



NHS Lanarkshire Corporate Risk Register Overview

NHSL Board

Reporting Period: March 2023 – May 2023

NHSL Corporate Risks – Dashboard

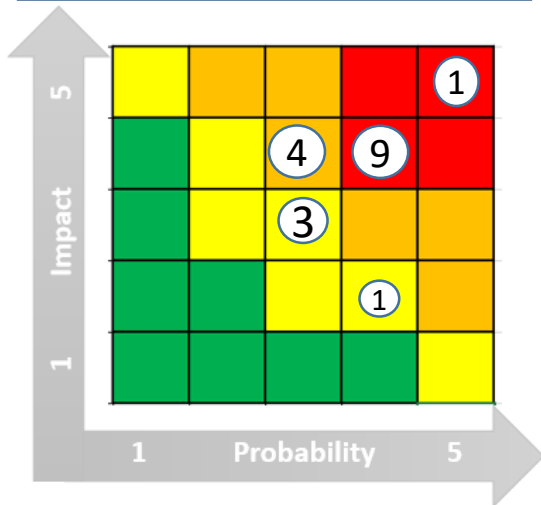
Executive Summary

- All risks on the Corporate Risk Register are reviewed monthly for onward reporting to CMT.
- Corporate Risk Manager is currently conducting a review of the Risk Register Policy & Risk Management Strategy
- Corporate risk register will be reviewed in detail after new corporate objectives have been agreed to ensure that risks to corporate objectives are recognised and monitored on the appropriate risk register.
- New Risk KPI's are being developed to provide assurances of the risk management processes within NHSL.
- New emerging risks which are not yet appropriately developed to be included within this report include risks around industrial action, unscheduled care and scheduled/planned care.

Risk Register	Number of Risks
Corporate	18

Risk movement since last report						
No Change	Increase	Decrease	New	Closed	Escalated	De-escalated
11	2	2	3	1	-	-

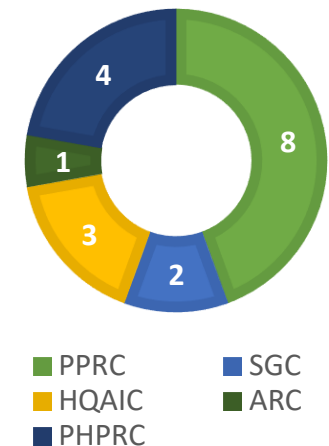
Corporate Risk Heat Map



Highest Scoring Corporate Risk

Risk	Score	Trend
2197 Ability of NHS Lanarkshire to Deliver a Balanced Budget within Periods 23/24 – 25/26	25	↔

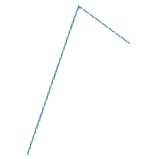
Corporate Risks Reported to Assurance Committees



