ul style="list-style-type: none"> <li>* Financial expectations of third sector cannot be met</li> <li>* Increased cost of service provision</li> <li>* Additional burden on internal services</li> <li>* Quality of service reduces</li> </ul> <p>Latest update</p> <p>IJB's revenue budgety23/24 acknowledged the impact of pay pressures and inflation resulting in increases to payments to providers. Acknowledge National Care Home contract is at risk due to care home sustainability concerns , this will be addressed by national and local negotiations as required.</p>	Dundee HSCP Chief Officer	<b>4</b>	<b>4</b>	<b>16</b>	→	27/10/2023
<p><b>Mental Health Services</b></p> <p>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>	Dundee HSCP Chief Officer	<b>4</b>	<b>4</b>	<b>16</b>	→	27/10/2023

<p><b>Capacity of Leadership Team</b> Capacity of management team</p> <p>Latest update</p> <p>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. The implementation of the new Leadership structure on a permanent basis will consolidate and provide clarity to roles.</p>	Dundee HSCP Chief Officer	3	4	12	→	27/10/2023
<p><b>Data Quality</b> 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>	Senior Manager	4	3	12	→	27/10/2023
<p><b>Impact of Covid 19</b> 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>Latest update</p> <p>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 .</p>	Dundee HSCP Chief Officer	3	4	12	→	27/10/2023
<p><b>Increased Bureaucracy</b> 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</p> <p>Potential for additional bureaucracy through Scot Gov Covid enquiry and National Care Service development.</p>	Dundee HSCP Chief Officer	3	3	9	→	27/10/2023
<p><b>Employment Terms</b></p>	Dundee HSCP Chief Officer	3	3	9	→	27/10/2023

<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><b>Category One Responder</b></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>The Category One Responder Action Plan was presented to and approved by the IJB on the 26th October 2022.</p>	<p>Dundee HSCP Chief Officer</p>	<p>2</p>	<p>4</p>	<p>8</p>	<p>→</p>	<p>27/10/2023</p>
<p><b>Governance Arrangements being Established fail to Discharge Duties</b></p> <p>Clinical, Care &amp; 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 fo this risk occurring..</p> <p>This risk will be revisited when we receive the Internal and External Audit governance report conclusions.</p>	<p>Dundee HSCP Chief Officer</p>	<p>2</p>	<p>4</p>	<p>8</p>	<p>→</p>	<p>27/10/2023</p>

## Archived

<p>None archived since last report</p>							
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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