

Primary Care Commissioning Committee

23 August 2017

Details	Part 1	✓	Part 2		Agenda Item No.	9
Title of Paper:	Risk Report					
Board Member:	Margaret O'Dwyer, Director of Commissioning and Business Delivery					
Author:	Lynne Byers, Risk Manager					
Presenter:	Margaret O'Dwyer, Director of Commissioning and Business Delivery					
Please indicate:	For Decision	✓	For Information		For Discussion	✓

Executive Summary

Summary	<p>Risk management provides a systematic and consistent integrated framework through which the CCG's strategic objectives are pursued. This involves the identification of risks, threats and opportunities to achieving those objectives and taking steps to mitigate manage and control the associated risks to delivery.</p> <p>This paper includes those risks assigned to the Primary Care Commissioning Committee in line with the Risk Management Strategy.</p>					
Risk	High		Medium	✓	Low	
	As the processes for embedding risk reporting and recording are being refreshed, there is the potential that not all risks are captured through the risk register.					
Recommendations	<p>The Primary Care Commissioning Committee is asked to:</p> <ul style="list-style-type: none"> • receive the risk report; • note the updates on the risk register as reflected in Appendix A and B; • note the update provided; and, • note the summary position including that 0 risks are due for a review between 11 to 31 August 2017. 					

Strategic Themes

To deliver improved outcomes and reduce health inequalities for patients through better preventative strategies	
To deliver service re-design in priority areas through innovation	
To develop primary care to become excellent and high performing commissioners	
To develop the CCG leadership to work with the Local Authority to be excellent integrated commissioners	
To develop robust and effective working relationships will all stakeholders and partners to drive integrated commissioning	
To deliver long term financial sustainability through effective commissioning and innovative investment across the wider system	
To develop and influence the provider landscape through development of a Locality Care Organisation (LCO)	
Equality Analysis Assessed?	N/A Supports NHS Bury CCG Governance arrangements X

Primary Care Commissioning Committee Risk Register

1.0 Introduction

- 1.1 This report provides an updated position in respect to those risks that have been identified, assessed and categorised as having a potential impact on the CCG in relation to Primary Care.
- 1.2 The report presents the risk position and status as at **10 August 2017**.

2.0 Background

- 2.1 The Risk Register (**see Appendix A**) captures all risks, irrespective of risk level, that have been categorised by the risk owner with the potential to impact on the areas of responsibility of the Committee.
- 2.2 **Appendix B** provides an increased level of detail on all those risks that have been reviewed in this period, including controls, assurances and gaps as well as mitigating actions to reduce the risk, *and also includes information in respect of risks which have been recommended for closure or any risks currently scored 15+ by the Primary Care Workstream*. The risk matrix is also provided at **Appendix C** for ease of reference.
- 2.3 There are currently a total of **32** risks being monitored across the organisation (excluding the Governing Body Assurance Framework) of which **2** are included on the Primary Care Commissioning Committee Risk Register.
- 2.4 An assessment of each risk is undertaken between the risk owner and risk manager, on a schedule specific and appropriate to each risk, with any changes or progress being recorded and outlined within the report.
- 2.5 This report includes all open risks, irrespective of risk score for risks assigned to this committee and any risks that are the responsibility of the Primary Care Workstream, which, have a current risk level of 15+ and any risks which have been recommended for closure. It is the Committee's responsibility to oversee these risks, seek assurance that appropriate controls are in place to manage the risks and that actions are being implemented to further reduce the risk and achieve target risk score.
- 2.6 The Committee is able to request that further risks are added to the register through the course of its work.

3.0 Risk Review

- 3.1 This section of the report provides a commentary on those risks which have been reviewed in the reporting period. Since the last report to the committee, **1** risk has been reviewed.

Risks with no reported change

- 3.2 There is **1** risk falling within this category on this report.

