

**C&P CCG - ASSURANCE FRAMEWORK & RISK REGISTER - SUMMARY: 2017-18**

Ref	Risk	Year Start Risk Score (Apr 17)	Current Risk Score (Aug 17)	Target Risk Score	Movement since last review
CC1	Failure to engage with Member Practices and wider stakeholders	12 Amber	16 Red	6 Yellow	→
CC2	Failure to deliver service transformation due to pressures and challenges facing primary care, and insufficient or uncoordinated resources for commissioning primary care.	12 Amber	12 Amber	12 Amber	→
CC3	Failure to deliver commissioning of primary care in line with the Delegation Agreement with NHS England	12 Amber	3 Green	3 Green	→
CC4	Risk to delivery of the Cambridgeshire and Peterborough Sustainability and Transformation Plan	12 Amber	12 Amber	9 Amber	→
QOP1	Failure to Safeguard Children	12 Amber	9 Amber	6 Yellow	→
QOP2	Failure to Safeguard Adults	12 Amber	6 Yellow	6 Yellow	→
QOP3	Overarching Risk - Potential for the poor quality in the services which the CCG commissions ( <i>Risk re-instated following CCG Governing Body - 04.07.17</i> )	12 Amber	12 Amber	6 Yellow	Re-instated (Aug 17)
QOP3a	Potential for poor quality in the services which the CCG commissions from the East of England Ambulance Trust.	16 Red	12 Amber	12 Amber	↓
QOP3b	Potential for poor quality in the services which the CCG commissions: Smaller contracts	16 Red	12 Amber	12 Amber	↓
QOP3c	Failure to deliver the Integrated Out of Hours Service (QOP 10 and CMP 3 now merged and moved to QOP 3c to discuss the merging of this)	16 Red	16 Red	9 Amber	Revised Risk
QOP4	Risk of poor quality care being delivered to patients in residential and nursing care homes and domiciliary care providers	16 Red	16 Red	9 Amber	→
QOP5	Failure to meet National Framework for NHS Continuing Healthcare and NHS funded Nursing Care compliance	16 Red	16 Red	12 Amber	→
QOP6	Failure to address quality improvement in Primary Care	16 Red	16 Red	12 Amber	↑
QOP7	Impact on quality as a result of workforce capacity within all providers	16 Red	16 Red	12 Amber	→
QOP7a	Impact on quality as a result of workforce capacity in relation to lack of paediatricians	16 Red	16 Red	8 Amber	→
QOP8	Risk around medication safety, including Controlled Drugs	16 Red	12 Amber	9 Amber	↓
QOP9	Risk that the merger between HCT and PSHFT to form North West Anglia NHS Foundation Trust impacts negatively on patient safety, patient experience & patient outcomes at one or both locations - Proposed that this risk be <b>Archived</b>	16 Red	9 Amber	9 Amber	→
QOP10	Failure to deliver the Integrated Out of Hours Service ( <i>Risk merged with CMP 3 and moved to QOP3c above</i> )	16 Red	16 Red	9 Amber	→
QOP11	Financial Risk to complete Care Budgets due to there being a backlog of S117 disputes with the Local Authorities and no agreed Joint Funding Tool in place	16 Red	20 Red	6 Yellow	↑
QOP12	Failure to improve the CCG's Clinical Priority Ratings	12 Amber	12 Amber	6 Yellow	→
F1	Failure to achieve the Financial Control total agreed with NHS England	20 Red	20 Red	12 Amber	→
F2	Failure to provide accurate data on activity and finance for complex cases	16 Red	20 Red	12 Amber	↑
F3	Impact of Termination of the Older Peoples and Adult Social Care Contract on the CCGs Financial Control Total and QIPP Programme	9 Amber	9 Amber	9 Amber	→
CMT1	Risk to delivery of QIPP Plan 2017-18	20 Red	20 Red	12 Amber	→
CMT1a	<i>Impact of Capped Expenditure Process on delivery of QIPP and Financial Control Total wording of risk to be confirmed). Additional sub-risk identified for inclusion by at Finance Committee - 04.07.17: To be populated</i>	TBC	TBC	TBC	
CMT2	Failure to deliver 2017-18 Operational Plan Objectives (Excluding QIPP & Finance)	12 Amber	12 Amber	3 Green	→
CMT3	Impact of reduction in social care funding / capacity	20 Red	16 Red	12 Amber	↓
CMP1	Failure to deliver key NHS Constitution Targets	20 Red	16 Red	3 Green	↑
CMP2	Risk to procuring new support services contract - Failure to procure a new provider including corporate and primary care ICT service	16 Red	16 Red	3 Green	→
CMP3	Risk to the delivery of service standards of the Integrated Out of Hours Services Contract ( <i>Risk to merged with QOP 10 and moved to QOP 3c</i> )	20 Red	20 Red	3 Green	→
ODW1	Insufficient capacity within the CCG to deliver all goals	12 Amber	12 Amber	6 Yellow	→
ODW2	Failure to deliver a robust Organisational Development Plan	12 Amber	6 Yellow	3 Green	↓
G1	Risk to maintaining robust CCG Governance Arrangements	12 Amber	12 Amber	6 Yellow	→
G2	Risk of poor information governance including non-compliance with the DPA, FOIA and other legislation relevant to the CCG and the services it commissions	12 Amber	12 Amber	6 Yellow	→
G3	Risk to robust incident and business continuity planning	6 Yellow	6 Yellow	3 Green	→
G4	Risk to data services following proposed move to health and Social care Information Centre	12 Amber	12 Amber	6 Yellow	→
G5	Failure to comply with public sector Equality Duties	6 Yellow	6 Yellow	3 Green	→
G6	Risk to the CCG meeting Section 5.2.1 of the Constitution - Make arrangements to secure public involvement in the planning, development and consideration of proposals for changes and decisions affecting the operation of commissioning arrangements	12 Amber	12 Amber	6 Yellow	→