

DLN ICB Operational Risk Register

					Initial			Current			Risk Appetite Range																	Actual Score	
Risk Ref	Date	Risk - Short Form Description	Sovereign ICB	Risk Domain	Initial Impact	Initial Likelihood	Initial Score	Current Impact	Current Likelihood	Current Score	Trend	Trend profile (Nov 2025 to Mar 2027)	1 to 5	4 to 10	8	9	10	12	15	16	20	25							
RR003	01/11/22	Prolonged ambulance handovers in Derby and Derbyshire may delay community response, risking patient harm.	DD ICB	Quality and Access	5	5	25	4	4	16	↔																		
RR022	07/11/23	Prolonged ambulance handovers in Nottingham and Nottinghamshire may delay community response, risking patient harm.	NN ICB	Quality and Access	4	4	16	4	4	16	↔																		
RR024	02/05/24	Ongoing challenges at NHCT may disrupt community services, increasing pressure on primary, urgent, and emergency care.	NN ICB	Health Outcomes and Inequalities	4	4	16	3	4	12	↔																		
RR025	05/06/24	Poor maternity service quality may lead to harm and negative experiences for women, birthing people and families.	NN ICB	Quality and Access	5	3	15	4	3	12	↔																		
RR029	22/10/24	Failure to sustain quality improvements at NUH risks declining care quality, safety and outcomes.	NN ICB	Quality and Access	4	4	16	4	4	16	↔																		
RR044	31/03/25	Lack of clinical and care professional leadership framework risks poor governance and clinician disengagement.	NN ICB	Planning and Transformation	3	3	9	3	3	9	↔																		
RR048	11/06/25	Ongoing negative media and workforce changes risk damaging public trust in local NHS services.	NN ICB	Partnerships and Social Value	4	4	16	4	4	16	↔																		
RR051	05/06/25	Elective care pressures risk missed targets and poorer outcomes for the population of Nottingham and Nottinghamshire.	NN ICB	Health Outcomes and Inequalities	4	4	16	4	4	16	↔																		
RR056	30/04/25	Poorly designed operating model risks failure to meet ICB objectives and obligations.	Joint	Workforce and Organisational Capability	4	3	12	4	2	8	↔																		
RR060	30/04/25	Poor workforce transition risks loss of key skills and model failure.	Joint	Workforce and Organisational Capability	4	3	12	3	3	9	↔																		
RR061	30/04/25	Unfair workforce change process risks low morale and reduced performance.	Joint	Workforce and Organisational Capability	4	4	16	4	3	12	↔																		
RR064	30/04/25	Poor staff communication risks misinformation and disengagement.	Joint	Workforce and Organisational Capability	3	3	9	3	3	9	↔																		
RR140	05/05/26	Insufficient DLN cluster capacity and resource risks delayed digital transformation and reduced efficiencies.	Joint	Planning and Transformation	4	4	16	4	4	16	↔																		
RR069	12/08/25	Loss of CSU services before ICB model implementation risks functional disruption and statutory non-compliance.	Joint	Workforce and Organisational Capability	4	4	16	3	3	9	↓																		

