

NHS 24 Corporate Risk Register

Case ref.	Category	Receipt Date	Primary Governance Committee	Secondary Governance Committee	Description	Significant Impact	Executive Risk Owner	Strategy Type	Mitigating Action	Previous Score	Current Score + Movement on previous score	Target Score	Target Date	
1	RPND/031009	Staff	17/11/2017	Staff Governance Committee	Planning & Performance Committee	There is a risk that NHS 24 does not achieve the agreed resource targets which could have a service performance and quality impact.	Reduced capacity to effectively manage NHS 24 services and any potential additional demand, impacting of the quality of the patient journey.	Director of Workforce	Reduce	<p>Developed career pathways for all skills sets as a means to retain skilled workforce. (Progressing)</p> <p>Staff requirements in workforce plan robustly informed by shift review and supervision model. (Ongoing)</p> <p>Currently running recruitment campaign (Ongoing).</p> <p>Recruitment targeted around shift review modelling and 1:5 supervision ratio following completion of shift review matching (Progressing)</p> <p>Further targeted recruitment to be undertaken to address any remaining capacity shortfall in line with the workforce plan (Progressing)</p> <p>Working with Better Working Better Care to better inform future operating model targets (Progressing).</p> <p>Service Delivery to renew the balance and blend of skill sets in the Operational Model to optimise workforce skills to meet service demand (Progressing).</p> <p>Work Force Plan to reflect the operational model (ongoing)</p> <p>Target established for 2019/20 nursing numbers (Complete).</p>	12	16	6	31/03/2020
2	RPND/021544	Staff	22/09/2015	Staff Governance Committee	Planning & Performance Committee	There is a risk that the current sickness absence rates will impact on the efficiency and effectiveness of Service Delivery.	<p>Negative impact on staff experience, wait times for patients and clinical safety. Resulting in a compromised ability to deliver safe, effective care and achieve KPIs.</p> <p>Negative impact on NHS 24's ability to deliver its strategic objective 'Building a Stronger Organisation' as it is unable to attract recruitment candidates and retain staff, resulting in potential reputational damage.</p>	Director of Workforce	Reduce	<p>Attendance management improvement plan 19/20 to be developed (Complete) and implemented (Ongoing) - This contains a large number of actions and initiatives including a target to reduce sickness absence by March 2020 by 0.5%, wellbeing test of change established in the east and the provision of Health & Wellbeing initiatives for staff).</p> <p>Sharing good practice/research between Boards (Progressing).</p> <p>NHS 24 Values work ongoing to support the delivery of an improved culture within the organisation (Ongoing).</p> <p>Support our staff by providing positive working environment, occupational health services and one to one support (Ongoing).</p> <p>National and Local Staff Engagement Plans and yearly planner of engagement developed by Communications team (Complete).</p> <p>Service Delivery lead appointed to oversee absence initiatives (Complete).</p>	15	15	6	31/03/2020
3	RPND/032338	Clinical	14/02/2018	Clinical Governance Committee	Planning & Performance Committee	There is a risk that the quality of the patient journey could be affected in the event that there are inaccuracies in referral centre availability on Knowledge Management System (KMS) that NHS 24 is unable to update in real time.	<p>The patient journey is compromised.</p> <p>NHS 24 directly refer to NHS GGC without going through the hub. If the Board informs us that they are closing a PCEC and we do not update the information in real time in KM the risk is that we send a patient to a closed PCEC and the patient comes to harm.</p>	Director of Service Delivery	Reduce	<p>Communications are being sent to staff in real time in relation to PCEC end point status to 'ensure all NHSGGC PCEC rotas are checked as these are subject to change and may close at short notice'. (Ongoing).</p> <p>A short-term solution has been put in place to provide internal data management team cover (who have the ability to update remotely) from 9am-6pm 7 days a week. Service Delivery have requested that this cover be extended to 8pm 7 days a week (Complete - extended cover in place).</p> <p>Working group established to monitor progress in relation to the development and implementation of the long term solution (Complete).</p> <p>Clinical Systems Development Team to develop a Robotic Process Automation as a long term solution for this risk. Software has been installed, test of change is underway and anticipated go live of test of change in August, with full implementation post Festive freeze. (Progressing)</p>	15	15	5	31/01/2020
