Enterprise Risk Management

HSE Supporting Tool: Horizon Scanning

HSE Enterprise Risk Management Policy and Procedures 2023

Risk is the effect of uncertainty on objectives.

HORIZON 3
will grow in importance in the long-term

HORIZON 2
trends in the short- to medium-term

HORIZON 1
impacts today and tomorrow

Now Short-term Medium-term Long-term

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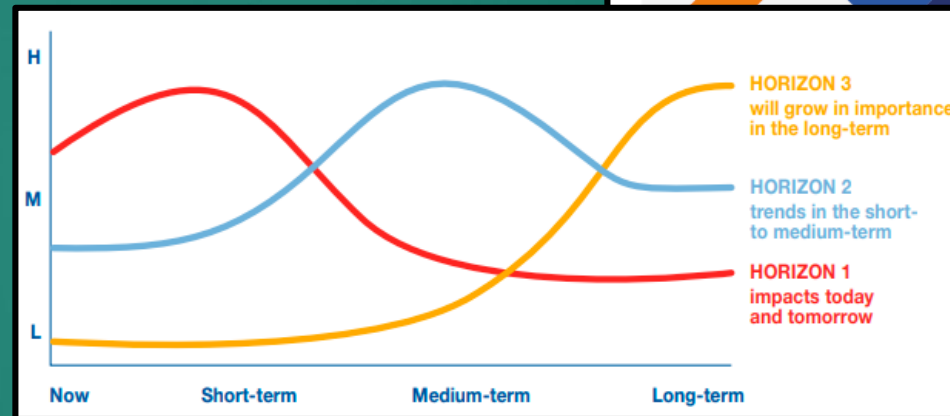
Instructions

- The play button for audio needs to be selected on each slide to listen to the audio content.

- The black arrow on the side moves through the various sections of the module.

- At the end of each section, please scroll down to click on the 'Continue' button to move to the next section. The 'start again' option on the last slide of the will bring you back to the beginning of the section.

Learning Objective

To become familiar with what Horizon Scanning is as a supporting tool within the risk management process.

Module Content

✓What is Horizon Scanning?

✓How Horizon Scanning relates to risk management?

✓Illustrative examples

✓Horizon Scanning Engagement Framework

What is Horizon Scanning?

What is Horizon Scanning?

Horizon Scanning can be **defined** as the exploration of what the future might look like to understand uncertainties better and to analyse whether the organisation is adequately prepared for potential opportunities and threats.

[Horizon Scanning: A Practitioner's Guide]

Definitions of Horizon Scanning

"Horizon scanning helps us to better understand emerging trends and early-stage technologies. The process of horizon scanning is to provide a clear view of new innovations, drugs and technologies, which have the potential to improve care for patients". NHS

Organisation for Economic Co-operation and Development (OECD): horizon scanning is "a technique for detecting early signs of potentially important developments through a systematic examination of potential threats and opportunities, with emphasis on new technology and its effects on the issue at hand" (OECD, n.d.a).

HSE Definition of Horizon Scanning

Horizon Scanning	A tool to examine future threats and opportunities before they occur across the short, medium or longer term. Particularly useful when it comes to emerging risks.

Horizon Scanning everyday illustrative example

When undertaking a long journey, you scan ahead for any obstacles, changes in circumstance, or signs that could disrupt your plans. This will inform what response you are to take.

Other organisational example

Table 1 — Global health priorities ordered by probable timeframe

Timeframe	Issue
< 5 years	Pandemic preparedness and prevention
	Vaccine distribution
	Machine learning for antibiotic discovery
	Apps for disease screening
	Coordinated biobanking
	Addressing misinformation and disinformation
	Using real-world evidence
5–10 years	Biosensor-based point-of-care diagnostic methods
	Artificial intelligence-assisted clinical reasoning support systems
	Pull-through drug development
	Genetically engineered phage therapy
	Digital health and surveillance
≥ 10 years	Telemedicine
	Microbiome-based therapies
	Migrant health