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RR071	11/08/25	Insufficient NHCT leadership capacity risks poor service delivery and regulatory non-compliance.	NN ICB	Health Outcomes and Inequalities	3	4	12	3	5	15	↔											
RR072	11/08/25	Lack of NHCT capacity to embed quality improvements risks repeat failures and poor health outcomes.	NN ICB	Quality and Access	3	5	15	3	5	15	↔											
RR073	11/08/25	Mental health bed shortages risk inappropriate placements and pressure on urgent care.	NN ICB	Health Outcomes and Inequalities	3	4	12	3	5	15	↔											
RR074	11/08/25	Limited NHCT capacity for transformation risks future service inefficiency and unmet	NN ICB	Planning and Transformation	3	4	12	3	4	12	↔											
RR075	11/08/25	Lack of NHCT community care capacity risks harm to high-risk mental health population and public safety.	NN ICB	Quality and Access	3	4	12	3	4	12	↔											
RR088	09/12/25	Insufficient HR and line manager capacity risks inconsistent policy application and increased staff dissatisfaction.	Joint	Workforce and Organisational Capability	3	4	12	3	3	9	↔											
RR089	05/03/26	Failure to sustain maternity quality improvements risks declining standards and poorer care experiences.	DD ICB	Quality and Access	4	4	16	4	4	16	↔											
RR095	18/12/25	Organisational change activity risks diverting staff focus, causing delays or failure in delivering cluster priorities.	Joint	Workforce and Organisational Capability	4	4	16	4	2	8	↔											
RR105	16/02/26	Delays or under delivery of the transition programme savings risk failure to achieve £19.40 per head allocation, reducing financial resilience.	Joint	Financial Sustainability and Resource	4	4	16	4	2	8	↔											
RR106	17/02/26	Misaligned neighbourhood model risks rework, inconsistency, and reputational impact.	Joint	Partnerships and Social Value	4	4	16	3	3	9	↔											
RR107	17/02/26	Changes to Health and Wellbeing Boards representation risk reduced engagement and system influence.	Joint	Partnerships and Social Value	3	4	12	3	3	9	↔											
RR108	17/02/26	Local government reform risks disruption to governance, partnerships, and decision-making.	Joint	Partnerships and Social Value	3	4	12	3	4	12	↔											
RR109	17/02/26	Provider sustainability pressures risk limiting market development, innovation, and delivery of population health priorities.	Joint	Partnerships and Social Value	3	4	12	3	3	9	↔											
RR110	17/02/26	VCSFE funding instability risks delays to population health priorities and outcomes.	Joint	Partnerships and Social Value	3	4	12	3	4	12	↔											
RR113	27/03/25	Failure to implement EMAS inquiry recommendations risks weakened emergency response and statutory non-compliance.	Joint	Quality and Access	3	3	9	3	3	9	↔											

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RR114	09/03/26	Lack of a cluster wide 'Knowledge Management System' risks outdated clinical content.	Joint	Health Outcomes and Inequalities	3	3	9	3	3	9	↔					●	●					
RR117	10/03/26	Elective activity and capacity pressures risk longer waits, missed performance standards and poorer outcomes for the population of Lincolnshire.	Lincs ICB	Health Outcomes and Inequalities	3	3	9	3	4	12	↑								●			
RR118	11/03/26	Insufficient workforce capability risks failure to deliver strategic commissioning objectives.	Joint	Workforce and Organisational Capability	4	3	12	4	3	12	↑								●			
RR119	11/03/26	Financial underperformance of the ICBs risks missing 2026/27 year-end position, reducing confidence and increasing intervention.	Joint	Financial Sustainability and Resource	4	2	8	4	4	16	↑									●		
RR154	02/06/26	Primary care sustainability and capacity pressures leading to reduced access, statutory non-compliance, and widening health inequalities across the cluster.	Joint	Health Outcomes and Inequalities	4	3	12	4	3	12	↔								●			
RR122	26/03/26	Misaligned data sharing agreements, contract issues and limited infrastructure may disrupt data flows.	Joint	Planning and Transformation	3	4	12	3	3	9	↔					●						
RR121	11/03/26	Delays in developing costed primary care infrastructure plans risk loss of national capital funding and delayed neighbourhood model delivery.	Joint	Planning and Transformation	3	4	12	3	3	9	↔					●						
RR130	25/03/26	Elective care pressures risk missed targets and poorer outcomes for the population of Derby and Derbyshire.	DD ICB	Health Outcomes and Inequalities	4	4	16	4	4	16	↔									●		
RR131	26/03/26	Limited or inconsistent data quality across providers may prevent the ICBs from accessing the information needed to commission services effectively.	Joint	Planning and Transformation	3	4	12	3	3	9	↔					●						
RR133	21/04/26	Insufficient recurrent financial efficiencies risk slower improvement in underlying deficit and reduced ability to meet population needs in Derby and Derbyshire.	DD ICB	Financial Sustainability and Resource	4	2	8	4	2	8	↔				●							
RR134	21/04/26	Insufficient recurrent financial efficiencies risk slower improvement in underlying deficit and reduced ability to meet population needs in Lincolnshire.	Lincs ICB	Financial Sustainability and Resource	4	4	16	4	4	16	↔									●		
RR135	21/04/26	Insufficient recurrent financial efficiencies risk slower improvement in underlying deficit and reduced ability to meet population needs in Nottingham and Nottinghamshire.	NN ICB	Financial Sustainability and Resource	4	3	12	4	4	16	↑									●		
RR138	28/04/26	Prolonged ambulance handovers in Lincolnshire may delay community response, risking patient harm.	Lincs ICB	Quality and Access	3	3	9	3	3	9	↔					●						
RR068	09/07/25	Unmanaged staff exits risk loss of corporate memory and non-compliance.	Joint	Legal and Regulatory Compliance	3	3	9	3	3	9	↔					●						
RR139	05/05/26	Unclear digital priorities across the DLN cluster risk reduced funding and investment opportunities.	Joint	Planning and Transformation	3	3	9	3	3	9	↔					●						

