

NHS GJ Phase 2 Risk Register

Ref	Title	Aim/objective	Description	Likelihood (current)	Consequence (current)	Risk level (current)	Controls in place	Handler	Overall Cluster	Financial	Operational	Regulation	Reputation	Strategic	Workforce
R5	Adverse Publicity occurs due to an issue with the project	Adverse publicity does not occur due to any issues with the project		May recur occasionally	Negligible	Low	Project specific communications plan in place. Programme Board structure in relation to communication of any issues to proactively anticipate any issues of public interest. Current arrangements for management of adverse publicity linked to Communication Department	Rogers, June	Reputation	no impact identified	No impact identified	no impact identified.	Negative press; anticipated most likely to be short term and local news as opposed to national.	little impact strategically – may prompt queries requiring reassurance to Scottish Government.	May impact on staff morale if negative press associated with project.
F17	Changes in legislation or tax rules increase project costs	Manage project costs in the event of changes in legislation or tax rules		May recur occasionally	Moderate	Medium	Current financial processes in place to detect upcoming changes and assess impact Impact of Brexit being monitored	Neil, Colin	Financial	ability to deliver project within budget.	none identified	none identified	Negative impact on reputation of GJF within NHSScotland and publicly.	impact of increased costs on meeting overall project aims and timelines	none identified

F18	Changes to non-legislative policy affect programme costs and/ or progress	Manage programme costs/progress in the event of non-legislative policy changes.		Will probably recur, but is not a persistent issue	Moderate	High	Horizon scanning process via Strategic Risk Committee Detailed cost control process with robust operational implementation	Neil, Colin	Financial	ability to deliver project within budget.	none identified	none identified	Negative impact on reputation of GJF within NHSScotland and publicly	impact of increased costs on meeting overall project aims and timelines and Phase 2.	none identified
S14	Client (GJF) doesn't have the capacity or capability to deliver the project	Ensure GJF have the capability to deliver the project		Cannot believe that this will ever happen again	Moderate	Low	Programme Director role appointed, commenced 1st June 2017. Programme Team Lead in place. Programme Board and supporting structure in place. Detailed project plan to be developed. Heath intelligence Analyst support being provided through ISD	Rogers, June	Strategic	financial impact associated with late or non delivery of key project objectives.	current model unsustainable, project outcomes required to sustain service.	lack of capacity/ capability could affect ability to meet regulatory requirements	Negative impact on reputation of GJF within NHSScotland and publicly.	could impact on quality of outputs and overall achievement of project if realised which would impact GJF and wider West of Scotland region.	Ensuring specialist skills required to support project are secured and sustained throughout.

07	Critical Programme Dates are Unrealistic	Realistic programme dates		Will probably recur, but is not a persistent issue	Major	High	<p>Contract with Principal Supply Chain Partner.</p> <p>A detailed project plan with defined milestones and governance to identify and manage any potential delays.</p> <p>Full programme review undertaken by PSCP and Advisor team with detailed project plan produced</p> <p>Streamlined design review process in place</p> <p>Review of build-ability underway to minimize construction period</p>	Rogers, June	Operational	<p>Delays and associated costs arising as a result of GJF have the potential to negatively impact GJF's budget. There is an opportunity cost to GJF's partner Boards if they are not able to send activity to GJF in line with the original timescale.</p> <p>Patient services are maintained in temporary accommodation, with knock on delays to Expansion Phase 2.</p>	No regulatory impact identified	Project is public and high profile, failure to deliver it to time may result in a negative public impact of GJF.	Completion of this project is key to delivering NHS Scotland and Scottish Government's 2020 priorities, failure to deliver the project on time may undermine the national strategy.	negative impact on staff morale and engagement if project delayed.
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S9	Demand for the service does not match the levels planned, projected or presumed	Ensure the planned, projected demand is in line with the service demand		Do not expect it to happen again but it is possible	Minor Medium	Significant review of demand modelling undertaken in conjunction with ISD to inform planning. Work validated and reviewed in partnership with territorial boards. Letter issued from Cabinet Secretary to all NHS BOards clarifying position in relation to repatriation. Options to offer activity out to East/ North regions if excess capacity or to accelerate phased opening if additional capacity required.	Rogers, June Strategic	If demand exceed forecast then the allocated budget may be insufficient to service it. If demand falls short of forecast, opportunities may have been missed to invest in other parts NHS Scotland which may have benefited.	Pressure on operational services if demand exceeds designed capacity. If demand falls short of forecast then GJF's operational feasibility may be questioned.	No regulatory impact identified	Potential negative impact to GJF reputation if it was seen to have designed a service which is not fit for purpose.	National service delivery has been planned on the basis of the demand forecasts; if incorrect then it may undermine GJF and NHS Scotland's ability to deliver patient needs	Undermines ability to attract the best candidates. If demand is lower than anticipated, may have surplus of staff
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O2 3	Design is developed prior to equipment specification being known leading to possible redesign or alteration being required	To avoid the design developing in advance of the equipment specification being known as this could lead to the requirement for redesign or physical alteration being prior to equipment installation		May recur occasionally	Major	High	Procurement process underway that will clarify the equipment requirements; will be confirmed for FBC stage. Early identification of the equipping process of complex group 2 equipment types that require specific building design elements to be in place to support their ultimate use (power, drainage, ventilation etc), and to identify and commence contractual route to market work to allow tendering processes to commence.	Scott, John	Operational	Financial consequences likely in relation to build costs as a result of retrospective corrective actions being required	Specifically links to CSPD requirements and potential changes in ventilation requirements which are being reviewed at a national level.	not applicable	not applicable	Risk to building commissioning period leading to delay in building be available for occupation	not applicable
O2 2	If PSCP ceases trading we will be unable to deliver within the timeline & significant cost would be incurred ensuring completion	Ensure robust measures are in place to minimise the impact should PSCP cease trading		May recur occasionally	Major	High	National framework on which supplier is appointed. Contract in place with PSCP. Ongoing monitoring of financial performance (share price & accounts) of PSCP via cost control group. Integrated governance with PSCP members of key groups and senior meetings outwith	Rogers, June	Operational	Additional costs incurred.	impact on activity of delayed programme	Legislation and regulation relating to administration of company and goods.	Would generate interest but aimed at PSCP	Timescale and financial implications	impacts associated with delays in programme

