



REPORT TO: PERFORMANCE AND AUDIT COMMITTEE – 3 FEBRUARY 2021

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

REPORT BY: CHIEF FINANCE OFFICER

REPORT NO: PAC8-2021

1.0 PURPOSE OF REPORT

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

2.0 RECOMMENDATIONS

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

- 2.1 Notes the work ongoing around risk management across Dundee Health and Social Care Partnership and partner organisations.
- 2.2 Notes the updated risks around Finance, EU UK Transition and Governance arrangements.

3.0 FINANCIAL IMPLICATIONS

3.1 None.

4.0 MAIN TEXT

Risk Management across DHSCP and partner organisations

- 4.1 The DHSCP Strategic Risk Register is regularly presented to the NHST Strategic Risk Group, Dundee City Council Strategic Risk Group and Dundee Clinical Care and Professional Governance Group. Horizon scanning is also undertaken by these groups and informs the risk register.
- 4.2 Following recommendations made in the Risk Management Internal Audit Report in 2018 (Article XI of the minute of the meeting of the Dundee Performance and Audit Committee held on 13 February 2018 refers), work has been undertaken on a number of recommendations. The Tayside Risk Management group, which is made up of risk managers from NHS Tayside, Dundee City Council, Dundee Health and Social Care Partnership, Angus Health and Social Care Partnership and Perth and Kinross Health and Social Care Partnership is working to ensure consistency in risk management across the Health and Social Care Partnerships and their partner bodies.

5.0 Updated Risks around Finance, EU UK Transition, Covid 19 Response and Governance arrangements

5.1 The Financial risks have been updated to reflect the Finance risks have been mitigated in part by the actions completed to date following the Ministerial Strategic Group Self-Evaluation and the completion of actions raised by Audit Scotland. In addition, the enhanced communication channels between the partners and the Integration Joint Board have improved the approach to agreeing financial planning and management matters.

- 5.2 The EU UK Exit risk was updated to reflect the higher risk in December 2020 when a no deal exit was assessed as likely. However since the EU UK transition deal was signed at the end of December the assessed risk has been re-assessed and reflects the longer term effects of the EU UK Transition.
- 5.3 The 2nd wave of Covid 19 and rising infection rates and the virulence of new variants of the virus means that the covid 19 response still creates barriers to DHSCP achieving actions within the Strategic and Commissioning Plan. The workforce are also involved in supporting the mass vaccination programme.
- 5.4 The Governance Arrangements Risk has been updated to reflect the ongoing work to complete the actions on the Governance Implementation Plan.

6.0 POLICY IMPLICATIONS

- 6.1 This report has been screened for any policy implications in respect of Equality Impact Assessment. There are no major issues.

7.0 RISK ASSESSMENT

- 7.1 This report has not been subject to a risk assessment as it is provided for information and does not require a policy decision from the PAC.

8.0 CONSULTATIONS

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

9.0 BACKGROUND PAPERS

- 9.1 None.

Dave Berry
Chief Finance Officer

DATE: January 2021

Dundee Health and Social Care Partnership Strategic Risk Register

Extract from Pentana Risk January 2021




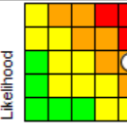
Risk Code & Title	Risk Factors	Inherent Risk	Control Measure	Control Description	Residual Risk	Last Modified Date	Date Last Assessed	Latest Note
HSCR00 Dundee Health and Social Care Partnership High Level Risk Register						12-Jan-2021		

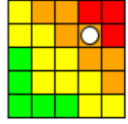
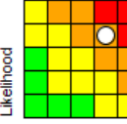
Risk Code & Title	Risk Factors	Inherent Risk	Control Measure	Control Description	Residual Risk	Last Modified Date	Date Last Assessed	Latest Note
HSCR00a1 Restrictions on Public Sector Funding	Continuing restrictions on public sector funding will impact on Local Authority and NHS budget settlements in 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.		Budgeting Arrangements	Budget negotiations with the Local Authority and NHS Tayside to ensure a fair and proportionate share of resources		12-Jan-2021	31-Dec-2016	Finance risks have been mitigated in part by the actions completed to date following the MSG Self-Evaluation and the completion of actions raised by Audit Scotland. In addition, the enhanced communication channels between the partners and the IJB have improved the approach to agreeing financial planning and management matters.
			Savings and Transformation Plan	The development of the Transformation Plan and planned savings will mitigate the impact of restrictions on public sector funding			09-Jan-2018	
			MSG and external audit recommendations	Action taken in response to MSG and external audit recommendations			11-Oct-2018	
							11-Oct-2018	
							01-Nov-2019	
							11-Aug-2020	
		05-Jan-2021						

