



**REPORT TO:** PERFORMANCE & AUDIT COMMITTEE – 2 FEBRUARY 2022

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

**REPORT BY:** CHIEF FINANCE OFFICER

**REPORT NO:** PAC7-2022

**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 as Appendix 1 to this report.
- 2.3 Note the emergent risks 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 Management Working Group 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 subsequent 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 Resource - Clinical; Dundee Drug and Alcohol Recovery Service; and Staff Resource – Strategy and Performance.

5.2 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<sup>th</sup> March 2021 (Item VI of the minute refers).

## **6.0 EMERGENT RISKS**

6.1 There are several emergent strategic risks which are in the process of being escalated to the Strategic Risk Register, which includes assessing all available information to ensure appropriate risk scoring and identification of all mitigating actions and impact on risk levels.

6.2 These include Mental Health services; Primary Care, Category One Responders; General Data Protection Regulation (GDPR); and National Care Service development and these will be reflected in the next update report to the PAC.

## **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:** 10 January 2022

Clare Lewis-Robertson  
Senior Officer, Strategy and Performance

## APPENDIX 1 – Extract From Strategic Risk Register

Description	Lead Director/Owner	Current Assessment			Status	Date Last Reviewed
		L	C	Exp		
<p><b>Staff Resource</b></p> <p>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 are being escalated as risks for the Strategic Risk Register. The impact of Covid 19 continues to impact on recruitment challenges.</p>	Dundee HSCP Chief Officer	5	5	25	→	5/11/2021
<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>The controls available to DDARS have been applied and the risk exposure remains 25. Proposed controls include the relevant Dundee Partnership Action Plan for Change actions and the implementation of national Medication Assisted Treatment standards, which have been added as Datix risk actions to enable DHSCP and NHST to monitor the consequences of these planned controls. The risk exposure with the planned/proposed controls remains 25 as the controls do not yet address the prescribing capacity issues for those established on opiate substitution treatment with multiple complex needs, the population with the highest fatality risk.</p>	Dundee HSCP Chief Officer	5	5	25	→	5/11/2021
<p><b>Staff resource is insufficient to address planned performance management improvements in addition to core reporting requirements and business critical work.</b></p>	Dundee HSCP Chief Officer	4	5	20	→	5/11/2021

The impact of Covid 19 continues to impact on recruitment challenges. Proposals for service restructure are being developed.						
<b>Restrictions on Public Sector Funding</b>  Additional Scottish Govt funding directed towards Health and social care integration continues to support the IJB's financial position	Dundee HSCP Chief Finance Officer	4	4	16	→	5/11/2021
<b>Unable to maintain IJB Spend</b>  Increased reserves due to favourable 2020/21 financial year end position will support IJB activities during 2021/22 and beyond	Dundee HSCP Chief Finance Officer	4	4	16	→	5/11/2021
<b>Impact of Covid 19</b>  Despite the success of the vaccination programme infection rates continue to fluctuate with concerns raised nationally about the impact over the winter period. Enhanced by concerns about increased flu outbreaks.. Additional funding has been provided by the Scot Gov to try and mitigate against services being overwhelmed.	Dundee HSCP Chief Officer	4	4	16	→	5/11/2021
<b>Increased Bureaucracy</b>  The Covid 19 response has meant an increase in reporting requirements to the Scottish Government, NHS Tayside and Dundee City Council.	Dundee HSCP Chief Officer	4	3	12	→	5/11/2021
<b>Viability of External Providers</b>  The Scottish Government have committed to continuing to providing sustainability payments to March 2022..	Dundee HSCP Chief Officer	2	4	12	→	5/11/2021
<b>Governance Arrangements being Established fail to Discharge Duties</b>  Pressures of Covid 19 response mean that work to improve governance arrangements has not been progressed . The Governance Action Plan is implemented and overdue actions are being prioritised	Dundee HSCP Chief Officer	3	4	12	→	5/11/2021
<b>Staff Perception of Integration</b>  Staff perception over coming period maybe influenced by developments around the potential implementation of a National Care Service and implications for local health and social care services	Dundee HSCP Chief Officer	3	3	9	→	5/11/2021
<b>Employment Terms</b>  The risks associated with difference in employment terms still remain, but management and HR work to manage these.	Dundee HSCP Chief Officer	3	3	9	→	5/11/2021
<b>Uncertainty around future service delivery models</b>	Dundee HSCP Chief Officer	3	3	9	→	5/11/2021

This will be managed through the review of the Strategic and Commissioning plan to reflect impact of Covid as indicated within the IJB's Remobilisation plan						
<b>Capacity of Leadership Team</b>  Restructure of management team with further restructuring of operational management structure	Dundee HSCP Chief Officer	2	4	8	↓	5/11/2021
<b>Impact of EU Withdrawal</b>  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.	Dundee HSCP Chief Officer	2	3	6	→	5/11/2021

Risk Status	
↑	Increased level of risk exposure
→	Same level of risk exposure
↓	Reduction in level of risk exposure
x	Treated/Archived or Closed

