

NHS 24 - AMBER - CORPORATE RISK REGISTER

NHS 24 BOARD MEETING - 21 OCTOBER 2021 (ACCURATE AS AT 12/10/21)

Case Ref	Receipt Date	Primary Committee	Secondary Committee	Description	Significant Impact	Executive Risk Owner	Strategy Type	Mitigating Action	Prev Score (AxB)	Current Score (AxB)	Target Score (AxB)	Target Date	
1	RPND/041923	16/08/2021	Planning & Performance Committee	Audit & Risk Committee	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.	Organisational priorities are not delivered on time. Impacts ability to adapt to current and new work and changing priorities. Benefits are not obtained as planned or anticipated. Key dependencies are missed or not fully understood.	Director of Strategy, Planning & Performance	Reduce	Review/health check currently underway to identify gaps/additional support requirements to deliver the Connect Programme (Ongoing - 31 October) Full consideration being given to all possible recruitment avenues to try to secure sufficient resource to deliver as planned. For Connect, secondments, agency recruitment and temporary and full time posts have been offered (Ongoing). <u>Ongoing Controls</u> Portfolio level view of dependencies developed and discussed on a weekly basis with issues escalated to EMT where required (weekly ongoing). Management of project / programme resources through the Change Portfolio Board and PMO with appropriate escalation to SROs where needed ensures resources are prioritised as required (Ongoing control) Fortnightly PMO meetings ensures dependencies across the Portfolio are identified and managed (Ongoing control) Weekly Cross Programme Dependency meeting in place to manage and monitor Estates & Connect dependencies (Ongoing control) Agreed governance structure from project to programme board to portfolio board supporting project teams and SROs address resource or skills gaps (Ongoing control) Programme Highlight Reports reviewed regularly by Head of PMO and Director and then reviewed quarterly by CPB (Ongoing control).	NEW	20	6	31/03/2022
2	RPND/041505	04/07/2021	Planning & Performance Committee	Clinical Governance Committee	There is a risk that the combined implementation of Connect Programme phase 1c [REDACTED] impacts on delivery of NHS 24 services due to the amount and timing of system 'down time'.	Compromised ability to deliver clinical services - unable to answer calls from the public during downtime. No flexibility to appropriately resource due to the schedule/plan not being aligned to resource planning	Director of Service Delivery	Reduce	Fixed Schedule Plan for system changes/downtime in line with resource planning (Minimising downtime max service availability) (Ongoing - Phase 1a and b by December 2021 and Phase c by March 2022) (acknowledging dependency on supplier) Review/Health check and Recovery Plan for Connect Programme (Ongoing - 31 October 2021). Increase in frontline staff numbers to counter the reduced performance times (Dec 2021 then pipeline thereafter) Clear communications plan in place for internal/stakeholder comms. Weekly planning meetings in place (Ongoing) Programme Governance Framework in place with service deliver representation to provide ongoing scrutiny of programme design and delivery (Ongoing control) Weekly joint meeting with ICT Ops/Connect Programme and Service Delivery to review downtime schedule and proposed schedule (In Place) to provide assurance from IT/PMO colleagues in relation to plans/processes in place. Testing of user experience prior to implementation of changes incorporated into project plans. (Complete) Implementation (Ongoing control)	15	20	5	31/03/2022
3	RPND/037063	24/10/2019	Planning & Performance Committee	Clinical Governance Committee	There is a risk that the NHS 24 would not be able to sustain an effective response to significant additional pressure/demand on services (including COP 26) due to current system and resourcing capacity limitations.	Potential delay in patient care due increased waiting times at peak periods. Impact on quality of services provided to patients. Impact on performance targets Additional pressure on staff.	