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RR144	11/05/26	Delays in implementing new structures after voluntary redundancies risk reduced capacity, operational strain, and increased staff pressure.	Joint	Workforce and Organisational Capability	3	5	15	4	4	16	↑											
RR146	20/05/26	Inadequate cyber risk reporting and action tracking risks unmanaged exposure and delayed mitigation actions.	DD ICB	Legal and Regulatory Compliance	3	3	9	3	3	9	↔											
RR147	21/05/26	Failure to secure and assure UEC commissioning delivery risks delays, safety concerns, and poorer health outcomes.	Joint	Health Outcomes and Inequalities	4	4	16	4	4	16	↔											
RR149	29/05/26	LDA patients in inappropriate inpatient settings due to discharge delays impacting quality and outcomes across the cluster.	Joint	Health Outcomes and Inequalities	4	4	16	4	3	12	↓											
RR150	29/05/26	Delays in MH discharges causing flow issues across ED and inpatient settings impacting patient safety and quality across the cluster.	Joint	Quality and Access	4	4	16	4	4	16	↔											
RR151	29/05/26	Rising demand for autism and ADHD assessments risks unmet need, poor experience and adverse outcomes.	Joint	Health Outcomes and Inequalities	4	4	16	4	4	16	↔											
RR152	29/05/26	Failure to meet statutory IHA and RHA timescales risks poor health outcomes and reduced assurance of compliance with legal duties for looked after children.	Joint	Health Outcomes and Inequalities	4	3	12	4	2	8	↔											
RR155	02/06/26	Reduced primary care and pharmacy access may shift demand to urgent and emergency services.	Joint	Health Outcomes and Inequalities	3	4	12	3	3	9	↔											
RR123	23/03/26	General Practices choosing to 'support collective action' risks disruption to access.	Joint	Health Outcomes and Inequalities	4	3	12	4	2	8	↓											
RR156	10/06/26	Lack of a single aligned fertility policy across the cluster risks inconsistent commissioning, legal challenge, and financial and reputational impact.	Joint	Legal and Regulatory Compliance	4	3	12	3	3	9	↔											
RR157	18/06/26	Lack of NLAG capacity and capability to deliver sustainable quality improvements risks recurrence of failures and harm to patients.	Lincs ICB	Quality and Access	3	4	12	3	4	12	↔											
RR158	18/06/26	Workforce changes during transition risk reduced capacity to meet statutory response times and regulatory requirements.	Joint	Legal and Regulatory Compliance	3	4	12	3	4	12	↔											
RR159	24/06/26	Excess demand for cancer services across the cluster may delay treatment, worsening outcomes and experience.	Joint	Health Outcomes and Inequalities	4	4	16	4	4	16	↔											
RR160	24/06/26	Backlog and long wait times across the cluster risk poorer outcomes and experience.	Joint	Health Outcomes and Inequalities	4	4	16	4	4	16	↔											
RR161	25/06/26	Ineffective cluster wide discharge processes, may increase length of stay and cause harm, deconditioning, and poor experience.	Joint	Quality and Access	4	4	16	4	4	16	↔											

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RR162	13/08/26	If information required to progress recruitment is not provided in a timely manner, there is a risk of delay to the delivery of the HR Delivery Plan for Wave 3.	Joint	Workforce and Organisational Capability	4	3	12	4	3	12	↔											
RR163	24/07/26	Inconsistent data definitions and analytical methodologies across the three ICBs may result in non-comparable population health and outcomes data, reducing confidence in benchmarking, commissioning and decision-making.	Joint	Planning and Transformation	3	4	12	3	4	12	New											
RR165	04/08/26	Delays to replacement Derbyshire Urgent Treatment Centre services could disrupt urgent care delivery, reducing access and increasing pressure.	DD ICB	Quality and Access	4	4	16	4	4	16	↔											
RR166	10/09/26	Changes to the HQ model and estate footprint may reduce workforce capacity through adverse impacts on staff.	Joint	Workforce and Organisational Capability	4	3	12	4	2	8	New											
RR167	18/09/26	Inability of the Midlands Procurement Hub to deliver agreed procurement services.	Joint	Legal and Regulatory Compliance	4	3	12	4	2	8	New											