Corporate Risks - Summary

Ref	Risk Title	Feb	Mar	Apr	Risk Trend	Target Score	Commentary
2038	Procurement of new NHS Lanarkshire Labs Managed Service Contract	25	25	16		4	After discussions at CMT, it is agreed that there is a significant degree of contractual protection around the existing equipment & no noted deterioration in outcomes. This has resulted in both the likelihood of a permanent and total failure being limited whilst the most realistic impact is progressive deterioration.
2197	Ability of NHS Lanarkshire to Deliver a Balanced Budget within Periods 23/24 – 25/26	25	25	25		9	Work continue on S & V but to date does not increase the level of achievable savings. Meeting arranged with SG for 24th of May which will help us understand the degree of flexibility we have over 3 years and the consequences of not achieving breakeven .
2123	Ability of NHS Lanarkshire to Deliver a Balanced Budget Within Year 2022/2023	10	10	10	CLOSED	9	Discussion with DoF & CRM with decision to propose risk for closure as we are now into financial year 23/24 and have delivered a balanced budget for year 22/23, therefore no risk remains to NHSL for the year 22/23.
2135	Heightened Cyber Threat	16	16	16		6	Tenable Nessus Pro Tool to be deployed in May, in conjunction with Commissium.
2155	Impact of Unpredictable Public Health Outbreaks on Current Services	16	16	16		6	With regards to managing incidents and outbreaks; Health Protection Operations Manager is working with the team to update the risk register and once completed will link with CRM to advise if anything needs reflected on the corporate risk register.
2125	Optimal Clincial Outcomes	12	16	16		6	Risk discussed at CMT with the decision to increase from 12 to 16 approved to reflect system pressures and performance. Decision taken to review scoring again at CMT on 1st May.
1703	Safe and Effective Decontamination of Casualties Exposed to Chemical, Biological or Radiological Substances.	12	12	12		4	for UHW: Due to overwhelming pressures on the site, there has been no further decontamination training carried out. In addition, a significant number of nurses who had been trained have now left the organisation. Discussion to be held whether risk remains owned by public health.
2150	Ability to maintain General Medical Service provision	12	12	16		12	There are escalating challenges within the external environment, with heightened difficulties due to factors out with our control, requiring national action to be taken.
TBC	Ability to Respond to Climate Change	-	-	16		9	New risk articulated to capture the risk to NHSL if as an organisation we do not proactively engage in climate change reduction.
TBC	Failure to Comply with NHS Sustainability Policy, DL (2021) 38	-	-	16		9	New risk articulated to capture the risk to NHSL if as an organisation we fail to comply with the NHS Sustainability Policy.

Corporate Risks – Summary Cont.

Ref	Risk Title	Feb	Mar	Apr	Risk Trend	Target Score	Commentary
2126	Sustaining Primary Care Out of Hours Service	16	16	16		9	No material change to risk, wording of Control 1 altered to highlight safety netting via A&E is the contingency measure. Risk Lead changed to Chief Exec.
2129	Sustaining Whole System Patient Flow	16	16	16		9	Additional control added referencing Operation Flow
2205	Fire Safety within NHSL	-	16	12		9	Weekly monitoring reports on action plans and training compliance are now being reported and reviewed by CMT. This has resulted in an improved compliance with mandatory training levels.
2039	Staff Fatigue, Resilience, Wellbeing & Safety	12	12	12		6	Current controls and planned actions updated.
2124	Sustaining a safe workforce	12	12	12		9	Undergoing review of workforce plan to tease out risks which may frame an overarching long term risk. Workshop to discuss planned for April with L Ireland and CRM
1710	Public Protection	9	9	9		6	Risk reviewed with no change.
594	Prevention & Detection of Fraud, Bribery and/or Corruption	8	8	8		6	No change to risk at this time.
2073	NHSL Reputation Regarding FAI	9	9	9		9	New controls added to provide assurance of embedded processes around FAI's.
2062	Development of the New Healthcare Strategy, Our Health Together	9	9	9		9	Risk description has been revised to remove references to covid & has been approved by SDT. Good progress has been made in the development of the new strategy thus far, moving to the stakeholder engagement stage in April 23.

