



REPORT TO: HEALTH AND SOCIAL CARE INTEGRATION JOINT BOARD –
17 APRIL 2024

REPORT ON: DUNDEE CITY IJB STRATEGIC RISK REGISTER ANNUAL REPORT

REPORT BY: CHIEF OFFICER

REPORT NO: DIJB19-2024

1.0 PURPOSE OF REPORT

1.1 To provide the Integration Joint Board with the annual report on developments, changes in specific risks and progress made in Dundee Health and Social Care Partnership's Strategic Risk management over the past year.

2.0 RECOMMENDATIONS

It is recommended that the Integration Joint Board (IJB):

- 2.1 Note the progress made in Dundee Health and Social Care Strategic Risk Management including new Clinical Care and Professional Governance meetings focussed on considering Operational risks against Strategic Risks.
- 2.2 Note the changes in the specific risks in the Strategic Risk Register including changes in scoring of existing risks, recording of new risks, and archived risks.
- 2.3 Note the future work planned to further embed Strategic Risk Management in the IJB.

3.0 FINANCIAL IMPLICATIONS

3.1 None

4.0 RISK MANAGEMENT

- 4.1 The Integration Joint Board's Strategic Risk Register was created in 2016 and is regularly updated and reported to each meeting of the Performance and Audit Committee.
- 4.2 Changes in the Strategic Risk Register reflect the change in the risk maturity of the Dundee City IJB as an organisation, and the changes in external forces in the environment in which it operates.
- 4.3 When the Strategic Risk Register was first created the risks captured were mainly focussed on anticipated risks to the IJB not operating successfully. Risks captured at that time included risks around Finance and Governance.
- 4.4 As the IJB has developed some service specific Operational risks have been escalated to the Strategic Risk Register. This is because they cannot be managed at an operational level. Additionally, they pose a risk to the IJB not being able to successfully carry out its Strategic and Commissioning Plan.

4.5 In April 2022 the Tayside IJB Risk Management Framework was developed and adopted by the IJB, which was coordinated with partners in the three Tayside IJBs, three Local Authorities, NHS Tayside, and Internal Audit services.

4.6 The Tayside IJB Risk Management Framework clearly sets out the framework where risk management across the partner bodies are reported and shared. It is based on the review of existing framework agreed prior to integration of health and social care, reflecting the “lived experience” of integration.

5.0 CHANGES IN RISKS

5.1 Appendix 1 sets out details of the current Strategic Risk Register extract and changes in scores over the past year.

5.2 Staff Resource and National Care Service are the 2 highest scoring risks with a maximum score of 25.

5.3 The finance risk around Unable to maintain IJB Spend has increased over the past year. This is due to the challenging financial projection for the IJB's delegated budget which is expected to end the year with a financial deficit. 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.

5.4 Capacity of the Leadership Team risk has increased this year. This is due to several factors including the planned retirement of the Head of Health and Community Care.

5.5 Two new Strategic Risks have been created or escalated from the Operational Risk Register over the past year. These are

- Implementation of Safe Staffing Act
- Escalation of Property Safety Issues

5.6 Three risks have decreased over the past year as a result of service improvements and implementation of planned actions to reduce risk. These are

- Governance arrangements being established fail to discharge duties
- Drug and Alcohol Recovery Service
- Category One Responder

5.7 No risks have been archived in the past year.

6.0 FUTURE RISK MANAGEMENT WORK

6.1 Due to changes in the Integrated Joint Board membership another Risk Management development session was held in 2023, and a further session to implement the Risk Appetite and Associated Targets will take place in early summer 2024.

7.0 POLICY IMPLICATIONS

7.1 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.

8.0 RISK ASSESSMENT

8.1 Not applicable

9.0 CONSULTATIONS

9.1 The Chief Finance Officer and the Clerk have been consulted in the preparation of this report.

10.0 DIRECTIONS

10.1 The Integration Joint Board requires a mechanism to action its strategic commissioning plans and this is provided for in sections 26 to 28 of the Public Bodies (Joint Working)(Scotland) Act 2014. This mechanism takes the form of binding directions from the Integration Joint Board to one or both of Dundee City Council and NHS Tayside.

Directions Required to Dundee City Council, NHS Tayside or Both	Direction to:	
	No Direction Required	X
	Dundee City Council	
	NHS Tayside	
	Dundee City Council and NHS Tayside	

9.0 BACKGROUND PAPERS

9.1 None.

Dave Berry
Acting Chief Officer

DATE: 22 March 2024

Clare Lewis-Robertson
Senior Officer, Strategy and Performance

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DUNDEE HEALTH AND SOCIAL CARE PARTNERSHIP – ANNUAL STRATEGIC RISK PROFILE 23/24

DIJB19-2024 Appendix 1

Description	Lead Director/Owner	Current Assessment			Status	Control Factors	Date Last Reviewed	Movement over year
		L	C	Exp				
<p>Staff Resource</p> <p>The volume of staff resource required to maintain effective integrated services .</p> <p>Most recent update 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.</p> <p>Mitigating factors - rolling ads across Job train, exploring international recruitment.</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 	9/01/2024	Same
<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</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. The latest suggested changes in legislation now refer to reforming IJB's and the risk level will be reviewed once the proposals are clearer. 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"> • Consultation Process 	9/01/2024	Same
<p>Primary Care</p> <p>Continued challenges around the sustained primary care services, arising from recruitment, inadequate infrastructure including IT and location, and</p>	Dundee HSCP Chief Officer	4	5	20	→	<ul style="list-style-type: none"> • Primary Care Improvement Plan 	09/01/2024	Same

