

<b>NHS Greater Glasgow and Clyde</b>	<b>Paper No. 24/80</b>
<b>Meeting:</b>	<b>NHSGGC Board</b>
<b>Meeting Date:</b>	<b>25<sup>h</sup> June 2024</b>
<b>Title:</b>	<b>Corporate Risk Register</b>
<b>Sponsoring Director/Manager</b>	<b>Colin Neil, Director of Finance</b>
<b>Report Author:</b>	<b>Katrina Heenan, Chief Risk Officer</b>

## 1. Purpose

**The purpose of the attached paper is to:**

Update members on, and provide assurance over, the Corporate Risk Register (CRR).

## 2. Executive Summary

The paper can be summarised as follows:

The Corporate Risk Register (CRR) was reported to the Board in April 2024 for the period October to December 2023. The Corporate Risk Register included in this paper reflects the period January to May 2024. Regular reviews of risks have taken place since and will continue to be presented in future updates.

The CRR is updated monthly via risk owners and Corporate Management Team (CMT). Each risk is aligned to a standing committee with the risk register subject to regular review and scrutiny at the relevant standing committees to ensure:

- All relevant risks are identified
- Risks are clearly described in terms of risk description; risk cause; risk impact
- Risks are scored appropriately
- Mitigating actions are framed in SMART terms with clarity on how they will address the risks
- Alignment of risks to corporate objectives is appropriate
- Alignment of risk types is appropriate

The CRR will continue to be developed, reviewed and updated throughout the year via management meetings, through standing committees and Board. Detailed Risk Review

## BOARD OFFICIAL

Meetings are ongoing with Risk Leads to fully review all aspects of the risk including controls, mitigation actions and risk score. The updated Risks will be reported through each of the Committees for approval and then to Audit and Risk Committee and Board for assurance.

From April the Corporate Risk Register report has included a performance metric with a target of 100% Corporate Risks reviewed each month.

Since the last Board meeting there have been five changes to Risk Score – three risks core increases and two risk score decreases. In addition a new Risk has been proposed – Public Inquiries, Police Investigations, Fatal Accident Inquiries, Other Reviews and Inspections. Full details of all risks, controls and actions have been presented to the appropriate Governance Committee and Audit & Risk Committee.

The enclosed report details the corporate risk profile as submitted to the June Audit & Risk Committee.

Changes have been made to the layout of Appendix B to provide the key risk information in a summarised format.

Please refer to **Appendix A** for the Corporate Risk Register Update Report.

Please refer to **Appendix B** for the Corporate Risk Register.

### 3. Recommendations

The Board is asked to consider the following recommendations:

- To note the ongoing work of the Audit and Risk Committee and other standing committees in scrutinising, reviewing and updating the risk register and take assurance from that process.
- To review and accept the updated CRR dated May 2024.

### 4. Response Required

This paper is presented for assurance.

### 5. Impact Assessment

The impact of this paper on NHSGGC's corporate aims, approach to equality and diversity and environmental impact are assessed as follows:

- |                    |                 |
|--------------------|-----------------|
| • Better Health    | <u>Positive</u> |
| • Better Care      | <u>Positive</u> |
| • Better Value     | <u>Positive</u> |
| • Better Workplace | <u>Positive</u> |

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- Equality & Diversity Positive
- Environment Positive

### **6. Engagement & Communications**

The issues addressed in this paper were subject to the following engagement and communications activity:

- The Corporate Risk Register is reviewed monthly by Risk Owners and their management teams, supported by the Chief Risk Officer.

### **7. Governance Route**

The content of this paper has been previously considered by the following groups as part of its development:

- CMT – monthly
- Audit and Risk Committee – 4<sup>th</sup> and 18<sup>th</sup> June 2024

### **8. Date Prepared & Issued**

18<sup>th</sup> June 2024

## Corporate Risk Register Review

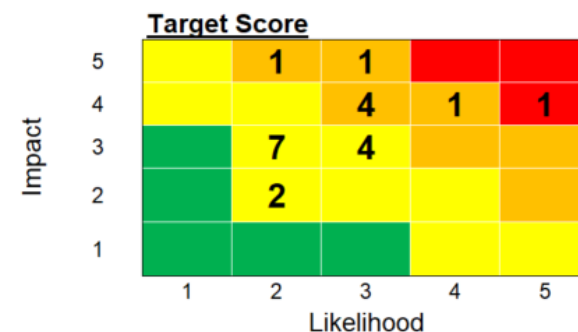
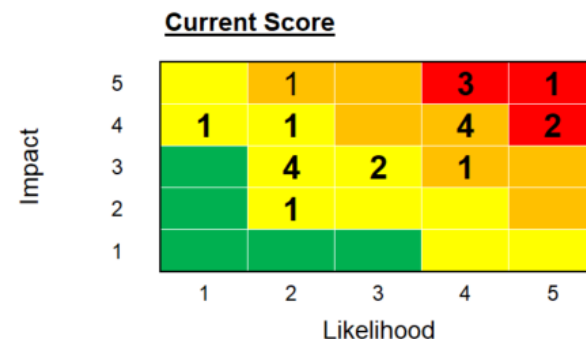
Reporting Period: January to May 2024