4	RPND/035511	Business (Financial)	15/04/2019	Planning & Performance Committee	Audit & Risk Committee	There is a risk that NHS 24 do not capitalise on the long term accommodation opportunities for the regional operational centres due to the short timescales of the Clyde Contact Centre relocation requirement.	Long term operational detriment with reduction in capacity, improved ways of working. Negative financial impact.	Director of Finance & Performance	Reduce	<p>Estates Programme Board established to provide assurance (Complete).</p> <p>Clear accommodation requirements to meet NHS 24 long term strategic needs (Progressing).</p> <p>Alternative accommodation options scoped and identified (Complete).</p> <p>Engaging with key partner agencies to understand their long term strategic intentions (Ongoing).</p> <p>Staff engagement at appropriate intervals on the longer term implications (Ongoing).</p> <p>Appropriately costed business case required for Board approval (Progressing).</p>	12	12	4	30/04/2020

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5	RPND/036952	Business (Financial)	09/10/2019	Planning & Performance Committee	Audit & Risk Committee	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.	There will be reduced best value use of finances. Forecast does not truly reflect the underlying position and NHS 24 cannot re-allocate resources as effectively. Reputational impact with key stakeholders.	Director of Finance & Performance	Reduce	Programme management framework to ensure robust initial and ongoing financial management within programmes. This will provide early indication of any financial issues (Progressing) Programme governance framework will support scrutiny of current projects and programmes (progressing). Additional Project Manager and Finance lead discussions for each programme (Ongoing). SPRA Process should support early identification of overall NHS 24 financial status. Support any business case proposal for additional funding for services.(Ongoing). Regular budget holder meetings to continue (ongoing). Identify areas to meet best value (ongoing). Additional Brokerage repayment (progressing).	NEW	12	6	31/03/2020
6	RPND/030229	Staff	10/10/2017	Staff Governance Committee	Planning & Performance Committee	There is a risk that NHS 24 fail to realise the long term benefits of delivering a sustainable shift review which better aligns staff deployment to demand while meeting the needs of the service.	Increase operational challenge associated with operating technology system. Increased cultural issues associated with lack of teaming approach on front-line. Challenging performance and workforce planning which may impact service levels and cost. Limits ability of NHS 24 to deliver desired outcomes from strategic delivery plan.	Director of Service Delivery	Reduce	Matching process to be developed (Complete) and implemented (Ongoing) Shift review aligned to Better Working, Better Care clinical supervision test of change (Ongoing). Staff to be issued with letter advising of their shift/rota w/c 5 August 2019. (Complete). Modelling option being developed by NHS 24 supported by NICE (Complete). The outputs from the staff engagement are being used to inform the modelling of options (Complete). Engage third party Subject Matter Expert to conduct shift review allowing a fully transparent process. (Complete). Ensure robust communication plan in place including staff survey, off-line time for staff to attend focus groups. (Complete) All stakeholders are engaged and informed at all stages of the review (Complete). Commitment of resources to the Project to develop the full scope of outputs (Complete). Head of Integrated Service Delivery has been appointed (Complete).	12	12	6	29/05/2020
7	RPND/036117	Business (Operational)	24/06/2019	Planning & Performance Committee	Clinical Governance Committee	There is a risk that the technology components supporting NHS 24's front line application will become more prone to failure and parts to repair, upgrade or patch will become more difficult to resource the longer the technical transformation programme takes to be implemented. Components have either reached or are getting close to an end of life position.	Increases potential system downtime impacting on the delivery of NHS 24's front line services. Security threats are also increased as patches become less available. Negative impact on public, partner and staff relations.	Chief Information Officer	Reduce	The NHS 24 Board approved a two staged approach to the Technical Transformation Programme, now SEDATe Programme, in November 2019. The Phase 1 Business Case was presented and approved at the November Board Meeting and the Phase 2 Business Case will be presented to the March 2020 Board meeting (Ongoing). The Phase 1 Business Case confirms extending support contracts for a minimum of 12 months and replacing critical infrastructure which will 1) stabilise the current environment through upgrading/refreshing end of life hardware and extending support on the operating systems and applications 2)ensure no degradation from the current system and applications performance and 3) allow for a period of focussed review of the broader investment required to support the future technical and digital roadmap for the organisation.	12	12	4	31/08/2020