https://www.who.int/publications/i/item/9789240044173

What is Horizon Scanning - Recap

How Horizon Scanning relates to risk management

HSE Enterprise Risk Management Policy and Procedures 2023

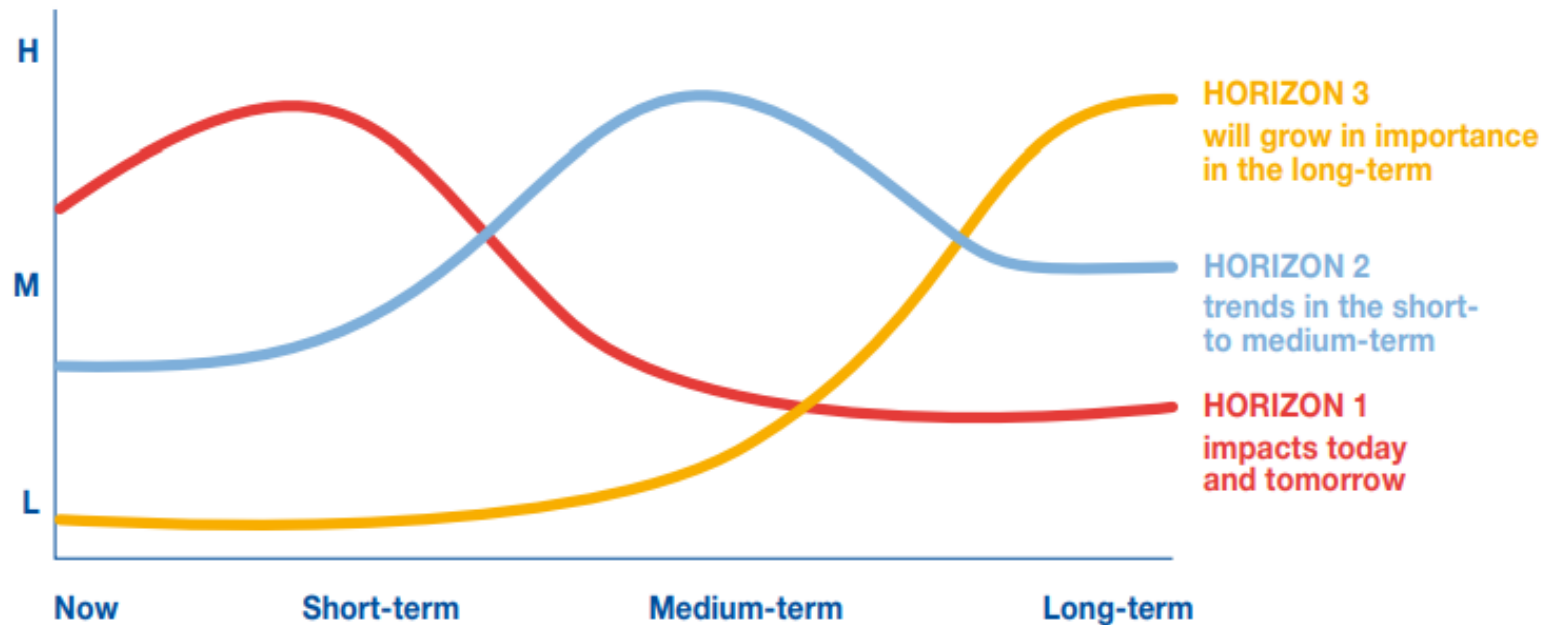Risk is the effect of uncertainty on objectives.

Table 2: Sources and Approaches for Identifying Risks

Potential Sources of Information	
Risk Registers	Complaints/Surveys/Investigation Reports
Internal and External Audit Reports	Incident/Near Miss Tracking and Trending
Press	Incident Review Reports
Reviews	Non-conformance reports/performance reports
Policies, Procedures, Protocols and Guidelines	

Examples of Approaches to Identifying Risks	
PESTLE analysis	Benchmarking
Bow-tie Analysis	Meetings/committees
Risk assessment workshops	Data Protection Impact Assessment
Brainstorming	Horizon Scanning
Questionnaires/Surveys	

