

**NHS 24 - GREEN**

<p><b>NHS 24 BOARD MEETING</b></p> <p align="right"><b>12 DECEMBER 2019 ITEM NO 9.2 FOR ASSURANCE</b></p> <p align="center"><b>RISK MANAGEMENT UPDATE</b></p>	
<b>Executive Sponsor:</b>	Director of Finance & Performance
<b>Lead Officer/Author:</b>	Head of Risk Management & Resilience
<b>Action Required</b>	The Board is asked to review the risks presented, provide feedback and take assurance on the effectiveness of the risk management processes and procedures.
<b>Key Points</b>	<p>Since last presented to the Board (26.08.19):</p> <ul style="list-style-type: none"> <li>• 1 new risk has been identified</li> <li>• 1 risk has increased from 12 to 16</li> <li>• 4 risks have reduced to below 10</li> </ul>
<b>Date presented to EMT and relevant Committee</b>	<p>The Corporate risk register was presented to the</p> <ul style="list-style-type: none"> <li>• EMT Risks &amp; Opportunities Group on 29 October 2019</li> <li>• Audit &amp; Risk Committee on 6 November 2019.</li> </ul> <p>In addition, committees have been presented with risks falling within their remit as follows:</p> <ul style="list-style-type: none"> <li>• Staff Governance - 4 November 2019</li> <li>• Clinical Governance - 18 November 2019</li> <li>• Planning &amp; Performance - 22 November 2019.</li> </ul>
<b>Summary of key discussion points/actions arising from respective Committees</b>	<ul style="list-style-type: none"> <li>• Going forward, and as agreed with the governance committees, any risks which reduced to a score below 10 (corporate reporting level) or which have been closed since previously reported will remain on the risk register for final review by the relevant Committee/Board before its removal.</li> <li>• NHS 24's internal auditors (Grant Thornton) attended both the EMT Risks &amp; Opportunities Group and the Audit &amp; Risk Committee as part of a Risk Maturity Assessment. The Board will be updated on outputs in due course.</li> </ul>
<b>Strategic alignment and link to overarching NHS Scotland priorities and strategies</b>	The report provides assurance to the NHS 24 Board that there is an effective risk management process in place to support delivery of NHS 24's contribution to the Health and Social Care Delivery Plan.
<b>Key Risks</b>	The key risks are outlined in this paper.
<b>Financial Implications</b>	Financial risks and mitigation are outlined within the paper below and risk register attached.
<b>Equality and Diversity</b>	There are no direct equality and diversity (E&D) implications associated with this report. The

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	Participation and Equalities Manager actively participates in the risk management process.
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### 1. RECOMMENDATION

1.1 The Board is asked to review the risks presented, provide feedback and take assurance on the effectiveness of the risk management processes and procedures in place.

### 2. RISK MANAGEMENT UPDATE

2.1 This attached Risk Register provides an update on all risks to the organisation scoring 10 or greater as at 28 November 2019.

2.2 The Corporate Risk Register was reviewed by the EMT Risk & Opportunities Group on 29 October 2019 and the Audit & Risk Committee on 6 November 2019.

2.3 NHS 24's internal auditors (Grant Thornton) attended the EMT Risks & Opportunities Group as part of a Risk Maturity Assessment. The assessment considered six key elements; leadership; strategy and policies; people; processes; handling of risk and outcomes. The outcome of the Risk Maturity Assessment will be presented to the Audit & Risk Committee in due course.

### 3. RISK SUMMARY

3.1 The risk profile is provided below (see figure 1) in the form of a heat map. This is to illustrate the current position of the Corporate Risk Register.

**Figure 1**

		Score	Likelihood					Total	Previous Score
			Rare	Unlikely	Possible	Likely	Almost Certain		
			1	2	3	4	5		
Impact	Extreme	5	0	1 (2)	1 (1)	0 (0)	0 (0)	2	(3)
	Major	4	0	0	5 (8)	1 (0)	0 (0)	6	(8)
	Moderate	3	0	0	0	1 (1)	1 (1)	2	(2)
	Minor	2	0	0	0	0	0	0	(0)
	Negligible	1	0	0	0	0	0	0	-
<b>Total</b>			-	1	6	2	1	<b>10</b>	
<i>Previous Score</i>			-	(2)	(9)	(1)	(1)		(13)

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### Very High Risks

- 3.2 There are no very high risks at present on the Corporate Risk Register.

