



REPORT TO: HEALTH AND SOCIAL CARE INTEGRATION JOINT BOARD –
19TH APRIL 2023

REPORT ON: DUNDEE CITY IJB STRATEGIC RISK REGISTER ANNUAL REPORT

REPORT BY: CHIEF FINANCE OFFICER

REPORT NO: DIJB23-2023

1.0 PURPOSE OF REPORT

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

2.0 RECOMMENDATIONS

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

- 2.1 Notes the current status of the IJB's Strategic Risk Register as set out in Appendix 1 to this report.
- 2.2 Note the progress made in Dundee Health and Social Care Strategic Risk Management including agreement of the Tayside IJB's Risk Management Framework, and the holding of two IJB Development Sessions on Risk Management and Risk Appetite.
- 2.3 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.
- 2.4 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 Strategic Risk Register was created in 2016 and is regularly updated.
- 4.2 Changes in the Strategic Risk Register reflect the change in the risk maturity of the Dundee City IJB as an organization, 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.

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 The finance risk around Restrictions on Public Sector Funding has increased over the past year. This is due to additional interventions by the Scottish Government to seek use of the IJB's reserves, which has the potential to de-stabilise agreed investment plans.

5.3 The Viability of External Providers risk has also increased over the past year. This is partly due to increased fuel costs for staff travel and staff pay pressures.

5.4 Several new Strategic Risks have been created or escalated from the Operational Risk Register over the past year. These are:

- National Care Service
- Lack of Capital Investment in Community Facilities
- Cost of Living Crisis

5.5 The National Care Service risk relates to the risk that a National Care Service would mean that Integration Joint Boards would no longer exist.

5.6 The Lack of Capital Investment in Community Facilities risks details the 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.

The Cost of Living Crisis details the impact of the increased cost of living and inflation will on service users and staff, in addition to the economic consequences on availability of financial resources. The uncertainty of the energy cost crisis is yet to be fully understood. This is likely to have a significant impact on population health.

5.7 Three risks have been archived this year. These are:

- Stakeholders not included/consulted
- Staff perception of integration
- Uncertainty around future service delivery models

5.8 It is anticipated the elements of these archived risks will be captured in the future developments around the National Care Service.

6.0 **FUTURE RISK MANAGEMENT WORK**

6.1 Due to changes in the Integration Joint Board membership another Risk Management development session was held in 2022.

6.2 Work is also planned for a development session to demonstrate the Pentana Risk Management system and to finalise the Risk Appetite work and apply to the Strategic Risks to IJB members.

6.3 Work is planned to embed the regular review of the Strategic Risk Register and escalation of operational risks across the Senior Management Team and Clinical Care and Professional Governance forum.

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 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
Chief Finance Officer

DATE: 28th March 2023

Clare Lewis-Robertson
Senior Officer, Strategy and Performance

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DUNDEE HEALTH AND SOCIAL CARE PARTNERSHIP – ANNUAL STRATEGIC RISK PROFILE 22/23

DIJB23-2023 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. The IJB has approved the workforce strategy 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 	9/01/2023
<p>Dundee Drug and Alcohol Recovery Service</p> <p>Dundee Drugs Commission follow up report noted some progress being made, however a range of challenges still exist. This poses a significant reputational risk for the DHSCP. Reducing Harm Associated with Drug Use report presented to both the IJB and Dundee City Council in June 2022 sets out findings and priority areas for improvement in relation to substance use services. Risks and Control Factors around the implementation of the MAT Standards are included in the ADP Risk Register.</p>	Dundee HSCP Chief Officer	5	5	25	→	<ul style="list-style-type: none"> • ADP Residential Rehab Pathway • Service Restructure • ADP Risk Register 	9/01/2023
<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. The Health and Social Care partnership recently responded to Scottish Government for views on the draft legislation. Similar to other bodies, significant concerns have been raised around the content of the bill in terms of scope and financial implications of the legislation.</p>	Dundee HSCP Chief Officer	5	5	25	→	<ul style="list-style-type: none"> • Change Management • Engagement with consultation process 	9/01/2023
<p>Restrictions on Public Sector Funding</p>	Dundee HSCP Chief Finance Officer	5	4	20	↑	<ul style="list-style-type: none"> • Additional Scot Gov funding 	9/01/2023

