



REPORT TO: HEALTH AND SOCIAL CARE INTEGRATION JOINT BOARD –
16 APRIL 2025

REPORT ON: DUNDEE CITY IJB STRATEGIC RISK REGISTER ANNUAL REPORT

REPORT BY: CHIEF OFFICER

REPORT NO: DIJB28-2025

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 Commissioning Framework and related delivery plans.

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 Restrictions on Public Sector Funding; Unable to Maintain IJB Spend; Staff Resource; and Lack of Capital Investment in Community Facilities (including Primary Care) are the four highest scoring risks with a maximum score of 25.

5.3 The finance risks around Unable to maintain IJB Spend and Restrictions on Public Sector Funding have both increased over the past year. The IJB has been in Financial Recovery during the latter stages of 2024/25.

5.4 Lack of Capital Investment in Community Facilities (including Primary Care) has increased due to the restricted access to Capital Investment Resources available to local authorities and NHS Boards.

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

- Changes to IT Systems
- National Insurance Increase
- Information Governance

5.6 Only one risks has decreased over the past year this is the National Care Service. Although the original plan to abolish IJBs has been withdrawn, there still remains uncertainty over the impact of the effects of planned reform on the public sector.

5.7 Four risks have been archived in the past year. These are:

- Staff resource is insufficient to address planned performance management improvements in addition to core reporting requirements and business critical work.
- Dundee Drug and Alcohol Recovery Service
- Mental Health Services
- Impact of Covid 19

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 2024, and a further session to implement the Risk Appetite and Associated Targets took place in 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 2025

Clare Lewis-Robertson
Lead Officer, Strategy and Performance

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DUNDEE HEALTH AND SOCIAL CARE PARTNERSHIP – ANNUAL STRATEGIC RISK PROFILE 24/25

DIJB28-2025 Appendix 1

Description	Lead Director/Owner	Current Assessment			Status	Control Factors	Date Last Reviewed	Movement over year
		L	C	Exp				
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. Most recent update Budget Outlook paper was presented to the IJB on the 11.12.24. Given the scale of the cost pressure gap and public sector financial position, the risk has been escalated to a score of 25	Dundee HSCP Chief Officer	5	5	25	↑	<ul style="list-style-type: none"> Additional Scot Gov Funding Budgeting Arrangements MSG and External Audit Recommendation Savings and Transformation Plan 	27.12.24	Increase
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. Most recent update An update of the financial recovery plan for delegated health and social care services for 2024/25 was presented to the IJB on the 11.12.2024	Dundee HSCP Chief Officer	5	4	25	↑	<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 IJB Financial Recover 	27.12.24	Increase
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	Dundee HSCP Chief Officer	5	5	25	→	<ul style="list-style-type: none"> Additional focus on Absence Management Developments of new models of care 	27.12.24	Same

<p>priorities, operational delivery to support delivery of effective integrated services. Corporate processes in partner bodies can lead to delays in recruitment. Market conditions can impact on ability to appoint suitable staff in a timely way. Impact on levels of staff absence impact on staff resource.</p> <p>Most recent update</p> <p>Ability to progress strategic plan actions are impacted by staff resource available and proposed future budget reductions will exacerbate this.</p> <p>Implementation of safe staffing act is demonstrating the levels of staffing operationally.</p> <p>Impact of half hour reduction of NHS workforce for Agenda for Change will mean that across services available working week hours will reduce.</p>						<ul style="list-style-type: none"> Organisational development strategy Recruitment Safe Staffing act recording tools Service redesign Workforce Plan Workforce Wellbeing Actions 		
<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.</p> <p>Latest Update</p> <p>This continues to be an extreme risk. Scottish Government 2024/25 Capital Investment Resources available to LAs and NHS Boards has been severely restricted leading to minimal likelihood of resources being made available for community facilities</p>	Dundee HSCP Chief Officer and Chief Finance Officer	5	5	25	↑	<ul style="list-style-type: none"> Development of IJB Property Strategy Joint Working with Partner Bodies over alternative opportunities Reshaping non-acute care project 	22/10/2024	Increase
<p>National Care Service</p> <p>The 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>	Dundee HSCP Chief Officer	5	4	20	↓	<ul style="list-style-type: none"> Consultation Process 	20/03/2025	Decrease