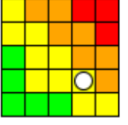
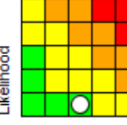
Risk Code & Title	Risk Factors	Inherent Risk	Control Measure	Control Description	Residual Risk	Last Modified Date	Date Last Assessed	Latest Note
HSCR00a2 Unable to maintain IJB Spend	IJB is unable to maintain spend within allocated resources which could lead to being unable to deliver on the Strategic & Commissioning Plan.		Financial monitoring system	Development of robust financial monitoring systems to highlight key pressure areas and enable action to be taken at an early stage.		12-Jan-2021	31-Dec-2016	The risks highlighted in the IJB High-Level Risk Register in relation to Finance have been mitigated in part by the actions completed to date following the MSG Self-Evaluation and the completion of actions raised by Audit Scotland. In addition, the enhanced communication channels between the partners and the IJB have improved the approach to agreeing financial planning and management matters.
			Savings and Transformation Plan	The development of the Transformation Plan and planned savings will mitigate the impact of restrictions on public sector funding			09-Jan-2018	
			Management of vacancies and discretionary spend				11-Oct-2018	
			MSG and external audit recommendations	Actions from MSG and external audit recommendations			01-Nov-2019	
							09-Jan-2020	
							11-Aug-2020	
		05-Jan-2021						

Risk Code & Title	Risk Factors	Inherent Risk	Control Measure	Control Description	Residual Risk	Last Modified Date	Date Last Assessed	Latest Note
HSCR00b1 Staff Resource	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.		Organisational development strategy	Ensure organisational development strategy is agreed, implemented and monitored.		21-Jan-2021	31-Dec-2016	Service redesign of in house Home Care Service and Care Homes is now complete. However the ongoing Covid 19 response means that the staff resource is under pressure. Remobilisation plans have been completed and will be reassessed to mitigate this pressure.
			Development of new models of care				09-Jan-2018	
			Service redesign				11-Aug-2020	

Risk Code & Title	Risk Factors	Inherent Risk	Control Measure	Control Description	Residual Risk	Last Modified Date	Date Last Assessed	Latest Note
HSCR00b2 Staff Perception of Integration	Negative staff perception of integration due to historical experiences and lack of communication will lead to an adverse effect on engagement / buy-in to new partnership.		Communication	Continued communication disseminated to staff highlighting key issues.		11-Aug-2020	31-Dec-2016	Tools such as NHS matters and Council feedback have been developed , however these are separate systems. Managers of integrated teams do not have access to a whole system. The Covid 19 response of DCC and NHST has also impacted on DHSCP workforce.
							09-Jan-2018	
							01-Nov-2019	
							11-Aug-2020	

Risk Code & Title	Risk Factors	Inherent Risk	Control Measure	Control Description	Residual Risk	Last Modified Date	Date Last Assessed	Latest Note
HSCR00b3 Employment Terms	Differing employment terms could expose the partnership to equality claims and impact on staff morale.	 Likelihood Impact	Align conditions	Continue to monitor through staff feedback/surveys and align conditions where opportunities present	 Likelihood Impact	27-Jun-2019	30-Aug-2016	Separate terms and conditions remains an issue nationally however locally, all new recruitment is being carried out jointly with the option for many posts to choose which employer to work for.
							09-Jan-2018	

Risk Code & Title	Risk Factors	Inherent Risk	Control Measure	Control Description	Residual Risk	Last Modified Date	Date Last Assessed	Latest Note
HSCP001 Capacity of leadership team	Capacity of management team will be impacted by transition to new Chief Officer retirement. Head of Service, Health and Community Care is also performing duties as Chief Social Work Officer due to retirement of Chief SWO. In addition there is additional work due to a Locality Manager leaving their post.	 Likelihood Impact	Sharing of Management team duties	New internal control to be worked on	 Likelihood Impact	21-Jan-2021	09-Sep-2019	Progress is being made to enhance overall capacity within DHSCP. The impact of the response to Covid 19 has also impacted on the capacity of the Senior Management team.
			Review of Senior Management Team structure	New Chief Officer has identified that a review of the Senior Management Team Structure is necessary. The Chief Officer is undertaking a Senior Management Team Structure Review and priorities.			11-Aug-2020	

Risk Code & Title	Risk Factors	Inherent Risk	Control Measure	Control Description	Residual Risk	Last Modified Date	Date Last Assessed	Latest Note
HSCR00c1 Stakeholders not included/consulted	Relevant stakeholders have not been included and adequately consulted with during the development and subsequent implementation of the Strategic & Commissioning Plan which may lead to adverse political and/or reputational impact.	 Likelihood Impact	Participation and engagement strategy	Ensure consultation around the development and implementation of the Strategic & Commissioning Plan is as comprehensive as practically possible and compliant with statutory requirements as a minimum.	 Likelihood Impact	11-Aug-2020	31-Dec-2016	The Participation and Engagement strategy has been published
				Development of participation and engagement strategy which promotes wide stakeholder consultation and engagement throughout the planning, implementation and review cycle.			09-Jan-2018	
							11-Aug-2020	

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HSCR00c3 Governance arrangements being established fail to discharge duties	Clinical, Care & Professional Governance arrangements being established fail to discharge the duties required. The IJB's Governance arrangements are assessed as weak/unsatisfactory.	 Likelihood Impact	Review of processes established.		 Likelihood Impact	12-Jan-2021	31-Dec-2016	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
			Implement Governance Action Plan				09-Jan-2018	
							11-Aug-2020	
							05-Jan-2021	