Director of Service Delivery	Reduce	Clinical recruitment pipeline and recruitment plan in place to meet developing organisational and clinical supervision needs. (Ongoing - 31 October 2021). Estate Strategy that meets recruitment/resource requirements through expansion of sites in the West and East of Scotland (Ongoing - 31 November 2021). SMT work to review NHS 24 priorities and resource required to provide a sustainable plan to support Service Delivery during the winter period (Ongoing - 31 October 2021). Planning and communication for COP 26 (Ongoing - 15th November 2021) <u>Ongoing Controls</u> Close liaison (weekly) with Scottish Government and key stakeholders through safe space meetings, sponsor meetings, RUC and COVID pathway meetings to discuss current performance, horizon scanning and opportunities for improvement. (Ongoing Control) Overview by NHS 24 IMT/SMT to ensure cross directorate approach to provide organisational support. (Ongoing Control) Increased utilisation of remote clinical supervision and remote management (Ongoing Control) Weekly recruitment and training overview meetings to monitor and manage process (Ongoing Control) <u>Mitigating Actions Complete</u> 24/7 Technical on-call support to ensure any system issues are resolved quickly (Complete). Developed Management Team to support expanding workforce and services (Complete) Corporate escalation process to support frontline services, in line with ongoing review of organisational priorities and resource allocation/deployment (Complete) Technical assurance on system stability, flexibility and performance (Complete)	12	16	4	01/07/2022
4	RPND/041567	08/07/2021	Staff Governance Committee	Planning & Performance Committee	There is a risk that the rapid growth of NHS 24's front facing operational function outpaces the growth in corporate service functions which are required to support it.	Corporate functions which support operational delivery become overwhelmed and error rates increase. Corporate staff become demotivated and sickness absence increases. Corporate staff are not able to keep pace with demand for essential management training of managers and staffs confidence in our leaders is diminished as a result No capacity within corporate service functions to expand and build skillset toward omnicompetence to ensure resilience in their service delivery	Director of Workforce	Reduce	<u>Mitigation - Ongoing</u> Workforce Directorate review of structures (Ongoing - 31 Mar 22) Skills and competency mapping across organisation to understand the gaps (Ongoing - target date tbc by SWPG) Bid submitted to Scottish Government to support resourcing (Submission date 03/09/2021). Development of future workforce plan by the Strategic Workforce Planning Group to provide clarification of organisational requirements ensuring right people with the right skills are in the right place at the right time (Ongoing - 31 August 2022) <u>Mitigation - Complete</u> Strategic Workforce Planning Group established and meets bi monthly; monitoring will uncover gaps (Complete) UK Benchmarking of OD, Leadership & Learning to understand best practice and to identify staff to customer ratios (Complete - scheduled for publication 30 Sept 21) Finance agreed budget availability for resource to support (temp/agency/perm) (Complete).	16	16	6	30/09/2022

5	RPND/041568	08/07/2021	Staff Governance Committee	Planning & Performance Committee	There is a risk that NHS 24 are unable to recruit and retain the right people due to skills shortages across NHS Scotland and NHS 24 not being seen as an employer of choice.	Unable to deliver the strategic plan objectives resulting in reputational damage and negative impact on the wider NHS. Lack of ability and credibility to positively influence change such as SG policy development and to drive innovation Unable to provide the desired level of service determined by the public and by SG Unable to provide new and improved services in the future	Director of Workforce	Reduce	<u>Mitigation - Ongoing</u> PIP weekly monitoring of progress towards targets for recruitment of key skillsets (Ongoing Control). Additional support from other corporate services to support immediate recruitment process (Nov 21) Review of recruitment and retention - Scoping exercise complete - Review timescales to be agreed. Workforce strategy 2021-22 - drafted and with Scottish Government for agreement (Ongoing) Draft workforce strategy for 2022-25 to be developed (Ongoing - March 2022) Development and implementation of i-Matter action plan (Ongoing - 31 March 2022) Wider cultural work and career pathways to be undertaken (31 March 2022) <u>Mitigation - Complete</u> Strategic Workforce Planning Group established and meeting bi monthly to deliver a coordinated approach to workforce planning and strategy. (Complete) Monthly reporting figures process agreed and in place (Complete) Fortnightly Service Delivery recruitment meetings in place to ensure early intervention of any emerging issues (Complete)	16	16	8	29/07/2022
