

## Risk Report

**March 2017**

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<b>Audience</b>	Governing Body Audit Committee

### EXECUTIVE SUMMARY

This gives a summary position of the CCG's approach to risk management at the end of 2016/17 commissioning year.

The Governing Body receives a separate report on its risks to its principal objectives (The Governing Body Assurance Framework). This report therefore identifies risks that are handled operationally throughout the organisation, some of which are specific to certain functions and some of which are corporate as they are sufficiently broad (e.g. business continuity) or sufficiently critical (e.g. legal health and safety responsibilities) as to merit wider attention.

It should be noted that:

- Surrey Downs CCG has been actively managing risks and has received reasonable assurance from its internal auditors that its systems of internal control are adequate.
- The risk management strategy was refreshed in September and the Datix risk management system went live the same month.
- Training has been provided to staff at all levels of the organisation and there is an increasingly positive risk management culture emerging.
- Risks are reviewed in the responsible committees and by the Executive
- Less than 20% of the risks are in the high category
- There has been no substantial change in the risk profile since the last meeting
- The majority of risks are outside of appetite and are being treated rather than tolerated
- One third of the total risks are related to CHC operational issues.

Risks are in the process of being refreshed for the 2017/18 risk register.

**For further information contact:**

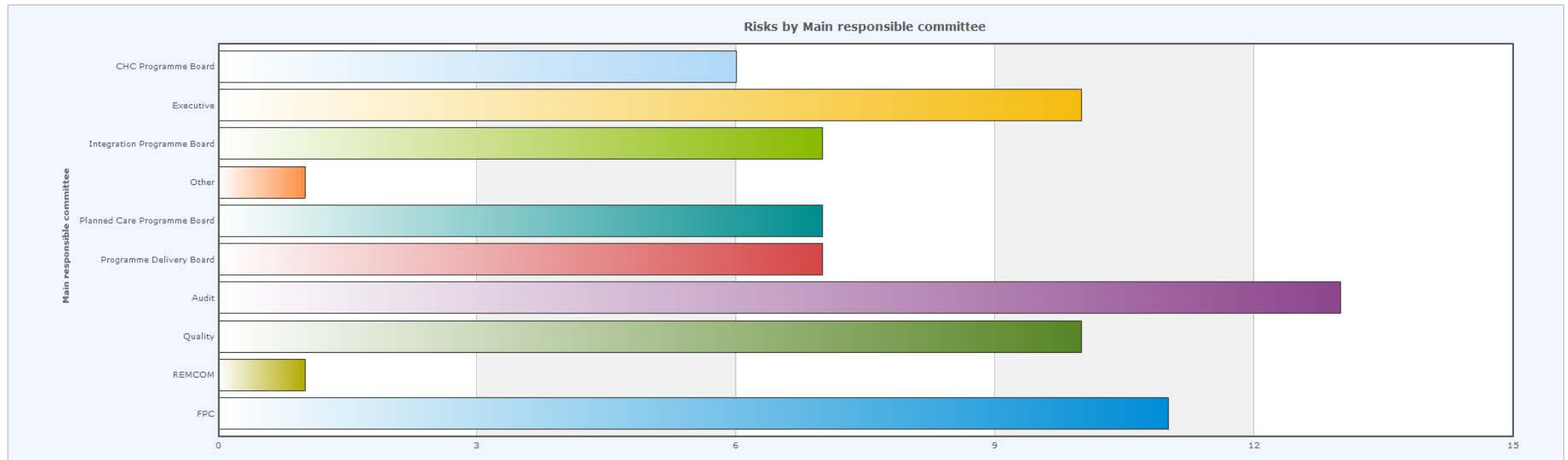
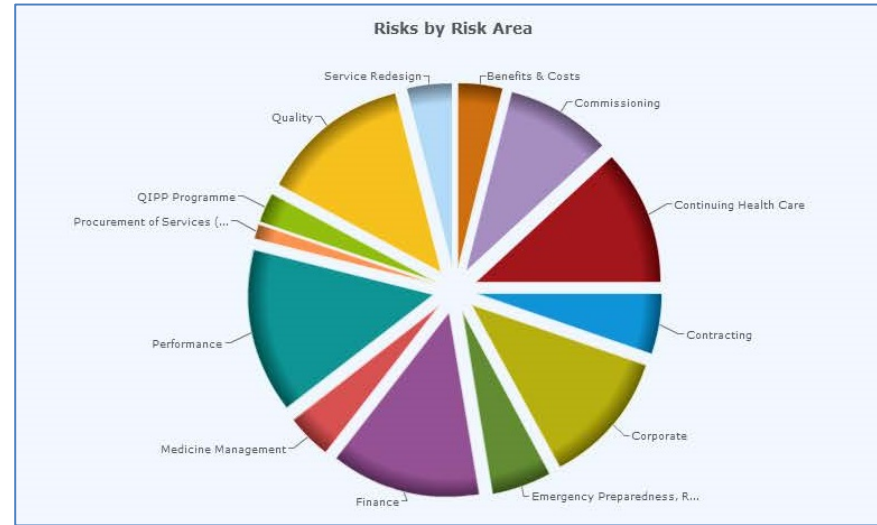
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## GOVERNANCE SUMMARY

