

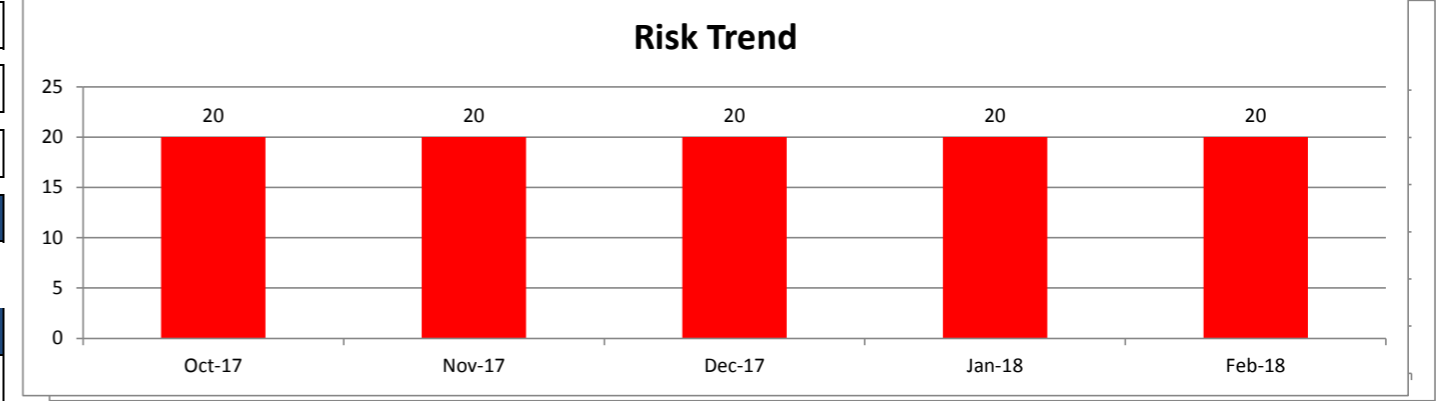
RISK ASSURANCE FRAMEWORK - EXECUTIVE SUMMARY

Risk ID	Lead and Committee	Risk Narrative	Initial Risk Rating			Current Rating					Trend from Previous Report	Target Risk Rating
			Impact	Likelihood	Score	Sep-17	Oct-17	Nov-17	Dec-17	Jan-18		
R01	Jonathan Bemrose, Finance and Information Group	The CCG is unable to deliver against plan due to continually increasing activity, unexpected costs and an inability to maintain QIPP savings.	5	5	25	20	20	20	20	20	↔	15
R02	Jonathan Bemrose, Finance and Information Group	The fragility of the system impacts on the capability of the CCG to deliver against its financial duties.	5	3	15	15	15	15	15	15	↔	10
R03	Sam Walters / Sharon Pickett, Various	Demands for transformation, including the STP, GNHCP, and new models of care impact on the capability to focus on short term performance. Due to competing demands and the complexity of the system the CCG is unable to provide leadership in co-ordinating the delivery of core standards and recovery actions.	4	5	20	20	15	15	15	20	↑	10
R04	Nichola Bramhall, Quality and Risk Committee	The CCG is unable to provide confidence to its local population that it is commissioning clinically safe, high quality, compassionate services. Lack of adequate focus and challenge may lead to compromised quality, outcomes or inappropriate prioritisation.	5	2	10	10	10	10	10	10	↔	6
R05	Hazel Buchanan, Clinical Cabinet and Service Improvement Group	Due to a lack of understanding and/or effort to recognise the different population segments, the CCG is unable to plan effectively and reduce health inequalities and/or demonstrate continuous improvements for the protected characteristics.	5	2	10	10	10	10	10	10	↔	6
R06	Penny Harris, Governing Body	There is a risk that pressures and fragility within the system impact on the CCG's capability to deliver against targets.	5	4	20	20	20	20	20	20	↔	12
R07	Chair, Clinical Cabinet and Governing Body	Limited engagement between member practices and with the CCG impacts on the capability to work together on delivery of transformational change, including gaining benefits through commissioning, federation and to improve the quality of primary medical services.	4	3	12	12	12	12	12	12	↔	6
R08	Sam Walters, Governing Body	Due to the CCG alignment, turnaround and other major priorities, maintaining grip at an NNE level may be compromised impacting on the short term priorities and delivering as a CCG.	4	3	12	20	20	20	20	20	↔	8
R09	Sam Walters, Governing Body	Lack of succession planning in the leadership team and the Governing Body impacts on the capability to evidence robust leadership.	4	2	8	4	4	4	4	4	↔	2
R10	Sam Walters	There is a risk that the urgent requirements to support financial recovery becomes the dominant force therefore impacting on decisions being made and a resultant failure to deliver transformational change.	5	3	15		15	15	20	20	↔	6

RISK DETAIL

Risk No.	Lead	Risk narrative	Current Risk Rating	Risk score		Residual Risk Rating	Risk score		Target Risk Rating	Risk score	
				L	I		L	I		L	I
1	Jonathan Bemrose	The CCG is unable to deliver against plan due to continually increasing activity, unexpected costs and an inability to maintain QIPP savings.	20	4	5	10	2	5	15	3	5

Date the risk was identified	01/01/2016
Date the risk was last updated	01/02/2018
Assurance Domain	Sustainability
Strategic Objective	The CCG has effective and appropriate financial management including stretching itself financially, efficient financial controls and processes and good governance.
Group/ committee managing risk	Financial Information Group



