

<b>Meeting: Primary Care Commissioning Committee</b>			
<b>Meeting Date</b>	22 January 2020	<b>Action</b>	Receive
<b>Item No.</b>	10	<b>Confidential</b>	No
<b>Title</b>	Risk Report		
<b>Presented By</b>	Margaret O'Dwyer, Director of Commissioning and Business Delivery		
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<b>Clinical Lead</b>	-		

### Executive Summary

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. This paper includes those risks assigned to the Primary Care Commissioning Committee (PCCC) in line with the Risk Management Strategy.

The report provides narrative on those risks which have been reviewed in the reporting period and specifically includes:

- risks which have no reported change in score;
- risks that have reached their target level;
- risks which have reduced in score;
- risks which have increased in score;
- risks that are proposed for closure; and
- new risks included on the register for the first time.

There are 36 risks being monitored across the organisation of which 1 is the responsibility of the Primary Care Commissioning Committee. Of the 36 total:

- 10 are strategic risks and are reported through the GBAF, 0 of which are included in the PCCC Risk Report; and
- 26 are operational risks and reported through the CCG risk register, 1 of which is included in the PCCC Risk Report.

The review date against this risk for January 2020 has been carried out. The risk although having met its target risk score remains on the risk register to allow for continued oversight of the service provision.

### Recommendations

It is recommended that the Primary Care Commissioning Committee:

- receive the risk report;
- note the risks on the risk register as reflected in Appendix A;
- note the summary position; and
- note that no risks from the PCCC risk register are reported onto the Corporate Risk Register.

Links to CCG Strategic Objectives	
<b>SO1 People and Place</b> To enable the people of Bury to live in a place where they can co-create their own good health and well-being and to provide good quality care when it is needed to help people return to the best possible quality of life	<input checked="" type="checkbox"/>
<b>SO2 Inclusive Growth</b> To increase the productivity of Bury's economy by enabling all Bury people to contribute to and benefit from growth by accessing good jobs with good career prospects and through commissioning for social value	<input type="checkbox"/>
<b>SO3 Budget</b> To deliver a balanced budget for 2019/20	<input type="checkbox"/>
<b>SO4 Staff Wellbeing</b> To increase the involvement and wellbeing of all staff in scope of the OCO.	<input type="checkbox"/>
Does this report seek to address any of the risks included on the Governing Body Assurance Framework? If yes, state which risk below:	No

Implications						
Are there any quality, safeguarding or patient experience implications?	Yes	<input checked="" type="checkbox"/>	No	<input type="checkbox"/>	N/A	<input type="checkbox"/>
These will be addressed through management of the risks						
Has any engagement (clinical, stakeholder or public/patient) been undertaken in relation to this report?	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>	N/A	<input checked="" type="checkbox"/>
Have any departments/organisations who will be affected been consulted ?						
Have any departments/organisations who will be affected been consulted ?	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>	N/A	<input checked="" type="checkbox"/>
Are there any conflicts of interest arising from the proposal or decision being requested?						
Are there any conflicts of interest arising from the proposal or decision being requested?	Yes	<input type="checkbox"/>	No	<input checked="" type="checkbox"/>	N/A	<input type="checkbox"/>
Are there any financial Implications?						
Are there any financial Implications?	Yes	<input checked="" type="checkbox"/>	No	<input type="checkbox"/>	N/A	<input type="checkbox"/>
These will be addressed through management of the risks						
Has a Equality, Privacy or Quality Impact Assessment been completed?	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>	N/A	<input checked="" type="checkbox"/>
Is a Equality, Privacy or Quality Impact Assessment required?	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>	N/A	<input checked="" type="checkbox"/>
Are there any associated risks including Conflicts of Interest?	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>	N/A	<input checked="" type="checkbox"/>
Are the risks on the CCG's risk register?	Yes	<input checked="" type="checkbox"/>	No	<input type="checkbox"/>	N/A	<input type="checkbox"/>
The risks are articulated within the report and managed through the respective committees as appropriate						

<b>Governance and Reporting</b>		
<b>Meeting</b>	<b>Date</b>	<b>Outcome</b>

## Primary Care Commissioning Risk Report

### 1. Introduction

- 1.1. This report provides an updated position in respect of 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 **15<sup>th</sup> January 2020**.