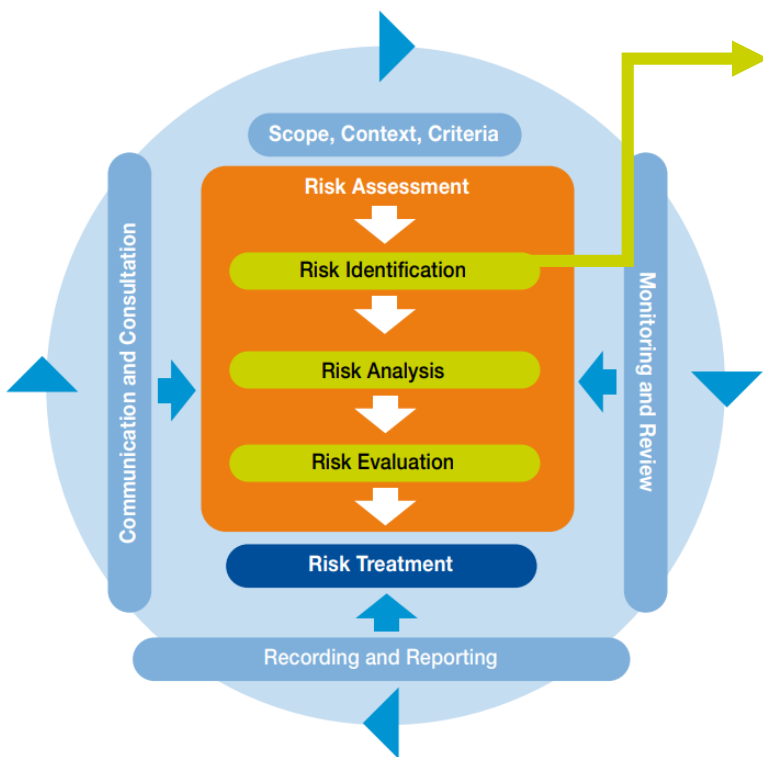Page 29 ERM Policy and Procedures 2023

Figure 19: Three Horizons Model

HSE Horizon Scanning Template

Horizon Scanning Template

Business Objective			
Date			
< 5 Years			
Insert category of potentially affected area, e.g. financial, regulatory	High Impact If assessed as 'High Impact' provide detail available to date and potential impact	Medium Impact If assessed as 'Medium Impact' provide detail available to date and potential impact	Low Impact If assessed as 'Low Impact' provide detail available to date and potential impact
5 to 10 Years			
> 10 Years			

Supporting Tools:
https://www.hse.ie/eng/about/who/riskmanagement/risk-management-documentation/hse-enterprise-risk-management-supporting-tools/