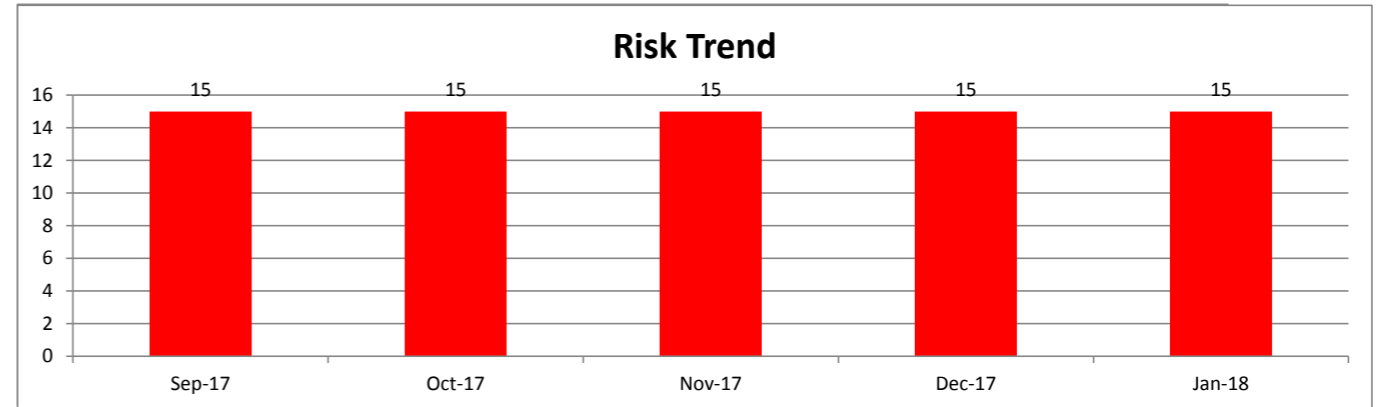
Controls	Internal Assurance	External Assurance	Gaps in controls and assurance	Action Plan			
				Action	Deadline Date	Progress Update	Date of update
1	<p>Financial reporting arrangements established and embedded, including the FIG as a Committee of the Governing Body.</p> <p>Finance and Information Group - the FIG is attended by Governing Body (clinical and Lay representation) and senior executives. Full financial and activity reports are presented. The Fig eviws the QIPP highlights in detail and a "deep dive" is carried out within each meeting to discuss risks and alternatives.</p> <p>Activity Reports - Comprehensive activity reports highlight key trends and areas of risk.</p> <p>Practice based packs are produced on a monthly basis and include referral and prescribing activity. The FIG review spend against budget and support the prioritisation of practice visits for top overspending practices</p>	<p>Accounts/ financial performance reported to NHS England on a monthly basis - CCG subject to formal Quarterly meetings with local and regional directors at NHS England - outputs reported to the Governing Body</p> <p>CCG is required to attend NHS England escalation meetings if performance worsens.</p>	To enhance FRG reporting to the FIG. Finance Group to support the FIG	<p>CCG Capacity Review and Implementation of Recommendations. Recommendations include financial reporting.</p> <p>Implementation of a single management structure and joint committee allowing for overall focus at Greater Nottingham level.</p> <p>Establishment of an interim finance group to support FRG and be a link with CCG FIGs</p>	<p>Mar-18</p> <p>Apr-18</p> <p>First meeting Nov 17</p>	<p>Action plan has been developed. Actions have been classed as low, medium, high in relation to immediacy of implementation. Some actions have been delayed ie restructure, move to a Joint Committee..</p> <p>Top 2 tiers of structure are in place. Staff consultation to close on the 16th March. Confirmation of complete structure expected on 04/05/18</p> <p>TOR have been drafted. First meeting scheduled for November. Meetings are now being held monthly. New reporting template identified. Is providing lay members with greater assurance..</p>	<p>Feb-18</p> <p>Mar-18</p> <p>Jan-18</p>

2	Contract monitoring meetings in place with providers. There are designated senior managers for all contracts to ensure grip and manage relationships	Monthly performance and financial reporting to the Governing Body							
3	Greater Nottingham Financial Recovery Plan. The plan has been developed in line with good practice (i.e. identified schemes in excess of target) The delivery of this is supported by the PMO structure. PMO office established and resourced. Reporting structure in place which includes FRG and FRDG	Monthly financial recovery updates received by Governing Body. This includes detail on risks against delivery. SROs are leading on each workstream across CCGs. Confirm and Challenge sessions held monthly with SROs. Full-time Turnaround Director reporting to Accountable Officer	Financial Recovery plan scrutinised by NHSE	Governance arrangements to be reviewed and aligned through Joint Committee arrangements					
4	CCG activity is managed through CCG teams including primary care and prescribing.	Reporting to FIG on prescribing and GP referral and A&E activity Practice packs sent monthly to GP practices Clinical Lead and GP GB members actioning member practice visits Prescribing team in GP practices - prescribing action plans							

RISK DETAIL

Risk No.	Lead	Risk narrative	Current Risk Rating	Risk score		Residual Risk rating	Risk score		Target Risk rating	Risk score	
				L	I		L	I		L	I
2	Jonathan Bemrose	The fragility of the system impacts on the capability of the CCG to deliver against its financial duties resulting in the CCG not meeting its statutory functions.	15	3	5	5	1	5	10	2	5

Date the risk was identified	01/01/2016
Date the risk was last updated	10/01/2018
Assurance Domain	Sustainability
Strategic Objective	The CCG has effective and appropriate financial management including stretching itself financially, efficient financial controls and processes and good governance.
Group/ committee managing risk	Financial Information Group

