



# Risk Register for SBRI Healthcare

Prepared for SBRI Management Board by Karen Livingstone.  
Last Updated: 11th January 2018



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

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Risk No	Risk Description	Risk category	Likelihood	Impact	Mitigation Actions	Owner	Status
1	Sustainability – NHS England commission	There is a risk that the programme will not go forward beyond the 2017 commission. Scheduled decisions by NHS England Investment Committee could decide to wind down the programme.	Medium	High	SBRI is well- supported by current government and NHS England. The PA Consulting report was prepared for NHS England to support their understanding of the value of the programme.	SBRI Healthcare Management Board	Medium Risk Score
1a	Sustainability - NHS England commission	The lack of clarity on the decision could lead to funding gaps - Papworth could cease contract signing and HEE could stop progress without funding assurances	High	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	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. Legal guidance sought.	SBRI Healthcare Management Board	Medium Risk Score

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3	Sustainability - NHS England reduce funding	Risks of reduced funding for the SBRI Healthcare programme.	Medium	High	An investment pack has been prepared to capture a potential match funding partner. Good progress with Charities and government departments – decisions for a joint call planned for spring 2018.	SBRI Healthcare Management Board	Medium Risk Score
4	Sustainability – NHS England commission	There is a risk that the programme will not go forward beyond the 2017 commission. Scheduled decisions by NHS England Investment Committee could decide to wind down the programme.  There are also associated risks around the funding being reduced.	Medium	High	SBRI is well- supported by current government and NHS England. The PA Consulting report was prepared for NHS England to support their understanding of the value of the programme.  An investment pack has been prepared to capture a potential match funding partner. Good progress with Charities and government departments – decisions for a joint call planned for spring 2018.	SBRI Healthcare Management Board	Medium Risk Score
5	Reliance on current delivery partnership of EAHSN, HEE & Papworth Hospital acting as NHS contracting authority	<b>Health Enterprise East (HEE)</b> , 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.  <b>Papworth Hospital</b> currently acts as the NHS contracting authority	Medium	High	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) and SBRI MB (quarterly reporting).  Management of the funds is audited annually, scope agreed by SBRI FAR Committee in advance, Award monies are paid through to separate	SBRI Healthcare Management Board	Medium Risk Score

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		<p>with the award winners. Papworth could decide it no longer wishes to act as a host.</p> <p><b>EAHSN is current contractor on behalf of all AHSNs for 2017/18. Programme will be retendered in 2018.</b></p>			<p>bank account at HEE to reduce risk of SBRI funds being seen as HEE assets in the event of an administration event.</p> <p>In the event of any of the above coming into play other organisations with experience of running SBRI competitions could step in e.g. Devices for Dignity or Innovate UK.</p> <p><b>Alternative options for the contracting authority will be explored if required; Papworth have reconfirmed commitment through 2017/18.</b></p> <p><b>Retendering could result in uncertainty and delays in competition schedule if not handled well – process needs to start well in advance of April 2018</b></p>		
6	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	Low	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>	SBRI Healthcare Management Board	<b>Low Risk Score</b>

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7	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 &amp; the first large scale survey of outcomes from the programme was completed in 2014.</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
8	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 2017</p>	SBRI Healthcare Management Board and Health Enterprise East	Low Risk Score