- **New Build re: Uplands Health Centre – Structure**

- 3.3 This risk was not scheduled to be reviewed until 30 September 2017, however due to changes reported at the last meeting of the Primary Care Commissioning Committee in respect of the delays to the development of a new build from which services will be delivered, a re-assessment was undertaken to ensure the current level of risk (9) had not increased.
- 3.4 Following discussion with the risk owner, whilst the delays to the new build are known, it is expected that the target of a fully mitigated risk, to level 1, will be achieved by November 2019, in line with the revised high level milestone plan formed by NHSPS.
- 3.5 The risk will be re-assessed in September 2017.

Risks that have reduced in score

- 3.6 There are **0** risks falling within this category on this report.

Risks that have increased in score

- 3.7 There are **0** risks falling within this category on this report.

Risks that have reached the target score

- 3.8 There is **1** risk falling within this category on this report.

- **RR_SB_F_05 Uplands Health Centre - Existing Infrastructure**

- 3.9 This risk is intrinsically linked with the build of the new Whitefield development and is currently assessed at Level 4.
- 3.10 As reported, delays to the Whitefield development have been reported, which means the existing structure will need to remain suitable for service delivery for a longer time period, however this risk is currently being mitigated and managed appropriately and there is no increase to the risk of the current structure at this time due to the delays reported.
- 3.11 A watching brief will be maintained and the risk, although at target level will remain on the risk register until its next review in 31 March 2019. Any further impact from the new build will be considered as they arise.

Risks recommended for closure

- 3.12 There are **0** risks falling within this category.

New Risks

- 3.13 During this reporting period **0** new risks have been added to the risk register.
- 3.14 At the last Committee Meeting it was agreed that a generic NHSPS maintenance risk would be captured to identify any concerns. This is currently under review with the Acting Chief Finance Officer. The Committee will receive an update at the September meeting.

Risks that will be reported through the Corporate Risk Register

- 3.15 The Corporate Risk register details risks which are scored 15 or above. The Primary Care Risk Register contains **0** risks at this level.

Risk Summary

3.16 The following summary is provided of the risk of the Primary Care Commissioning Committee Risk Register:

	1/7/2017-10/8/2017	July/Aug %
Total Risks on Report	2	
New Risks	0	0.0%
Risks reduced since last report	0	0.0%
Risks increased since last report	0	0.0%
Risk that have reached target level	1	50.0%
Low Risks (1-3)	0	0.0%
Medium Risks (4-6)	1	50.0%
High Risks (8-12)	1	50.0%
Significant Risks (15-25)	0	0.0%
Risks reviewed in this period (July - 10/8/2017)	1	50.0%
Risks yet to be reviewed in (July - 10/8/2017 risk review due date)	0	0.0%
Risks to be reviewed for next report (11/8/2017-31/8/2017)	0	0.0%

4.0 Recommendations

4.1 The Primary Care Commissioning Committee is asked to:

- receive the risk report;
- note the updates on the risk register as reflected in Appendix A and B;
- note the update provided; and,
- note the summary position including that **0** risks are due for review between 11 to 31 August 2017

Lynne Byers
Risk Manager
August 2017

Appendix A: Primary Care Commissioning Committee Risk Register: Summary

Risk Id	Risk Description	Date Risk Identified	Original Risk Score	Risk Last Reviewed	Current Risk Score	Target Risk Score	Direction of Travel	Next Review Date
RR_Q_F_05a	New Build re: Uplands Health Centre - Structure	09-Feb-2017	12	10-Aug-2017	9	1		25-Sep-2017
RR_SB_F_05	Uplands Health Centre - Existing Infrastructure	23-Aug-2012	20	22-May-2017	4	4		31-Mar-2019