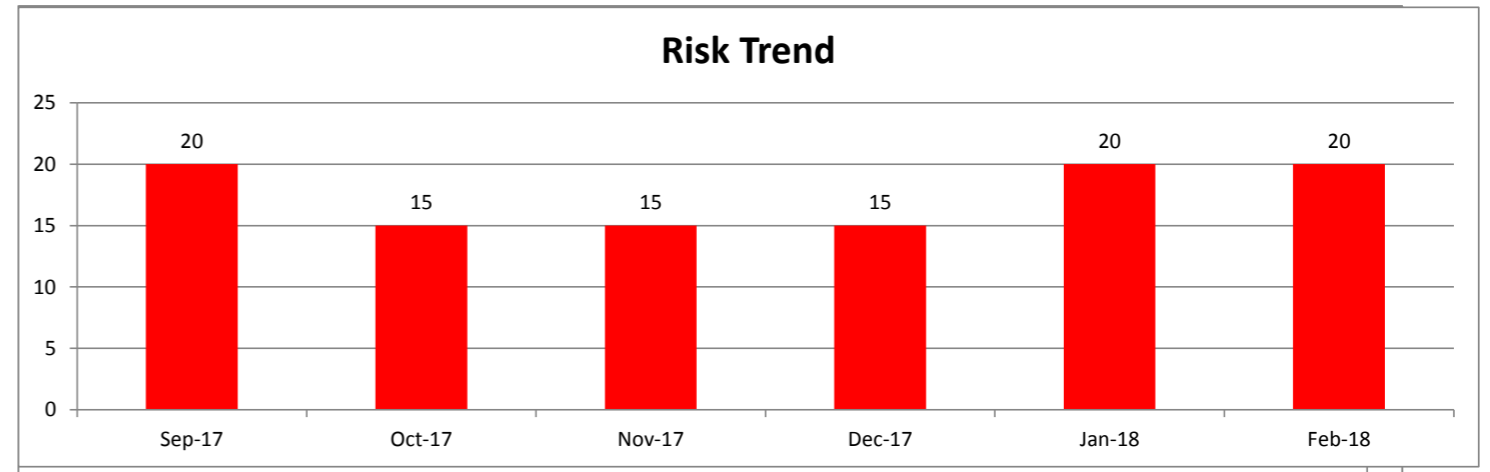


	Controls	Internal Assurance	External Assurance	Gaps in controls and assurance	Action Plan			
					Action	Deadline Date	Progress Update	Date of update
1	Financial governance arrangements established and embedded. This includes robust financial reporting systems and processes as well as identified budget managers/contract managers aligned to budget lines to manage income/expenditure. Financial reports are produced and distributed to all CCG budget holders on a monthly basis which relate to CCGs operating costs.	Financial reporting - the Chief Finance Officer presents a financial report to the Governing Body and financial information to the Clinical Cabinet. Reports are tailored to reflect areas of influence. The CCG has agreed detailed financial risk management arrangements with other CCGs in the south of Nottinghamshire. The risk pooling arrangements protects against unplanned variance in commissioning spend associated with volume changes, as well as the impact of small numbers of high cost patients. The risk management arrangements also extend to the pooling of risk around continuing care. The performance of the risk pool is reported to the FIG.	Internal audit on budgetary control and financial systems - issued February 2017 provided full assurance on the systems and processes in place. External Audit including value for money statement.	Alignment of contracting, performance and finance.	Capacity Review - Recommendations to be implemented	Mar-18	Action Plan for recommendations has been developed. Reporting to Governing Body has changed as a result of the report. Includes better alignment of contracting, performance and finance. Alignment in staffing structures is happening through the move to Chiefs and directorates.	Jan-18
2	CCG Financial Performance Reporting	Governing Bodies have been moved to monthly from April 2017. Performance against duties is reported in each Governing Body.	NHS England Meetings & Reporting		Alignment of contracting, performance and finance through the interim Finance Meeting reporting into FRG and being held at Greater Nottingham level	Mar-18	Terms of reference drafted. Date agreed for first meeting. As of January 3 meetings have been held. New reporting template has been agreed. Lay members are more assured. Will see how informs Governing Body	Jan-18
3	PMO Arrangements	Financial Recovery Group, Financial Recovery Delivery Group, SROs	NHS England IAF	New finance group. Implementation of Joint Committee and sub-structure.				

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Risk No.	Lead	Risk narrative	Current Risk Rating	Risk score		Residual Risk rating	Risk score		Target Risk rating	Risk score	
				L	I		L	I		L	I
3	Jonathan Bemrose/ Rebecca Larder	Demands for transformation, including the STP, GNHCP, and new models of care impact on the capability to focus on short term performance. Due to competing demands and the complexity of the system the CCG is unable to provide leadership in co-ordinating the delivery of core standards and recovery actions.	20	4	5	8	2	4	10	2	5

Date the risk was identified	01/01/2016
Date the risk was last updated	01/03/2018
Assurance Domain	Better Health; Leadership; Sustainability
Strategic Objective	
The CCG has comprehensive and achievable plans as both a CCG and as part of a wider system.	
Group/ committee managing risk	
Governing Body	



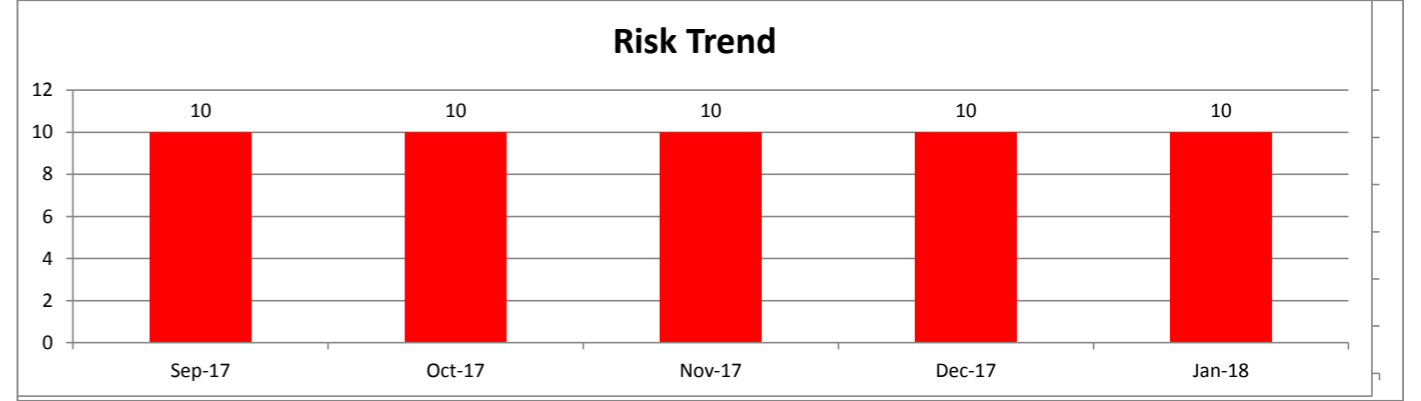
	Controls	Internal Assurance	External Assurance	Gaps in controls and assurance	Action Plan			
					Action	Deadline Date	Progress Update	Date of update
1	CCG Committees will continue to monitor performance against short term and CCG specific long term objectives.	Committee updates and Governing Body reporting will provide assurance. The Greater Nottingham Health and Care Partners governance structure and Board will provide assurance on wider and longer term objectives.	Cancer performance forms part of regular discussions with NHS England locally as part of quarterly CCG assurance meetings	Regular reporting on the STP.	Implementation of Joint Committee and Single Management Structure.	Apr-18	Single AO has been recruited. Workshop held with Governing Bodies on the Joint Committee. Proposal went to October Governing Bodies. Project plan in place. Consultation held on first tier of staffing structure. Delays moving to Joint Committee and completing consultation.	Jan-18
2	A&E Delivery Board		The Board provides a system wide strategic focus on urgent care. Directors sit on A&E Board, FRDG as well as some crossovers with GNHCP Board.		Implementation of locality structures through the GN restructure will support and align transformation.	Apr-18	New structures are being designed to align with transformation. Changes at STP level are increasing the pace to ACS.	Jan-18
3	The Greater Nottingham Health and Care Partners Transformation Board allows for focus on strategic objectives for STP and ACS.	Reporting to the Governing Body. Membership on the Board.						