Risk Identification

HSE Enterprise Risk Management Process

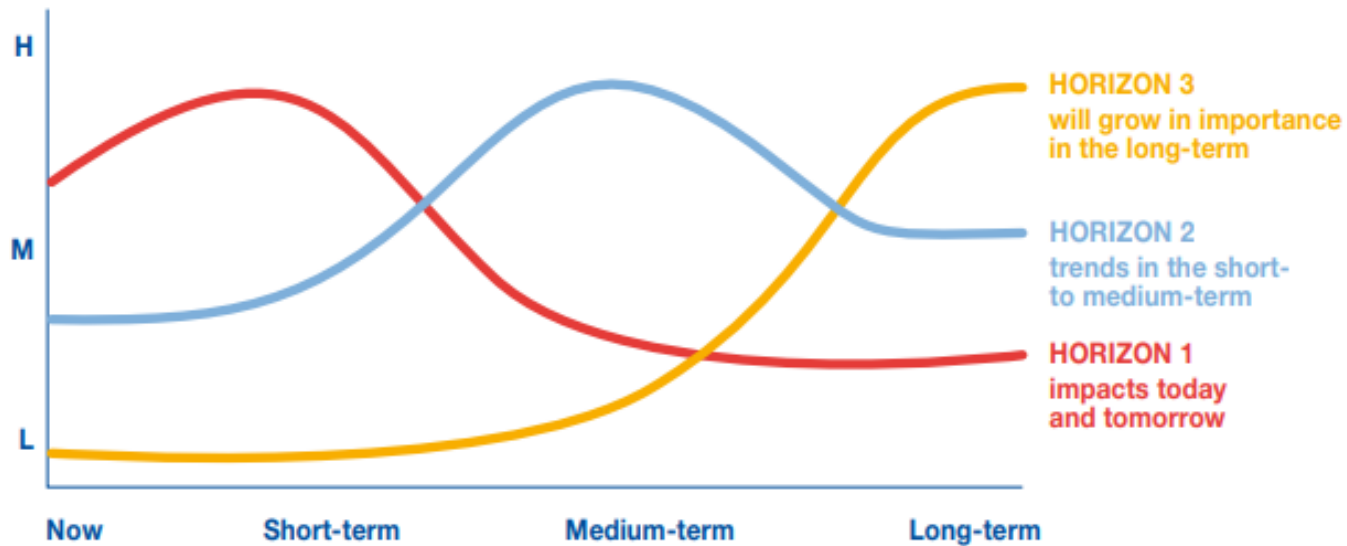**Risk Identification (Section 2.2.1)**

Use the Three Horizons framework to **systematically identify risks across different time frames**. Engage stakeholders to provide insights and identify potential risks in each horizon.

Use the Horizon Scanning template provided in the ERM policy to **document risks** and assign them to the appropriate horizon.
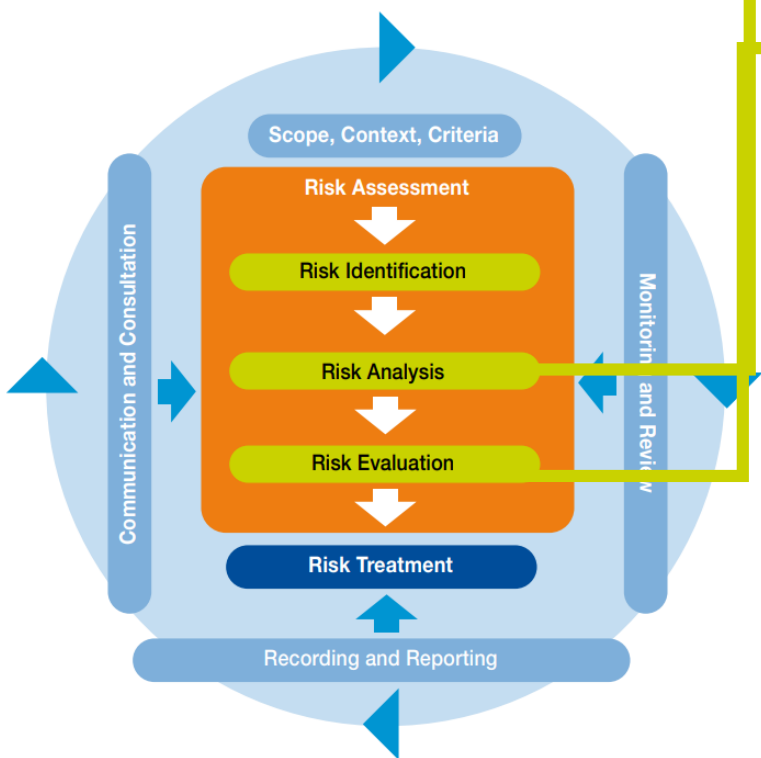
Risk Identification

Figure 19: Three Horizons Model

HORIZON 3
will grow in importance in the long-term

HORIZON 2
trends in the short- to medium-term

HORIZON 1
impacts today and tomorrow

HORIZON 1: Where are you currently taking action
HORIZON 2: Visible trends for strategic consideration
HORIZON 3: Little trend information today but planning needed

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Horizon Scanning Template

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5 to 10 Years			
> 10 Years			

Risk Analysis and Evaluation

Risk Analysis & Evaluation (Sections 2.2.2 & 2.2.3)

Use the ERM policy to **categorise their impact**.