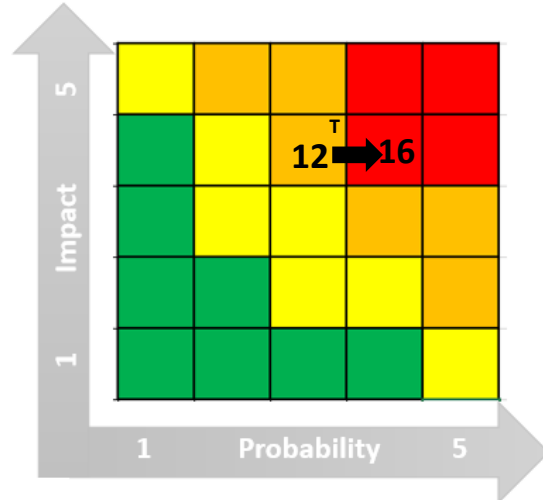
Detail of Risk Movement

Movements in Corporate Risks

Risk		Score	Trend	Target Score	Commentary
2150	Ability to maintain General Medical Service Provision	16	↑	12	Risk has increased in terms of likelihood, increasing risk from a high to very high.
2125	Optimal Clinical Outcomes	16	↑	6	Review and re-calibration of the risk has resulted in an increase from high to very high.
2213	Ability to Respond to Climate Change	16	NEW	9	New risk articulated to capture the risk to NHSL if as an organisation we do not proactively engage in climate change reduction.
2212	Failure to Comply with NHS Sustainability Policy, DL (2021) 38	16	NEW	9	New risk articulated to capture the risk to NHSL if as an organisation we fail to comply with the NHS Sustainability Policy.
2205	Fire Safety Within NHSL	12	↓	9	New risk which has decreased from initial current score in terms of likelihood, reducing risk from very high to high.
2038	Procurement of new NHSL Labs Managed Service Contract	16	↓	4	Due to a significant degree of contractual protection around the existing equipment and no noted deterioration in outcomes, risk has been decreased.
2123	Ability of NHS Lanarkshire to Deliver a Balanced Budget within Year 2022/23	10	CLOSED	9	Risk has been proposed for closure, as endorsed by PPRC.

Corporate Risk in Focus – Increase

2150: Ability to maintain General Medical service provision

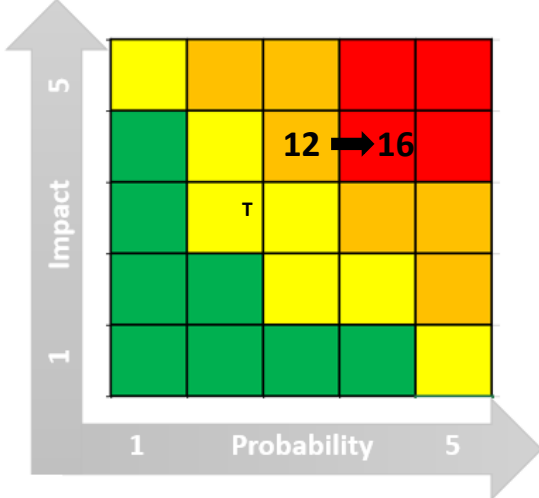


Risk Trend	Increase
Proposed Change to Current Score	
<p>Risk has been reviewed and recalibrated. Current likelihood increased to indicate there are escalating challenges within the external environment, with heightened difficulties due to factors out with our control, requiring national action to be taken.</p> <p>The controls and actions were discussed at Pop Health Committee 23/05 and will be further developed where possible.</p>	

Risk Description	Risk Owner	Risk Lead
There is a risk that some GP practices across Lanarkshire will not be able to sustain delivery of services due to overall workforce (recruitment and retention) issues as they respond to clinical requirements. This has the potential for loss of provision of primary care services.	Chief Officer, South	Jann Gardner
Current Controls		
<ol style="list-style-type: none"> GMS sustainability meetings and proactive support of struggling practices Ongoing review and recovery of the Primary Care Improvement Plan (PCIP) Access and workflow management QI programmes developed for practices Maintaining triage, and other alternative ways of working to maximise use of existing resource 		
Actions		
<ol style="list-style-type: none"> Develop contingency models to provide GMS care if no independent contractor option available 		

Corporate Risk in Focus – Increase

2125: Optimal Clinical Outcomes

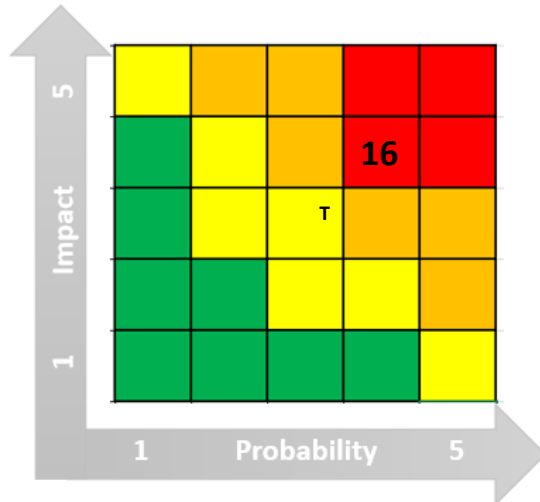


Risk Trend	Increase
Probability increased for 3 to 4	
<p>Risk has been reviewed and recalibrated. The current score was 12 however, through discussions from the Corporate Risk Manager and the Executive Medical Director it is felt that as NHSL are still in red status with reduced rates of performance, a more appropriate score at this time would be a 4 for likelihood and a 4 for impacting, generating an overall score of 16. Additionally, the risk is being reviewed in terms of separating the risk of optimal clinical outcomes to one risk for urgent and unscheduled care and one for planned care.</p>	