6	RPND/038259	09/04/2020	Staff Governance Committee	Clinical Governance Committee	There is a risk that NHS 24 experiences low levels of staff attendance over a prolonged period of time, this will negatively impact its ability to deliver services and develop new and improved ways of working.	Prolonged waits to access services resulting in poor patient experience and reputational damage. Impacts negatively on staff morale, retention and wellbeing.	Director of Workforce	Reduce	<u>Mitigating Actions - Ongoing</u> Implementation of Attendance Improvement Plan (regular updates on progress being monitored by Staff Governance Committee). Key actions: - Wellbeing Team Managers in place to drive progress in relation to improvement plan and ensure a positive and consistent approach to attendance management (March 2022) - Communications Plan in place to promote a positive culture and help staff to understand implications of high levels of non-attendance at work (Complete - Implementation ongoing March 2022) - Health & Wellbeing initiatives for staff to support by providing positive working environment, occupational health services and one to one support (Ongoing control). - Development of Workplace Adjustment Policy in partnership with Business Disability Forum (Complete - progressing recommendations March 2022) - Phase 2 of Shift Review would align managers with teams to provide a more supportive and team working environment (Ongoing - 31 July 2022) - Continued promotion of LFT and PCR testing and vaccination programme with 90% of staff double vaccinated (Ongoing) <u>Mitigating Actions - Complete</u> Health & Wellbeing Strategy and Framework in place. (Complete) Improved sickness absence reporting suite with improved access for managers (Complete). Attendance at training and/or completion of eLearning modules by managers is monitored and a fortnightly report is published to show compliance and progress (Complete). Levelling sessions now in place and running on a regular basis to ensure auditing short and long term sickness absence bringing lessons learnt into training/feedback sessions (Complete). Infection control policy and measures in place (Complete)	16	16	8	31/03/2022
7	RPND/038901	03/08/2020	Staff Governance Committee	Planning & Performance Committee	There is a risk that gaps in specific skills (Project Managers, UX Designers, Product Owners, User Researchers, Scrum Masters) and capacity across directorates are impacting the ability to deliver strategic objectives. [Risk relates to NHS 24's ability to reach quality candidates to recruit into specialist roles.]	Objectives are not met and service development and improvement is negatively impacted. Quality of work impacted by not having sufficient collaboration input from specific expertise within NHS 24 Delay or non delivery of milestones within change portfolio and/or remobilisation plan. Developments don't deliver in line with user needs.	Director of Strategy, Planning & Performance	Reduce	Recruitment/appointment of appropriate resource and skills to deliver the digital priorities contained in the organisational objectives (Ongoing - 31 December 2021) Implementation of the approved Digital Business Case to identify and fill skills cap to delivery organisational priorities (Ongoing - 31 December) Funding and RAFs in place to allow expansion of PMO team to deliver the programmes and projects as agreed at Change Portfolio Board (Ongoing). Recruitment of additional PM resource continuing with temp adperm adverts being users to attract applications (Ongoing) Working with other key teams across the organisation to identify pinch points and plan ahead need for resource to input at particular times (Ongoing Control) Cross Directorate working and planning through SMT to ensure an ongoing shared understanding of organisational priorities (Ongoing Control). Review and reallocation of workloads to reflect prioritisation of work (Complete- initial phase 31 August 2021) Funding confirmed to support recruitment of required resource/skills (complete)	16	16	4	31/12/2021
8	RPND/042278	29/09/2021	Planning & Performance Committee	Audit & Risk Committee	There is a risk that NHS 24 will be vulnerable to [REDACTED]	Any issues will be problematic to resolve and will encompass potentially frustrated users. And take longer to resolve due to the adhoc nature of the support arrangements.	Chief Information Officer	Eliminate	Engage with BT for a support model process for initial period of 12months until we have agreed future state [REDACTED] (Ongoing - Target completion October 2021)	NEW	16	1	31/12/2021
9	RPND/042279	29/09/2021	Planning & Performance Committee	Audit & Risk Committee	There is a historical risk to service if any work is undertaken [REDACTED]	The work being undertaken is to remove [REDACTED] This outage could range from an application being down to a complete service outage.	Chief Information Officer	Eliminate	All mitigating actions will be delivered by Service Development as part of the Connect Programme. A detailed plan and approach to mitigate impact on NHS 24 is currently underway, in consultation with BT. Additional details to be provided. - Target complete October 2021	NEW	16	1	30/11/2021