4	The Greater Nottingham Health and Care Partners has a supporting infrastructure therefore allowing the CCG to manage short term performance.	Internal Audit "Managing Transformation: STP Governance Reveiw"	MOU with NHSE for GNHCP includes requirements that are part of short term performance.	Ongoing alignment with statutory governance arrangements.					
5	PMO arrangements for financial recovery.	SROs for workstreams Financial Recovery Group Financial Recovery Delivery Group	NHS England Reviews and Escalation Procedures.	Ongoing alignment with statutory governance arrangements. Formal interface with ACS.					

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Risk No.	Lead	Risk narrative	Current Risk Rating	Risk score		Residual Risk rating	Risk score		Target Risk rating	Risk score	
				L	I		L	I		L	I
4	Nichola Bramhall	The CCG is unable to provide confidence to its local population that it is commissioning clinically safe, high quality, compassionate services. Lack of adequate focus and challenge may lead to compromised quality, outcomes or inappropriate prioritisation.	10	5	2	4	2	2	6	3	2

Date the risk was identified	01/01/2016
Date the risk was last updated	10/01/2018
Assurance Domain	Better Health
Strategic Objective	The CCG demonstrates that it is planning effectively providing a basis for transforming services, improving outcomes while ensuring that patients receive the high quality, timely care that they have a right to expect today.
Group/ committee managing risk	Quality and Risk Committee, EQIA Panel



Controls	Internal Assurance	External Assurance	Gaps in controls and assurance	Action Plan				
				Action	Deadline Date	Progress Update	Date of update	
1	Quality Report - a quality report is presented to the Governing Body and discussed in detail in the QRC. This includes HCAI, serious incidents, patient safety, safeguarding, transforming care, care homes, continuing health care retrospective claims, quality visits, patient experience, complaints, patient stories, primary care quality, CQC inspections, quality monitoring and nursing and midwifery council revalidation.	Detail is discuss in the QRC and from this relevant items are escalated to Governing Body		There is not a systematic approach to quality monitor smaller providers				
2	Safeguarding Committees - the committee aims to ensure that systems and process are in place to safeguard vulnerable adults and children as a core component of the services provided and commissioned by the following Nottinghamshire Clinical Commissioning Groups (CCGs):	Minutes and Highlight Reports are presented to Governing Body	Nottinghamshire Safeguarding Board		Implementation of Greater Nottingham Medicines Management Committee	Dec-17	Draft terms of reference have been considered. To be amended further. Terms of reference have been approved. To establish financial limits for delegati	Mar-18

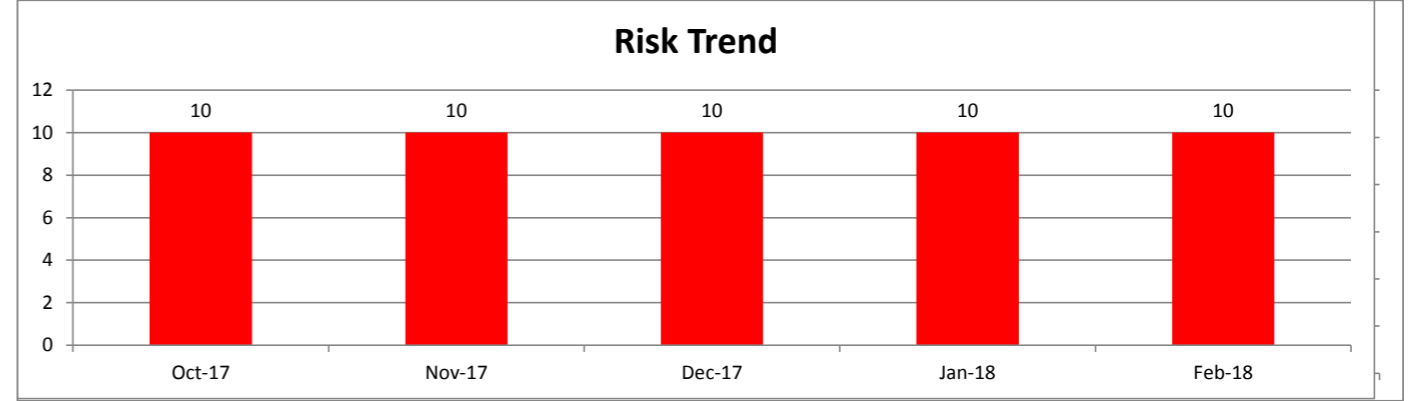
3	Quality and Risk Committee - through the committee details on all providers are discussed and escalated where relevant to the Governing Body. The Committee includes clinical, lay and executive membership. The governance structure supporting the QRC includes scrutiny panels and lay representation. Visists are made to the providers.	Minutes and Highlight Reports are presented to Governing Body Engagement plans are reviewed in the EQIA panel			Implementation of Comms and Engagement Plan for the ACS	Feb-18	Plan has been written and will be presented to the PPI Committee. First public event was held in November. Next public event in February. Need to align with FR comms and engagement plan.	Jan-18
4	Equality/Quality Impact Assessments are completed for all changes and are reviewed by the South Nottinghamshire EQIA Panel. Any issues are escalated to the QRC. EQIA Panel also reviews engagement plans	A Summary of EQIAs is included in the QRC highlight report. Outcomes of discussions at the EQIA panel are reported back to Financial Recovery Plan.			Implementation of Comms and Engagement Plan for 2017/18 FR plan.	Feb-18	Draft has been written. New Comms Director for STP, including CCG comms has been recruited.	Jan-18
5	Clinical Cabinet - the Clinical Cabinet is attended by GPs from each of the member practices as well as the secondary care consultant. Through this committee members discuss what is clinically safe and use this forum to highlight any concerns they may have with providers.	Clinical Cabinet minutes and highlight report area presented to the Governing Body			EQIAs to be published.	Apr-18	Process to be considered in relation to timing and move to Greater Nottingham.	Jan-18
6	Care Homes - the quality team work directly with the Local Authority and visit care homes on a regular basis. Reporting on care homes is provided to the Quality and Risk Committee and Governing Body.	Detail is discuss in the QRC and from this relevant items are escalated to Governing Body						
7	Medicines Optimisation - a Care Home Pharmacist focuses on medication reviews and medicines management, including storing medicines safely. The Pharmacist works closely with the Care Homes team in order to discuss any areas of concern. A member of thepharmacy team has a specific focus and responsibility for patient safety and a south forum has been established to specifically discuss issues in meds management.	Medicines Management Committee						