NHS Board: 25<sup>th</sup> June 2024

# Corporate Risk Dashboard

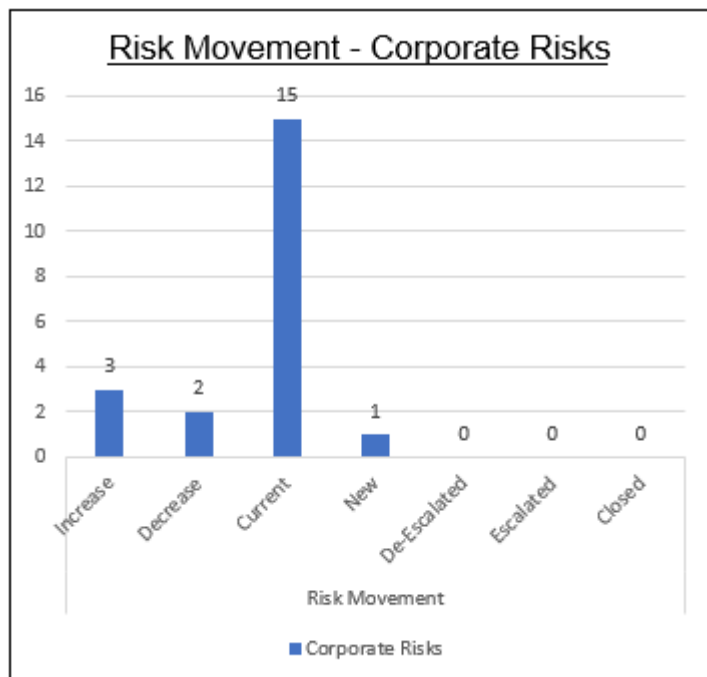
		Jan	Feb	Mar	Apr	May	Target Risk	Trend	Risk Reviewed Monthly
<b>Current Risks - New</b>									
New	Public Inquiries, Police Investigations, Fatal Accident Inquiries, Other Reviews and Inspections					20	15		
<b>Current Risks - Increased</b>									
3036	Financial Sustainability - Revenue	25	25	25	25	25	20		
2819	Capital Funding Sustainability	20	20	20	20	20	12		
3051	Ageing Infrastructure	16	16	16	16	20	9		
<b>Current Risks - Decreased</b>									
2060	Breakdown of failsafe mechanisms for National Population Screening Programmes	12	12	12	12	10	10		
3058	Public Protection	16	16	16	16	9	6		
<b>Current Risks - No Change</b>									
2055	Unscheduled Care Waiting Time Targets	20	20	20	20	20	16		
3057	Impact of Delayed Discharges on NHSGGC system flow.	20	20	20	20	20	9		
3343	Outpatients - Scheduled Care Waiting Time Targets	16	16	16	16	16	12		
2054	In Patient / Day Case Treatment Time Guarantee	16	16	16	16	16	12		
2199	Pandemic Response	16	16	16	16	16	12		
3052	Regulatory body compliance	16	16	16	16	16	9		
3450	Delivery of medical training to the GMC required standards	12	12	12	12	12	9		
3062	Safe & Effective Use of Medicines	9	9	9	9	9	6		
3053	Medicine costs and funding availability	8	8	8	8	8	6		
2062	Cyber threats	6	6	6	6	6	6		
3054	Annual Delivery Plan	6	6	6	6	6	6		
3110	Failure to Recruit and Retain Staff	6	6	6	6	6	6		
3060	Positive, engaging and diverse culture	6	6	6	6	6	6		
3432	Industrial action and potential impact to service delivery	4	4	4	4	4	4		
3059	Staff training and development	4	4	4	4	4	4		

Month	Number of risks reviewed in month	CRR Risks Reviewed in month %
March	20	100%
April	20	100%
May	20	100%



Note – Changes have been approved by Corporate Management Team on 6<sup>th</sup> June 2024, however are subject to Governance Committee approval.

