

- Full risk register reviewed and amended May 2018 – to reflect changing political environment – Industrial Strategy and Connell review; re-procurement of SBRI Healthcare and updated information from benefits review.

Risk No	Risk Description	Risk category	Likelihood	Impact	Mitigation Actions	Owner	Status
1	Sustainability – NHS England commission	NHS England Investment Committee have determined to extend the contract for the programme for a further 12 months – there is a risk that they would not fund a programme beyond this date.	Medium	High	SBRI is well- supported by current government and has recently been reviewed by the NHS England Investment committee. The PA Consulting report was prepared for NHS England to support their understanding of the value of the programme and the evidence as supplied was accepted	SBRI Healthcare Management Board	High Risk Score
2	Sustainability - NHS England re-procurement	Re-procurement of the SBRI Healthcare contract could lead to a loss of knowledge and continuity - potential also for staff to leave/ reduce morale with uncertainty of future employment.	Medium	High	Escalation of the concerns made to NHS England by Eastern AHSN MD. Regular dialogue between NHS England, AHSN, HEE and Papworth to manage intermediate communications.	SBRI Healthcare Management Board	Medium Risk Score

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Last Updated: 14th May 2018

2a	Sustainability - NHS England re-procurement	Retendering could result in uncertainty and delays in competition schedule if not handled well – process needs to start well in advance of April 2019	Medium	High	Escalation of concerns made to NHSE. FAR committee chair identified issues and supporting NHSE to progress re-procurement challenge with NHSE and SBRI Board Chair.	SBRI Healthcare Management Board	Medium Risk Score
3	Reliance on current delivery partnership of EAHSN, HEE & Papworth Hospital acting as NHS contracting authority	<p>Health Enterprise East (HEE), which provides the operational delivery capacity, could mismanage the funds provided for the programme, fail to deliver against agreed timelines and milestones in the business plan, or suffer an administration event putting the funds at risk.</p> <p>Papworth Hospital currently acts as the NHS contracting authority with the award winners. Papworth could decide it no longer wishes to act as a host.</p> <p>EAHSN is current contractor on behalf of all AHSNs for 2018/19. Programme will be retendered in 2019.</p>	Medium	High	<p>HEE's obligations to the programme are agreed through a contract signed between Eastern AHSN and NHS England. Delivery is then monitored through National Director (monthly meetings), quarterly assurance meetings between Eastern AHSN and HEE and subsequent assurance meetings with NHSE. The SBRI MB and FAR committee also oversee the delivery of the contract through quarterly reporting.</p> <p>Management of the funds is audited annually, scope agreed by SBRI FAR Committee in advance, Award monies are paid through to separate bank account at HEE to reduce risk of SBRI funds being seen as HEE assets in the event of an administration event.</p> <p>NHSE internal audit review 2017 identified no concerns regarding financial management.</p>	SBRI Healthcare Management Board	Medium Risk Score

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4	Failure to address appropriate unmet needs within the NHS	To maintain interest from both industry and the clinical community within the NHS the programme needs to develop a rolling call for themes relevant to all stakeholders and to select winning companies based on their ability to impact on the identified unmet need	Medium	Low	<p>AHSNs have led the way in selecting the topics through engagement with their local clinical communities and are heavily engaged in the assessment process.</p> <p>The SBRI board initiated a review of the needs definition process in 2016 and the recommendations have been incorporated into the programme.</p> <p>In 2018 the theme selection process will also connect with the Innovation Exchange process that AHNs are leading.</p>	SBRI Healthcare Management Board	Medium Risk Score

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5	Insufficient evidence of successful outcomes	To maintain engagement & future funding levels the programme needs to capture evidence of successful outcomes over a medium-term period. Short-term the programme needs to demonstrate the potential for impact in future years.	Medium	High	<p>Suitable KPIs have been scoped following the 2014 and 2017 reviews.</p> <p>Obligation to provide data for KPIs and take part in surveys now part of contractual agreement with funded companies.</p> <p>Early health economics assessments are included as part of every Phase 1 project and results/outputs recorded through standardised reporting mechanisms.</p>	SBRI Healthcare Management Board	Medium Risk Score
6	Lack of confidence in SBRI processes from stakeholders	The programme needs to have a clear and transparent decision-making process and to be able to evidence consistent application of all processes to give confidence to all stakeholders	Low	Medium	<p>SBRI processes are fully documented (payments, decision making, due diligence etc.) and regular reviews are conducted to ensure consistency of approach.</p> <p>Regular reporting to key stakeholders is planned for 2018 and wider engagement of the AHSNs in communications is identified as a key action in the 2018 business planning process.</p>	SBRI Healthcare Management Board and Health Enterprise East	Low Risk Score