8	Medicines Optimisation - Reviews and audits taking place with additional focus on SIP feeds and medication prescribed for patients with a learning disability	The pharmacist are supported by the Quality Team and the Mental Health Liaison Nurse						
9	A primary care quality assurance framework has been developed to incorporate a quality dashboard, risk matrix and escalation process.	Homecare - monthly quality meetings with CCG/Citycare established, audit tool drafted, Health and Social Home Care programme board and operational groups established to progress new contracts and establish joint quality and contract monitoring arrangements.						
10	Care home sub group in place to monitorings care homes, reporting to the QRC	Annual audit committee deep dives into the work of the QRC and the management of quality risk						
11	There is representation on the cross CCG QIPP group to ensure that quality impacts are considered systematically							
12	A PPI QIPP Group has been implemented to ensure that PPI is considered in the proposed QIPP schemes.	The PPI Committee receives highlight report from the PPI QIPP Group						

RISK DETAIL

Risk No.	Lead	Risk narrative	Current Risk Rating	Risk score		Residual Risk rating	Risk score		Target Risk rating	Risk score	
				L	I		L	I		L	I
5	Hazel Buchanan	Due to a lack of understanding and/or effort to recognise the different population segments, the CCG is unable to plan effectively and reduce health inequalities and/or demonstrate continuous improvements for the protected characteristics.	10	2	5	4	2	2	6	2	3

Date the risk was identified	01/01/2016
Date the risk was last updated	01/02/2018
Assurance Domain	Better Health
Strategic Objective	The CCG demonstrates that it is planning effectively providing a basis for transforming services, improving outcomes while ensuring that patients receive the high quality, timely care that they have a right to expect today.
Group/ committee managing risk	Patient and Public Involvement Committee, EQIA Panel



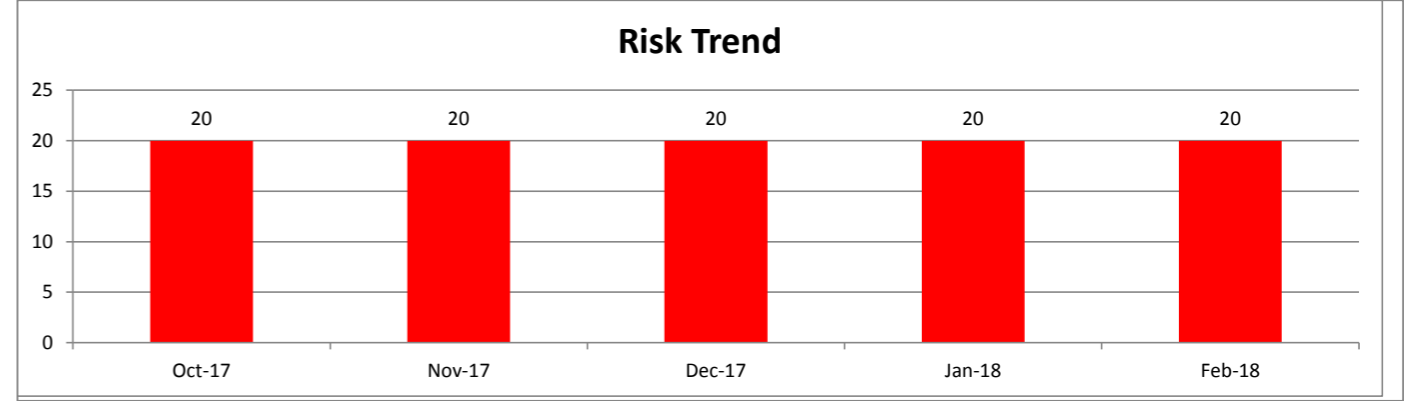
Controls	Internal Assurance	External Assurance	Gaps in controls and assurance	Action Plan			
				Action	Deadline Date	Progress Update	Date of update
1	Joint Strategic Needs Assessment (JSNA) - the JSNA is used as a source of intelligence in understanding health inequalities. This is applied to service specifications and patient and public involvement. The CCG contributes directly to the writing of the JSNA.	Chapters of the JSNA are approved by the Health and Wellbeing Board. The JSNA is used by the Local Authority and Public Health.		Progression of aims of ACS including Population Health Management.	Apr-18	Centene have been commissioned to support the progression of ACS. Completion of analysis by end of November.	Jan-18
2	Equality/Quality Impact Assessments are completed for all changes and are reviewed by the South Nottinghamshire EQIA Panel. Any issues are escalated to the QRC. EQIAs support all members of staff to understand and focus on elements related to quality.	Outcome is reported to FRG.	Governance arrangements back to PPI Committee to be strengthened. Publishing of EQIAs.	Move to a single management structure includes Strategic Partnership role with specific focus on health inequalities. Includes a review of PPI Committees across 4 CCGs and aligning into one.	Apr-18	Team structure being defined in order to support responsibilities across Greater Nottingham. Will commission work to review PPI committees.	Jan-18
3	Lay member patient and public involvement will also hold responsibility for championing e&d and reducing health inequalities.	The Lay Member PPI sits on the Governing Body and through responsibilities, facilitates inclusive leadership.		CCG focus on STP housing workstream being supported through resstructure.			

4	The CCG is a member of the Community Safety Partnership which provides detail on health inequalities. Through this the CCG sits on the Hate Crime steering and implementation group.	The community safety partnership reports to the Safer Nottinghamshire Board.		JSNA for community safety is being written. This analyses links with hospital episodes, crime and deprivation. Will be information that can be used by the CCG to further understand health inequalities.				
5	Business cases and service specifications are completed for all changes. These detail the needs of the population and reflect the outcome of the EQIAs.	Business cases and service specifications are presented to either the Service Improvement Group or the Clinical Cabinet. These forums will ensure that health inequalities have been taken into consideration.	Nottingham City OSC Nottinghamshire County OSC	Due to Greater Nottingham alignment, fewer business cases are being considered in the Clinical Cabinet and SIG. Health inequalities considered through EQIA panel. To review links back to CCG.	Joint Committee and sub-committees being defined. This will help to better define links.	Apr-18	A GP with a focus on deprivation is being recruited as a member of the Joint Committee/	Jan-18
6	The CCG is a member of the Learning Disabilities Strategy Group which is a joint group across Nottinghamshire	An update is received by the E&D Forum on the LD Strategy Group Action Plan		Engagement with LD patient groups				
7	The STP provides a system wide approach across health and social care. Workstreams will provide the resource for implementation.				CCG focus on STP housing working being supported through restructure.	Apr-18	Hazel Buchanan has been named as STP Programme Manager for Housing & the Environment.	Jan-18
8	Through the E&D Forum, the capturing of patient demographic data will be improved and analysed to highlight areas of inequality	A highlight report is presented to QRC						