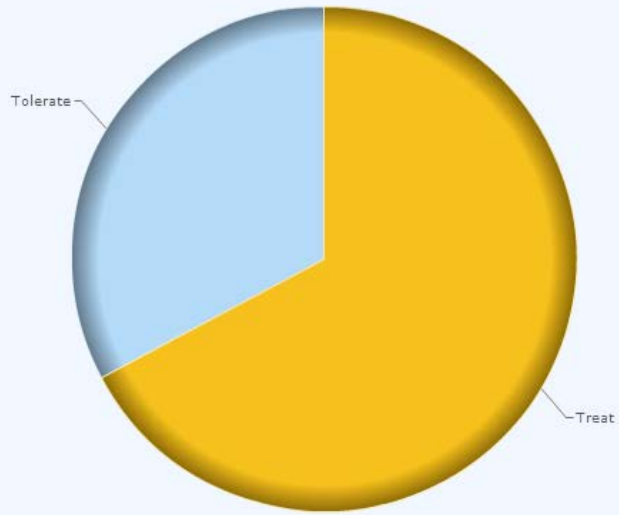
<b>Compliance:</b>	<b>Finance:</b> The significant financial risks relate to QIPP and are covered in the assurance framework
	<b>Engagement :</b> Internal engagement on risk.
	<b>Formal impact assessments:</b> None relevant
	<b>Risk:</b> Subject of paper
	<b>Legal:</b> No specific issues
<b>CCG principal objectives relevant to this paper</b> (delete those that do not apply):	<p>P1) Deliver the Financial Recovery Plan, based largely on a successful transformational QIPP programme</p> <p>P4) Ensure that the CCG's Organisational Development programmes support the delivery of both strategic objectives and business as usual.</p>
<b>CCG Operating plan objectives relevant to this paper</b> (delete those that do not apply):	<p>OP1) Implement the quality improvement strategy</p> <p>OP2) Implement pathway programmes</p> <p>OP3) Enabling work programmes</p> <p>OP4) Delivery of planning trajectories including constitution standards</p> <p>OP5) Delivery of other priorities</p>
<b>CCG core functions relevant to this paper</b> (delete those that do not apply):	<p>CSF1 Commissioning of services, including patient choice</p> <p>CSF4 Compliance with standards including patient safety</p> <p>CSF7 Governance and leadership, including standards of conduct</p> <p>CSF8 Emergency planning and business continuity</p> <p>CSF10 Procurement of services</p> <p>CSF14 Health and Safety</p> <p>CSF17 Continuing Health Care</p>

## Risk Dashboard

	High	Low	Moderate	Very low	Total
Commissioning	0	2	1	0	3
Continuing Health Care (CHC)	8	4	11	1	24
Contracting	0	0	4	1	5
Corporate	0	3	0	0	3
EPRR	1	3	3	0	7
Finance	2	2	0	2	6
IFR	0	1	2	0	3
Performance planning & analytics	1	0	1	0	2
Pharmaceutical Commissioning	1	0	0	0	1
Programme Management Office	1	0	3	0	4
Quality & Patient Safety	1	1	3	1	6
RSS	0	0	1	0	1
Urgent Care & Integration	0	2	5	2	9
MEDI	0	0	1	1	2
<b>Total</b>	<b>15</b>	<b>18</b>	<b>35</b>	<b>8</b>	<b>76</b>



Risks by T Value



Risks by Risk level (current)