O2 1	If we do not secure ICD support to the programme then we risk incurring time delays and/ or additional costs			May recur occasionally	Major High	<p>Unable to secure additional support via existing SLA, further avenues explored include-</p> <ul style="list-style-type: none"> •IPS support •Anvassing other Boards •AI Policy Unit - Scottish Government •Escalation to Programme Board <p>The following stages of development have been subject to ICD input-</p> <ul style="list-style-type: none"> •Phase 1 Development Stage 2 HAI SCRIBE- Design & Planning. •Phase 1 Development Stage 3 HAI SCRIBE- Construction. •Development of Transplant Risk 	Macfie, Dr Alistair Operational	financial impact associated with late or non delivery of key project objectives. Post construction, lack of ICD support during design or could lead to further control measures required to rectify infection incidents related to the built environment.	current model unsustainable, project outcomes required to sustain service.	lack of capacity/ capability could affect ability to meet regulatory requirements	Negative impact on reputation of GJF within NHSScotland and publicly.	could impact on quality of outputs and overall achievement of project if realised which would impact GJF and wider West of Scotland region.	Ensuring specialist skills required to support project are secured and sustained throughout.
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O2 0	Inability to attract experienced staff, requirement to train staff and retention of staff	If we do not recruit the required staff within the appropriate timelines then the ability to deliver planned capacity within timeline will be compromised.		Will probably recur, but is not a persistent issue	Moderate High	<p>Detailed workforce plan is in place informed by operational and clinical leads with increase in theatre staffing supported.</p> <p>Training Academy development ongoing as separate Strategic Project with increased numbers for future cohort agreed to support expansion.</p> <p>If required operation capacity will be reduced, supplementary staffing will be resourced using external staff and a revised approach to opening schedule</p>	Adkins, Gareth	Operational	Financial impact associated with late or non delivery of key project objectives	Unable to deliver operational capacity	Lack of capability could affect ability to meet regulatory requirements	Damage to GJF reputation as a high quality, reliable provider of activity for NHS Scotland.	potential impact on overall achievement of project aims and timelines.	Adequate staff cannot be recruited to deliver the increased level of service
F16	Inflation costs are above those projected	Manage costs in line with projected inflation		May recur occasionally	Moderate Medium	<p>Contract with Principal Supply Chain Partner.</p> <p>A detailed project plan with defined milestones and governance to identify and manage financial risks.</p>	Neil, Colin	Financial	Board returns an overspend position in a tight fiscal environment.	No operational impact identified.	No regulatory impact identified.	Negative public perception of GJF if Board returns overspend position.	Negative impact to Expansion Phase 2 due to overspend on Phase 1, undermining GJF's ability to deliver national activity projections.	No workforce impact identified

