

Strategic aim	Risk ref	Date identified	Directorate Level of control Committee	Description	Initial			Controls	Gaps in control	Internal assurances	External assurances	Gaps in assurance	Actions Action owner Details Start date - target date Progress	Residual			Reviews			Target		
					C	L	Score							C	L	Score	C	L	Score			
3. Enhance Productivity And Value For Money	NENC/0038	08/02/2023	NENC POD Delegation NENC ICB Partial Control 1. NENC Executive Committee	Existing contracts for software packages and licenses that need to transfer over to the ICB As a result of a lack of clarity regarding existing contracts for software packages and licenses that need to transfer over to the ICB, there is a risk that the POD staff will not have access to the necessary packages they require to function in their role post-transfer	4	5	20							4	5	20	(3). Monthly 08/02/2023 Risk added to risk register	4	3	12		
1. Improve Outcomes In Population Health And Healthcare	NENC/0023	06/09/2022	NENC Chief Nurse Directorate NENC ICB Partial Control 3. NENC Quality And Safety Committee	Risk that delayed ambulance handovers impact negatively on patient safety and patient flow There could also be negative media attention generated which could damage the ICB's reputation and cause the public to lose confidence in the NHS.	4	5	20	Local A&E Delivery Boards at place ICB winter plan and surge plan		System SitReps during surge periods System-wide Surge exercise				4	5	20	(3). Monthly 16/02/2023 Updated risk owner	4	1	4		
3. Enhance Productivity And Value For Money	NENC/0035	18/01/2023	NENC Finance Directorate NENC ICB Full Control 2. NENC Finance, Performance And Investment Commit	Financial Planning 2023/24 There is a risk that the ICB and wider ICS will be unable to agree and deliver a robust, and credible, balanced financial plan for 2023/24 within confirmed funding envelopes due to underlying recurring pressures across the system.	5	4	20	Financial planning process agreed across ICS to develop draft plans Review of funding allocations In-year financial reporting and monitoring process ICB financial sustainability group established NHS Provider FT efficiency plans		Draft financial plans Updates to FPI Committee and Board Allocations task and finish groups reporting to FPI Committee Monthly finance reports demonstrating expected balanced ICS position in 2022/23	NHSE Review process	Financial plan for 2023/24 to be finalised and agreed Underlying financial position work illustrates significant potential financial pressures		5	4	20	(5). Quarterly 28/04/2023 Richard Henderson No change to overall score. Minor updates to assurances.	4	2	8		
2. Tackle Inequalities In Outcomes, Experience And Access	NENC/0028	21/10/2022	NENC Chief Nurse Directorate NENC ICB Partial Control 3. NENC Quality And Safety Committee	Clinical and social care workforce across the region There are widespread challenges to recruitment nationally and particularly of clinical and social care staff as a result of many factors including EU exit, COVID and post COVID burnout, ageing workforce. This will impact on the delivery of safe services and could lead to lack of access to specific services, drive up waiting times leading to poorer outcomes for patients. This will cause further workload pressures on existing staff which could cause retention issues and potentially lead to staff ill health.	5	4	20	Workforce steering group Health Education England (HEE) - HEE will be merged into NHSE in April 2023 which could disrupt existing programmes of work. Work is underway to understand the impact on the ICB with NHSE/HEE staff transferring to the ICB as part of the POD delegations from April 2023. Regular meetings with NHSE/HEE in the lead up to transfer taking place.	None None	Terms of reference, meeting notes, action plans. Meeting notes and reports		None None.		5	4	20	(5). Quarterly 11/05/2023 Neil Hawkins Review of update frequency.	5	2	10		
2. Tackle Inequalities In Outcomes, Experience And Access	NENC/0027	21/10/2022	NENC Chief Nurse Directorate NENC ICB Partial Control 3. NENC Quality And Safety Committee	There is a risk that children and young people are unable to access mental health services they need in a timely manner. As a result of unclear mental health pathways for children and young people (CYPS, CAMHS, neurodisability), alongside service pressures and capacity, increased demand and inconsistencies in treatment threshold there is a risk that children and young people do not receive appropriate treatment which could result in negative outcomes for children, young people and their families. This could also lead to damage to the ICB's reputation and there is a potential for legal challenge.	4	4	16	CAMHS Partnership Board in place Contract review meetings with main foundation trusts Joint commissioning with local authorities		Performance updates to ICB TBC				4	4	16	(5). Quarterly 21/10/2022 Risk disaggregated from NENC/0006 at the request of the QSC	3	3	9		