10	RPND/041566	08/07/2021	Staff Governance Committee	Planning & Performance Committee	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.	Increased staff absence, impacting on NHS 24's ability to deliver services. Leaders fail to keep pace with a VUCA work environment. Staff feel under valued and lack resilience and knowledge in people processes. Confidence in our leaders is diminished.	Director of Workforce	Reduce	Approved Business Case which details the transformation of Organisational Development, Leadership & Learning and moved the dept closer to it's Target Operating Model (TOM) and the longer term vision in relation to the development of our people. (Ongoing - 31 Mar 2022) Full structure review of ODL&L and implement changes aligned with Organisational Change processes. Recruit the gaps. (Ongoing - 31 March 22) ODL&L Strategy for the next 3 years, aligned to the strategic outcomes of the new Organisational Strategy 2022-25. (Ongoing 31 Nov 21). Develop and implement a First Line Managers Course (Ongoing - 31 Mar 2022). Develop and implement new strategy and framework as a "re-launch" of OD. (Ongoing - July 2022)	12	12	6	30/12/2022

11	RPND/038255	09/04/2020	Staff Governance Committee	Planning & Performance Committee	There is a risk that NHS 24 are unable to fully support all health and wellbeing needs of staff due to pace and scale of change and growth of the organisation.	Staff feel unsupported and sickness absence rates increase as a result. Recruitment and retention of staff negatively impacted. Increased management time spent on sickness absence management, removing from other management responsibilities	Director of Workforce	Reduce	<p><u>Mitigating Actions - Ongoing</u> Implementation of the Wellbeing Strategy, Framework and action plan developed to support staff across a number of areas including:</p> <ul style="list-style-type: none"> - Undertaking a review of Occupational Health Service (March 2022) - Promotion of training and resilience (March 2022) - Develop wellbeing communications plan/wellbeing hub on intranet (Complete - actions being progressed March 22) - Establishment of measure to assess impact of wellbeing initiatives on workforce (Ongoing - March 2022) - promotion of wellbeing initiatives (Ongoing) - working to embed a healthy working environment that relates to all aspects of our staff's lives (Ongoing). <p>Progress being closely monitored by Staff Governance Committee.</p> <p><u>Mitigating Actions - Complete</u> Staff wellbeing work stream in place. A group is established to support the management/co-ordination of activity. Outputs feed into the IMT/PIP (Complete). Staff wellbeing been incorporated into the Health, Safety & Wellbeing Committee (Complete)</p>	12	12	6	31/03/2022
12	RPND/041158	25/05/2021	Clinical Governance Committee	Planning & Performance Committee	There is a risk that NHS 24 will be disrupted by the planned and unplanned activity for COP 26. This combined with the number of contributing factors: - the impact of COVID 19 - Travel restrictions - planned and unplanned - Winter/Flu season - whole system resilience impacting on NHS 24.	The unmeasurable disruption on NHS 24 service performance which poses a risk to the safety and quality of our services.	Medical Director	Reduce	<p>NHS 24 will base our planning on 2019 assumptions will be utilised - provided by SG (Ongoing - 31 October 2021).</p> <p>Engaged in National SG Health Planning Group (Ongoing until event November 2021).</p> <p>NHS 24 Planning Group established with reps from Service Deliver, Comms, Digital, Workforce, Facilities to monitor progress (Ongoing - October 2021).</p> <p>Communicate with staff with regards to the travel impacts (ongoing 15th Nov 2021)</p> <p>Clear outline to SG Health Resilience and SG Urgent Care Lead on the NHS 24 service model and the capacity & capability to support major incident planning (Complete 30 June 2021). The purpose of this is to seek confirmation of role of RUC in major incident by confirming the position with SG Health resilience unit. This will involve presenting a paper on RUC to the NHS Resilience Committee in August 2021 for discussion on the impact on Boards. [REDACTED]</p> <p>[REDACTED]</p> <p>Continue to engage with NHS GGC in their planning for the event by attending their COP26 planning group ongoing till October 2021 to integrate this information into our planning assumptions (Ongoing - 31 October 2021).</p> <p>[REDACTED] The use of NHS Inform may provide public health information. (Ongoing - 31 October 2021).</p> <p>Train, and exercise internal Executives for major incident response (Complete).</p> <p>Contribute to external exercises with partner agencies. (Complete).</p>	12	12	4	15/11/2021