Risk Description	Risk Owner	Risk Lead
There is risk that optimal clinical outcomes for some patients will not be attainable resulting from delays in diagnosis and treatment experienced as a direct result of previous disruption and stepping down of services during the acute periods of pandemic response. This could lead to unintended consequence for some patients with disease progression and higher levels of acuity.	Chris Deighan	Jann Gardner
Current Controls		
<ol style="list-style-type: none"> 1. Priority risk assessment of services, including designation of 'Never Services/Functions' across NHSL 2. Priority risk assessment of cases on waiting lists aligned with the Realistic Medicine work plan 3. Contracting with special health boards and independent sector 4. Early warning surveillance 5. Review of adverse events and complaints 6. Oversight and review of HMSR 7. Improvement and data measures outlined within the Quality Strategy & Work plan 8. Continuous performance monitoring through Quality Professional and Performance Committee 9. Continuous governance oversight through the Healthcare Quality, Assurance and Improvement Committee. 10. Whole system actions from Firebreak to decompress & stabilise system. Operation Flow plan to reshape/re-design services in response to clinical pressures. 		
Actions		
TBC		

Corporate Risk in Focus – New

2213: Ability to Respond to Climate Change

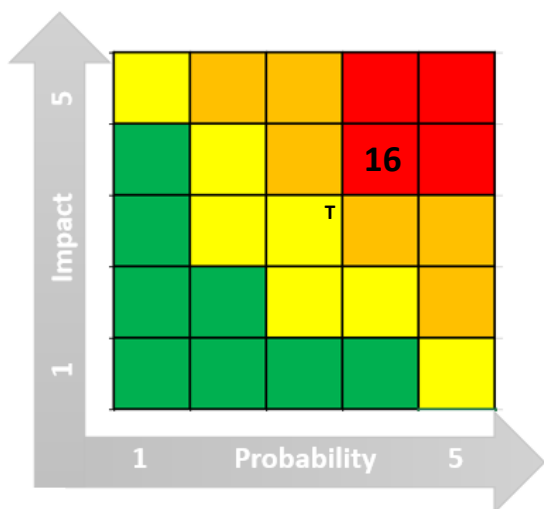


Risk Trend	New
New risk proposed	
New risk articulated to highlight the risk of being unresponsive to climate change may impede on our ability to deliver core services whilst failing to comply with national standards, regulations and continuing to contribute to overall causes of climate change.	

Risk Description	Risk Owner	Risk Lead
If appropriate action is not taken by NHSL to mitigate, adapt and respond to the effects of climate change, there is a significant risk that our physical and supporting infrastructure is impacted and services are disrupted to the extent that NHSL cannot efficiently deliver safe and appropriate healthcare.	Colin Lauder	Jann Gardner
Current Controls		
<ol style="list-style-type: none"> NHS Lanarkshire Sustainability & Climate Change Policy (2022) NHS Lanarkshire Sustainability & Climate Change Strategy NHS Lanarkshire Sustainability & Environment Group in place and chaired by Deputy Director Planning, Property & Performance Regular reports to CMT and PPRC Completion of Climate Change risk and adaptation report to NHS Assure/Scottish Government 		
Actions		
<ol style="list-style-type: none"> Commission of net-zero routemap report conducted by Jacobs, due to be finalised by end of April 2023; Formation of a refreshed governance structure for the Sustainability & Environment Group, with dedicated workstream leads covering areas of focus including energy management, capital and assets, waste, greenspace/biodiversity, and transport and travel. Highlight reports will be produced by workstream leads and the S&EG will provide updates to CMT/PPRC on progress; Continued support of Mott MacDonald consultants through the Green Public Sector Estates Decarbonisation funding stream, utilising their further support in the Non-Domestic Energy Efficiency grant fund. NHSL has already benefitted from £50k in pre-capital support to allow for options appraisals and in-depth surveys to inform applications for up to £5m p.a. in pre-capital support The initial Climate Change Risk and Adaptation (CCRA) has already been completed for the Board and will be developed and refined as time goes on to best inform the organisation’s adaptation and mitigation strategies for climate change. 		