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2. Tackle Inequalities In Outcomes, Experience And Access	NENC/0033	15/12/2022	NENC Strategy And System Oversight NENC ICB Limited Control 3. NENC Quality And Safety Committee	Meeting needs of refugees and asylum seekers The increased numbers of refugees and asylum seekers being placed in the North East and North Cumbria has highlighted a lack of appropriate provision. This population group has complex needs, including untreated communicable diseases, poorly controlled chronic conditions, maternity care and mental health and specialist support needs. The risk is compounded by providers not having a clear understanding of the entitlement of this group as well as refugees and asylum seekers themselves not knowing their entitlements and how to access services. An increase in demand will impact on sustainability of services, increase health inequalities and there is also a risk to the reputation of the ICB if adequate and appropriate services are not commissioned.	4	4	16							4	4	16	(5). Quarterly 15/12/2022 New risk added following discussion at Executive Committee	4	3	12		
1. Improve Outcomes In Population Health And Healthcare	NENC/0024	01/07/2022	NENC Chief Nurse Directorate NENC ICB Partial Control 3. NENC Quality And Safety Committee	The ICB commissions services that fall below the required standards, putting patient health, safety and welfare at risk. Quality of commissioned services: a structured and co-ordinated process of assurance is not in place for commissioned services (including acute, mental health, learning disability and community services), meaning that the ICB remains unaware of any quality issues or concerns and associated action plans to address them.	5	4	20	Main provider contracts contain clear performance expectations. All large providers on NHS Standard Contract and therefore have CQUIN schemes. ICB designated posts to drive quality agenda with further support from NECS. CQC inspections		1. Quality and Safety committee agenda and minutes. 2. ICB Board agenda and minutes. 3. Audit Committee agenda and minutes. 4. Executive Committee agenda and minutes	CQC inspection reports			4	4	16	(5). Quarterly 25/01/2023 David Purdue Reviewed owner. To stay with David until Jenna starts	4	2	8		
3. Enhance Productivity And Value For Money	NENC/0039	08/02/2022	NENC POD Delegation NENC ICB Partial Control 1. NENC Executive Committee	Vacancies and NHSE team managing POD at present As a result of the number of vacancies in the current NHSE team managing POD at present, there is a risk that the ICB does not have sufficient staff post-transfer and therefore cannot adequately fulfil the requirements of the delegation agreement which will result in the ICB not being able to provide assurance to NHSE	4	5	20	Require authority to recruit to vacancies held in those teams due to transfer	Support for recruitment Recruitment may not result in the filling of vacancies. A date in time where recruitment passes to the ICB needs to be identified.	ICB Operational POD groups			Leanne Furnell Develop formal recruitment plan to fill vacancies once identified 08/02/2023 - 31/03/2023	4	4	16	(3). Monthly 08/02/2023 Risk transferred.	4	3	12		
2. Tackle Inequalities In Outcomes, Experience And Access	NENC/0007	06/07/2022	NENC Strategy And System Oversight NENC ICB Partial Control 2. NENC Finance, Performance And Investment Commit	Delivery of NHS Constitutional Standards. There is a risk of failure to achieve NHS Constitutional Standards for our patients. Significant pressures are evident in certain standards, particularly in respect of A&E 4 hour waits, cancer waiting times, HCAI targets and ambulance response times. Any failure to deliver the standards has the potential to adversely impact on patient care, as well as posing a reputational risk for the ICB.	4	5	20	Contract management processes in place to manage delivery of constitutional standards. Performance management processes in place Elective recovery plans have been developed with main providers.		Performance monitored by Executive Committee (ICB TBC) Performance monitored by ICB Activity monitored by ICB (TBC)				4	4	16	(5). Quarterly 21/02/2023 Risk owner updated	2	2	4		