8	RPND/025796	Business (Operational)	31/08/2016	Planning & Performance Committee	Audit & Risk Committee	There is a risk that NHS 24 is vulnerable to a successful phishing or malware attack due to a range of control measures not being fully utilised.	Resulting in an introduction of malware, data loss, corruption of data and potentially service delivery disruption.	Chief Information Officer	Reduce	Consideration being given to employ SPF, DKIM and DMARC email authentication and reporting protocols into the existing Microsoft Exchange system as per NHS Scotland IGS recommendations (Progressing) Investigation to be completed to scope National Cyber Security Secure E-mail Blueprint Controls ahead of implementation (taking into account Office 365 migration) (Progressing) Implementation of the NHSScotland Security Policy Framework (incorporating Network Information Systems Directive (NIS(D) controls) which will provide increased security. This will be considered in conjunction with the technical refresh decision. (Ongoing). A new web filter product (zScaler) to be implemented replacing the Bloxx solution reducing the number of potential attacks (Complete). Employ McAfee Groupshield for Exchange which scans incoming email which is checked against configured criteria before it is allowed to pass through. : The DAT files for Groupshield are updated when automatically when released by McAfee. (Complete)	12	12	6	31/03/2020

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9	RPND/036304	Staff	19/07/2019	Staff Governance Committee	Planning & Performance Committee	There is a risk that staff based at Clyde Contact Centre will become disengaged due to the current uncertainty on future base location.	Staff wellbeing, attrition and absence negatively impacted, resulting in diminished service provision. Staff disengagement.	Director of Workforce	Reduce	Scoping work to identify and assess all options, for consideration by the Executive Management Team (Progressing). Communications Plan developed (Complete). Early and ongoing engagement with staffside and management to ensure effective communication with staff (Ongoing). Drive business case development and implementation. (Progressing) Development of a project team to support the implementation of the relocation (Complete).	12	12	4	31/03/2020
10	RPND/034576	Business (Operational)	04/12/2018	Clinical Governance Committee	Planning & Performance Committee	There is a risk that NHS 24 will not fully optimise their digital response to a pandemic flu due to reliance on stakeholders operational response model.	This may result poor patient journey. Negative reputation for NHS 24. Ineffective national response.	Medical Director	Reduce	Development of a digital solution to support the SFREC model. NHS 24 have written to Scottish Government to support a scoping exercise. Awaiting SG response on NHS 24 proposal (Progressing). Effective engagement with Scottish Government Health Resilience Unit, Sponsor Division and Public Health Unit (Progressing). Workshop with key stakeholders inc SG, HPS and NSS (Progressing). Agreed approach of response to pandemic flu considered and approved by EMT (Complete). Confirm digital approach with HPS (Complete). Paper developed to base discussion with NPFS. SG to arrange meeting to ensure the improvements required as undertaken and there is best value in UK contract (Complete).	8	10	4	28/08/2020
Reduced Risks - Scoring 10 or less (below the Corporate reporting level)														
11	RPND/025466	Reputational and External	04/08/2016	Planning & Performance Committee	Clinical Governance Committee	There is a risk of insufficient stakeholder support to drive change and provide a service aligned to our corporate objectives, strategy and implementation timescales.	Services delivered by NHS 24 does not meet the needs of partners and public.	Director of Service Development	Reduce	Development of stakeholder engagement planning across the organisation and change portfolio to support closer relationships with key partners/public (Progressing). Strategic partnership approach to be reviewed to ensure it aligns with the NHS 24 Strategy (Planned). Discovery exercise to be undertaken to identify organisational needs in relation to the management of stakeholder intelligence.(Progressing) Development and implementation of the Service Development Directorate structure with clear role and remit in relation to user research and stakeholder engagement (Progressing). Employ a Head of Stakeholder engagement to co-ordinate activities (Complete). Stakeholder Framework in place which aligns with organisational strategy (Complete).	12	9	5	31/03/2020