S6	Information used as part of the strategic and project brief is unreliable	Information in the strategic and project brief is reliable		Do not expect it to happen again but it is possible	Moderate Medium	<p>Significant work undertaken on modelling future demand based on ISD information, literature reviews and wide engagement with the West boards to gather local intelligence.</p> <p>Work validated and reviewed in partnership with professional bodies and West of Scotland groups.</p>	Rogers, June	Strategic	<p>If demand exceed forecast then the allocated budget may be insufficient to service it. If demand falls short of forecast, opportunities may have been missed to invest in other parts NHS Scotland which may have benefitted.</p> <p>If capacity not met then potential for a knock on effect to Expansion Phase 2. Would affect how the revised clinical model is implemented. If over capacity then would require work to plan and utilise.</p>	No regulatory impact identified	Negative perception of GFJ as result of unreliable data and confidence in overall project.	information provided from ISD is being used to support modelling for the option generation; if data incorrect then could over/ under predict the activity. Also affects the risks relating to clinical change and design as information on modelling underpins all of this. Under predicting would be biggest risk as would mean lack of capacity.	Impact on clinicians buy in to project if validity of information questioned
R3	Local community objects to the project	No objections from local community		May recur occasionally	Negligible Low	<p>Communications plan in place for programme.</p> <p>Senior Planner from West Dunbartonshire Council is a member of the Project Board.</p> <p>Bi-weekly meetings with Senior planner WDC, PSCP and Programme Director have been scheduled</p>	Rogers, June	Reputation	<p>Financial consequences of any delays or additional engagement work required.</p> <p>No operational impact identified.</p>	No regulatory impact identified	Negative image of GJF in local community.	could impact on project timeline	No workforce impact identified

S4	Poor communication ignores stakeholder interests	Communicate well to ensure stakeholder engagement		Do not expect it to happen again but it is possible	Minor	Medium	Stakeholder list remains live and will be updated regularly Stakeholder engagement assessment positive Communication and Engagement plan in development linked to project plan. Support and input from SHC as evidenced within OBC submission.	Rogers, June	Strategic	impact to the Communications resource and associated budget of ensuring robust communications plan.	reduced productivity, impact on overall project timelines.	failure to comply with the Scottish Health Council (SHC) guidance on service change (CEL4)	Negative impact on reputation of GJF within NHSScotland and publicly	potential impact on delivery of project aims.	could result in poor staff engagement and low morale
S2	Poor stakeholder involvement results in a lack of support for the project	Ensure there is appropriate support from key stakeholders in the project		Do not expect it to happen again but it is possible	Minor	Medium	Communications plan in place for programme with support from Scottish Health Council for stakeholder engagement including workshops. Ongoing, close engagement with Scottish Government territorial Board partners, and West Dunbartonshire Council. Weekly project meeting supporting communication and engagement of internal Board stakeholders. Evidence of stakeholder engagement	Rogers, June	Strategic	Lack of support leads to insufficient provision of funds for the project, making it unfeasible.	Unable to deliver operational capacity.	Scottish Health Council (SHC) guidance on service change (CEL4) not met	Damage to GJF reputation as a values based organisation.	Project is not approved by stakeholders in Government the wider NHS impacting overall project outcome	Adequate staff cannot be recruited to deliver the increased level of service. Impact on staff morale if project at risk

S10	The available accommodation is unable to support the proposed service model	To ensure the available accommodation supports the proposed service model		Cannot believe that this will ever happen again	Moderate	Low	Significant clinical and operational input to design development to ensure needs are met. Design sign off complete. Project plan will monitor to ensure delivery of agreed design and escalation of any issues in achieving this.	Rogers, June	Strategic	no known financial penalties but impact could translate to ongoing use of private sector to achieve model if capacity not realised.	inability to meet TTG and support planned increased activity. Potential impact on phase 2.	need to ensure that proposed model meets any regulatory requirements in relation to clinical standards of care and also workforce regulations.	Negative impact on reputation of GJF within NHSScotland and publicly	if model cannot be achieved then would impact ability to realise the productivity/efficiency gains that have been modelled. Could impact on phase 2.	if model not fully realised then workforce benefits may be at risk.
S12	The design fails to meet the Design Assessment expectations	Ensure the design expectations are met		Do not expect it to happen again but it is possible	Moderate	Medium	BIM and VM used extensively in design process Robust clinical and stakeholder engagement in design development and sign off as evidenced in appendices for OBC	Rogers, June	Strategic	costs associated with design changes.		regulatory compliance may be affected.	Negative impact on reputation of GJF within NHSScotland and publicly	potential impact on delivery of project aims	could affect staff engagement and support of project.