Categories by Risk Impact
Harm to a Person (service user, patient, staff & public)
Service User Experience
Business/Service Disruption/Security (unauthorised and/or inappropriate access to systems/assets including data)
Loss of Trust/Confidence or Morale (Public/Staff), including reputational risk
Organisational Objectives or Outcomes
Compliance (legislative, policy, regulatory including data)
Financial (including performance to budget, claims, etc.)
Environmental/Infrastructure/Equipment
Strategic Programme/Project (objectives/timeframes) – *HSE Executive Use Only*

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Risk Analysis and Evaluation

Risk Analysis & Evaluation (Sections 2.2.2 & 2.2.3)

Horizon 1: Analyse and evaluate immediate risks **using current information and reports**. Determine the likelihood and impact.

Horizon 2: Use **emerging trends and available information** to evaluate medium-term risks. Consider strategic objectives and how these trends could affect the Health Service.

Horizon 3: Evaluate long-term risks by considering **scenarios**. Assess the potential impact of changes and how they could disrupt the Health Service.

Risk Treatment
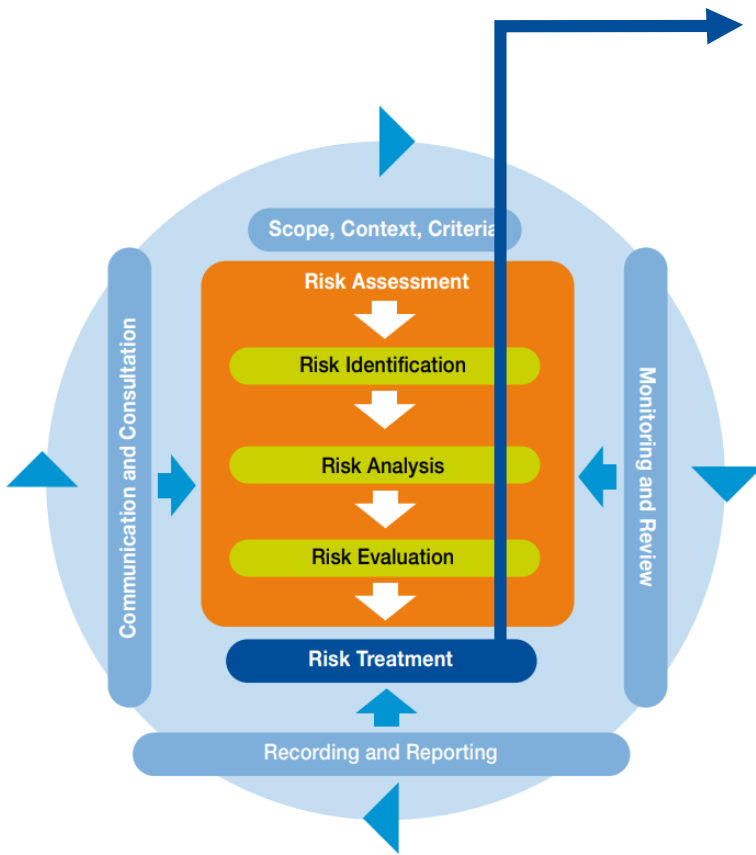
Risk Treatment (Section 2.3)

Develop treatment plans for each horizon.

Horizon 1: focus on the effectiveness of **immediate control measures** and action plans.

Horizon 2: plan strategic initiatives **and allocate resources to address emerging trends**.

Horizon 3: **develop contingency plans** and build flexibility into strategic planning.