3. Enhance Productivity And Value For Money	NENC/0032	16/11/2022	NENC Finance Directorate NENC ICB Full Control 2. NENC Finance, Performance And Investment Commit	Management of ICB running costs position There is a risk that the ICB does not meet its statutory financial duty to manage running costs within its running cost allocation. An underspend is expected in 2022/23 due to vacancies but this remains a significant recurring risk for future years, with a 30% real terms reduction to be delivered by 2025/26	4	3	12	Financial plan including running costs Financial reporting and monitoring process, including forecasting and variance reporting Staffing establishment control process to manage staffing establishment. Recruitment freeze implemented for all but essential posts Work programme		Financial plan to show breakeven position Monthly finance reports showing running cost position. Reported to FPI Committee Process in place with appropriate approval required for any staffing establishment changes Weekly running cost				4	4	16	(5). Quarterly 28/04/2023 Richard Henderson	3	2	6		

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								established to oversee the transformation required to manage the 30% reduction in running costs		working group in place with transformation group being established													
1, Improve Outcomes In Population Health And Healthcare	NENC/0025	19/10/2022	NENC Chief Nurse Directorate NENC ICB Partial Control 3. NENC Quality And Safety Committee	David Purdue Nicola Jackson	Significant workforce pressures in maternity services across the system If maternity services do not have adequate staff to provide safe services there is a risk to patient safety and patient experience. Inadequate workforce will also mean that it will be difficult to implement the actions identified in the Ockenden report and could lead to poor CQC inspections. This could lead to the ICB failing to commission safe services with consequent damage to reputation and potential loss of public confidence in wider NHS service delivery.	4	4	16	Workforce steering group with membership from providers and NHS England LMNS Leads and LMNS Coordinators will work with providers to identify alternative ways of working and looking at sharing good practice Health Education England and regional maternity transformation team support with workforce	Workforce lead role currently being recruited to No implementation plan in place and therefore no clear measures in place	Terms of reference Meeting notes and action plans Workforce vacancy rates received by LMNS team Meeting notes and reports	Regional Maternity Transformation Board oversight Regional Perinatal Quality Oversight Board National tool - Birth Rate Plus in place with providers	Nicola Jackson Task and Finish Group to bring together key people to be convened with first piece of work to be completed by 31/12/2022 19/10/2022 - 31/12/2022	4	4	16	(5). Quarterly 12/05/2023 Nicola Jackson Risk reviewed - no changes	3	2	6			
1, Improve Outcomes In Population Health And Healthcare	NENC/0043	16/02/2023	NENC POD Delegation NENC ICB Partial Control 1. NENC Executive Committee	David Gallagher David Gallagher	NHSE clinical support to POD As a result of the lack of clarity on the availability of NHSE clinical staff who currently support the POD Commissioning and Contracting and Quality (e.g. serious incidents) functions, there is a risk that the ICB will not have sufficient access to the clinical support post-transfer and therefore cannot adequately fulfil the requirements of the delegation agreement.	5	5	25	NHSE recognises that the clinical staff currently supporting the function will be required post transfer, discussions are ongoing.		MOU developed detailing support from existing NHSE clinical teams for specific functions. Contracts with specific individuals extended until 30 June 2023. Discussions underway regarding support within ICB from 01 July 2023			3	5	15	(3). Monthly 04/05/2023 David Gallagher Risk updated and internal assurance updated on control.	3	2	6			
1, Improve Outcomes In Population Health And Healthcare	NENC/0001	06/07/2022	NENC Strategy And System Oversight NENC ICB Full Control 1. NENC Executive Committee	Jacqueline Myers Marc Hopkinson	System Resilience and Escalation Planning, business continuity and outbreak management There is a risk that a lack of robust planning for surges, business continuity incidents and outbreaks, mean that urgent and emergency care pressures increase, resulting in rises in A&E activity and multiple demands on ambulance, community, acute and primary care services, and an inability to deliver core services.	5	4	20	System-wide surge and escalation plan agreed between all stakeholders NENC ICB Business Continuity Plan Emergency Planning, Resilience and Response (EPRR) compliance Requirement for providers to notify ICB if OPEL status is escalated Place Based Delivery Urgent and Emergency Care groups		Plan reviewed and regularly tested Annual business continuity cycle Refresh BCP Annual EPRR self-assessment signed off by ICB ICB requires written report if OPEL status is escalated. Addressed in contract meetings if OPEL status is repeatedly escalated ICB escalation process (TBC)	Annual assurance undertaken by NHSE/I EPRR submission to NHSE/I		5	3	15	(5). Quarterly 21/02/2023 Risk owner updated	3	2	6			