13	RPND/041506	04/07/2021	Staff Governance Committee	Clinical Governance Committee	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).	Challenging performance and workforce planning which negatively impacts ability to provide a sustainable service. Limits ability of NHS 24 to deliver desired outcomes from strategic delivery plan. Increased cultural issues associated with lack of teaming approach on front-line.	Director of Service Delivery	Reduce	<p>Re-establishment of Shift Review Working Group with appropriate representation. (Ongoing - tbc)</p> <p>Project documentation developed with timelines to be confirmed (Ongoing - tbc).</p> <p>Staff Engagement / Communications Plans to be put in place in line with project plan (Ongoing - tbc).</p> <p>Robust review and assessment of performance/Management Information data to ensure a full understanding of the organisational requirements (Ongoing - November 21).</p> <p>Robust modelling to establish additional resource required to support increase frontline staffing numbers. Ongoing - November 21)</p>	12	12	4	30/06/2022
14	RPND/041610	13/07/2021	Clinical Governance Committee	Planning & Performance Committee	There is a risk that patient access times to the 111 service will increase due to a reduction in patient access to in-hours primary care and increased referrals by GP's surgeries.	Increased demand for services - patient safety may be compromised due to excessive wait times. Reputational Damage	Director of Service Delivery	Reduce	<p>Communications plan including consistent and clear signposting for the public to appropriate service and real time messaging on social media (Ongoing Control)</p> <p>Ongoing stakeholder and sponsor discussions re models of care/clinical pathways (Ongoing Control timeline tbc)</p> <p>Phase 2 of the shift review which will allow more engagement with managers and staff to support CPD and identify learning needs (Ongoing - 30-07-2022)</p> <p>Recruitment/Training programme in place (Ongoing)</p> <p>NHS Inform digital tools (Complete)</p> <p>Robust attendance management processes in place (Complete)</p> <p>Potential change to covid isolation rules for NHS/Health Care Staff who are double vaccinated (Complete)</p>	12	12	8	31/03/2022
15	RPND/039309	30/09/2020	Clinical Governance Committee	Planning & Performance Committee	There is a risk that public and partners perceive any negative experience of the National Urgent Care Pathway to be the responsibility of NHS 24. This will be further impacted depending on uncertain pressures.	Poor patient experience for individuals using the National Urgent Care Pathway. The patient flow across the health and care system does not change, admissions to ED/waiting rooms not reduced/managed effectively. NHS 24's reputation would be negatively damaged across the public and national partners.	Director of Strategy, Planning & Performance	Reduce	<p>Influencing further Redesign of Urgent Care pathways and model of care (ongoing).</p> <p>There is a need for a longer term programme of low level board communications explaining the urgent care pathway as a whole system approach. (Ongoing)</p> <p>NHS 24 will continue to mitigate against this risk with clear signposting communications to help support the public to get the right care in the right place. (Ongoing Control)</p> <p>Consistent, effective national communication about new pathways needs to be ongoing and become part of business as usual communications across the whole system including health and care partners. (Ongoing Control)</p> <p>Clear expectation management messaging with the public throughout the winter will be key given system pressures and anticipated demand. (Ongoing)</p> <p>The rollout of a national high profile communications campaign with 111 as the clear call to action has taken place and will be completed by the end of August 2021. (Complete)</p>	12	12	6	31/03/2022
16	RPND/037567	06/01/2020	Planning & Performance Committee	Audit & Risk Committee	There is a risk that malicious software or devices could be used [REDACTED]	Malicious software may be used to enumerate or access services and files published on our network	Chief Information Officer	Reduce	[REDACTED]	8	12	4	30/11/2021