<p>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.</p>				20	→			
<p>Staff resource is insufficient to address planned performance management improvements in addition to core reporting requirements and business critical work.</p> <p>As identified by Audit Scotland Annual Report 2016/17 - Performance Management Improvements Update (PAC14-2018)</p> <p>Latest Update 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"> • Management plan • Structure of teams 	09/01/2024	Same
<p>Restrictions on Public Sector Funding Description 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>	Dundee HSCP Chief Officer	5	4	20	→	<ul style="list-style-type: none"> • Additional Scot Gov Funding • Budgeting Arrangements • MSG and External Audit Recommendation • Savings and Transformation Plan 	9/01/2024	Same

<p>Most recent update 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>								
<p>Unable to Maintain IJB Spend Description IJB is unable to maintain spend within allocated resources which could lead to being unable to deliver on the Strategic & Commissioning Plan.</p> <p>Most recent update The latest financial projection for the IJB's delegated budget shows a financial deficit for 2023/24. The budget position for 2024/25 has significant challenges with increased pressures with little additional funding received resulting in savings of over £10m being required to balance the budget.</p>	Dundee HSCP Chief Officer	5	4	20	↑	<ul style="list-style-type: none"> Financial Monitoring System Increase in reserves Management of vacancies and discretionary spend MSG and external audit recommendations Savings and Transformation Plan 	9/01/2024	Increase
<p>Lack of Capital Investment in Community Facilities (including Primary Care) 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>Latest update 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	4	4	16	→	<ul style="list-style-type: none"> Development of IJB Property Strategy Reshaping non-acute care project 	9/01/2024	Same

<p>Scottish Government's 2024/25 budget highlights severe restrictions in availability of capital funding for Scottish Government 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>Dundee Drug and Alcohol Recovery Service 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) 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 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</p>	<p>Dundee HSCP Chief Officer</p>	<p>4</p>	<p>4</p>	<p>16</p>	<p>↓</p>	<ul style="list-style-type: none"> • DDARS workforce plan • MAT Standards Action Plan • Service Restructure 	<p>09/01/2024</p>	<p>Decrease</p>

<p>we are doing to improve and reduce risk of harm from drug and/or alcohol use 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>Cost of Living Crisis 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. Latest update 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 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	4	4	16	→	<ul style="list-style-type: none"> Fairness and Equality Workstreams Focus of services identifying those most vulnerable 	09/01/2024	Same
<p>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</p>	Dundee HSCP Chief Officer	4	4	16	→	<ul style="list-style-type: none"> Internal audit review to partnership's approach to viability of external providers Potential Local or Scot Gov intervention 	09/01/2024	Same

<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>						<ul style="list-style-type: none"> Co-ordination to provide services 		
<p>Mental Health Services</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	4	4	16	→	<ul style="list-style-type: none"> Development of Tayside Mental Health Strategy Opening of Community Wellbeing Centre 	09/01/2024	Same
<p>Capacity of Leadership Team</p> <p>Capacity of Leadership Team affected by changes such as retirement and transitions</p> <p>Most recent 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 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	4	4	16	↑	<ul style="list-style-type: none"> Review of Senior Management Team Structure Sharing of Management Team Duties 	7/02/2024	Increase
<p>Data Quality</p>	Dundee HSCP Chief Officer	4	3	12	→	<ul style="list-style-type: none"> Mosaic data recording business 	7/02/2024	Same

<p>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>process improvements</p> <ul style="list-style-type: none"> Improvements to reporting systems 		
<p>Impact of Covid 19</p> <p>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	→	<ul style="list-style-type: none"> Support for workforce with longterm absence related to Covid 	09/01/2024	Same
<p>Employment Terms</p> <p>Differing employment terms could expose the partnership to equality claims and impact on staff morale.</p> <p>Most recent 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>	Dundee HSCP Chief Officer	3	3	9	→	<ul style="list-style-type: none"> Align conditions wherever possible 	09/01/2024	Same
<p>Increased Bureaucracy</p> <p>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>	Dundee HSCP Chief Officer	3	3	9	→	<ul style="list-style-type: none"> Support and roles 	09/01/2024	Same

<p>Latest update Potential for additional bureaucracy through Scot Gov Covid enquiry and National Care Service development.</p>								
<p>Category One Responder 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 The Category One Responder Action Plan was presented to and approved by the IJB on the 26th October 2022.</p>	Dundee HSCP Chief Officer	2	4	8	↓	<ul style="list-style-type: none"> • Category One action plan • Chief Officer and Supporting staff • Co-operation • Development work • Resilience Officer 	09/01/2024	Decrease
<p>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 were assessed as weak/unsatisfactory.</p> <p>Latest update 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.. This risk will be revisited when we receive the Internal and External Audit governance report conclusions.</p>	Dundee HSCP Chief Officer	2	4	8	→	<ul style="list-style-type: none"> • Implement Governance Action Plan • Review of processes established 	09/01/2024	Same

Archived

None								
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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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