

REFERENCE	RESPONSIBLE DIRECTOR AND OPERATIONAL LEAD	RISKS	DATE IDENTIFIED	CURRENT RISK RATING	INITIAL RISK RATING	TARGET RISK RATING	CURRENT CONTROLS	INTERNAL AND EXTERNAL ASSURANCES	GAPS IN CONTROL AND TIMESCALE FOR REMEDIAL ACTION	GAPS IN ASSURANCE AND TIMESCALES FOR REMEDIAL ACTION	ACTIONS TO BE TAKEN	ACTION END DATE	LEAD COMMITTEE / BOARD FOR DELEGATION OF ACTIONS	PROGRESS AGAINST ACTIONS
	Lead	What could happen		Impact Likely Total	Impact Likely Total	Impact Likely Total	What controls / systems do we have in place to assist in the delivery of aims and manage / mitigate risk?	Where can we gain evidence that the controls / systems we are placing reliance on are effective internally or externally? Date and name of Committee / Board	Areas where we do not have adequate controls / systems in place or existing controls / systems are not effective	Areas where we are not receiving evidence that controls / systems are effective	Detail the actions taken			Update on actions - is the plan on track?
STRATEGIC OBJECTIVE 1 - Influence at a system level the completion of the transition to ICS, as well as effective operating arrangements for the Hull Place and clinical leadership within Hull.														
Outcomes i) A revised operating model for planning and decision-making across ICS and Humber, with clearly defined delegated functions, roles and responsibilities ii) System-wide 2022/23 financial framework developed and agreed. iii) We will have developed through collaboration with other Places and emerging provider collaboratives agreed accountability frameworks	Erica Daley supported by Sarah Lovell / Mike Napier	- Inconsistent transition to ICS across Places resulting in threat to Hull Place priorities being adequately reflected in system plan	05/22	3	6	3	- Final transition plan and formal programme arrangements. P5+S5+S9- Health and Care Place Committee (H&CPC)	- Interim ICS and Humber governance arrangements	None identified	None identified	- Development of H&CP Committee workplan	July '22	CCG Board	Colin Hurst June 2022 - Continuing to support development of ICS, Humber and Place Engagement Model and Strategy. Erica Daley June 22 - The due diligence work is on track and good progress has been made to transfer some of the CCG priorities across into the development of the Hull Health and Care Partnership Committee Plan. Erica Daley May 22 - Due Diligence on track for completion for transition of all functions. Task and Finish groups established to develop place committee operating model. Place director recruitment to commence shortly.
STRATEGIC OBJECTIVE 2 - Facilitate strategic Humber-wide planning and transformation, focusing on quality outcomes and patient experience as the catalysts for clinically-led change														
Outcomes i) Formal establishment and functioning of ICS arrangements for strategic commissioning ii) We will have contributed to the development of an integrated approach to quality improvement and assurance and both ICS and Humber level iii) We will have ensured that patient and public views have contributed to the integrated commissioning process	Erica Daley supported by Debbie Lowe / Sue Lee	- Loss of focus on quality and patient outcomes during transition from CCG to formal ICS / Place arrangements and Lack of assurance and improvements in patient outcomes including quality, safety and patient experience	05/22	4	12	4	- Humber / ICS Transformation Programme arrangements - Humber Quality Framework - CCG's Communications and Engagement Plan - ICS Engagement Framework	- Quality & Performance Committee monitoring arrangements - Humber Oversight Management Board - Humber Clinical and Professional Leaders Board - Existing quality surveillance and oversight processes remain in place, internal and external quality governance. Quality forums continue with all providers, escalation to the Regional Quality Surveillance Group chaired by NHSEI Director of Nursing.	None identified	None identified	Debbie Lowe 16.08.21 - CCG Interim Director of Nursing (DON) attending weekly meetings with the ICS DON during transition and focussed on: 1. Mapping and 'deep dives' of Humber partnership functions continues, informing opportunities for joint working arrangements and in seeking to establish alignment across the partnership. 2. Review of at place, partnership and ICS roles and responsibilities 3. Implementation of the NQB quality toolkit on publication and quality governance arrangements 4. Supporting quality practice and policy development and in establishing oversight arrangements at place and reporting into system level	July '22	CCG Board	9.2.22 Michela Littlewood update-NHS England produced Building strong integrated care systems everywhere ICS implementation guidance on effective clinical and care professional leadership, Sept 2021, this information is being embedded into quality workstreams. H&NY Deep Dive workstreams continuing to develop processes from ICS to Place Based care, requirement for further guidance from ICS leads. Twice monthly meetings across four Humber CCGs with DON and DDONS.