3. Enhance Productivity And Value For Money	NENC/0012	06/07/2022	NENC People Directorate NENC ICB Full Control 1. NENC Executive Committee	Annie Laverty Annie Laverty	Organisational development If organisational planning fails to address the need for robust leadership, engagement, partnership working and workforce development this will lead to a poorly led organisation that is unable to deliver its strategy	4	4	16	Assurance framework Staff appraisal process Statutory and mandatory training Board development sessions		Six monthly review of the assurance framework Assurance framework approved by Board Appraisal programme Personal development plans Training reports highlight non compliance CSU manages statutory and mandatory training through ESR CSU IG team arranges specialist training for Caldicott Guardian and SIRO Programme of development sessions to be devised	NHS National staff survey	Delivery of training reports to committee/groups to be agreed	4	3	12	(5). Quarterly 06/07/2022 Risk added	4	2	8			

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1, Improve Outcomes In Population Health And Healthcare	NENC/0026	19/10/2022	NENC Chief Nurse Directorate NENC ICB Partial Control 3. NENC Quality And Safety Committee	Funding allocation for Local Maternity and Neonatal System (LMNS) Funding allocation for 2023/24 has been received, however there is a risk that from 24/25 and onwards the ICB will be faced with a decision to fund LMNS from internal funding or look to reduce the service. Some of the funding is already targeted and therefore any reduction in this funding would have a serious impact on delivery of services and could lead to patient harm.	4	3	12	Funding allocation agreed for 22/23 and although indication is that this will continue for 23/24 this has not been guaranteed.	Nationally there is uncertainty about funding for public services including the NHS leading to concerns that there could be cuts to this funding	Robust financial reporting	Financial reporting feeds into Regional Maternity Transformation team			4	3	12	(6). 6 Monthly 12/05/2023 Nicola Jackson Risk description updated to reflect new period. Funding allocation received for 23/24 and slightly increased	2	2	4		
2. Tackle Inequalities In Outcomes, Experience And Access	NENC/0006	06/07/2022	NENC Chief Nurse Directorate NENC ICB Partial Control 3. NENC Quality And Safety Committee	Access to adult mental health services There is a risk that people do not receive the right treatment and access to services, at the right time as a result of lack of capacity, discrepancies in treatment thresholds, poor communication and referral processes. Increased demand for services as a result of the pandemic and additional service capacity is reduced contributes to the risk. This would result in patients having poor access to timely and effective treatment, or escalate to crisis. There is an additional risk of damage to reputation damage to the ICB.	4	4	16	Standard NHS contracts in place with two main providers: Cumbria, Northumberland, Tyne and Wear (CNTW) FT and Tees Esk and Wear Valleys (TEWV) FT Regional ICS mental health workstream		Contract management process Performance management process OPEL status Minutes and actions from workstream meetings	NHS England quarterly assurance meeting Workforce planning from NHS E and providers			4	3	12	(5). Quarterly 25/01/2023 David Purdue Updated risk owner	4	2	8		
1, Improve Outcomes In Population Health And Healthcare	NENC/0009	06/07/2022	NENC Strategy And System Oversight NENC ICB Limited Control 3. NENC Quality And Safety Committee	Primary care services As a result of workforce pressures, increased demand, infrastructure or technology issues, failure of or challenges to PCNs' ability to meet transformation agenda there is a risk that primary care is unable to provide long term, sustainable and reliable quality care services to patients and is not able to support people in a community based setting and provide a point of ongoing continuity of care. This could result in patient harm, increased attendance at hospital settings and compromised patient flow and damage the reputation of the ICB.	4	4	16	Workforce pressures are monitored via the Strategic Data Collection Service (SDCS) reporting system Primary Care Network (PCN) transformation agenda linked to Long Term Plan Practices now report OPEL status via UEC-RAIDR App		Monitored at Place Based Delivery primary care commissioning groups Placed based delivery primary care teams provide reactive support to practices	Strategic Data Collection Service (SDCS) reporting NHS Long Term Plan			4	3	12	(5). Quarterly 06/01/2023 Neil O'Brien Updated risk owner.	3	2	6		
