NHS 24

BOARD MEETING

22 JUNE 2023
ITEM NO 8.2
FOR ASSURANCE

RISK MANAGEMENT UPDATE

Executive Sponsor:	John Gebbie, Director of Finance
Lead Officer/Author:	Kevin McMahon, Head of Risk Management and Resilience
Action Required	The Board are asked to review the presented Corporate Risk Register, provide feedback and take assurance from the Risk Management Process.
Key Points for this Committee to consider	The Board is presented with all corporate risks scoring 10 and above. Since previously presented to the Board on 27 April 2023 and as indicated to the Board previously, each Directorate within NHS 24 has undertaken an in-depth review of risks within their area to ensure existing risks are accurately articulated in the current operating environment and, as strategy and workplans are developed, new and emerging risks are identified. This has resulted in a significant change to risk profile of the organisation - 34 corporate risks were reported to the previous meeting of the Committee. Key changes since then are as follows: • 16 new risks have been identified. • 20 risks have been closed. • 4 risks have reduced in score. • 30 corporate risks in total
Governance process	Before presentation to the Board, all risks have been reviewed and updated at the following forums: 30/03/23:　　Staff Governance Development Session 18/04/23:　　EMT Business Meeting 25/04/23:　　EMT Risks & Opportunities Group 15/05/23:　　EMT Business Meeting 17/05/23:　　National Clinical Governance Group 18/05/23:　　Staff Governance Committee 23/05/23:　　Planning & Performance Committee 01/06/23:　　Clinical Governance Committee 08/06/23:　　Audit & Risk Committee 12/06/23:　　EMT Business Meeting 22/06/23:　　Board Meeting
Strategic alignment and link to overarching NHS Scotland	This paper provides assurance to the Board that there is an effective risk management process in place to support

priorities and strategies	delivery of key strategic priorities and supporting documentation below: • NHS 24 Strategy • Annual Delivery and Medium Term Plans • Key Scottish Government Ministerial Priorities • NHS 24 Realistic Medicine Framework
Key Risks	Organisational key risks are outlined in this paper.
Financial Implications	There are no direct financial implications associated with this report. Any financial implications will be highlighted within the risk register attached.
Equality and Diversity	There are no direct equality and diversity (E&D) implications associated with this report. The Participation and Equalities manager actively participates in risk management process.

1.   RECOMMENDATION

1.1   The Board is asked to review the risks presented, provide feedback, and take assurance on the risk management process.

2.   TIMING

2.1   There are no timing issues associated with this paper.

3.   BACKGROUND

3.1   In line with the Audit and Risk Committee's Terms of Reference, the Committee has the delegated authority of the NHS 24 Board to monitor the effectiveness of risk management arrangements, to assess and manage risk and provide the Board with assurance in this regard. The attached Risk Register was presented to the Audit & Risk Committee at its meeting on 8 May 2023. The Risk Register was approved at this meeting for onward presentation to the Board on 22 June 2023.

4.   RISK MANAGEMENT UPDATE

4.1   The attached Risk Register provides an update on all corporate risks scoring 10 and above, as at 5 June 2023.

4.2   There are currently 30 corporate risks in total (12 scoring 10 and above and 18 scoring below 10).

4.3   Since previously presented to the Board on 2 March 2023, each Director within NHS 24 has undertaken an in-depth review of risks within their area to ensure existing risks are accurately articulated and applicable to the current environment and, as strategy and workplans are developed, new and emerging risks are identified.

4.4   The Director of Workforce and Senior Management Team undertook a comprehensive review of risk to ensure all risks to the delivery of the recently

approved Workforce Strategy and Work Plan are captured and articulated appropriately. The outputs of that review were presented for further discussion at the Staff Governance Session on 30th March 2023, the outputs of that session have been incorporated and was formally presented to the Committee on 18 May 2023 for final endorsement. Staff Governance Committee discussed the target dates of October 2025