Corporate Risk in Focus – New

2212: Failure to Comply with NHS Sustainability Policy, DL (2021) 38

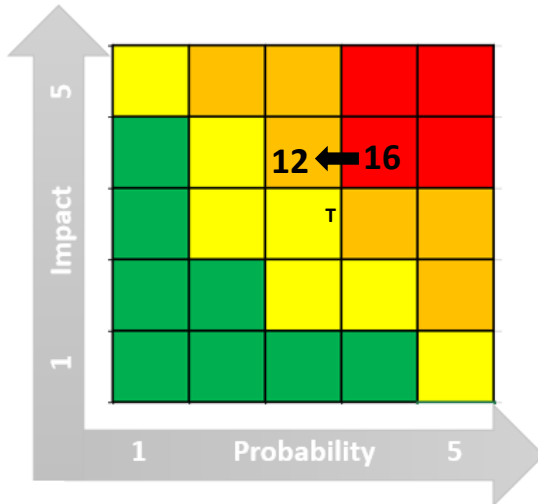


Risk Trend	New
New risk proposed	
New risk articulated to highlight the risk of failure to comply with NHS Scotland Sustainability Policy, DL (2021) 38 and relevant legislation if NHSL does not have direct the appropriate workforce and funding resources to support the necessary work.	

Risk Description	Risk Owner	Risk Lead
If NHSL does not sufficiently support the implementation of the NHSL Sustainability, Energy and Environment agenda with the appropriate workforce and financial investment, there is a risk the organisation fails to comply with NHS Scotland Sustainability policy, DL (2021) 38 and Climate Change (Emissions Reduction Targets) (Scotland) Act 2019, resulting in negative impacts on our reputation, decreased board performance in relation to targets and continuing to contribute to adverse environmental impacts.	Colin Lauder	Jann Gardner
Current Controls		
<ol style="list-style-type: none"> NHS Lanarkshire Sustainability & Climate Change Policy (2022) NHS Lanarkshire Sustainability & Climate Change Strategy NHS Lanarkshire Sustainability & Environment Group in place and chaired by Deputy Director Planning, Property & Performance Regular reports to CMT and PPRC Completion of national reports (both statutory and non-statutory) in areas relating to the Boards GHG emissions performance, climate change risk and adaptation and biodiversity. 		
Actions		
<ol style="list-style-type: none"> Commission of net-zero routemap report conducted by Jacobs, due to be finalised by end of April 2023; Formation of a refreshed governance structure for the Sustainability & Environment Group, with dedicated workstream leads covering areas of focus including energy management, capital and assets, waste, greenspace/biodiversity, and transport and travel. Highlight reports will be produced by workstream leads and the S&EG will provide updates to CMT/PPRC on progress; Continued support of Mott MacDonald consultants through the Green Public Sector Estates Decarbonisation funding stream, utilising their further support in the Non-Domestic Energy Efficiency grant fund. NHSL has already benefitted from £50k in pre-capital support to allow for options appraisals and in-depth surveys to inform applications for up to £5m p.a. in pre-capital support The initial Climate Change Risk and Adaptation (CCRA) has already been completed for the Board and will be developed and refined as time goes on to best inform the organisation's adaptation and mitigation strategies for climate change. 		