RISK DETAIL

Risk No.	Lead	Risk narrative	Current Risk Rating	Risk score		Residual Risk rating	Risk score		Target Risk rating	Risk score	
				L	I		L	I		L	I
6	Penny Harris	There is a risk that pressures and fragility within the system, i.e. Cancer, EMAS, A&E impact on the CCG capability to deliver against targets and the requirements of the IAF.	20	4	5	6	2	3	12	3	4

Date the risk was identified	01/01/2016
Date the risk was last updated	10/01/2018
Assurance Domain	Better Care
Strategic Objective	The CCG demonstrates that it is planning effectively providing a basis for transforming services, improving outcomes while ensuring that patients receive the high quality, timely care that they have a right to expect today.
Group/ committee managing risk	Quality and Risk Committee



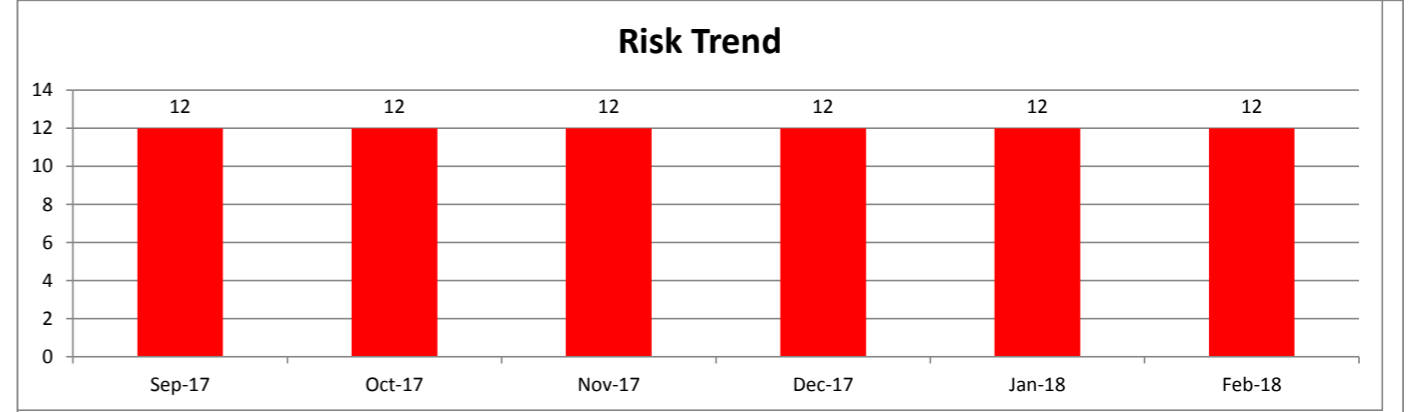
Controls	Internal Assurance	External Assurance	Gaps in controls and assurance	Action Plan			
				Action	Deadline Date	Progress Update	Date of update
1 Remedial Action Plan has been agreed and implemented including financial consequences of non-delivery As part of RAP NUH focussing additional capacity on the treatment of backlog patients - recent reduction from 96 to 53	The Contract Executive Board and the Quality and Performance Committee monitor performance against the Remedial Action Plan. The CCG will have oversight. Monthly performance meetings led by Nottingham City CCG with NUH to specifically monitor progress of Remedial Action Plan	Director, Head and Officer of Outcomes and Information team meet with NHS representative monthly to discuss all performance issues	Consistently underperforming against the target				
2 Nottingham City CCG lead commissioner attends the Patient Target List (PTL) meeting, this group review individuals patient referrals that have not met the target and trends	Performance report presented to Governing Body bi-monthly and Clinical Cabinet monthly. RightCare approach is providing framework.	Weekly submission to Unify for number of long waits performance, including 104 day wait performance					
3 CCG performance management function to scrutinise activity against targets	Performance report presented to Governing Body bi-monthly and Clinical Cabinet monthly	Cancer performance forms part of regular discussions with NHS England locally as part of quarterly CCG assurance meetings	Triangulation of contracting, performance and finance.	Staff restructure	Apr-18	Restructure being progressed. Staff consultation closes on 16th March	Mar-18
4 Harm reviews conducted by the CCG Quality team on any patient breaching 62 days. This will be continued until performance is sustained above the standard	Harm reviews reported to Quality and Risk Committee quarterly. Reviews identified a low level of clinical risk associated with the delays						

5	Commissioning manager for Cancer Services at Nottingham City CCG attends Cancer network meeting to discuss and review pathways	Nottingham City CCG lead commissioner hold fortnightly discussion with NUH cancer leads						
6	Cancer has been included in the STP under the Clear and Consistent Pathway . Cancer is a key clinical priority within the STP with targets of achieving 75% one-year (all cancers) survival rates and diagnosis of 95% of cancers within four weeks. We are working to the national cancer strategy and will review the recently published implementation plan to ensure that we are following best practice to transform our approach to supporting people living with and beyond cancer	STP was reported to Governing Bodies Included within the IAF section of the performance report presented to Governing Body bi-monthly and Clinical Cabinet monthly	STP plan submitted to NHSE					
7	Targets are included in the contracts with providers. Performance is monitored by the Contract Executive Board and Quality Scrutiny Group on a monthly basis along with all other performance measures. The group agrees actions to resolve performance issues and ensures that these are reflected in the contractual agreement between provider and commissioner.	The performance report indicates changes in performance as impacted by discussions and action plans.						
8	A&E Delivery Board takes a strategic and operational view of urgent care. Includes all system partners.	AO and NNE Clinical Chair sit on A&E Board.	Weekly meetings of A&E Board when system pressures are high. Implement daily calls and action planning when system on OPEL 3 and 4.					