5.   RISK SUMMARY

5.1   The risk profile (figure 1) provided in the form of a heat map below highlights the current position of all corporate risks.
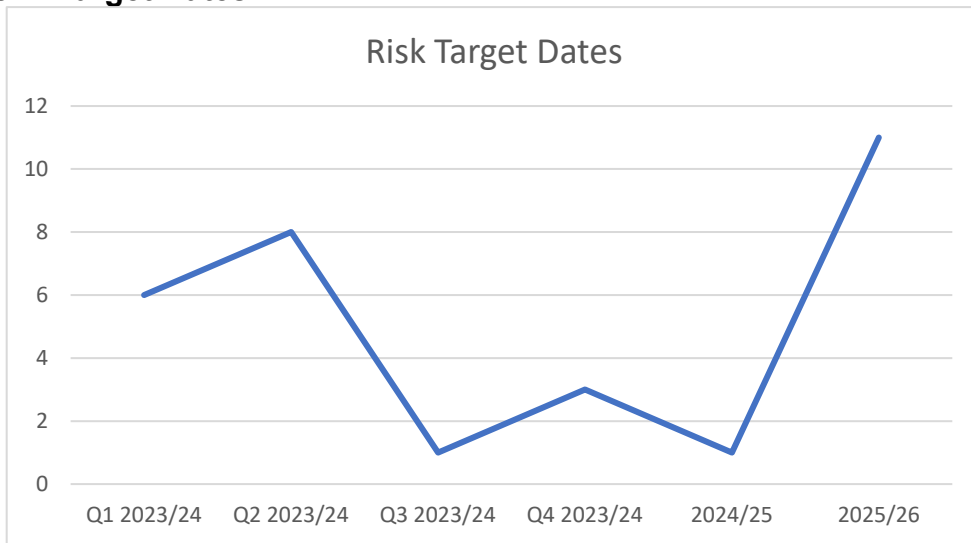
Figure 1. Risk Profile

			Likelihood					Total	Prev Score
			Rare	Unlikely	Possible	Likely	Almost Certain		
		Score	1	2	3	4	5		
Impact	Extreme	5	-	0 (0)	1 (0)	0 (0)	0 (0)	1	(0)
	Major	4	-	5 (7)	7 (3)	3 (2)	0 (0)	15	(12)
	Moderate	3	0 (1)	5 (4)	5 (6)	1 (1)	0 (0)	11	(12)
	Minor	2	-	0 (3)	2 (2)	1 (5)	0 (1)	3	(10)
	Negligible	1	-	-	-	-	-	0	(0)
	Total		0	10	15	5	0	30	
	Prev Score		(1)	(14)	(11)	(8)	(0)		(34)

5.2   Risk Target Dates (Figure 2 below) provided an overview of the current risk profile in the short, medium and longer term.

5.3   As set out at para 4.4 above, during discussions with the Staff Governance Committee it was agreed that a number of the new workforce risks would be aligned to the duration of the Workforce Strategy which is highlighted below by the number of risks with target dates in 2025/26. The risk team will work with risk owners to ensure appropriate milestones are in place for the management of the risks towards their target dates.   This approach was supported by the Staff Governance Committee at its meeting on 18 May 2023.

Figure 2. Target Dates

Risk Target Dates

5.4   Figure 3 demonstrates with the conclusion of Phase 1 of the Connect Programme and the alignment of risk to new and emerging strategies and work plans, the risk profile of the organisation has changed since previously reported to the Committee.

