

<b>Report To:</b>	<b>Governing Body</b> <b>9 April 2015</b>
-------------------	--

<b>Title of Report:</b>	<b>High Level Risk Log and Report: Risk Cycle 6 2014/15</b>
-------------------------	---

<b>FOI Exemption Category:</b>	<b>Open</b>
--------------------------------	-------------

<b>Responsible Officer:</b>	<b>Matt Walsh, Chief Officer</b>
-----------------------------	----------------------------------

<b>CCG Leads:</b>	<b>Judith Salter, Corporate and Governance Manager</b>
-------------------	--

<b>Report Author and Job Title:</b>	<b>Sarah Dick, Senior Associate: Governance and Risk, Yorkshire &amp; Humber Commissioning Support</b>
-------------------------------------	--

<b>Executive Summary:</b>	<p>This paper presents the High Level Risk Log and Report at the end of the sixth risk cycle for 2014/15 (February – March 2015), reporting on risks scoring 15 or above.</p> <p>All risks on the CCG Risk Register were submitted for review to either the Finance and Performance Committee (finance, performance and corporate risks) or the Quality Committee (clinical risks) on 26<sup>th</sup> February 2015.</p> <p>The Audit Committee has responsibility for overseeing the risk management process and for monitoring high level risks rated 12 or above. This was undertaken at their meeting on 5<sup>th</sup> March 2015</p> <p>During the sixth risk cycle of 2014-15, there were:</p> <ul style="list-style-type: none"> <li>▪ A total of 59 risks on the CCG Risk Register, with 8 of these risks marked for closure, leaving 51 open risks. This compares with 45 open risks at the end of the previous risk cycle.</li> <li>▪ No Critical risks on the Risk Register (scoring 20 or 25) and 8 Serious risks (scoring 15 or 16). This compares with no</li> </ul>
---------------------------	---

	Critical risks and 7 Serious risks during the previous risk cycle.
<b>Finance/Resource Implications:</b>	Not applicable
<b>Risk Assessment:</b>	Risk is managed in line with the CCG's Integrated Risk Management Framework. Risks are captured on the Corporate Risk Register or the Governing Body's Assurance Framework as appropriate.
<b>Legal Implications:</b>	None identified
<b>Health Benefits:</b>	Not applicable
<b>Staffing/Workforce Implications:</b>	As identified within the content of the Risk Log.
<b>Outcome of Equality Impact Assessment:</b>	Not applicable to this paper
<b>Recommendation (s):</b>	That the Governing Body receives the High Level Risk Log and Report at the end of Risk Cycle 6, following recommendation from the Audit Committee on 5 <sup>th</sup> March 2015
<b>Appendices</b>	Appendix 1: High Level Risk Log as at 5 <sup>th</sup> March 2016 Appendix 2: CCG Risk Dashboard Cycle 6 2014/15

## 1.0 Purpose of the Report

- 1.1 To provide assurance on the process for the detailed review of the CCG's risks.
- 1.2 To set out all risks rated 15 or above (see *Appendix 1*).
- 1.3 To provide a summary of the CCG's current risk profile and related comparative data via the CCG Risk Dashboard Report (see *Appendix 2*).

## 2.0 Risk Review: Risk Cycle 6

- 2.1 Following update by Risk Owners and review of individual risks by the allocated Senior Manager, the Corporate Risk Register was reviewed by the Senior Management Team on 16th February 2015.
- 2.2 All risks were submitted to either the Finance and Performance or the Quality Committees for review at their meetings on 26<sup>th</sup> February 2015. Some queries were raised at the Finance and Performance Committee about the new risks relating to the Right Care, Time and Place Programme. It was agreed that these would be subject to further consideration during the next risk cycle.
- 2.3 Risks scoring 12 and above were reviewed by the Audit Committee at their meeting on 5<sup>th</sup> March 2015.

### Risk Register Summary: Risk Cycle 6

- 2.4 At the end of Risk Cycle 5, NHS Calderdale CCG had 59 risks on the CCG Risk Register, with 8 risks marked for closure, leaving a total of 51 open risks. This compares with 45 open risks at the end of the previous risk cycle. This is due to the incorporation of the key risks from the Right Care, Time and Place Programme into the corporate risk register.
- 2.5 22 of the CCG's 59 risks (37%) related to quality and clinical matters. The remaining 37 risks (63%) related to finance, performance or corporate matters.
- 2.6 During the current risk cycle, risk categories were introduced to the Corporate Risk Register in order to facilitate the thematic analysis of risk and are reported on the Risk Dashboard (*Appendix 2*).

## 3.0 High Level Risks

- 3.1 There were no risks rated as Critical (with a score of 20 or 25) during Risk Cycle 6 (nor at any point during 2014-15).
- 3.2 There were 8 open risks rated as Serious (with a score of 15 or 16) during Risk Cycle 6, including 4 new risks. This compares with a total of 7 open risks rated as Serious during the previous risk cycle:

Risk ID, Committee,	Risk Summary	Score Risk Cycle 5	Score Risk Cycle 6
556 Quality	Needs of service users not met due to slippage against the agreed recovery plan for Children & Adolescent Mental Health Services in Calderdale & Kirklees.	N/A	16
549 Finance & Performance	Non-delivery of co-ordinated change across hospital and community services at sufficient pace and scale by the Right Care, Right Time, Right Place Programme.	N/A	16
542 Finance & Performance	Resource to support consultation for the Right Care, Right Time, Right Place Programme during transition to in-house Communications services.	N/A	16
515 Finance & Performance	Continuing Healthcare team unable to deliver the level of performance required due to workload demands.	12	16
198 Finance & Performance	The CCG is not fully sighted on the work being undertaken by NHS England on Specialised Commissioning.	16	16
62 Finance & Performance	The local urgent care system does not meet A&E reporting targets,	16	16
484 Quality	Outstanding IT issues / CSU capacity issues in the Quest for Quality in Care Homes project are not resolved.	15	15
547 Finance & Performance	Non-delivery of Right Care, Right Time, Right Place Programme financial savings.	N/A	15

3.3 One risk that was rated as Serious at the time of the last report to the Governing Body has been closed during the current risk cycle (Risk 356) and replaced with a new risk (Risk 556) due to changes to the nature of the risk.

3.4 A further 3 Serious risks included in the last report to the Governing Body have had their scores reduced during the current cycle:

<b>Risk ID, Committee</b>	<b>Risk Summary</b>	<b>Score Risk Cycle 5</b>	<b>Score Risk Cycle 6</b>
511 Finance & Performance	Service issues highlighted as part of the wheelchair service transition to a new provider will not resolve as quickly as anticipated	15	12
374 Quality	Risk that avoidable Health Care Acquired Infections are not prevented and future reductions in targets for C.Difficile will not be met.	16	12
187 Finance & Performance	Under-achievement of 18 weeks performance at specialty level.	15	12

#### **4.0 Recommendation**

It is recommended that the Governing Body receives the High Level Risk Report and Log as at the end of Risk Cycle 6, following recommendation from the Audit Committee on 5<sup>th</sup> March 2015.

#### **Appendices**

- Appendix 1: High Level Risk Register as at 5<sup>th</sup> March 2015
- Appendix 2: CCG Risk Dashboard Report Risk Cycle 6