STRATEGIC OBJECTIVE 3 - Support the delivery of the priorities set out in the operational planning guidance, NHS Long Term Plan and the Health and Care Bill														
Outcomes i) Completion of the commissioning transition in relation to functions and people to Place arrangements ii) Models for decision-making within Place developed and operating iii) Primary Care will be fully embedded and a major strategic partner within Place planning arrangements	Erica Daley	- Poor patient care / experience and low staff morale through failure to deliver NHS transformation priorities	05/22	4	8	4	- ICS and Humber / Place transition programme arrangements, including detailed portfolio / functions mapping plans	- System Development Group weekly monitoring of progress. - ICS transition executive weekly meetings - Hull Place Health and Care Committee	None identified	None identified	Completion of refreshed Place work plan once establishment of ICB / ICS completed	July '22	CCG Board	Erica Daley June 22 Hull contribution to ICS operational plan submitted, operating framework in place for Health and Care Partnership, place priorities agreed for 2022/23 and strategic plan on page for Hull submitted to the ICS. CCG Directors meeting with ICB designate directors regarding functional areas of quality, finance, governance and communications. Erica Daley Hull Health and Care Committee arrangements progressing well. Task and finish groups established and workshops held to develop guidance and local operating model.
STRATEGIC OBJECTIVE 4 - Work in partnership with Hull City Council and others to implement a population driven approach to improving health outcomes and reduce health inequalities														
Outcomes i) Delivery of Health & Wellbeing Board (HWBB) and Hull Place-based Board Strategies ii) Delivery of the Integrated Financial Plan iii) Strategies and services to narrow the health inequality gap and co-create models of care based on improving safety, patient experience and outcomes will have been developed as part of the CCGs work at the HWBB iv) We will have taken collective responsibility for delivering services within budgets and allocations	Erica Daley supported by James Crick	- The most disadvantaged locally continue to experience the poorest health, further exacerbated by disproportionate impact of COVID on these communities	05/22	5	4	20	- HWBB work programme focussed on health inequalities - Clinical leadership support work - Vaccines Inequalities Group	- Health Inequalities Steering Group - HWBB	None identified	None identified	- Baseline across the city to be established	July '22	Health and Wellbeing Board / CCG Board	16.06.22 James Crick - CCG Officers meeting with each PCN to discuss their Health Inequalities plans and identify measurable indicators/outcomes to evidence improvements. Clinical leadership model currently remains uncertain but representations are being made to the ICS to ensure that there is sufficient capacity in Hull. Population Health Management dashboard has been developed by North of England Commissioning Support and is due to be released around 17th June 2022 which will support PCNs in further exploring their population through a variety of lenses, including inequalities. Engagement Team Supporting equalities sessions with PCN Leads. Engagement Team Facilitating session with PCN leads looking at the interaction between embedded social prescribing staff in Primary Care and the wider service. Mental Health Crisis Support Pre-engagement Semi Structured Interview findings being consolidated for analysis. PCNs submitting their inequalities plans to the CCG supported by Local Authority (LA) and CCG Public Health (PH) and Business Intelligence analysis. COVID Vaccine Champions delivery plan is being led by the LA PH team with involvement of the CCG and the VCSE to develop a short term approach and a longer term legacy for this funding.

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STRATEGIC OBJECTIVE 5 - Maintain accountability for commissioning health services to meet the reasonable health needs of the people of Hull, but targeting in particular the most disadvantaged in local communities																	
Outcomes I. Achievement of NHS Constitution targets ii) Reduction in growth in demand by commissioning for integration and prevention iii) We will have evidence that patient and public views have contributed to the planning and delivery of new services	Erica Daley supported by James Crick and Sue Lee	- Inequalities gap between the best and worst patient outcomes widens in the city	05/22	5	3	15	5	3	15	8	- HWBB work programme focussed on health inequalities - Clinical leadership support work - Vaccines Inequalities Group	- ICS system-wide / NHSE assurance reviews - Humber Oversight Management Board - Integrated Commissioning Officer Board	None identified	None identified	July '22	Planning and Commissioning Committee	16.06.22 James Crick - CCG Officers meeting with each PCN to discuss their Health Inequalities plans and identify measurable indicators/outcomes to evidence improvements. Clinical leadership model currently remains uncertain but representations are being made to the ICS to ensure that there is sufficient capacity in Hull. Population Health Management dashboard has been developed by North of England Commissioning Support and is due to be released around 17th June 2022 which will support PCNs in further exploring their population through a variety of lenses, including inequalities. Sue Lee - Engagement work for Translation Services (assisted communication) complete and report presented to Primary Care Commissioning Committee. Soft launch of Mental Health Support Teams Feb 22 with full launch Easter 22.
