

**NHS Herts Valleys Clinical Commissioning Group**  
**HVCCG CCG Board Meeting**  
**4 June 2015**

<b>Title</b>	Q4 2015 HVCCG Corporate Risk Register Review	<b>Agenda Item: 15</b>
<b>Purpose (tick one only)</b>	Approval <input checked="" type="checkbox"/> Discussion <input checked="" type="checkbox"/> Consideration <input type="checkbox"/> Noting <input type="checkbox"/>	Information <input type="checkbox"/>
<b>Responsible Director(s) and Job Title</b>	Jan Norman, Director of Nursing & Quality	
<b>Author and Job Title</b>	Dawn Crump, Interim Risk Manager	
<b>Recommendations/ Action Required by the Board</b>	The Board is asked to: <ul style="list-style-type: none"> <li>• Note the changes to the Corporate Risk Register in the latest review</li> <li>• Note the new and emerging risks</li> </ul>	
<b>Classification</b> <i>Is this report exempt from public disclosure? (ie. FOIA or DPA)</i>	No	
<b>Impact on Patients/Carers/Public</b>	Not applicable	
<b>Engagement with Stakeholders/Patient/Public</b>	Not applicable	
<b>Links to Strategic Objectives</b>	<p><b>Objective 1</b> We will continually improve engagements with member practices, patients, the public and carers to contribute to and influence the work of Herts Valleys CCG</p> <p><b>Objective 2</b> We will commission safe, high quality services that meet the needs of the population, reducing health inequalities and supporting local people to avoid ill health and stay well</p> <p><b>Objective 3</b> Work with health and social care partners to transform the delivery of care through the implementation of “Your Care, Your Future”, the Strategic Review in West Hertfordshire</p> <p><b>Objective 4</b> We will ensure that there is a financially sustainable and affordable healthcare system in West Hertfordshire</p>	
<b>Board Assurance Framework</b> <i>Does this report provide evidence of assurance for the Board Assurance Framework?</i>	Yes	
<b>Does this report mitigate risk that is included in the Corporate Risk Register?</b>	Not applicable	
<b>Resource Implications</b>	The Corporate Risk Register provides an overview of high level risks across all Directorates, Programmes and Localities. Risks on the Corporate Risk Register are owned and managed by the CCG Executive. All the risks on the Corporate Risk Register have an actual or potential resource implication	

<b>Equality and Diversity</b> (Has an Equality Analysis been completed?)	Not applicable
<b>Legal/Regulatory Implications</b>	To comply with the legal requirements of the Health and Social Care Act 2012
<b>Sustainability Implications</b>	Not applicable
<b>NHS Constitution</b>	<p><b>Principle 1</b> The NHS provides a comprehensive service available to all</p> <p><b>Principle 2</b> Access to NHS services is based on clinical need, not an individual's ability to pay</p> <p><b>Principle 3</b> The NHS aspires to the highest standards of excellence and professionalism</p> <p><b>Principle 4</b> The NHS aspires to put patients at the heart of everything it does</p> <p><b>Principle 5</b> The NHS works across organisational boundaries and in partnership with other organisations in the interest of patients, local communities and the wider population</p>
<b>Report History</b>	<p>Senior Leadership Team Meeting 14<sup>th</sup> April 2015</p> <p>Commissioning Executive 23<sup>rd</sup> April 2015</p> <p>Quality &amp; Performance Committee 30<sup>th</sup> April 2015</p> <p>Audit Committee (circulated electronically May 2015)</p>
<b>Appendices</b>	None

## **Introduction**

The aim of this paper is to provide an update on key strategic, financial and operational risks within HVCCG. The Corporate Risk Register was last presented to the HVCCG Board in April 2015.

## **Context**

The Corporate Risk Register provides an overview of high level risks across all Directorates, Programmes and Localities. Risks on the Corporate Risk Register are owned and managed by the CCG Executive as a delegated monitoring Committee of the HVCCG Governing Body. Through 2015/16 the Corporate Risk Register will be reviewed and presented at Executive meetings quarterly.

All risks on the Corporate Risk Register have a residual score of **8** or higher. The Corporate Risk Register is reviewed at CCG Executive and Commissioning Executive Meetings and also by the Quality & Performance Committee, Audit Committee and HVCCG Board; internally the Risk Management Group has sight of the Corporate Risk Register but for information purposes only.

The Corporate Risk Register has undergone a Q4 2015 review by risks owners in respect of risk description, controls, actions and scoring.