1, Improve Outcomes In Population Health And Healthcare	NENC/0014	06/07/2022	NENC Chief Nurse Directorate NENC ICB Full Control 3. NENC Quality And Safety Committee	Safeguarding duties Failure to comply with good clinical practice, policies and procedures, would mean that the ICB is not able to manage safeguarding duties appropriately, including deprivation of liberty safeguards, liberty protection safeguards and delivery of the learning disabilities transformation programme. This could result in the safety of vulnerable adults, young people and children being compromised, a derogation of patient care, and legal challenge resulting in both reputational and financial damage to the ICB.	4	4	16	Quality and Safety Committee Place based partnerships work with Local Safeguarding Children Boards and Local Safeguarding Adults Boards Designated and Named professions in post across Place Based Partnerships Robust Safeguarding Children/Adult Policies and Procedures in place in the ICB, provider organisations and other agencies.		Minutes from Quality and Safety Committee Minutes from LSCBs and SABs				4	3	12	(5). Quarterly 25/01/2023 David Purdue Updated Risk owner	2	2	4		
3. Enhance Productivity And Value For Money	NENC/0030	11/11/2022	NENC Corp Gov, Comms And Involvement NENC ICB Full Control 1. NENC Executive Committee	Records Management No single records management system or process is used within ICB. There are potentially inconsistent versioning, templates, or documents being used. This could lead to non-conformity of the Records Management: NHS Code of Practice 2021 and consequently the Data Security and Protection Toolkit.	3	4	12	Records Management project underway to unify ICB records from former CCGs Broadcare system in place for CHC records in Newcastle Gateshead, Sunderland and the areas where NECS provides the service (Durham, Tees		Records management structure being developed, with some directorates already going live with their new structures and transitioning of documents. Ongoing review of the system and supporting processes		Not all directorates yet have an agreed records storage structure.			3	4	12	(5). Quarterly 20/02/2023 Deborah Cornell Controls and assurances updated	3	3	9	

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								Valley and North Cumbria)															
4. Help The NHS Support Broader Social And Economic Development	NENC/0013	06/07/2022	NENC Corp Gov, Comms And Involvement NENC ICB Full Control 3. NENC Quality And Safety Committee	Effective Patient and Public Involvement As a result of a lack of effective engagement with partners, stakeholders and members of the public there is a risk of reduced input and buy-in for key service changes and population health management initiatives from across the system. This may result in sub-optimal service design and delivery and poor patient experience.	4	4	16	Board approved Involving People and Communities Strategy Agreed protocol in place with Healthwatch to work with the ICB on delivery of involvement activities to support the developing infrastructure around involvement.	Reporting mechanisms under development to include an agreed action plan for delivery/progress of activities.	1. Quality and Safety Committee oversight and regular reporting 2. Involvement network 3. Strategy implementation plan	Regular progress meetings in place with Healthwatch		Deborah Cornell Action plan to be finalised and signed-off by the ICB and Healthwatch 19/02/2023 - 31/03/2023	4	3	12	(5). Quarterly 20/02/2023 Deborah Cornell Risk updated to reflect ICB position and identification of additional controls, assurances and actions.	3	2	6			
3. Enhance Productivity And Value For Money	NENC/0045	15/02/2023	NENC Digital And Information Directorate NENC ICB Full Control 1. NENC Executive Committee	There is a risk that some ICB corporate mobile devices may not have sufficient data security capabilities All 'corporate' mobile devices, laptops, tablets/Smartphones etc. now need to have a facility to be centrally managed in order to; (a) deploy the latest security updates/patches and (b) be remotely wiped in the event of device theft/loss. The technology to do this is called Mobile Device Management (MDM). In order to achieve this, smartphones in particular will need to be within agreed manufacturers 'warranted' timescales (basically, beyond these timescale they are not protected), this allows the device and its operating system to be updated on demand, normally when bugs are identified and/or times of heighten security threat. MDM essentially pushes software updates to each end user device in a controlled manner. As the ICB is an amalgam of the eight former CCG's, each CCG traditionally managed their smartphone estate and phone service contracts independently, many of these contracts have now come to an end and are being rolled-over on an on-going monthly basis, this clearly cannot continue, and as such there is a benefit in converging all of the existing legacy contacts into one singular ICB contract as soon as possible, (however there may be some process and procurement challenges with this). What we have so far identified is, approximately 60% of the ICB phone estate (333 mobile phones) are of an age that cannot be managed by MDM and as a result we will not be DSPT compliant.	