STRATEGIC OBJECTIVE 6 - Development of an agreed out of hospital strategy for Hull, supporting local Primary Care Networks to determine models for transition to integrated provision, as well as a new clinical leadership model which increases the emphasis of primary care at all levels of the system																	
Outcomes i) Integrated primary- care led out of hospital model in operation ii) The CCG will have facilitated the establishment of the provider collaborative iii) The CCG will have worked with local partners and the ICS to develop a clear clinical leadership model	Erica Daley supported by Phil Davis	- Stagnation in primary care development / poor patient outcomes as a result of PCNs/clinical leaders feeling disengaged from the transition to the new ICS / Place arrangements	05/22	4	3	12	4	3	12	8	- Out of Hospital Programme - LA / CCG / PCN leaders engagement programme - LMC-facilitated PCN collaborative programme	- PCCC work programme	None identified	None identified	July '22	Primary Care Commissioning Committee	Colin Hurst June 2022 "Improving Inclusive Access to Primary Care Pilot" continues, expected completion of evaluation mid July 2022" Improving Inclusive Access to Primary Care Pilot" Delayed due to COVID Vaccination winter response, pilot restarted 31st Jan for 8 weeks (to 25th March), 14th Feb printed and online patient survey available mid February. New configuration of Primary Care Networks (PCNs) agreed with 6 PCNs in place from April 2022. Humber PC Collaborative established and facilitated by Humber LMC. PC Transitional Executive meetings taking place with Collaborative and NHS England led by Amanda Bloor (ICS Chief Operating Officer). Clinical leadership model for Integrated Care Service in development and being consulted on with PCN Clinical Directors.
STRATEGIC OBJECTIVE 7 - Focus on care and services for children in Hull, improving performance against statutory responsibilities and achieve better outcomes as measured by experience and engagement																	
Outcomes i) Through comprehensive and collaborative engagement with key stakeholders including children, young people and their families, understand the post-covid inequalities for children and young people in Hull (including those placed out of area) to inform service planning and delivery from 2022. ii) Delivery of the SEND Accelerated Progress Plan to the satisfaction of the Department for Education iii) Delivery of the integrated multi-agency framework as set out in the Hull Corporate Parenting Strategy that will improve outcomes for children who are looked after and care leavers	Erica Daley supported by Joy Dodson	- Poor outcomes for children requiring health education and care plans experience for users	05/22	4	5	20	4	5	20	12	- Planning and Commissioning Committee work programme - Quality and Performance Committee work programme - SEND Accelerated Progress Plan - Joint work with LA and ongoing engagement with CYP and their families	- Hull Special Educational Needs and Disabilities Strategic Board - Department for Education monitoring - SEND Accelerated Progress Plan - Joint Children's Improvement Monitoring Board - Humber Children's Partnership - Integrated Commissioning Officer Board	None identified	None identified	July '22	Planning and Commissioning Committee	Colin Hurst June 2022 Neurodiversity - First co-produced Quarterly review session completed. Session included representatives from service providers, associated partners, parents and carers. Session reviewed performance and experience of the service, identified improvements and prioritised actions. Next Session to be held at the end of September. June 2022 update Joy Dodson SEND Accelerated Progress Plan has been refreshed through coproduction with Parent Carers. Neurodiversity Front Door service launched and operational, the service is a proof of concept and evaluation is ongoing with flexible and dynamic adjustments to delivery taking place in real time. Reduction trajectory for ASD waiting lists has moved slightly off track, remedial action is being taken through commissioning additional independent sector capacity for ASD assessments from an alternative provider. Coproduction development is gaining momentum and feedback is positive. School and SENCO relationships with LA and health are developing positively. Formal SEND review meeting with DFE is scheduled for 23 June 2022. Soft launch of Mental Health Support Teams Feb 22 with full launch Easter 22. Children and YP Palliative and End of life Care. Department for Education 6-monthly SEND review in late January recognised progress, particularly in respect of relationships with families, and identified several areas of strength as well as opportunities for, and expectation of, further improvement in respect of Neurodiversity pathways and Coproduction. Next step is to coproduce a plan for our next phase of improvement.