12	RPND/033964	Business (Operational)	11/09/2018	Planning & Performance Committee	Clinical Governance Committee	There is a risk that short and long term operational disruptions may occur as a result of EU Exit, challenging NHS 24 in delivering an effective service and delay strategic objectives.	Potential disruption to delivery of frontline NHS 24 services and delay delivery strategic objectives.	Director of Finance & Performance	Reduce	Revised resilience preparations following extension of Brexit deadline. (Progressing) SG reviewing internal resilience response and reporting requirements. (Progressing) National EU exit healthcare planning groups to be established to review resilience, procurement, workforce and communications. NHS 24 represented on planning groups (Progressing). NHS Scotland and multi agency workshops to support planning arrangements (Complete). Planning for NHS Inform public health information pages (Ongoing) Special helpline preparations to manage potential increase in demand on 111 service (Ongoing). Internal co-ordination group established (Progressing). NHS 24 initial impact assessment completed by 13th September 2018 on specific areas request by Scottish Government (SG) (complete). National survey to assess staffing impact undertaken - minimal impact (Complete). Communication with staff on EU Exit (Ongoing). Intranet site established (Complete) Workshop with SG EU team in August 2018, opportunity to discuss and feedback NHS 24's understanding of current position and escalate any concerns (Complete).	12	9	4	31/01/2020

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									Standing agenda item at EMT Strategy session (Complete). Engagement with Head of Pharmacy in relation to community pharmacy procurement. Escalated to Scottish Government (Complete). Clarity over digital and information governance issues. Raised at National NHS IG forum action to consider and discuss - no issues (Complete). Brexit impact assessment on key contracts carried out by the procurement department. No impact identified (Complete).					
13	RPND/025797	Business (Operational)	31/08/2016	Planning & Performance Committee	Audit & Risk Committee	There is a risk that without full support of the Information Asset Owners, NHS 24 may fail to comply with current information, records management and data protection legislation.	Potential service disruption due to a breach of confidentiality, integrity and availability (e.g. cyber attack/insider threat) resulting in financial penalties and reputational damage. leaving it vulnerable to cyber/insider threat.	Chief Information Officer	Reduce	IAO to ensure their responsibilities for their Information Assets are being implemented and NHS 24 is compliant with relevant legislation (Ongoing). Information Asset Owners to complete the e-learning module as instructed by end of 19/20 (Progressing) Information Governance & Security Group established to manage and monitor progress in relation to this risk (Ongoing). Need for Records Manager identified and included within the SPRA mid-year review. Statement of responsibility to be signed by Information Asset Owners (IAO) (Complete). Training and education in place for Information Asset Owners (Complete). Records management policies to be updated and approved by the Information Governance & Security Group in line with review schedule. (Complete). Records Management Group established to monitor and review process of national records management plan (Complete).	12	8 ↓	4	31/03/2020
14	RPND/024449	Business (Financial)	13/04/2016	Planning & Performance Committee	Audit & Risk Committee	There is a risk that NHS 24 will be challenged in meeting the statutory financial targets during the next 5 year period.	This would threaten the successful achievement of the statutory financial resource and capital limits and could impact on other KPI's.	Director of Finance & Performance	Reduce	Robust and effective financial and organisational management of the position will be maintained through the coming year. This includes monthly budget reporting. The Strategic Planning Resource Allocation (SPRA) and the formal SPRA Bi-monthly review supports this process and helped inform the re-assessment of this risk. Key areas of focus will be resource allocation assumptions in relation to the delivery of efficiency savings in-year and re-payment of brokerage (Ongoing). The financial plan submitted to Scottish Government as part of operational financial plan process is predicting breakeven for the next 5 years (Ongoing).	10	8 ↓	5	29/03/2020