Appendix B: Primary Care Commissioning Committee: Detailed Risk

Risk Code & Title	RR_Q_F_05a New Build re: Uplands Health Centre - Structure				
Risk Statement	Following agreement to support and deliver a new health and care centre in Whitefield there is a risk that the delivery programme may slip further if resource is not maintained and the tight project framework put in place to deliver the required outputs is not delivered to plan. Because of potential delays this may impact further on maintaining the maintenance of the existing Uplands infrastructure, and the knock on effect on quality of patient care.	Risk Owner	Current Risk Status	Direction of Travel	Annual profile
		Mike Woodhead			
Current Issues	<p>Although NHS Bury CCG is not the sole owner of the risk, the implications of the risk not being managed effects how healthcare is provided to residents of Bury.</p> <ul style="list-style-type: none"> . Inadequate building, disruption to patient care . Requirement to access capital funding . Bound by capital funding constraints and regulations . Potential for the planning permission not to be granted (no control) . NHSPS milestone plan has been subject to slippage which may impact on the existing Health Centre 				

Original Risk				Current Risk				Next Risk Review Date	Target Risk			
Date Risk Identified	Impact	Likelihood	Rating	Current Risk Review Date	Impact	Likelihood	Rating		Impact	Likelihood	Rating	Target Date
09-Feb-2017	3	4	12	10-Aug-2017	3	3	9	25-Sep-2017	1	1	1	31-Mar-2019

Existing Assurance	Existing Controls	Gaps in Assurance / Gaps in Controls
<ul style="list-style-type: none"> . SMT receive key stage reports on an adhoc basis . Monthly updates given to the Bury Strategic Estates Group . CCG Risk lead attends regular meetings with stakeholders (including Bury MBC, NHSE, NHS Property Services and Community Solutions) . Regular meetings are taking place with the practice and other potential stakeholders . Regular reporting to Primary Care Commissioning Committee (for information) . Monthly Whitefield development steering group - with detailed highlight reports from NHSPS and LiftCo 	<ul style="list-style-type: none"> . CCG has actively worked with NHSE, the practice, Pennine Care and other stakeholders to determine the preferred site for the long term development. OBC currently under development to support an recommend the use of Uplands House and partial new build on the existing site . Scoping options developed and supported by the local LIFT (Local Improvement Finance Trust) Company (Bury and Tameside Community Solutions) with involvement from NHSPS . Standing agenda item on the Bury Strategic Estates group . PID has been approved. The NHSPS, CCG and NHSE are working jointly on a full business case for submission for final approval by the relevant committees of the CCG, NHSPS and NHS England 	<ul style="list-style-type: none"> . Action plan is long term and is slow moving, programme milestones are subject to change (outside of CCG control) . There are further stages in the business case and procurement which are all subject to further approval (internal and external) - monitored via changes to the workplan (5c-5f)

Action	Due Date	Assigned To	'Action' progress update (latest)	% Progress	Status	
05a Schedule of Accommodation Approved	20-May-2016	Mike Woodhead	Approved by Whitefield User Group, Tech Group, Steering Group, SMT	100%		Completed
05b PID Complete and Approved	31-Jul-2016	Mike Woodhead	PID approved by CCG and Bury SEG; and then by NHSPS and NHSE	100%		Completed
05c Approval by relevant committee of the CCG, NHSPS, NHS England – OBC approval	30-Apr-2018	Mike Woodhead	Revised programme issued by NHSPS August 2017	0%		In Progress
05d Approval by relevant committee of the CCG, NHSPS, NHS England – FBC approval	31-Jul-2018	Mike Woodhead	Revised programme issued by NHSPS August 2017	0%		In Progress
05e Commence on Site (Estimated 60 week build)	31-Oct-2018	Mike Woodhead	Revised programme issued by NHSPS August 2017	0%		In Progress
05f Completion and operationalisation	30-Nov-2019	Mike Woodhead	Revised programme issues by NHSPS August 2017	0%		In Progress