# Corporate Risk Register - Analysis



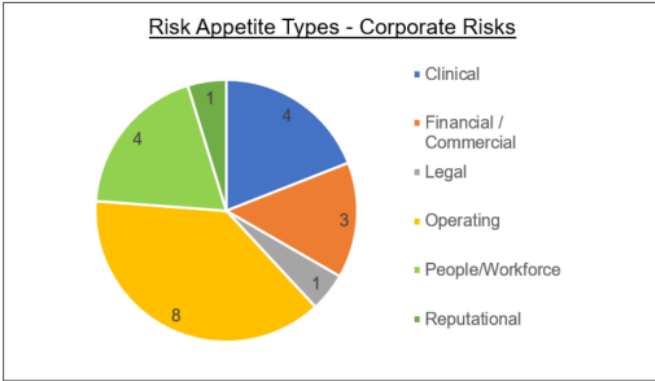
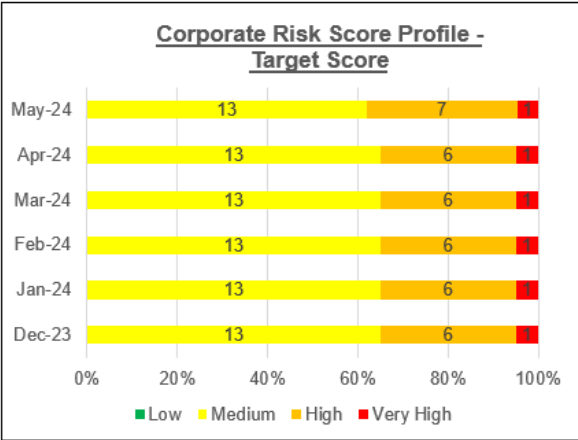
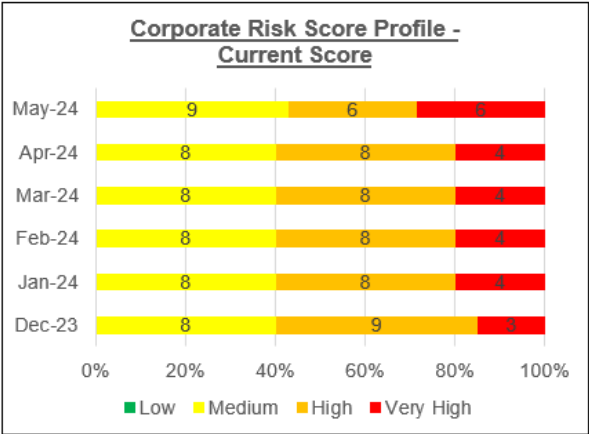
## **Commentary**

The Corporate Risk Register comprises 21 risks.

## Corporate Risk Register – Movement in Risk Numbers

Risk Movement	Total	Risk Titles
<b>No. of risks December 2023</b>	<b>20</b>	
Risks decreased in score	2	Risks 2060 - Population Health Screening Risk 3058 - Public Protection
Risks increased in score	3	3051 - Ageing Infrastructure 3036 – Financial Sustainability Revenue 2819 – Capital Funding Sustainability
New or escalated risks	1	Public Inquiries, Police Investigations, Fatal Accident Inquiries and other Reviews and Inspections
Closed or de-escalated risks	0	
<b>No. of risks May 2024</b>	<b>21</b>	

# Corporate Risk Register - Analysis



## Commentary

Risk Score Profile Charts provide comparison of current risk score profile and target risk score. The overall number of risks on the Corporate Risk Register is 21.

## Commentary

The chart above provides a breakdown of corporate risks by risk type as defined in the Risk Appetite Statement.

# Corporate Risk Register - Analysis

Corporate Objectives			Risk Title	Current Score
Better Health	CO1	To reduce the burden of disease on the population through health improvement programmes that deliver a measureable shift to prevention rather than treatment	Breakdown of failsafe mechanisms for National Population Health Screening	10
	CO4	To ensure the best start for children with a focus on developing good health and wellbeing in their early years	Public Protection	9
Better Care	CO6	To provide a safe environment and appropriate working practices that minimise the risk of injury or harm to our patients and our people	Industrial action by staff impacting on care to patients	4
			Delivery of medical training to the GMC required standards	12
			Safe and effective use of medicines	9
	CO7	To ensure services are timely and accessible to all parts of the community we serve	In Patient / Day Case Treatment Time Guarantee	16
			Outpatients – Scheduled Care Waiting Time Targets	16
			Unscheduled care waiting time targets	20
			Pandemic response	16
			Cyber Threats	6
			Public Inquiries, Police Investigations, Fatal Accident Inquiries and other Reviews and Inspections	20
			Delivery Plan	6
	CO10	To shift the reliance on hospital care towards proactive and coordinated care and support in the community	Impact of Delayed Discharges on NHS GGC system flow	20
Better Value	CO11	To ensure financial planning across the healthcare system that supports financial sustainability and balance budgets	Financial sustainability – revenue	25
			Medicines costs and funding availability	8
	CO14	To utilise and improve our capital assets to support the reform of healthcare	Capital funding sustainability	20
			Ageing Infrastructure	20
			Regulatory body compliance	16
Better Workplace	CO17	To ensure our people are appropriately trained and developed	Positive, engaging and diverse culture	6
	CO19	To promote the health and well-being of our people	Failure to recruit and retain staff	6
	CO20	To provide a continuously improving and safe working environment	Staff training and development	4