### New Risks

- 3.3 One new risk have been raised:
- 3.4 **Risk RPND/036952** There is a risk that in-year financial forecasting is challenged due to financial and progress information on new programmes not being shared with the appropriate directorates in the most efficient and effective way. It is anticipated that as the new Programme Management Framework and the associated budgetary controls embed that this risk will reduce.

### Increased Risks

- 3.5 One risk has increased in score since the last meeting of the Board:
- 3.6 **Risk RPND/031009** that NHS 24 does not achieve the agreed recruitment targets which could have a service performance and quality impact. The risk has increased from a score of 12 to 16 following agreement that targets required to be reviewed and reassessed.

### Reduced Risks

- 3.7 As agreed with the governance committees, going forward, risks which reduce below the corporate reporting level of 10 or have closed since previously reported, will be presented to the relevant Committee/Board for final review before being removed from the Corporate Register. However, these risks will remain open and be managed through the risk review cycle.
- 3.8 Since previously reported, four risks have reduced in score to below 10, as set out below:
- 3.9 **Risk RPND/033964** - Short and long term operational disruptions may occur as a result of EU Exit – This has reduced in score from 12 to 9 due to the extension and clarity on the response role of NHS 24.
- 3.10 **Risk RPND/024449** - Achieving financial balance – This has reduced in score from 10 to 8 following the in-year SPRA mid-year review process and in relation to the final forecast being agreed for the 2019/20 financial position. The position will continue to be closely monitored as we prepare the 3 year financial plan from 2020/21.
- 3.11 **Risk RPND/025797** - that without full support of the Information Asset Owners, NHS 24 may fail to comply with current information, records management and data protection legislation - This has reduced from 12 to 9 as each of the Executive Management Team have completed a Statement of

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Responsibility to provide assurance they clearly understand their role. However, compliance with these arrangements will be continuously reviewed across the organisation. Any updates will be monitored by the Audit & Risk Committee.

- 3.12 **Risk RPND/025466** - NHS 24 will not develop and deliver services which meet the needs of the people of Scotland, if there is no agreed stakeholder engagement approach embedded at all levels of the organisation - This score has reduced from 12 to 9 due to the approval of the stakeholder engagement framework. It has been agreed that this risk would remain open and reassessed once the mitigating actions/processes are fully embedded into business as usual. To support assurance in the stakeholder engagement process, an internal audit scope has now been agreed with the Internal Auditors.

### Closed Risks

- 3.13 As outlined above four risks have been reduced, no risks that score 10 or greater have been closed since the last meeting of the Board.

## 4. RISK HIGHLIGHTS BY CATEGORY

- 4.1 Figure 2 below outlines a breakdown of the broad categories of the risks within the Corporate Risk register.

**Figure 2**

Primary Category	Business	Staff	Clinical	Reputation & Engagement	Total
Previous	7	3	2	1	13
Current	5	4	1	0	10

## 5. PROGRAMME RISK

- 5.1 The Executive Management Team, through the SPRA process and the Change Portfolio Board have an overview of all programmes and their associated risks. Where appropriate, they will recommend that a risk be escalated to the NHS 24 Corporate Risk Register.
- 5.2 The current key programme risks featured on the corporate risk register relate to the shift review implementation, technical and digital transformation programme and the estates strategy programme.
- 5.3 An Oversight Group, including representatives from the Executive Management Team, has been established for Phase 1 of the SEDATe programme to provide initial overall governance and guidance on the Phase 1 business case. This will then transition into a Programme Board for Phase 2. This Group is reviewing and monitoring all technology transformation programme risks and considering which, if any, need to be escalated to a corporate level.