3	4	12	Replace some/all if the existing unsecure devices, in a one-off or phased manner, however, we need to also consider, of the 333 phones that need to be upgraded (at a significant cost), we need to know who has these phones and if they need to continue to have the benefit of an ICB provided device, if not, the numbers could be reduced, we will need to alert ICB staff that we need to collect some information and I will need Communications team, help with this. We are planning to send out an electronic form to capture the data and get a better picture of the situation, then confirm the mitigation plan/actions.	Age of devices unable to support MDM	As part of the Data Security Protection Toolkit (DSPT), all 'corporate' mobile devices, laptops, tablets/Smartphones etc. now need to have a facility to be centrally managed in order to; (a) deploy the latest security updates/patches and (b) be remotely wiped in the event of device theft/loss. The technology to do this is called Mobile Device Management (MDM).	Previously Mobile phone contracts managed by CCGs meaning we have 8 contracts to review.	Graham Evans we need to know who has these phones and if they need to continue to have the benefit of an ICB provided device, if not, the numbers could be reduced, we will need to alert ICB staff that we need to collect some information 15/02/2023 - 01/04/2023	3	4	12	(5). Quarterly 15/02/2023 Marc Rice New risk identified	2	2	4				
3. Enhance Productivity And Value For Money	NENC/0004	06/07/2022	NENC Finance Directorate NENC ICB Partial Control 2. NENC Finance, Performance And Investment	Achievement of economy, efficiency, probity and accountability in the use of resources There is a risk that the ICB does not meet its statutory financial duties. For 2022/23, the ICB has achieved a surplus in line with plan and a surplus has been delivered across the ICS, although this position is still subject to audit. For 2023/24, the risk around	4	4	16	Financial plan QIPP plan in place Financial reporting and monitoring process Mechanism to monitor and identify CHC packages of care, including backdated, current and future forecasted impact.		Financial plan to show breakeven position QIPP delivery included in monthly finance reports. Monthly finance reports Process for approving packages of care in place at each Place.	Reported to NHSE each month. Review of position with NHSE/I			4	3	12	(5). Quarterly 28/04/2023 Richard Henderson Updated risk description to reflect latest 22/23 position and reference the financial plan risk	3	2	6			

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1, Improve Outcomes In Population Health And Healthcare	NENC/0029	03/11/2022	NENC Medical Directorate NENC ICB Partial Control 3. NENC Quality And Safety Committee	Antimicrobial stewardship Reducing and preventing antimicrobial resistance is a global health priority and this is reflected in the NHS Oversight Framework and the NHS Standard Contract. There is a risk that if antimicrobial prescribing is not appropriate the risk of antimicrobial resistance is increased which threatens the effective prevention and treatment of infections	4	3	12	National guidance and supporting education are available and accessible to all prescribers. All places have a group overseeing antimicrobial prescribing and local action plans ICB wide antimicrobial stewardship group reports directly in to the HCAI board Focussed secondary care and primary care sub-groups of AMS group have been established to further scrutinise data and identify areas of concern	Chain contractors (e.g. Boots, Specsavers) may have business-specific reporting system used internally Implementation at a practice/provider level may vary Local groups are usually secondary care led but with primary care input	Local action plans		NENC ICB is still an outlier, with all our places and all but one of our FTs failing to meet the standards set compliance against external targets including trust CQUINs, and inclusion in primary care incentive and quality schemes		4	3	12	(5). Quarterly 12/05/2023 Ewan Maule Risk reviewed - no changes	3	3	9