ID	Title	Description	Risk level - Current	Additional Mitigation Actions Identified and Ongoing	Risk level - Target	Monthly Review Completed	Assigned Governance Committee
3036	Financial Sustainability - Revenue	NHS Greater Glasgow and Clyde cannot achieve and maintain financial sustainability and / or cannot maintain current / expected levels of service provision due to financial challenges around delivery of the Financial Plan resulting from significantly higher than expected cost pressures above the allocated funding.	25		20	17/05/2024	Finance, Planning and Performance Committee
2819	Capital Funding Sustainability	The Board's required Capital/Infrastructure Investment Programme becomes undeliverable in full and needs to be scaled back	20		20	17/05/2024	Finance, Planning and Performance Committee
3057	Impact of Delayed Discharges on NHSGGC system flow.	Increased and / or ongoing high levels of delayed discharges from acute settings has a continued negative impact on NHS GGC system flow	20		9	15/05/2024	Finance, Planning and Performance Committee
3051	Ageing infrastructure	The ageing infrastructure across the estate will continue to raise operational and financial issues which could result in service disruption and impact on patient care	20		9	15/05/2024	Finance, Planning and Performance Committee
2055	Urgent and Unscheduled Care	Failure to deliver Urgent and Unscheduled Care SG Standards and Targets as per the Annual Delivery Plan which impacts patient care	20		16	10/04/2024	Acute Services Committee
New	Public Inquiries, Police Investigations, Fatal Accident Inquiries and other Reviews and Inspections	Public Inquiries, Police Investigations, Fatal Accident Inquiries and other Reviews and Inspections impacts on staff wellbeing, public confidence and service delivery.	20		15	13/06/2024	Finance, Planning and Performance Committee
2054	In Patient / Day Case Treatment Time Guarantee	NHSGGC fails to deliver Scheduled Care Waiting Time targets to agreed timescales	16		12	10/05/2024	Acute Services Committee
3343	Outpatients - Scheduled Care Waiting Time Targets	NHSGGC fails to deliver Scheduled Care Waiting Time targets to agreed timescales	16		12	10/05/2024	Acute Services Committee
2199	Pandemic Response	Inability to fully respond to further waves of COVID 19; inability to deliver all required services (COVID and non-COVID)	16		12	14/05/2024	Population Health and Wellbeing Committee
3052	Regulatory body compliance	Failure to achieve and maintain statutory compliance through regulatory bodies	16		9	15/05/2024	Finance, Planning and Performance Committee
3450	Delivery of medical training to the GMC required standards	Units / Departments do not meet the required GMC standards of training, such that the unit is escalated to enhanced monitoring status.	12		9	17/05/2024	Staff Governance Committee
2060	Breakdown of failsafe mechanisms for National Screening Programmes	Breakdown of failsafe mechanisms for any National Population Screening Programmes, that could lead to delayed diagnosis/ treatment.	10		10	14/05/2024	Population Health and Wellbeing Committee
3058	Public Protection	Breakdown in Public Protection Procedures and Processes	9		6	20/05/2024	Clinical and Care Governance Committee
3062	Safe & Effective Use of Medicines	Preventable patient and organisational harm from the use of medicines	9		6	01/05/2024	Clinical and Care Governance Committee
3053	Medicine costs and funding availability	Overall medicines costs for NHS Greater Glasgow and Clyde are unsustainable in the future	8		6	01/05/2024	Finance, Planning and Performance Committee
3054	Annual Delivery Plan	There is a risk that NHS Greater Glasgow and Clyde will be unable to deliver on the commitments in our Delivery Plan in a structured, controlled manner and within required timescales.	6		6	20/05/2024	Finance, Planning and Performance Committee
3060	Positive, engaging and diverse culture	Failure to cultivate, promote and enhance a positive, engaging and diverse culture.	6		6	13/05/2024	Staff Governance Committee
2062	Cyber threats	Cyber security of the organisation may be compromised and leave the organisation increasingly vulnerable to attack.	6		6	15/05/2024	Information Governance Steering Group
3110	Failure to Recruit and Retain Staff	Failure to recruit and retain staff members resulting in reduced capacity and continual hard to fill areas.	6		6	13/05/2024	Staff Governance Committee
3059	Staff training and development	Failure to appropriately train and develop NHSGGC staff to enable individuals to deliver their role and responsibilities, or where requirements for key competencies are not identified, developed and achieved.	4		4	13/05/2024	Staff Governance Committee
3432	Industrial action and potential impact to service delivery	Failure to provide the appropriate levels of care to patients	4		4	13/05/2024	Staff Governance Committee