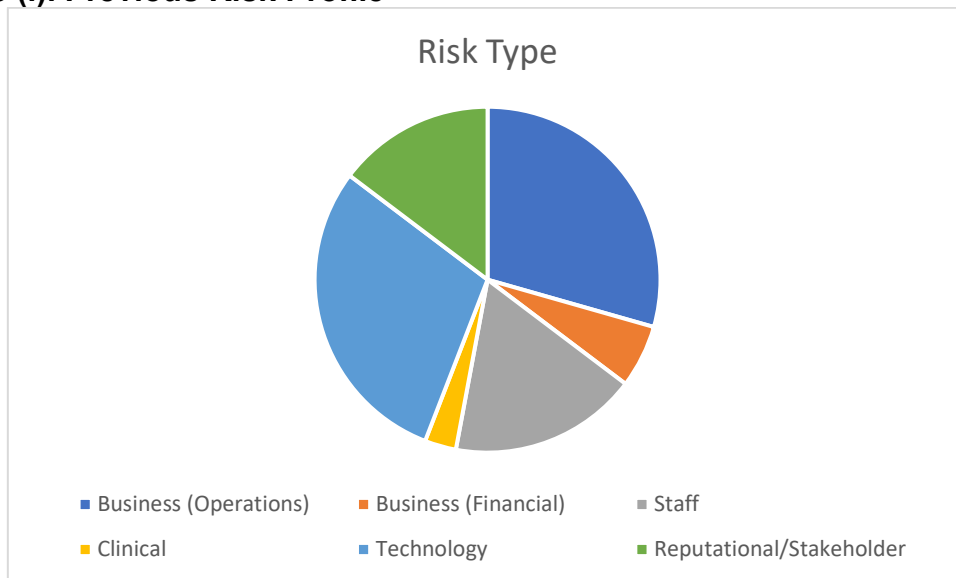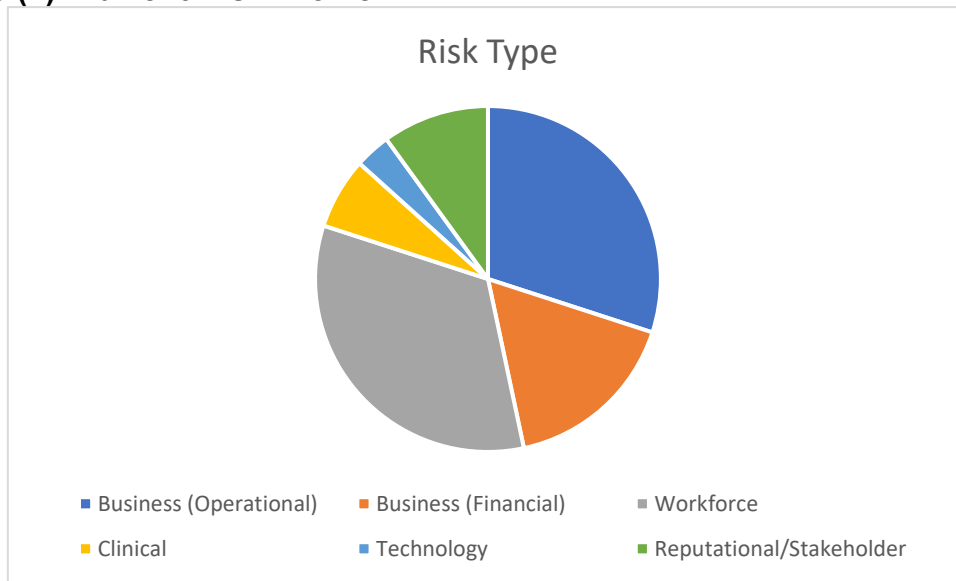**Figure 3 (i). Previous Risk Profile**

Risk Type

- Business (Operations)
- Business (Financial)
- Staff
- Clinical
- Technology
- Reputational/Stakeholder

Figure 3 (ii). Current Risk Profile

5.5   **New Risks**

Since previously reported, 16 new risks have been identified as follows:

- RPND/046711: Workforce Strategy Priority 1: Sustainable Workforce There is a risk that the steady increase in NHS24 staff turnover over the past 2 years continues, net gains are not realised and therefore target establishment levels are not achieved (Score: 16).

- RPND/046716: Workforce Strategy There is a risk that due to pressures to deliver improved external patient facing ICT interfaces and the dedicated resources and finance this will require, we are unable to deliver the modernisation of systems and digitisation internally which will enable delivery of the Workforce Strategy and Plan 2022-25 (Score: 16).

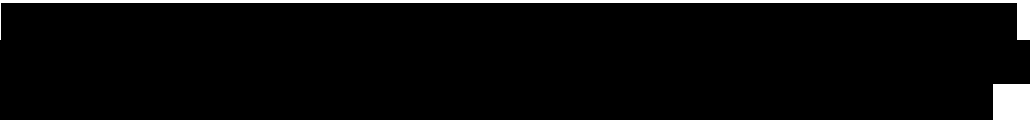- RPND/046435: There is a risk that NHS24 is not able to operate due to the loss of all telephony and ICT services ███ HS 24 and supplier is currently working on an updated design based on feedback from us and therefore the target date for this risk has been extended from end of June 2023 to end of August 2023.

- RPND/046713: Workforce Strategy Priority 3. Enhanced Learning & Development There is a risk that NHS 24 are unable to meet current and future training needs due to the inability to release front line staff because of continued and sustained service pressure demands. (Score: 12) When

presented to the Staff Governance Committee on 18 May, this risk scored 16. However, due to the progress in implementing Phase 2 of the Shift Review which facilitates abstraction of staff to allow training to occur, the structured approach being taken by the Central Resourcing Team to off-line time and the completion rate of 86% compliance rate for mandatory training, it was agreed that the likelihood of this risk occurring had reduced.