Corporate Risk in Focus – New & Decrease

2205: Fire Safety within NHSL

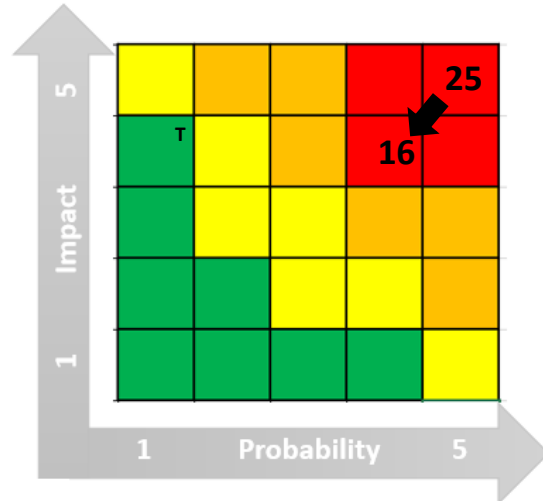


Risk Description	Risk Owner	Risk Lead
If all staff within NHSL are not sufficiently trained in relation to fire safety and awareness, there is an increased risk that NHSL is not suitably equipped to manage or respond to fire related incidents which may negatively impact on health and safety of staff and patients whilst failing to comply with legislative requirements.	Colin Lauder	Jann Gardner
Current Controls		
<ol style="list-style-type: none"> 1. Fire Safety Training mandatory for all staff 2. Compliance monitored weekly and reported to CMT 3. Dedicated Fire Safety team within NHSL carry out Fire Safety Risk Assessments and produce Corrective Action Plans for Senior Site Responsible Managers as appropriate 4. Number of Fire Safety Control Book Audits carried out quarterly. 5. Email is auto-generated 3 months in advance to make users aware of requirement to carry out fire safety training before becoming non-compliant. 		
Actions		
<ol style="list-style-type: none"> 1. North and South locations to be separated out to allow for more detailed understanding of non-compliance across the estate e.g. GP surgeries etc. 2. Reduce outstanding Corrective Action Plans for Q3 		

Risk Trend	New & Decrease
Probability Reduced from 4 to 3	
<p>New risk articulated as per discussions at CMT around general fire safety compliance within NHSL. Through weekly monitoring reports on action plans and training compliance are now being reported and reviewed by CMT, there has been improved compliance with mandatory training levels, therefore, likelihood has reduced from likely (4) to may or may not happen (3).</p>	

Corporate Risk in Focus – Decrease

2038: Procurement of new NHSL Labs Managed Service Contract

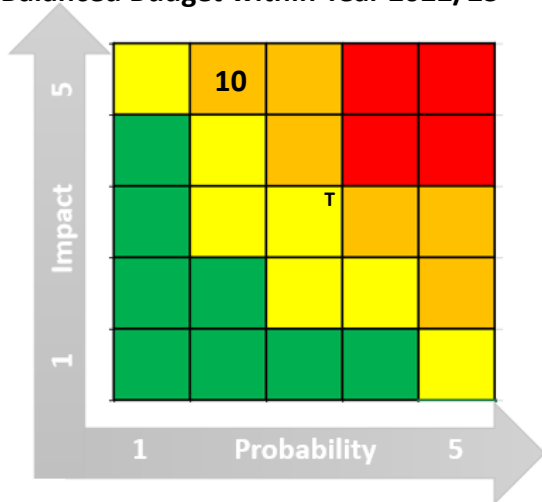


Risk Trend	Decrease
Proposed Change to Current Score	
Risk has been reviewed after discussion around scoring at CMT. It is agreed that there is a significant degree of contractual protection around the existing equipment and no noted deterioration in outcomes resulting in both the likelihood of a permanent and total failure being limited whilst the most realistic impact is a progressive deterioration. Both likelihood and impact have been reduced to a 4 to reflect this.	