## **Summary of changes**

**The following new risks have been added to the CRR this cycle:**

<b>Risk Ref</b>	<b>Date reviewed</b>	<b>Risk Owner</b>	<b>Issue</b>	<b>Risk Score/Movement</b>
SO2/25	17-03-15	CA	National Target for Dementia Diagnosis	12
SO1/09	17-03-15	LG	Resourcing to deliver joint co-commissioning of primary medical services	16
SO1/10	17-03-15	LG	CCG implementation of recommendations in relation to the external review of Cancer Pathway at WHHT	12
SO2/26	18-03-15	JN	Transforming Care Programme	12
SO2/27	07-03-15	JN	Quality & Safety risks in relation to urgent care – A & E waiting time targets and ambulance delays	16
SO4/27	16-03-15	AW	Negotiation of mutually acceptable and affordable contracts with providers	12
SO4/28	16-03-15	AW	NHS England and HVCCG assurance regarding appropriate levels of activity being commissioned for 15/16	16
SO2/28	04-03-15	JN	Statutory Children's Safeguarding Requirements	12

The following risks have been removed/de-escalated from the CRR this cycle:

Risk Ref	Date reviewed	Risk Owner	Issue	Risk Score/Movement
SO2/21	16-03-15	AW	Retrospective Continuing Health Care Claims <b>De-escalated to Finance Risk Register</b>	<b>NHS England refunded £1.6 m of CCG contributions – national levels of expenditure less than forecasted</b>
SO3/01	17-03-15	LG & NB	Engagement with member practices	Risk SO3/01 and Risk SO3/04 reviewed and merged

#### Changes to risk scores this review

Risk Ref	Date reviewed	Risk Owner	Issue	Risk Score/Movement
SO3/05	17-03-15	CA	Better Care Fund	12 ↓ Improved governance and monitoring systems
SO2/22	31-03-15	JN	Personal Health Budgets	9 ↓
SO1/04	17-03-15	CA	Capacity to fulfil required contract monitoring to ensure effective commissioning decisions.	8 ↓ 60% recruitment of key staff achieved, plans for further recruitment in place
SO4/24	18-03-15	JR	External Communication	8 ↓
SO4/25	18-03-15	JR	Patient and public involvement	9 ↓
SO2/24	29-10-14	JN	Looked after children review (CQC)	8 ↓ Implementation of action plan near to completion
SO2/23	29-10-14	JN	Looked after children service and health assessments	8 ↓ Model for service established and partially in place
SO4/03	16-03-15	AW	Achievement of QIPP savings	16 ↓ Mitigations in place to offset underachievement of QIPP
SO4/22	16-03-15	AW	Unplanned hospital activity costs	16 ↓ Acute expenditure increased but mitigations in place to accommodate
SO4/23	16-03-15	AW	Extra contractual/unplanned costs	12 ↓ Surplus target will be achieved at year end

#### The following are currently 'Risks under Consideration for Inclusion':

Risk Ref	Date reviewed	Risk Owner	Issue	Status
	26-03-15	LG	Risks in relation to infrastructure of primary care estates and technology not being able to respond to challenge of capacity	New risk under consideration

**In addition to the new risks above the following issues have been considered for addition to the CRR during this review:**

HVCCG Health & Safety Management (this risk will be managed within the Corporate Support Risk Register)

RTT Royal Free Backlog (this risk will be managed within the Contract Team Risk Register)

**All remaining risks have been reviewed by risks owners in respect of risk description, controls, actions and scoring.**

**Recommendations this review:**

The fully updated Corporate Risk Register April 2015 can now be accessed electronically by Executive Risk Owners and Risk Leads by using the following link:

[\\HVCCG-FS01 N:\\\_SECURE\Risk Management System\1. Corporate Risk Register\April 2015](\\HVCCG-FS01 N:\_SECURE\Risk Management System\1. Corporate Risk Register\April 2015)

### **Risk Management Systems**

**Risk Management Training** – this has been reviewed in line with the Risk Management Strategy and a revised programme of mandatory and induction training will be available during 15/16. HVCCG are fully compliant with the mandatory aspects of this training and all staff will be informed of the new programme during April as well as introducing a more advanced module of risk management workshops for managers.

**Risk Management Group** - the membership and Terms of Reference of this Group have been reviewed. With the assistance of senior leaders, they will continue within the CCG, raising awareness of the Risk Management Strategy and duties therein. The meeting will continue to run bi-monthly. This coupled with support to risk owners in teams and localities in the development of their systems for assessing and recording risks are currently the main areas of development.

**Risk Management Systems Audit** – this was undertaken by Baker Tilley our internal auditors in January 2015 and the outcome was Amber/Green *Reasonable Assurance* – 5 recommendations for improvement were made which will be fully implemented over the coming year.

### **Conclusion**

Members are asked to approve the proposed amendments to the Corporate Risk Register and acknowledge the developments within the CCG in relation to our risk management systems.