HSE Enterprise Risk Management Process

Monitoring and Review
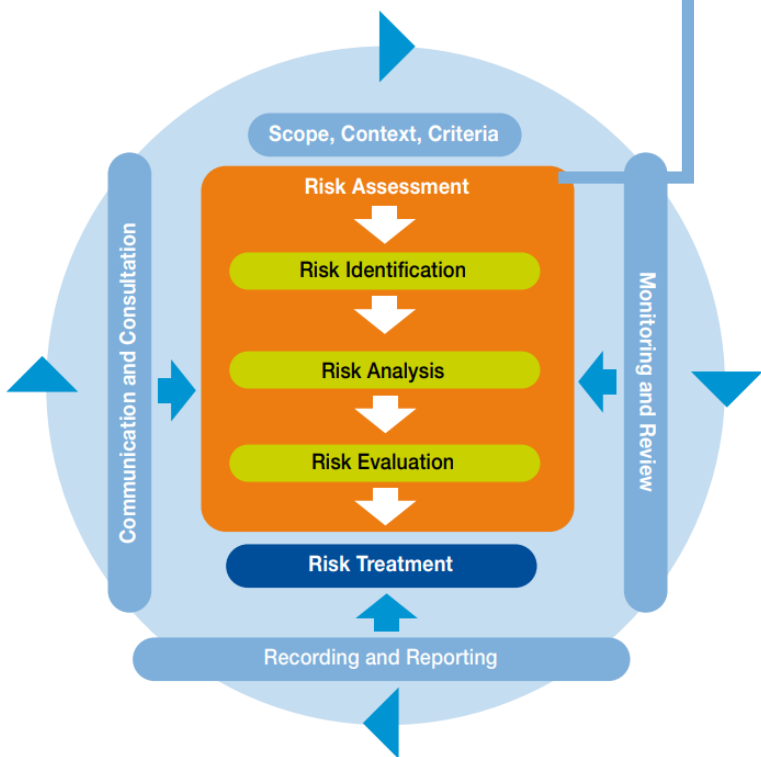
HSE Enterprise Risk Management Process

Monitoring and Review (Sections 2.6 & 3.8)

Regularly review and update the risk register to reflect changes in your area of responsibility across all three horizons. Ensure continuous monitoring and reassessment of risks as new information becomes available.

Use the Three Horizons Model to guide periodic reviews and ensure that all time frames are considered in the risk management process.

Regular Horizon Scanning is important for the HSE to stay prepared and adapt or respond to future challenges/changes. By involving the right people and conducting scans at appropriate intervals, we can better manage risks and ensure high-quality healthcare delivery.

Monitoring and Review

- Horizon Scanning is performed by senior management and department heads/managers with the involvement of key stakeholders to include advisors, healthcare professionals, and frontline staff who provide valuable insights from their experience.

- It is recommend that a full Horizon Scan is carried out when significant changes occur and/or annually to stay updated on new risks and trends in healthcare.

How Horizon Scanning relates to risk management - Recap

Illustrative Examples

# Example 1 – for illustrative purposes only

Risk < 5 Years: Failure to implement new European Union (EU) regulations in a timely manner, such as the Medical Device Regulation (MDR) and the In Vitro Diagnostic Regulation (IVDR).

Example 1 – for illustrative purposes only

Enterprise Risk Management   Horizon Scanning Template

Business Objective	Timely compliance with statutory and regulatory obligations		
Date	2024		
< 5 Years			
Insert category of potentially affected area, e.g. financial, regulatory	High Impact If assessed as 'High Impact' provide detail available to date and potential impact	Medium Impact If assessed as 'Medium Impact' provide detail available to date and potential impact	Low Impact If assessed as 'Low Impact' provide detail available to date and potential impact
Compliance - The implementation of new European Union (EU) regulations, such as the Medical Device Regulation (MDR) and the In Vitro Diagnostic Regulation (IVDR).	The increased administrative burden and potential delays in medical device availability can significantly affect healthcare delivery. Higher compliance costs may strain financial resources, particularly for smaller healthcare providers and suppliers. The comprehensive nature of these regulations may require significant changes in procedures, making the impact substantial. These regulations, aimed at improving patient safety and transparency, require comprehensive changes in compliance procedures, documentation, and reporting standards.		