Risk Description	Risk Owner	Risk Lead
Due to the expiration of the Laboratories Managed Service Contract (Labs MSC) which is one of the boards most significant contracts in terms of annual value and clinical criticality, there is an increased risk of disruption to laboratory services within NHSL which could result in an inadequate laboratory service negatively impacting on patient care and presenting reputational damage to the board.	Judith Park	Jann Gardner
Current Controls		
<ol style="list-style-type: none"> 1. Project Board in place which is the vehicle to manage & implement the new contract. 2. Project board reviews and manages project risk register in relation to individual risks with tender/procurement process. 3. Progress of work is monitored through DMT, CMT and PPRC with PPRC reporting to the Audit committee. 4. Contractual protection around existing equipment. 		
Actions		
TBC		

Corporate Risk in Focus – Closure

2123: Ability of NHS Lanarkshire to Deliver a Balanced Budget within Year 2022/23



Risk Description	Risk Owner	Risk Lead
There is a significant risk that NHS Lanarkshire will be unable to realise required savings for year 2022/23 and deliver a balanced budget whilst maintaining essential services, meeting legislative requirements whilst being responsive to strategic change.	Laura Ace	Jann Gardner
Current Controls		
<ol style="list-style-type: none"> 1. Financial modelling for recover and redesign 2. Maximise financial management opportunities in the short-term 3. Intelligence gathering and scenario planning 4. Regular horizon scanning 5. New Financial Recovery Group meeting 2/52 6. Participation in National Savings Groups 		
Actions		
<ol style="list-style-type: none"> 1. Continuous review of financial quarter position 2. Resume activity around sustainability and savings plans when is reasonably appropriate 		

Risk Trend	Closure
<p>It has now been assessed that a balanced budget was delivered for 22/23 and the risk is proposed for closure, as endorsed by PPRC.</p>	

Very High Risks – Summary

There are 5 very high risks managed within the Acute Division:

Ref	Risk Title	Mar	Apr	May	Risk Trend	Target Score	Commentary
2042	Unscheduled Care	25	25	25		4	No change to risk at most recent review. Risk is being reviewed in conjunction with CRR 2150.
2178	Treatment Time Guarantee	20	20	20		9	No change to risk a most recent review.
1848	Staff Resilience	16	16	16		2	Controls updated by Ruth Thomson at latest review.
2208	Acute Finance 23/24		20	20		9	New risk articulated to highlight the risk to agreed budget for the financial year 2023/24 due to continued inflationary pressures, forecast increase in medicines costs, service and workforce challenges.
2018	Impact on Diagnosis and Treatment as Services were stepped down during Acute Covid Repsonse	16	16	16		6	Risk remains. Controls remain.

There are 3 very high risks for the South H&SCP:

Ref	Risk Title	Mar	Apr	May	Risk Trend	Target Score	Commentary
1995	Practice Sustainability Impact on PCIP (GMS2018-002)	20	20	20		12	To be reviewed at next GMS OEG.
2111	Clinical Staffing Levels Out of Hours	20	20	20		9	Reviewed by operational group and due to frequency of invoking escalation policy and 1and 2 hour targets for both PCC and HV breached current risk level remains very high.
2029	ICST Workforce	16	16	16		12	Ongoing challenges around Band 6 District Nursing.

Very High Risks – Summary Cont.

There are 2 very high risks for Monklands Business Continuity:

Ref	Risk Title	Mar	Apr	May	Risk Trend	Target Score	Commentary
1773	Deterioration/Failure of Cast Iron Pipes	16	16	16		9	AECOM have issued revised brief for the inspection works in ward 15 and the cast iron drainage replacement works within ward 16 and the management floor below. This also includes replacement of the cast iron drainage stack above and below clinical simulation room 18 (ND919).
1772	Deterioration/Failure of Existing Below Ground Drainage	16	16	16		9	NHSL to review PSCP reports to identify potential improvements.