RISK DETAIL

Risk No.	Lead	Risk narrative	Current Risk Rating	Risk score		Residual Risk rating	Risk score		Target Risk rating	Risk score	
				L	I		L	I		L	I
7	Sharon Pickett/James Hopkinson	Limited engagement between member practices and with the CCG impacts on the capability to work together on delivery of transformational change, including gaining benefits through commissioning, federation and to improve the quality of primary medical services.	12	3	4	4	2	2	6	2	3

Date the risk was identified	01/01/2016
Date the risk was last updated	10/01/2018
Assurance Domain	Sustainability; Leadership
Strategic Objective	
To ensure effective and efficient management of delegated functions and high quality primary care	
Group/ committee managing risk	
Primary Care Commissioning Committee and Governing Body	



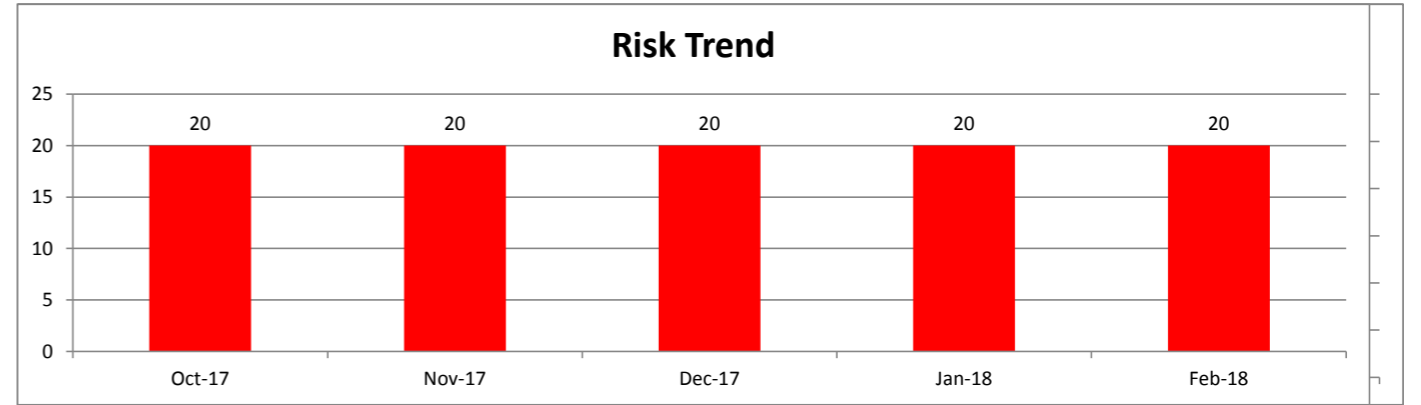
Controls	Internal Assurance	External Assurance	Gaps in controls and assurance	Action Plan			
				Action	Deadline Date	Progress Update	Date of update
1 Primary Care Team - the primary care team work directly with member practices and produce a weekly newsletter to provide regular updates. The primary care team organise Practice Learning Time events which cover both clinical and non-clinical topics.	The work of the primary care team has demonstrated improvements in engagement and supporting member practices. The team directly support			Financial Recovery primary care workstream plus move to a single management structure may support engagement by working more closely across Greater Nottingham.	Apr-18	Regular reporting to FRDG. The progression of changes in primary care are being co-ordinated at a Greater Nottingham level. Finalising new structure and responsibility for Primary Care at Greater Nottingham and locality level.	Jan-18
2 Clinical Cabinet - a GP representative from each of the practices is a member of the Clinical Cabinet. The agendas of the Clinical Cabinet support engagement with member practices.	Highlight report and minutes of the Clinical Cabinet are received by the Governing Body		In transition period towards Joint Committee. GP Federation - the CCG is supporting GP practices with federation.				
3 Governing Body - There are 5 GP representatives on the Governing Body which will therefore support engagement across the different localities.							
4 Primary Care Commissioning Committee considers the outcomes from the quality dashboard and is supported by a Primary Care quality working group. Primary Care Commissioning Committee will review all areas of performance.	Performance and trends are identified through the quality dashboard GP Forward View and delivery against action plan.	Reports from NHSE					

5	GP Five Year Forward View - includes action plan.	Reporting to Primary Care Commissioning Committee.	Reporting progress to NHSSE on GPFYFV					
6	Practice visits – A GB GP Representative is visiting practices to discuss activity and agree action plans	Reporting to FIG		Formal structure around visits				

RISK DETAIL

Risk No.	Lead	Risk narrative	Current Risk Rating	Risk score		Residual Risk rating	Risk score		Target Risk rating	Risk score	
				L	I		L	I		L	I
8	Sam Walters	Due to the CCG alignment, turnaround and other major priorities, maintaining grip at an NNE level may be compromised impacting on the short term priorities and delivering as a CCG.	20	4	5	6	2	3	8	2	4

Date the risk was identified	01/01/2016
Date the risk was last updated	10/01/2018
Assurance Domain	Leadership
Strategic Objective	
To ensure a well-led organisation including strong leadership and good governance resulting in delivery of all statutory functions and duties, partnership working and a strong workforce.	
Group/ committee managing risk	
Governing Body	



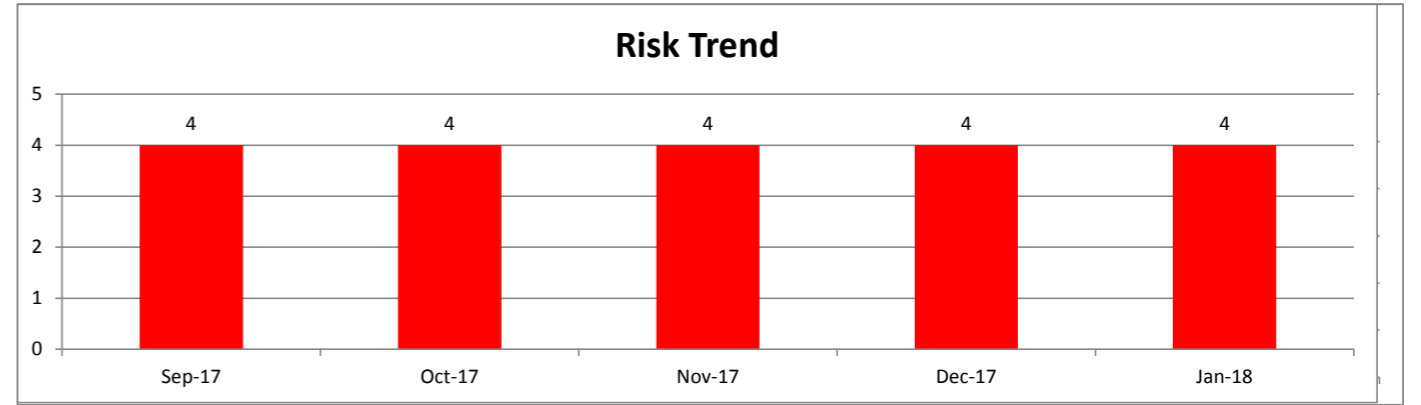
Controls	Internal Assurance	External Assurance	Gaps in controls and assurance	Action Plan			
				Action	Deadline Date	Progress Update	Date of update
1 The exec team have regular meetings and review all priorities and areas of pressure. Responsibilities are clearly defined between the exec team.	Progress of priorities by the CCG		Have moved to a Joint exec team across the four CCGs - reporting back into CCG to be established Transition stage				
2 Chair and GPs on the Governing Body have prioritised responsibilities for meetings along with engagement with GP practices.	Feedback and input to Committees, Governing Body, Clinical Cabinet	Attendance and feedback into external meetings.		Capacity Review and recommendations to be presented to the Governing Body.	Apr-18	Action plan will be presented in September Governing Body. Action plan has been presented and actions are being progressed with external support maintaining oversight. Deadline changed with delays to restructure and Joint Committee	Feb-18
3 A bi-weekly Communications Cell is held with all staff to update on initiatives.	Staff survey			Move to a single management structure and Joint Committee.	Jan-18	Top 2 tiers of structure are in place. Staff consultation to close on the 16th March. Confirmation of complete structure expected	Mar-18
4 Shared teams will continue to provide contracting support.	Reporting to Governing Body		CCG alignment Transition stage	Recruitment of Chiefs will support AO	Jan-18	Chief Finance Officer recruited. Other Chiefs to be advertised during November/December. 3 Chiefs recruited. Support commissioned for fourth.	01/11/2017