Additional interventions by Scottish Government to seek the use of IJB's reserves has the potential to de-stabilise agreed investment plans eg Primary Care Improvement Funding.						<ul style="list-style-type: none"> • Budgeting arrangements • MSG and external audit recommendations • Savings and Transformation Plan 	
Primary Care 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.	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 • Other funding sources identified as opportunities arise 	9/01/2023
Staff resource is insufficient to address planned performance management improvements in addition to core reporting requirements and business critical work. 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.	Dundee HSCP Chief Officer	5	4	20	→	<ul style="list-style-type: none"> • Planned restructure and enhancement 	9/01/2023
Unable to maintain IJB Spend Most recent financial projections note that the IJB is likely to be in financial balance at the end of the current financial year	Dundee HSCP Chief Finance Officer	4	4	16	→	<ul style="list-style-type: none"> • Financial monitoring system • Increase in reserves • Management of vacancies and discretionary spend 	9/01/2023

						<ul style="list-style-type: none"> • 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	→	To be developed	9/01/2023
<p>Cost of Living Crisis</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. The uncertainty of the energy cost crisis is yet to be fully understood. This is likely to have a significant impact on population health</p>	Dundee HSCP Chief Officer and Chief Finance Officer	4	4	16	→	To be developed	9/01/2023
<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 	9/01/2023
<p>Impact of Covid 19</p> <p>The continuing focus on vaccination for staff will maintain the impact on delivery of services.</p>	Dundee HSCP Chief Officer	4	4	16	→	<ul style="list-style-type: none"> • Remobilisation plans 	9/01/2023
<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 	9/01/2023

<p>Capacity of Leadership Team</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.</p>	Dundee HSCP Chief Officer	3	4	12	↑	<ul style="list-style-type: none"> Restructure Sharing of Management Team duties 	9/01/2023
<p>Governance Arrangements being Established fail to Discharge Duties</p> <p>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. Further refinement of the Governance Action Plan is being undertaken to reduce duplication of actions.</p>	Dundee HSCP Chief Officer	3	4	12	→	<ul style="list-style-type: none"> Implementation of Governance Action Plan 	9/01/2023
<p>Increased Bureaucracy</p> <p>Potential for additional bureaucracy through Scot Gov Covid enquiry and National Care Service development.</p>	Dundee HSCP Chief Officer	3	3	9	↓	<ul style="list-style-type: none"> Support and roles 	9/01/2023
<p>Employment Terms</p> <p>Realistically won't be resolved within the suggested remaining IJB timeframe existence, but acknowledge this has an impact on the integration of Health and Social Care services.</p>	Dundee HSCP Chief Officer	3	3	9	→	<ul style="list-style-type: none"> Align conditions wherever possible 	9/01/2023
<p>Category One Responder</p> <p>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"> Chief Officer supporting staff Co-operation Development work Resilience Officers 	9/01/2023

Archived

<p>Stakeholders not included/consulted</p> <p>This is considered as business as usual. Engagement and co-production is key to every activity and plan for the IJB.</p>						7/09/2022
<p>Staff Perception of Integration</p> <p>This is considered as business as usual . The implementation of the National Care Service will impact on staff's perception of integration</p>						7/09/2022
<p>Uncertainty around future service delivery models</p> <p>Developments around the NCS will incorporate this risk in the future.</p>						7/09/2022

Risk Status	
	Increased level of risk exposure
	Same level of risk exposure
	Reduction in level of risk exposure
	Treated/Archived or Closed

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