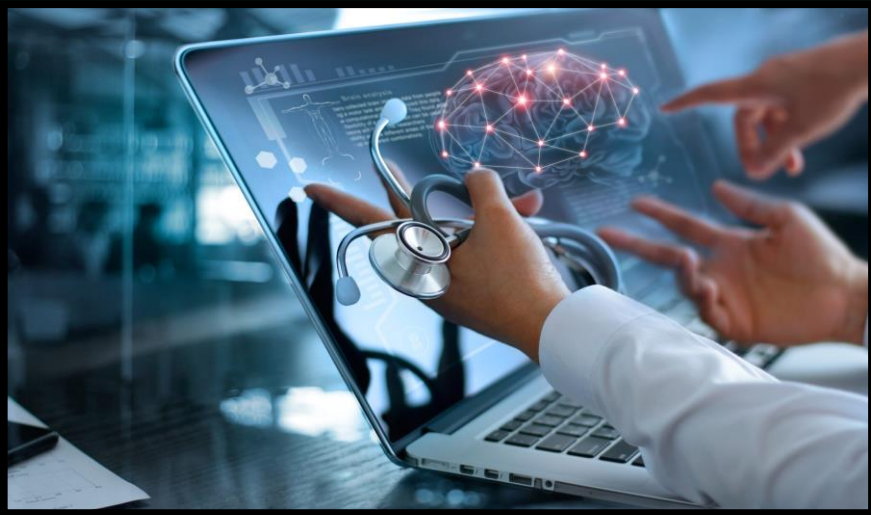# Example 1 – for illustrative purposes only
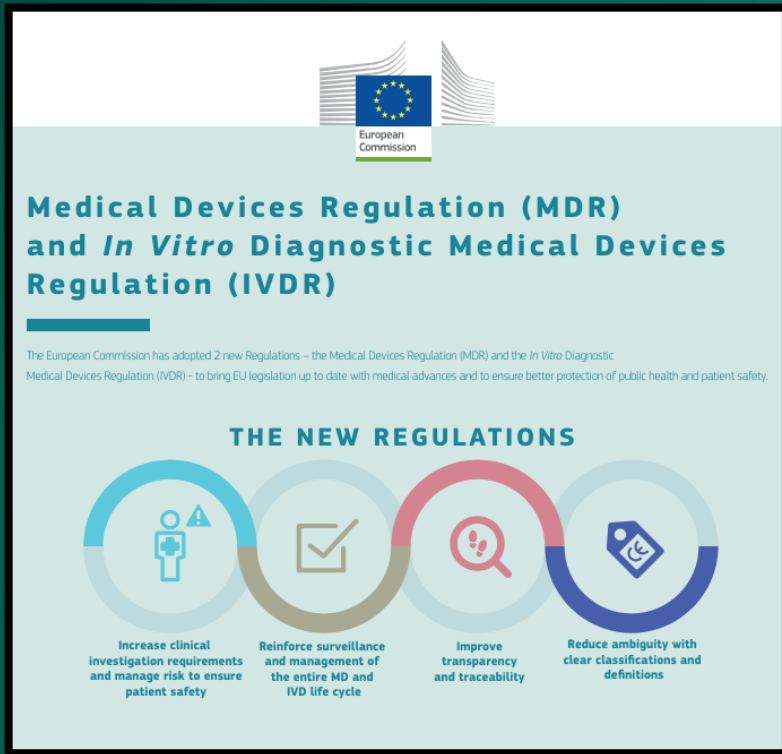
Potential Treatment:
Early and comprehensive planning for compliance with new regulations.
Enhanced training programmes for staff on new regulatory requirements.
Collaboration with EU regulatory bodies to streamline processes.

Example 2 – for illustrative purposes only

Risk 5 – 10 Years: The proliferation of digital health technologies, including telemedicine, electronic health records (EHRs), and mobile health applications, brings regulatory challenges related to data privacy, cybersecurity, and interoperability.

Example 2 – for illustrative purposes only

Enterprise Risk Management   Horizon Scanning Template

Business Objective	To ensure information is retained in a secure manner		
Date	2024		
< 5 Years			
Insert category of potentially affected area, e.g. financial, regulatory	High Impact If assessed as 'High Impact' provide detail available to date and potential impact	Medium Impact If assessed as 'Medium Impact' provide detail available to date and potential impact	Low Impact If assessed as 'Low Impact' provide detail available to date and potential impact
5 to 10 Years			
Security - The proliferation of digital health technologies, including telemedicine, electronic health records (EHRs), and mobile health applications, brings regulatory challenges related to data privacy, cybersecurity, and interoperability.		Data breaches and cyberattacks pose serious risks to patient privacy and can undermine trust in digital health solutions. Compliance with data protection regulations and ensuring interoperability require ongoing effort but are manageable with proper planning. The rapid pace of technological change necessitates continuous updates to regulatory frameworks, making this a moderately impactful area.	