The Scottish Government's decision in January 2025 to drop several key elements of the National Care Service Bill means that there is still uncertainty over the effects of reform for the Social Care sector. The decision to abolish IJBs has been dropped.								
Primary Care Sustainability 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. Latest update GP Premises Strategy developed. Process in place in Dundee HSCP to consider local requests in the context of the property strategy. RAG process defined. Planned Controls: Draft process developed. Paper submitted to CET with the intention of gaining an agreed four party approach. Paper informed CET of risk. Although CET unable to support an agreed position for lease acquisition, partly due to lack of available capital funding.	Dundee HSCP Chief Officer	4	5	20	→	<ul style="list-style-type: none"> Primary Care Improvement Plan 	20/01/2025	Same
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 Sub-analyses of Engage Dundee have been undertaken for a range of at-risk groups including carers and long-term sick and disabled. Findings have been fed into a range of SPGs to identify appropriate actions. Developments include a new mental health and wellbeing section on the NHST website linking people	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 	22/10/2024	Same

<p>to a service directory, including money/benefits advice, and self-help materials.</p> <p>Public Health has led on the production of a mental health promotion leaflet, which is being co-produced with partners, communities and services users. This will be targeted at the digitally excluded, linking in with local community centres and foodbanks/ larders.</p> <p>A multi-agency Engine Room has been formed to develop interim indicators to link work at a local and service level to the city's strategic objective of reducing inequalities in health, and assess whether services are being provided in an equitable manner.</p> <p>The HSCP is involved in the city's Local Fairness Initiatives and Employability Pathfinder. Tests of change are being explored with GP practices in the North East and East End to raise awareness of community supports.</p>								
<p>Viability of External Providers</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> <p>* Financial expectations of third sector cannot be met</p> <p>* Increased cost of service provision</p> <p>* Additional burden on internal services</p> <p>* Quality of service reduces</p> <p>Latest update</p> <p>Contracts Team are currently looking at improved interface with contract/finance teams to ensure more robust monitoring when risk is identified - this part of internal audit recommendations. Increase in NI contributions is putting providers under increased financial pressure.</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 Co-ordination to provide services 	15/03/2025	Same

Capacity of Leadership Team Capacity of Leadership Team affected by changes such as retirement and transitions Most recent update Several factors have contributed to the increase in likelihood for this risk, including the retirement of the Chief Officer. 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.	Dundee HSCP Chief Officer	4	4	16	→	<ul style="list-style-type: none"> Review of Senior Management Team Structure Sharing of Management Team Duties 	22/10/2024	Same
Data Quality 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 Latest Update Strategy and Performance research team are working with operational staff to improve data quality. Forthcoming changes to IT systems include the move from Oracle to sql for hosting Mosaic and the change from DCC IT system Citrix which will impact on reporting mechanisms. Quality, Data and Intelligence team are working with IT to improve reporting mechanisms and decide on most efficient and resilient reporting systems (e.g. Power BI, Crystal)	Dundee HSCP Chief Officer	4	3	16	↑	<ul style="list-style-type: none"> Mosaic data recording business process improvements Improvements to reporting systems 	22/10/2024	Increase
Increased Bureaucracy	Dundee HSCP Chief Officer	4	4	16	↑	<ul style="list-style-type: none"> Support and roles 	22/10/2024	Increase