17	RPND/041263	07/06/2021	Planning & Performance Committee	Audit & Risk Committee	There is a risk that NHS 24 Corporate devices may be compromised through vulnerabilities in home networks and home devices.	Unmanaged therefore perhaps potentially insecure home devices and network may result in an NHS 24 corporate device being compromised which then allows for malicious content to be introduced to NHS 24 estate. This may compromise the integrity, confidentiality and/ or availability of the information and services resulting in significant impact to service delivery.	Chief Information Officer	Reduce	1) Ensure corporate device is fully patched 2) Ensure that Corporate endpoint firewall is always on	NEW	12	8	31/12/2021
18	RPND/041489	02/07/2021	Planning & Performance Committee	Clinical Governance Committee	Digital Services Resilience: There is a risk to the availability and integrity of the digital services provided by NHS 24 such as NHSInform, Care Information Scotland, Breathing Space etc.	this risk could result in the web services being unavailable for a significant period of time or for the information provided through these sites being inaccurate. The impact of this risk could result in: 1) Adverse publicity and reputational damage to NHS 24 from any extended downtime for these services 2) Patient safety by following incorrect advice on altered Self Help Guides	Chief Information Officer	Reduce	Mitigating Actions: 1)Annual Penetration testing by a certified external penetration testing supplier. 3)Regular internal vulnerability assessment The above actions will reduce the consequence and likelihood	12	12	4	31/12/2021
19	RPND/037596	07/01/2020	Planning & Performance Committee	Audit & Risk Committee	There is a risk that malware is introduced from the Internet to the NHS 24 estate via web browsing activities from any desktop, laptop or server asset	Possibility of significant cyber incident resulting in reduced ability to deliver 111 services and/or integrity and loss of confidentiality of sensitive data	Chief Information Officer	Reduce	Enable SSL inspection on appropriate categories 1) Ensure that malware protection (antivirus) is present and up to date on all assets. 5) Deny internet access to assets that do not require it	12	12	8	31/03/2022
20	RPND/037593	07/01/2020	Planning & Performance Committee	Audit & Risk Committee	There is a risk that undetected Advanced Persistent Threats may be introduced to NHS 24 environment.	Possibility of significant cyber incident (SEPA)	Chief Information Officer	Reduce	Investigation with BT, NHS Scotland Cyber Security Operations Centre, Risk becomes retained	12	12	8	31/03/2022
21	RPND/037590	07/01/2020	Planning & Performance Committee	Audit & Risk Committee		Reduced ability to deliver 111 services. Increased risk of a significant cyber incident.	Chief Information Officer	Reduce		12	12	8	31/03/2022
22	RPND/042273	28/09/2021	Planning & Performance Committee	Audit & Risk Committee	There is a risk that services are susceptible to an external attack.	This would result in a significant availability issue to services	Chief Information Officer	Reduce		NEW	12	6	31/10/2021
23	RPND/041686	21/07/2021	Staff Governance Committee	Clinical Governance Committee	There is a risk that if NHS 24 does not meet their statutory obligations in relation to staff training, potential knowledge/skills gaps of staff may negatively impact on the safety and quality of the patient journey.	Knowledge/skills gap created impacts role performance, potentially impacting patient safety. Staff wellbeing is impacted as feeling vulnerable, due to not having right tools/skills to undertake role competently. Reputational damage if staff not trained to a certain standard.	Director of Workforce	Reduce	Action/Improvement Plan developed for implementation, key highlights/mitigations as follows: Agree Mandatory Training e-learning modules (and required frequency) that are aligned to the once for Scotland requirements (all staff) (30/07/2021 - Complete) Agree role specific clinical mandatory modules. Annual review will be undertaken via the Clinical Education Governance Group (30/07/2021 - Complete) Evaluation of Mandatory Training - consider methodology / establishment sub-group (feedback mandatory on all e-learning modules) - annual report to Clinical Education Governance Group (30/11/2021) Monthly engagement and trajectory reports and visibility of MI data for consideration by Teams/Line Managers/SMT/EMT (30/09/2021 COMPLETE for HOCS, ongoing for line managers) Review of intranet pages and navigation on (30/07/2021 - Complete) Phased communications plan re mandatory training requirements/ the importance of mandatory training and the responsibilities of staff/line managers (Complete) Agreed trigger points to step down specific training in response to organisational escalation to incident management mode (as part of the corporate escalation plan have been agreed). The focus is on ensuring statutory elements of training continue (Complete - 12/10/2021)	10	10	5	31/12/2021