- RPND/046663: There is a risk that the recurring aspirations of the directorates may not be able to be met due to the financial constraints on the organisation while savings plans require to be identified to get back to recurring financial balance (Score: 12).

- RPND/046417: There is a risk that due to current financial challenges, without robust focus and consensus on any investment / disinvestment across NHS 24, the organisation's objectives are mis-aligned in terms of resource and capacity to Scottish Government Commission and priorities (Score: 12). The target date for this risk is 31 July 2023.

- RPND/046418: There is a risk that changes in Scottish Government senior leadership roles may delay approvals of the changes to NHS 24's KPI framework, and that NHS 24 continues with interim arrangements or is required to revert back to previously agreed suite of KPIs that no longer reflect the service delivered (Score: 12).

- RPND/046715: Workforce Strategy Priority 2 - Inclusive Culture - There is a risk that without changing the current organisational culture, attrition will continue to rise, grievances levels will continue to be high and attendance levels challenging. (Score: 12)

- RPND/046712: Workforce Strategy Priority 5. Collaboration and Engagement There is a risk that without meaningful partnership with Trade Unions, NHS 24 are unable to effectively deliver the workforce strategy (Score: 12).

- RPND/046714: Workforce Strategy Priority 4: Effective Leadership & Management There is a risk that leaders in the organisation are not sufficiently skilled to resiliently manage current complex organisational challenges or the change required to transform NHS 24 in line with the priorities contained in the Corporate Strategy 2023-28 (Score: 12).

- RPND/046718: Workforce Strategy Priority 5. Collaboration and Engagement There is a risk that if the national 'Once for Scotland' policy and systems work is not progressed in a timely manner, this will impact on NHS 24's ability to deliver organisation strategy and action plans (Score: 9).

- RPND/046319: There is a risk that NHS 24 are unable to discharge its public protection responsibilities effectively in relation to Beathing Space patients as this is an anonymous service which does not collect information that would identify individuals or does not record any calls (Score: 8).

- RPND/046667: There is a risk that following the introduction of changes to the current fire and emergency response legislation due in July 2023, that Health & Safety Leads and Fire Wardens are not adequately trained to undertake their duties safely and effectively unless NHS 24's current processes, procedures and training is updated and adapted to support these changes (Score: 8).

- RPND/046717: Workforce Strategy There is a risk that the Workforce Strategy and Plan activities are not funded in subsequent years due to increasing pressure on NHS 24's budget (Score: 8).

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- RPND/046685: There is a risk that NHS 24's property asset management is out with the organisations control during the planning, delivery, and implementation of the National Boards Collaborative Strategic Outline Business Case (Score: 6).

5.6 **Reduced Risks**

Since previously reported, 4 risks scoring above 10 (or previously scoring above 10) have reduced in score as follows:

- RPND/037063: There is a risk that the NHS 24 would not be able to sustain a safe and effective response to significant additional pressure/demand on services due to current system and resourcing capacity limitations. Reduced from 16 to 12 following discussion and agreement at the previous committee meeting.

- RPND/041506: There is a risk that the benefits of the initial phase of the shift review are not fully realised without the successful deployment of the next phase (managers/dentists/pharmacists). Although the first part of phase 2 of the shift review is mostly implemented, reducing the score of this risk from 12 to 8, there are still a number of individual cases which have not yet been signed off and agreed and therefore the target date for this risk has been extended due to process to be followed.

- RPND/044024: There is a risk when the staffing requirement is known (following scoping of phase 2 of the shift review), there will be a gap between the current workforce and the actual number required and that gap will be unaffordable. Staffing requirements are now known, and finance largely incorporated into the financial plan, though not all finance has been finalised and therefore this risk remains open. (Reduced from 12 to 8)

- RPND/041923: This is a risk that key milestones for Change Portfolio Board endorsed projects and programmes will not be delivered due capacity and recruitment issues within the PMO and at key points across the organisation. Reduced from 12 to 9 following successful recruitment into the Team.

5.7   **Closed Risks**

Since previously reported 20 risks in total have been closed. All closed risks approved for closure by their Executive Lead have been mitigated to an acceptable level, and presented to the EMT Risks & Opportunities Group and EMT Business Meeting for overview and approval for closure before being presented to the appropriate Board Sub-Committee for overview and assurance.