STRATEGIC OBJECTIVE 8 - Delivery of Statutory Duties																	
Outcomes i) Approval of unqualified annual accounts and positive VFM assessment at year-end ii) Positive Value for Money assessment iii) Unqualified Head of Internal Audit Opinion iv) Achievement of the requirements of Section 1422 of the Health and Social Care Act 2012 and the Equality Act 2010	Emma Sayer supported by Mike Napier and Sue Lee	- System-wide performance ratings resulting in reliance on others to perform	05/19	4	4	16	4	4	16	8	Robust budgetary control framework (delegated budget holders, authorised signatories, cash flow analysis, regular reporting and forecasting).	- Bi Monthly Finance and Performance Report to Q&P and IACG, highlighting significant variances and mitigations - Internal audit reviews and reports throughout year	None Identified	None Identified	July '22	Integrated Audit and Governance	Planning Guidance for 2022/23 has now been received and all NHS partners throughout Humber & North Yorkshire are working together to produce a balance financial plan.

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		- Poor findings from internal audit reviews during the year impact on year-end opinion	05/19	4	2	8	4	2	8	4	Governance framework including Terms of Reference, Standing Orders and Prime Financial Policies	- Integrated Audit and Governance Committee Work Programme	None Identified	None Identified	Actions as required to deliver financial delivery plan	July '22	Integrated Audit and Governance	All internal audit reports presented to date have been issued with a 'high' opinion.
		- Year on year financial challenge environment and sustained saving requirements	05/19	4	3	12	4	3	12	8	Robust budgetary control framework (delegated budget holders, authorised signatories, cash flow analysis, regular reporting and forecasting). Robust process for monitoring and reporting financial performance Financial policies to ensure accurate recording and reporting of financial transactions (e.g. invoicing controls, journal controls) Ongoing review of capacity across the system is underway to remove duplication and inefficiency	- Bi Monthly Finance and Performance Report to Q&P and IACG, highlighting significant variances and mitigations - Internal audit reviews and reports throughout year - Humber oversight management board	None Identified	None Identified	Actions as required to deliver financial delivery plan	July '22	Integrated Audit and Governance	The CCG achieved its financial targets for 2021/22.
		- Legal challenge of decision making or commissioning based on lack of engagement or consultation, or lack of due regard for groups with protected characteristics	06/21	3	4	12	3	4	12	8	- Communications and Engagement Strategy outlines overarching approach - Consultation and Engagement Assurance Framework supports the decision making regarding level of engagement or consultation required and monitoring partner organisations to ensure a quality approach - NHS England IAF measure relating to engagement monitors CCG structures to deliver robust engagement and consultation - Equality Impact assessment process - Regular Equalities training for all staff, tailored for particular groups	Communications and Engagement Annual Report All committee papers have an engagement and consultation section and an Equalities section for completion to ensure that appropriate action has been taken Engagement Reports	None identified	None identified	- Continue equalities training - Raise awareness of CCG engagement and consultation requirements with staff and partners	July '22	Planning and Commissioning Committee	Colin Hurst June 2022 Currently no engagements open.
STRATEGIC OBJECTIVE 9 - Maintain support for the effective local planning and response to the Coronavirus Pandemic, ensuring that positive innovations are retained, improved and generalised.																		
Outcomes i) We will have delivered an effective ongoing CCG response to the coronavirus pandemic, including steps to maximise the safety of staff and the local population ii) Support to the continuation of the vaccine roll-out programme will be timely, comprehensive, responsive and effective; and deemed as such by providers and partners iii) Patients at greatest clinical risk in secondary and community care environments are prioritised and supported by the CCG; providing system support to the operational recovery programme of work	Erica Daley	- Failure to minimise ongoing impact and deaths as a result of the virus	05/22	4	3	12	4	3	12	6	- CCG major incident control arrangements - ICB Operational Plan 2022/23 - Planning and Commissioning Committee work programme - Interim quality response arrangements in operation with providers	- ICS system-wide assurance reviews	None identified	Integrated impact assessments on new pathways		July '22	CCG Board	Colin Hurst June 2022 CCG Supporting the COVID Vaccine Champions Project hosted by Hull City Council, Linking in CCG engagement structures and programmes to maximise reach. Vaccine provision arrangements remain in place across the City and are kept under review in the light of the national picture

Likelihood of occurrence	Consequences/Severity				
	Insignificant (1)	Minor (2)	Moderate (3)	Major (4)	Catastrophic (5)
Rare 1	1	2	3	4	5
Unlikely 2 Do not expect it to happen/recur but it is possible it may do so	2	4	6	8	10
Possible 3 Might happen or recur occasionally	3	6	9	12	15
Likely 4	4	8	12	16	20
Will probably happen/recur but it is not a persisting issue	5	10	15	20	25
Almost Certain 5 Will undoubtedly happen / recur, possibly frequently	5	10	15	20	25