5	Members of the Governing Body will continue to attend committees of the Governing Body.	Staff survey will provide insight on visibility of the senior leaders		Moving to a new Committee structure				
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RISK DETAIL

Risk No.	Lead	Risk narrative	Current Risk Rating	Risk score		Residual Risk rating	Risk score		Target Risk rating	Risk score	
				L	I		L	I		L	I
9	Sam Walters	Lack of succession planning in the leadership team and the Governing Body impacts on the capability to evidence robust leadership.	4	2	2	2	1	2	2	1	2

Date the risk was identified	01/01/2016
Date the risk was last updated	10/11/2017
Assurance Domain	Leadership
Strategic Objective	To ensure a well-led organisation including strong leadership and good governance resulting in delivery of all statutory functions and duties, partnership working and a strong workforce.
Group/ committee managing risk	Governing Body



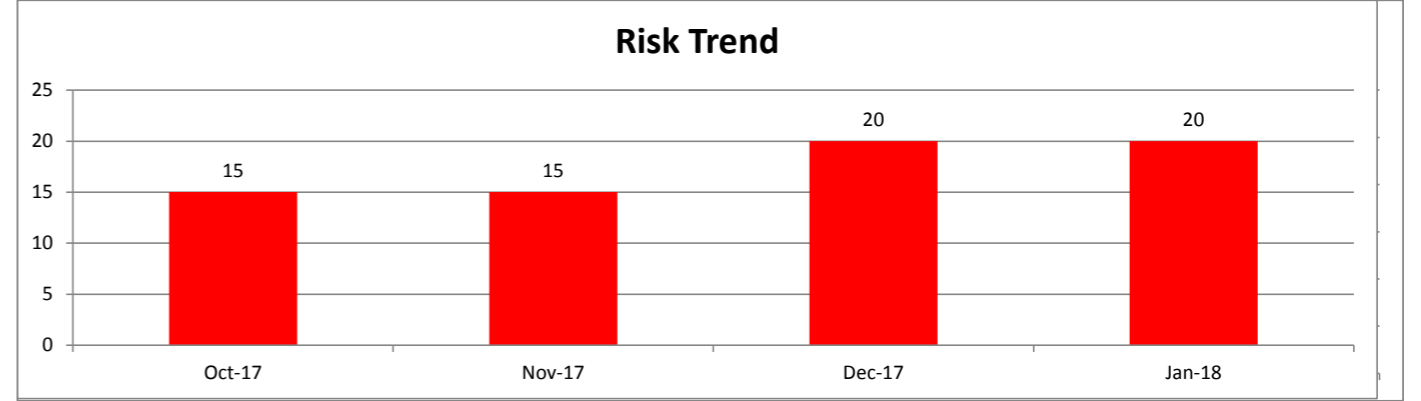
Controls	Internal Assurance	External Assurance	Gaps in controls and assurance	Action Plan			
				Action	Deadline Date	Progress Update	Date of update
1 The Governing Body structure includes an Assistant Clinical Chair position which supports succession planning for the Chair. The CCG organisational structure includes a Deputy Chief Officer. The overall structure supports succession planning.	Outputs from Governing Body meetings.			Alignment of CCGs across Greater Nottingham including a single management structure and Joint Committee	Apr-18	Single AO has been appointed. Chief Finance Officer has been appointed. Chief Nurse and Chief Operating Officer have been appointed.	Jan-18
2 Workforce reporting is carried out on a monthly basis and provides information on turnover rates.	Workforce performance against benchmarks. Presented in Exec Meeting						
3 The leadership team and Governing Body are supported with group and individual development sessions. Individuals have access to coaching and part of this is to support succession planning.	Outputs from Governing Body meetings. Self-Assessments of Governing Body. (GB did peer review with Hardwick)						

4	Development plans for the leadership team and the Governing Body	Confidence of the Governing Body. Exec team performance.						
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RISK DETAIL

Risk No.	Lead	Risk narrative	Current Risk Rating	Risk score		Residual Risk rating	Risk score		Target Risk rating	Risk score	
				L	I		L	I		L	I
10	Sam Walters	There is a risk that the urgent requirements to support financial recovery becomes the dominant force therefore impacting on decisions being made and a resultant failure to deliver transformational change.	20	4	5	10	2	5	6	2	3

Date the risk was identified	01/09/2017
Date the risk was last updated	10/01/2018
Assurance Domain	Sustainability
Strategic Objective	
The CCG has comprehensive and achievable plans as both a CCG and as part of a wider system.	
Group/ committee managing risk	
Governing Body/ Transformation Board	



Controls	Internal Assurance	External Assurance	Gaps in controls and assurance	Action Plan			
				Action	Deadline Date	Progress Update	Date of update
1 STP and ACS Value Proposition - identified gaps in H&W, quality of care, affordability and culture	Reporting to Governing Body CCG representation on workstreams CCG representation on Transformation Board	External Partner - includes confirm and challenge on the system Lay/NED/Chairs Reference STP Group (to be implemented) STP and ACS workstreams Transformation Board		CCG restructure including staffing structure and Joint Committee	Apr-18	Project Plan in place for Joint Committee. First stage of staff consultation on new structure complete end November. Move to Joint Committee and implementation of staffing structure will be April 18.	Jan-18
2 All partners signed up to the GN Accountability and Governance Framework which includes requirement for 'no surprises' from partner organisations		MOU with NHS England	System oversight of organisational specific strategies e.g. City Council's cost savings programme and the Tomorrow's NUH programme.				
3 Financial Recovery PMO	Reporting to Governing Body SROs also working on STP workstreams	Transformation Board					