Appendix C: Risk Matrix

Quantitative Measure of Risk – Consequence Score

	Consequence score (severity levels) and examples of descriptors				
	1	2	3	4	5
Domains	Negligible	Minor	Moderate	Major	Catastrophic
Impact on the safety of patients, staff or public (physical/psychological harm)	Minimal injury requiring no/minimal intervention or treatment.	Minor injury or illness, requiring minor intervention	Moderate injury requiring professional intervention RIDDOR/agency reportable incident An event which impacts on a small number of patients	Major injury leading to long-term incapacity/disability Mismanagement of patient care with long-term effects	Incident leading to death An event which impacts on a large number of patients
Quality/Complaints/audit	Peripheral element of treatment or service suboptimal Informal complaint/inquiry	Overall treatment or service suboptimal Formal complaint (stage 1) Local resolution	Treatment or service has significantly reduced effectiveness Formal complaint (stage 2) complaint Local resolution (with potential to go to independent review) Repeated failure to meet internal standards Major patient safety implications if findings are not acted on	Non-compliance with national standards with significant risk to patients if unresolved Multiple complaints/independent review Low performance rating Critical report	Totally unacceptable level or quality of treatment/service Gross failure of patient safety if findings not acted on Inquest/ombudsman inquiry Gross failure to meet national standards Severely critical report
Human resources/organisational development/staffing/competence	Short-term low staffing level that temporarily reduces service quality (< 1 day)	Low staffing level that reduces the service quality	Late delivery of key objective/ service due to lack of staff Low staff morale Poor staff attendance for mandatory/key training	Uncertain delivery of key objective/service due to lack of staff Very low staff morale No staff attending mandatory/ key training	Non-delivery of key objective/service due to lack of staff No staff attending mandatory training /key training on an ongoing basis
Statutory duty/ inspections	No or minimal impact or breach of guidance/ statutory duty	Breach of statutory legislation Reduced performance rating if unresolved	Single breach in statutory duty Challenging external recommendations/ improvement notice	Multiple breaches in statutory duty Enforcement action Low performance rating Critical report	Multiple breaches in statutory duty Prosecution Zero performance rating Severely critical report

	Consequence score (severity levels) and examples of descriptors				
	1	2	3	4	5
Domains	Negligible	Minor	Moderate	Major	Catastrophic
Adverse publicity/ reputation	Rumours Potential for public concern	Local media coverage short-term reduction in public confidence Elements of public expectation not being met	Local media coverage Long-term reduction in public confidence	National media coverage <3 days service well below reasonable public expectation	National media coverage h >3 days MP concerned (questions in the House) Total loss of public confidence
Business objectives/ projects	Insignificant cost increase No impact on objectives	<5 per cent over project budget Minor impact on delivery of objectives	5–10 per cent over project budget	Non-compliance with national 10–25 per cent over project budget Major impact on delivery of strategic objectives	Incident leading >25 per cent over project budget Failure of strategic objectives impacting on delivery of business plan
Finance including claims	Small loss Risk of claim remote	Loss of 0.1–0.25 per cent of budget Claim less than £10,000	Loss of 0.25–0.5 per cent of budget Claim(s) between £10,000 and £100,000	Loss of 0.5–1.0 per cent of budget Claim(s) between £100,000 and £1 million	Loss of >1 per cent of budget Claim(s) >£1 million
Service/business interruption Environmental impact	Loss/interruption of >1 hour Minimal or no impact on the environment	Loss/interruption of >8 hours Minor impact on environment	Loss/interruption of >1 day Moderate impact on environment	Loss/interruption of >1 week Major impact on environment	Permanent loss of service or facility Catastrophic impact on environment

Qualitative measure of risk – Likelihood Score

	1	2	3	4	5
Descriptor	Rare	Unlikely	Possible	Likely	Almost certain
Frequency How often might it/does it happen	Not expected to occur for years	Expected to occur annually	Expected to occur monthly	Expected to occur weekly	Expected to occur daily
Probability	<1%	1-5%	6-20%	21-50%	>50%
	Will only occur in exceptional circumstances	Unlikely to occur	Reasonable chance of occurring	Likely to occur	More likely to occur than not occur

Quantification of the Risk – Risk Rating Matrix

			Likelihood				
			1	2	3	4	5
			Rare	Unlikely	Possible	Likely	Almost certain
Consequence	5	Catastrophic	5	10	15	20	25
	4	Major	4	8	12	16	20
	3	Moderate	3	6	9	12	15
	2	Minor	2	4	6	8	10
	1	Negligible	1	2	3	4	5