Risk Code & Title	Risk Factors	Inherent Risk	Control Measure	Control Description	Residual Risk	Last Modified Date	Date Last Assessed	Latest Note
HSCR00c4 Uncertainty around future service delivery models	Uncertainty around future service delivery models may lead to resistance, delay or compromise resulting in any necessary developments or potential opportunities for improvement not being fulfilled.	 Likelihood Impact	Strategic vision	High-level strategic vision to be articulated. Clear guidance on service development during interim period.	 Likelihood Impact	11-Aug-2020	31-Dec-2016	Communication, participation and engagement with stakeholders
							09-Jan-2018	
							11-Aug-2020	

Risk Code & Title	Risk Factors	Inherent Risk	Control Measure	Control Description	Residual Risk	Last Modified Date	Date Last Assessed	Latest Note
HSCR00c2 Increased Bureaucracy	Revised governance mechanisms between the IJB and partners could lead to increased bureaucracy in order to satisfy the arrangements required to be put in place.	 Likelihood Impact	Support and roles	Continue to monitor. Ensure clarity of respective roles of the IJB, Dundee City Council and NHS Tayside. Ensure appropriate corporate support provided by Dundee City Council and NHS Tayside.	 Likelihood Impact	21-Jan-2021	31-Dec-2016	The Covid 19 response has meant an increase in reporting requirements to the Scottish Government, NHS Tayside and Dundee City Council.
							09-Jan-2018	
							11-Aug-2020	

Risk Code & Title	Risk Factors	Inherent Risk	Control Measure	Control Description	Residual Risk	Last Modified Date	Date Last Assessed	Latest Note
HSCR00c5 Staff resource is insufficient to address planned performance management improvements in addition to core reporting requirements and business critical work.	Audit Scotland Annual Report 2016/17 - Performance Management Improvements Update (PAC14-2018)	 Likelihood Impact	Management plan	<p>Head of Service, Finance and Strategic Planning currently considering identified resource issues.</p> <ul style="list-style-type: none"> Action plan agreed with internal auditor and will be implemented. Workplan for existing staff resource is in place and regularly reviewed to ensure appropriate priority given to range of tasks. Performance management improvement capacity is on the high level risk register as part of wider support services capacity. Through the Tayside Analytical Network joint working with NHS Tayside Business Support Unit is continuing to develop and strengthen. Internal Audit report on workforce issues has been completed and identified capacity as an issue. 	 Likelihood Impact	11-Aug-2020	27-Mar-2018	Proposals for service restructure being developed
			Structure of teams	Proposals for service restructure being developed			11-Aug-2020	

Risk Code & Title	Risk Factors	Inherent Risk	Control Measure	Control Description	Residual Risk	Last Modified Date	Date Last Assessed	Latest Note
HSCP00d1 Viability of external providers	Financial instability / potential collapse of key providers leading to difficulty in ensuring short / medium term service provision. * Inability to source essential services * Financial expectations of third sector cannot be met * Increased cost of service provision * Additional burden on internal services * Quality of service reduces		Co-ordination to provide services	When required services work together to co-ordinate service provision in the event of lack of provision by external providers.		11-Aug-2020	01-Nov-2019	Moving from a day by day management of the Covid 19 response to business as usual. Work is going on to develop categorisation of ratings for Service providers including sustainability.
							11-Aug-2020	Consolidation of the collaborative, flexible and creative approaches with 3rd Sector developed during the challenging Covid 19 response

Risk Code & Title	Risk Factors	Inherent Risk	Control Measure	Control Description	Residual Risk	Last Modified Date	Date Last Assessed	Latest Note
HSCP00d2 Impact of EU Withdrawal	Ongoing uncertainty over Brexit terms with increasing potential for a 'hard' Brexit and lack of knowledge over the associated implications Impact / consequences: ~ loss of key staff of EU origin - council / partners / others (universities / colleges / businesses) ~ economic issues due to impact of Brexit on the UK / Scottish economy ~ loss of medium to long term funding ~ potential for changes to legislation / regulation ~ possible issues over procurement arrangements		Scot Gov EU Transition Information	Scottish Government has planned EU Transition Information sessions, and in the event of a no deal EU transition will host daily information sharing and planning meetings to deal with issues as they arise across the country.		12-Jan-2021	21-Nov-2019	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.
							11-Aug-2020	
							01-Dec-2020	
							30-Dec-2020	

Risk Code & Title	Risk Factors	Inherent Risk	Control Measure	Control Description	Residual Risk	Last Modified Date	Date Last Assessed	Latest Note
HSCP00d3 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		Mobilisation and Remobilisation plans	Mobilisation plans developed for the Covid 19 response Remobilisation plans developed to manage the move to business as usual		21-Jan-2021	06-Mar-2020	The 2nd wave of Covid 19 and rising infection rates and the virulence of new variants of the virus means that the covid 19 response still creates barriers to DHSCP achieving actions within the Strategic and Commissioning Plan. The workforce are also involved in supporting the mass vaccination programme.
							23-Mar-2020	
							11-Aug-2020	
							30-Dec-2020	