Of the 20 risks set out below, only number 1 previously scored 10 and above:

- RPND/044632: There is a risk that public sector, in particular NHS, industrial action may disrupt the provision of services. This risk was approved for closure following the Union ballot and acceptance of the pay deal offered by Scottish Government. (Previously reported score of 12, reduced to target score of 9 following).

- RPND/044666: There is a risk that the user experience of the Scotland's Service Directory (SSD) on NHS inform is not meeting the needs of citizens or stakeholders. (previously reported score 9, reduced to target score of 1 following completion of mitigating actions, this will continue to be monitored through Service Improvement Plan).

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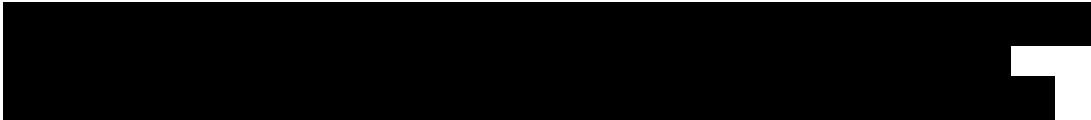
- RPND/042971: There is a risk that due to the high degree of financial uncertainty at a national level, NHS 24 do not receive the 2022/23 funding settlement (or funding decisions delayed into the new fiscal year) required to deliver on its strategic objectives. (Previously scored 8 and proposed for closure following confirmation from Scottish Government on the majority of the 2022/23 allocation. However, a new financial risk (RPND/046663) has been raised for current fiscal year.)

- RPND/041564: There is a risk that given NHS 24's changing position in the digital delivery space, long term relationships are required to be maintained to support clinical governance of content across the breadth of content on our digital services. (Previously reported score of 8 reduced to target score of 4 following mitigation to incorporate into clear governance arrangements which are now in place.)

- RPND/041566: There is a risk that leaders in the organisation are not equipped to effectively manage and lead staff under their stewardship.   Due to the lack of a fully developed and embedded Organisational Development, Leadership & Learning Strategy, Framework and Plan which is supported by a strategically aligned and appropriately skilled and resourced OD, Leadership & Learning function. (Previously score 8, reduced to target of 6 and approved for closure at Staff Governance Development Session as mitigating actions complete and new risk developed (RPND/046714) to capture current risk in relation to effective leadership and management of the organisation.

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- RPND/043989: No process in place to allow NHS 24 access to other Health Board Comms rooms. (Previously reported 8, reduced to target score of 4 following agreement from all Health Boards that NHS 24 can access without notice for incident resolution activities).

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- RPND/029436: There is a risk that NHS 24 is not compliant with UK GDPR training requirements. (Previously reported score of 8, reduced to target score of 3 following increase in training completion rated to over 90%, with steps in place to maintain these levels and continuous monitoring as part of OHIO metrics).

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- RPND/039878: There is a risk that NHS 24's Public Protection Team are unable to maintain and discharge all public protection responsibilities due to current resources not meeting demand and the expected further increase in demand as services expand with expected recruitment. (Previously reported score of 6, reduced to target score of 3, following the successful recruitment of additional resource).

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████████████████████████ (Previously reported score of 4, reduced to target score of 1 following full review of joiners/leavers/movers and establishment of clear and accurate list of assets and licences across the estate).

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████████████████████████████ Additionally, there is no out of hours support from the National team. (Previously reported score of 3, reduced to 1 following implementation of a support model process for initial period of 12 months until national agreement in place).

- RPND/043861: There is a risk that NHS 24 does not make progress quickly enough, as pandemic measures are stood down, in relation to improving completion rates of statutory/mandatory training and the re-introduction of structured CPD opportunities. Mitigating actions for this risk have been completed including full review of training and significant focus on completion rates of mandatory training and therefore risk has been mitigated to an acceptable level. However, the Workforce Team recognise that there is a risk to delivery all training programmes due to organisational capacity and two new risks in this area have been developed (RPND/046713 & RPND/046714). (Previously reported score of 12, reduced to 4).

6.   ENGAGEMENT

6.1   Engagement has included all Executive Management Team members and operational leads.

7. FINANCIAL IMPLICATIONS

7.1 There are no direct financial implications associated with this report. Any financial implications will be highlighted within the risk register attached.