There is 1 very high risk for the Monklands Replacement Project (MRP):

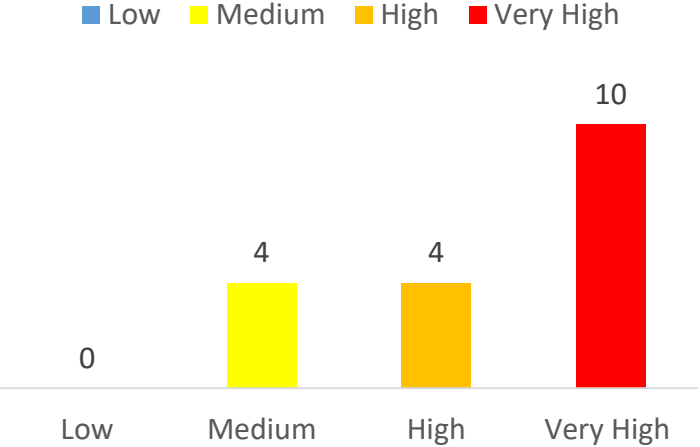
Ref	Risk Title	Mar	Apr	May	Risk Trend	Target Score	Commentary
2177	MRP Workforce Recruitment	16	16	16		9	FBC kick off workshop planned for 19th May, Action plan updated to detail information required from service leads in advance.

There are 2 very high risks for the Primary Care Improvement Plan (New GMS Contract) :

Ref	Risk Title	Mar	Apr	May	Risk Trend	Target Score	Commentary
2048	Delivery of GMS2018 Contract - Pharmacotherapy Services (GMS2018-016)	20	20	20		9	Discussions to take place with CRM and risk lead around updates to this risk.
1997	PCIP Workforce (GMS2018-005)	16	16	16		12	Discussions to take place with CRM and risk lead around updates to this risk.

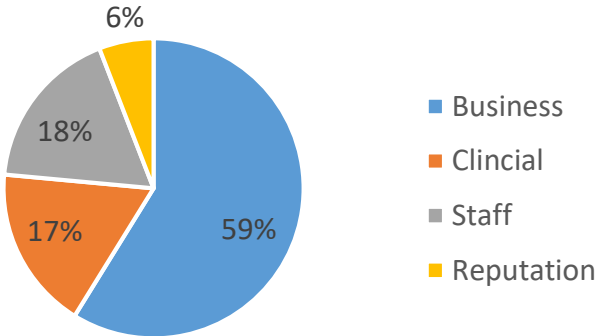
Corporate Risk Trends

Risk Level



Of the 18 Corporate Risks reported (an increase of 2 from previous reporting period), 10 of the reported risks are very high (an increase of 3), 4 are high (a decrease of 1) and 4 are medium in terms of risk level.

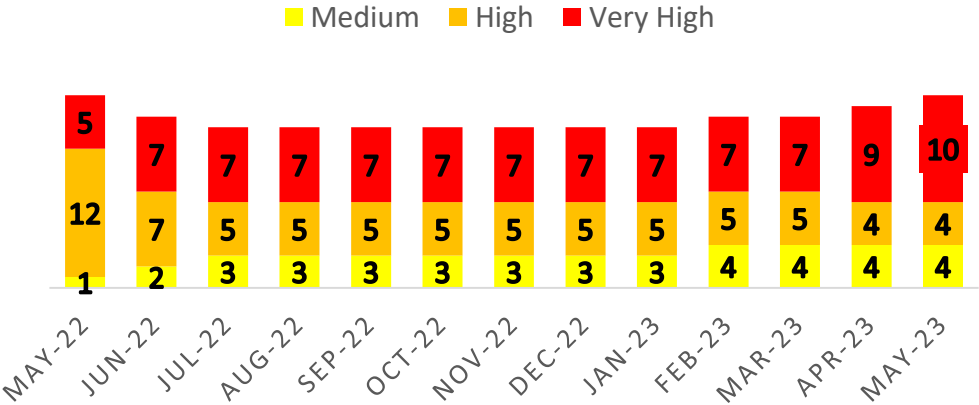
Risk Type



Business risk is the largest risk type within the corporate risk register with 11 out of 18 being classed within that risk type. 3 risks are classed as clinical, 3 as staff and 1 risk as reputational.

Corporate Risk Trends

CORPORATE RISK PROFILE



NHSL has changed their corporate risk profile in the past year, although they are reporting the same number of risks in May 2023 as of May 2022. The very high risks have increased by 5, the high risks have significantly reduced by 8 and the medium risks seen an increase of 3.