S20	The impact of EU withdrawal on the Board's ability to continue to meet its programme objectives	For the Board to continue to meet programme objectives following EU withdrawal	If the EU withdrawal occurs either with or without a deal then there may be an impact on the programme in terms of cost and/or timelines.	May recur occasionally	Moderate	Medium	Brexit horizon scan commenced in 2015 and updated regularly. Preparedness assessment undertaken for Scottish Government in advance of anticipated May exit date supported by existing work and key risk areas identified and monitoring arrangements confirmed.	Scott, John	Strategic	Potential financial consequences for longer term delivery of service and in responding to other challenges across the clusters (i.e. workforce)	Pharmaceutical and market impacts that may affect supplies of key items. This may also impact on the availability of construction materials.	Impact as EU regulations transferred; loss of access to MHRA. Potential impact on any construction legislation/ requirements.	Not specific to GJ	Ability to deliver corporate objectives and on long term strategy relating to the Expansion Programme.	High risk areas within medical staffing. Potential impact of EU withdrawal on workforce and ability to achieve the plan developed for the expansion programme.
F15	The project becomes unaffordable	Ensure the project remains affordable		May recur occasionally	Moderate	Medium	Financial plan undertaken on indicative costs from master planning. Detailed financial planning ongoing and regular cost reviews	Neil, Colin	Financial	unable to deliver project within budget.	current model unsustainable, project outcomes required to sustain service.	n/a	Negative impact on reputation of GJF within NHSScotland and publicly	impact on overall project aims and potential impact on phase 2 of project	impact on staff morale
O1	The project disrupts day to day business	If we do not adequately manage plans then the on site construction works may impact on the day to day business of the site.		Will probably recur, but is not a persistent issue	Major	High	Design work to minimise impact of breakthrough SLWG established to support decant of staff required SLWG to look at traffic management plan for site established	Rogers, June	Operational	Potential requirement to run extra, compensatory sessions to offset shortfall caused by the disruption. This would lead to the Board incurring additional costs.	Risk of severe disruption with build being breakthrough and work on level 4 requiring decant of staff. Ensuring clear site access with clear traffic management plan. Revised design ensures existing theatre capacity maintained so limits operational impact at level 3.	Dust and noise may present an infection control risk to other areas. H&S requirements in ensuring safe environment	Damage to GJF reputation as a high quality, reliable provider of activity for NHS Scotland if activity impacted.	If theatre and/ or elective activity is compromised as a result of disruption then there is risk to the delivery of strategic activity objectives in relation to TTG.	Ensuring sufficient capacity of staff to support the expansion activities and ongoing business.

F8	The project funding estimate is poorly prepared and inaccurate	To ensure the project funding estimate is well prepared and accurate		Do not expect it to happen again but it is possible	Major Medium	Support to project from Finance Director and Deputy Director Finance roles. Optimism bias applied to Initial Agreement. Detailed service models and associated workforce modelling are known, immediate pay policy increases are now factored in or if not included then highlighted separately within the OBC	Neil, Colin	Financial	Risk of underestimate of funds required and inability to deliver in cost.	none identified	none identified	Negative impact on reputation of GJF within NHSScotland and publicly	delays in the business case process which could affect overall timeline for programme.	none identified
S19	There are uncertainties over national future policy/ strategy changes	Manage any future changes to national policies/strategies		Do not expect it to happen again but it is possible	Major Medium	Close engagement with Scottish Government and West Regional Delivery team. GJF representatives on key national groups at which future policy is discussed e.g. Chief Executives Group. Flexibility in design to accommodate changing future needs – e.g. general inpatient / day case facility will be designed for flexible use in future	Gardner, Jann	Strategic	A review of NHS targets is underway. If target priorities change then less funding may be provided to GJF from Scottish Government, undermining the Board's ability to deliver the project.	Changes in patient flows or health priorities in Scotland may require a change in the planned use of the expansion e.g. a change in specialty. Were this to happen then there is potential for a knock on effect to Expansion Phase 2.	No regulatory impact identified	No reputation impact identified.	The implementation plan for the Health and Social Care Delivery Plan, and National Clinical strategy are yet to be defined. As such there is potential for the expectations of and requirements from GJF to change from what has been planned in the project.	No workforce impact identified

O1 3	Unable to provide accommodation for staff required to decant in areas to be refurbished to support phase 2 of the project	Ensure staff are decanted to alternative accommodation to allow refurbishment of areas required for phase 2		May recur occasionally	Minor	Medium	<p>Commissioning plan in place</p> <p>Master plan work to support relocation of affected staff</p> <p>Infrastructure Accommodation Project Group has been established with expansion areas identified as priority.</p> <p>Discussions underway with NHS24 to vacate Level 5 accomodation.</p>	Rogers, June	Operational	costs associated with delays	need to ensure minimal impact operationally during decant.	none identified	Negative impact on reputation of GJF within NHSScotland and publicly	potential impact on delivery of project aims, if decant not achieved then commencement of phase 2 at risk. Links to wider site plan to support decant	ensuring workforce orientated to new location.
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