<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> <p>Latest update Potential for additional bureaucracy through Scot Gov Covid enquiry and National Care Service development.</p>						<ul style="list-style-type: none"> Work with Partner bodies 		
<p>Escalation of Property Safety Issues</p> <p>The Health and Social Care Partnership faces a significant strategic risk due to the due to the ability of the partner bodies to effectively repair and maintain critical health and social care infrastructure, crucial for the safe delivery of care and other essential support services</p> <p>Latest Update This continues to be a risk and several areas have outstanding property safety issues.</p> <p>Current areas of concern highlighted are at Kingsway Care Centre, RVH and DCC Records Store. Control factors include Property Rationalisation programme and escalation of these issues by Chief Officer.</p>	Dundee HSCP Chief Officer	4	4	16	↑	<ul style="list-style-type: none"> Property Rationalisation Programme Escalation by DHSCP Chief Officer 	22/10/2024	Increase
<p>Changes to IT Systems</p> <p>There are significant changes coming to IT systems across DHSCP. These include move from Citrix to AWS. There are also moves from hosting Mosaic, Case Management system from Oracle to sql and issues arising from changes to reporting. There are also difficulties in ensuring access to information on Sharepoint between DCC and NHST. Hybrid working is being affected by these challenges. Morse is being implemented in NHST.</p> <p>Latest Update</p>	Lead Officer DHSCP	4	4	16	↑	<ul style="list-style-type: none"> DHSCP Digital Steering Group 	14/01/2025	New Risk

Changes to IT Systems remain to cause challenges for DHSCP workforce. This includes differences in implementation of O365 across DCC and NHST. Implementation of Morse in NHST is also ongoing. The IT system used by DDARS for prescribing is coming to its end of life and another solution is yet to be identified. The company that owns Vision used by NHST is going into administration, and there is uncertainty around this.								
National Insurance Increase The increase in National Insurance contributions poses a financial risk particularly to third sector organisations. These organisations which often operate on tight budgets and limited funding streams face additional financial strain. This could lead to reduced capacity to deliver essential services, weakening the partnership's ability to meet its strategic objectives and compromising care delivery to vulnerable populations.	Chief Finance Officer	4	4	16	↑	<ul style="list-style-type: none"> Being developed 	10/12/2024	New risk
Information Governance Capacity and ability to comply with increasing number of Subject Access Requests leading to potential action from Information Commissioner Latest Update A year on year increase in Subject Access Requests has meant that this is causing a significant impact on staff who undertake this task. In addition changes to IT mean that manual redaction is no longer secure and must be undertaken by a specific software that only certain staff have access to. Risk that we will not comply with Data Protection rules and face action from Information Commissioner.	Head Of Service, Strategic Services	3	4	12	↑	<ul style="list-style-type: none"> New posts being recruited to Investigation of Technology solutions 	22/10/2024	New Risk

<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 	25/10/2024	Same
<p>Category One Responder</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>Risk to remain on register due to finalisation of list of available DHSCP senior staff to manage rest centres, and to include Category One Responder duties in the next revision of the IJB Standing Orders in 2025. . It is anticipated that once these actions are completed this risk will be able to be deactivated.</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 	08/11/2024	Same
<p>Governance Arrangements being Established fail to Discharge Duties</p> <p>Clinical, Care & 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 of this risk occurring..</p> <p>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 	22/10/2024	Same

Archived

<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</p> <p>Pressures still remain, however restructure and enhancement to service planned for over coming months. Service restructure has identified several new posts and these will be recruited to over the next 6- 12 months. This risk has been archived and absorbed into Staff Resource risk and Data Quality Risk.</p>	Dundee HSCP Chief Officer	5	4	20	→	<ul style="list-style-type: none"> Management plan Structure of teams 	07/05/2024	Archived
<p>Dundee Drug and Alcohol Recovery Service</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"> 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>	Dundee HSCP Chief Officer	4	4	16	↓	<ul style="list-style-type: none"> DDARS workforce plan MAT Standards Action Plan Service Restructure 	22/10/2024	Archived

<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>Risks around DDARS are now considered to be mainly operational risks that are recorded and reported through CCPG. Decision to archive this Strategic Risk.</p>								
<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> <p>Risks around Mental Health Services are now considered to be mainly operational risks that are</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 	22/10/2024	Archived

recorded and reported through CCPG. Decision to archive this Strategic Risk.								
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 Latest update Risk archived due to risks associated with legacy of Covid have been captured in other risks..	Dundee HSCP Chief Officer	3	4	12	→	<ul style="list-style-type: none"> Support for workforce with longterm absence related to Covid 	07/05/2024	Archived

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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