Example 2 – for illustrative purposes only
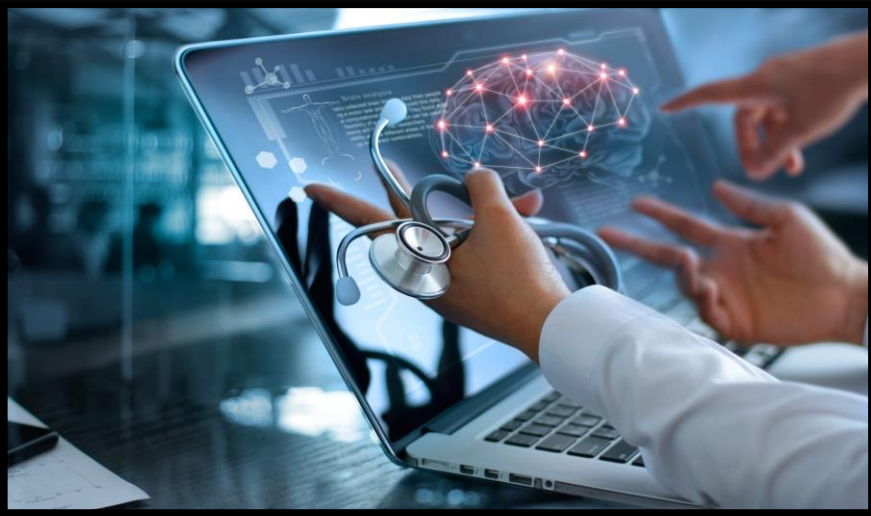
Potential Treatment:
Implementation of robust cybersecurity measures and regular security audits. Development of clear guidelines and standards for digital health technologies. Strengthening data protection frameworks to ensure patient privacy.

Illustrative Examples Recap

Horizon Scanning Engagement Framework

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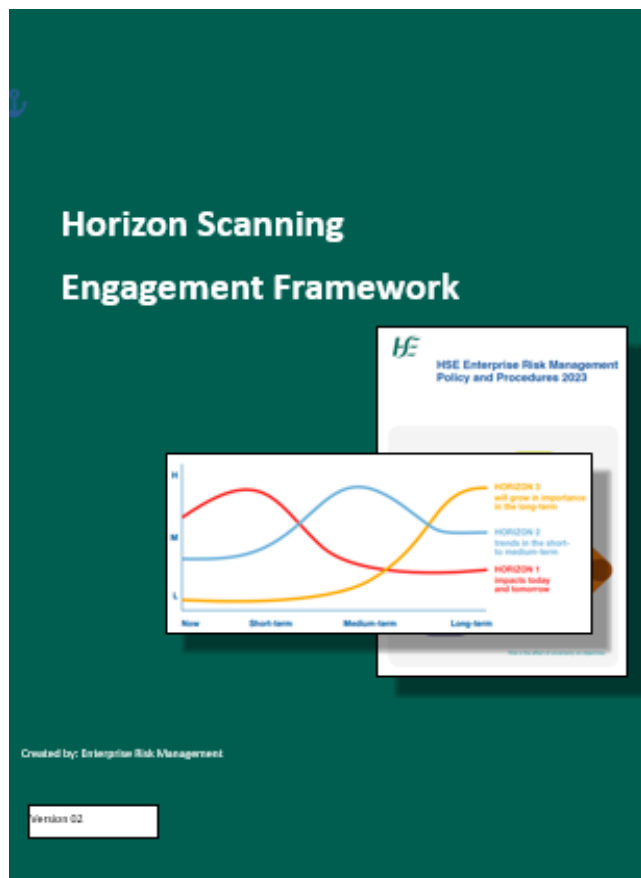
Risk is the effect of uncerta...

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Horizon Scanning Engagement Framework

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Horizon Scanning Engagement Framework

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Horizon Scanning Engagement Framework Recap

Thank you