Surrey LPC Risk Register

Risk management is an essential part of LPC governance, leadership and an integral part of LPCs planning and decision-making processes.

Risk management processes may differ in terms of sophistication, nevertheless, most follow broadly the same steps that combine to make up an overall approach to risk, as described below. It is important to take a balanced view to managing opportunity and risks, to make the process meaningful.

Matrix 1 represents this information in a diagram. It maps the priority of the risk against its manageability and thus highlights those risks that require most careful monitoring. Assessment of priority is determined by mapping the likelihood of the risk materialising against its impact and is shown in Matrix 2.

The risks have been sorted numerically by type namely:

- Planning and activity
- External agendas

- Political
- Governance (note Surrey LPC completes a separate Financial Risk Register).

These risks relate directly to Surrey LPC or they represent risks that Surrey LPC needs to seek to manage on behalf of contractors.

In table 1, ownership shows sub-committees when relevant. Surrey LPC obviously retains accountability for all risks.

Rating:

Red = likely and important
Amber = possible and important or likely and moderate impact
Green = managed risk

Manageability:

High = under LPC control
Med = outside LPC control but some influence possible
Low = little control or influence possible

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Risk log

	Description	Owner	Likelihood	Impact	Priority	Action completed and planned	Rating 10/07/24	Comment
Planning and activity								
S1	Planning process inadequate and decision making is slow.	LPC	L	H	M	Annual planning meeting held where LPC priorities are identified. Progress to business plan reviewed at each LPC and CPSS Exec meeting. Agendas driven by current key issues e.g. national papers. Action plans developed. Special meetings held when required. *Manageability = High*	G	Effective planning process developed and implemented. A well-managed risk.
S2	Plan based on incorrect or outdated objectives. Plans may not be accepted by all sectors.	LPC	L	H	M	Business plan agreed at CPSS Exec and at LPC meeting. Final plan published on website, accessible to all contractors. Highlighted to contractors in annual report. Opportunities for contractor feedback – asked for before every LPC meeting. Reviewed at each LPC and CPSS Exec meeting. *Manageability = High*	G	Ongoing effective planning process developed and implemented. A well-managed risk.

S3	LPC lacks a clear local delivery mechanism.	LPC	M	H	H	CPSS Exec and employee structure in place. Annual business plan produced. KPI's monitored and any off track discussed at each LPC meeting. *Manageability = Low*	**G**	Review of staffing structure completed, and capacity requirements reviewed as part of KPI progress at each LPC meeting.
S4	LPC is failing to adhere to current HR requirements.	LPC	L	H	M	CPSS Exec appointed Sarah Davis, of Sussex LPC as the HR Lead. Contract with Clyde and Co for HR support when required and use of an employee handbook. Employee contracts and PDP in place with 6 monthly and end of year reviews. Assessments completed under DSE checklist and home working. H&S training completed every 2 years. *Manageability = High*	**G**	A well-managed risk. CPSS induction process plan written and implemented.
S5	LPC members are insufficiently trained to carry out their role.	LPC/ CEO	M	H	M	Induction meeting with CEO for all new members. CPE training events advertised to all LPC members. Training needs assessment carried out annually with a training needs plan put in place.	**A**	Limited in scope to complete training plan due to lack of training courses from CPE.

						Manageability = Low		
External agendas								
E1	Delivery of contract not meeting stakeholder needs.	LPC	M	H	M	Contractor survey sent out prior to LPC meetings to obtain feedback. Weekly newsletters, website, webinars, LinkedIn, 1-2-1 clinic days. Business plan published on website with opportunity for feedback. Implemented WhatsApp deadline reminder group. CP PCN and INT Leads plans in place with communication pathway to contractors. *Manageability = Medium*	**A**	Ongoing review of methods for engaging with contractors.
E2	Relevant body withdraws recognition of the LPC.	LPC	L	H	M	Review of operations of LPC and CPSS, controls in place to ensure LPC operating within remits and governance standards maintained. LPC self-assessment completed annually. *Manageability = High*	**G**	Controls and measures in place to manage the risk.
E3	Poor relationship with local commissioner	LPC/ CPSS team	L	H	M	Regular meetings with all stakeholders and commissioners. Consulted on all aspects affecting community pharmacy. Excellent	**G**	Well managed risk through regular meetings with key stakeholders. CPSS team operate to build trust with open and honest working relationships.

	impacts on commissioning of services.					working relationships in place through the CPSS team. *Manageability = High*		
Political								
P1	Ineffective collaboration with other local representative bodies.	LPC/ CPSS team	L	M	M	SE Forum operates to bring together different representative bodies across Hampshire & IOW, Kent, Surrey, Sussex and Thames Valley LPC's including CPE, NPA. Monthly meetings with LMC and attendance at all 3 bi-monthly LMC Liaison meetings across CPSS. Contact with LDC and LOC made and joint regular meeting attended together with the LMC and NHS Surrey Heartlands. Regular communications out to MP's. *Manageability = Medium*	**G**	Main relationship with LMC. Explore increased working with LDC and LOC as ICB structures mature and include them as part of Primary Care integration.
P2	LPC found failing in its duty to represent all contractors equitably.	LPC	L	H	M	Review of objectives and work plan at each CPSS Exec and LPC meetings. Part of governance procedures and role of LPC members to ensure equity of representation across all contractors.	**G**	Regular review of operating plan to ensure all contractors represented equitably. A well-managed risk.

						Manageability = High		
Governance								
F1	Governance is critical given potential for conflicts of interest.	LPC	H	H	H	Governance procedures established and emphasised at each meeting including a request for any changes to declaration of interests. These also include code of conduct, register of interests, clear indication of confidentiality status and breach procedures. Policies in place for equality and inclusivity. *Manageability = High*	**G**	Any conflicts of interest declared and managed.
F2	LPC is found failing in its constitutional duties including management of staff or acting outside its constitutional powers.	LPC	L	H	M	Governance procedures established and emphasised at each meeting. These include code of conduct, register of interests, clear indication of confidentiality status and breach procedures. Policies in place for equality and inclusivity. HR procedures. LPC constitution in place and reminder as part of every LPC meeting. Governance and finance sub-committees in place. *Manageability = High*	**G**	Reminder included in the agenda of every CPSS Exec and LPC meeting. A well-managed risk.

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Last Review Date: 10th June 2025.
Next review date: June 2026.

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Matrix 1: Rating from priority and manageability of risks

Manageability				
	Low		S5 LPC member training	S3 Local delivery
	Medium		E1 Delivery of contract P1 Local representative bodies	
	High		S1 Planning inadequate S2 Plan outdated S4 HR issue E2 Withdraw recognition E3 Poor relationship P2 Represent all contractors F2 Constitutional duties	F1 Conflict of interest
		Low	Medium	High
		Priority		

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Matrix 2: Priority from likelihood and impact of risks

Impact	High	S1 Planning inadequate S2 Plan outdated S4 HR issue E2 Withdraw recognition E3 Poor relationship P2 Represent all contractors F2 Constitutional duties	S3 Local Delivery S5 LPC member training E1 Delivery of contract	F1 Conflict of interest
	Medium			
	Low		P1 Local representative bodies	
		Low	Medium	High
		Likelihood		