### 2. Background

- 2.1. The Risk Register at **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. There are 36 risks being monitored across the organisation of which 1 is the responsibility of the Primary Care Commissioning Committee (PCCC). Of the 36 total:
  - 10 are strategic risks and are reported through the GBAF, 0 of which are included in the PCCC Risk Report ; and
  - 26 are operational risks and reported through the CCG risk register, 1 of which is included in the PCCC Risk Report.
- 2.3. An assessment of each risk is undertaken by the Risk Owner and validated by the Risk Manager, on a schedule specific and appropriate to each risk, with any changes or progress being recorded and outlined within the report. The responsible committee has an obligation for reviewing the risk, ensuring it is reflective and making any amends as necessary.
- 2.5. This report includes 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 or more, 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 the target risk score.
- 2.4. The Committee is able to request that further risks are added to the register through the course of its work.

### 3. Risk Review

- 3.1. This section of the report provides a commentary on those risks which have been reviewed during the reporting month, and starts with a commentary on risks which have been reviewed during the reporting period where there has been no change in the risk score.

- 3.2 There is one risk included on the Primary Care Commissioning Committee risk register, however the Committee is reminded that this is reviewed on an annual basis, with the latest review being completed 15<sup>th</sup> January 2020.

#### **Risks with no reported change**

- 3.3 During this reporting period the 1 risk reported has had no change to the risks score, but the risk is at its target risk score and will remain on the risk register for oversight. Although no change to the risk score two further actions have been introduced and assigned which include moving forward with development of outline proposals that have involved stakeholders and a MOU is being drafted with LITFo to take these proposals to the next stage. Also TORs for the Strategic Estates Group has been reviewed and invites have gone out as part of re-launching this group.

#### **Risks that have reached their target level**

- 3.4 During this reporting period the reported risk has reached its target level but will remain on the risk register for oversight.

#### **Risks that have reduced in score**

- 3.5 During this reporting period **0** risks have reduced in score.

#### **Risks that have increased in score**

- 3.6 During this reporting period **0** risks have increased in score.

#### **Risks recommended for closure**

- 3.7 During this reporting period **0** risks have been recommended for closure by the risk owner.

#### **New Risks**

- 3.8 During this reporting period **0** new risks have been added to the risk register.

#### **Risks that have not been reviewed in the reporting period**

- 3.9 No risks have not been reviewed during this reporting period.

#### **Risks that will be reported through the Corporate Risk Register**

- 3.10 The Corporate Risk Register details risks which are scored at 15 or above (excluding the GBAF). The Primary care Committee risk register contains **0** risks which has been scored at this level or higher

#### **Risk Summary**

- 3.11 The following summary is provided of the Primary Care Commissioning Committee Risk Register:

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	Oct/Nov	Oct/Nov %
Total Risks on Report	1	
New Risks	0	
Risks reduced since last report	0	0.0%
Risks increased since last report	0	0.0%
Risks that have reached target level	1	100.0%
Low Risks (1-3)	0	0.0%
Medium Risks (4-6)	1	100.0%
High Risks (8-12)	0	0.0%
Significant Risks (15-25)	0	0.0%
Risks reviewed in this period (January 2020)	1	100.0%
Risks yet to be reviewed	0	0.0%
Risks to be reviewed for next report	0	0.0%

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4.1 The Primary Care Commissioning Committee is asked to:

- receive the risk report;
- note the risks on the risk register as reflected in Appendix A;
- note that no risks from the PCCC risk register are reported onto the Corporate Risk Register.

## Appendix A: Primary Care Commissioning Committee Risk Register: Summary & Detail Report

Risk Management	Risk Id	Risk Description	Date Risk Identified	Original Risk Score	Risk Last Reviewed	Current Risk Score	Target Risk Score	Direction of Travel	Next Risk Review
CCG	OR_SB_02	Uplands Health Centre - Existing Infrastructure	23-Aug-2012	20	15-Jan-2020	4	4		TBC

### Risk Detail:

<b>Risk Code &amp; Title</b>	OR_SB_02 Uplands Health Centre - Existing Infrastructure								
<b>Risk Statement</b>	If the CCG/NHSPS fail to deliver a new health and care centre to replace the existing Uplands Health Centre there will be an ever increasing risk that the premises will deteriorate to state patient care will be interrupted or can no longer be delivered to the local population. <b>The risk to the CCG is the impact on service delivery should the building fail.</b>					<b>Assigned To</b>	<b>Current Risk Status</b>	<b>Direction of Travel</b>	<b>Annual profile</b>
						Mike Woodhead			
<b>Current Issues</b>	<p><b>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.</b></p> <ul style="list-style-type: none"> <li>. Inadequate building, disruption to patient care</li> <li>. External timber cladding is in very poor condition</li> <li>. The internal fabric of the building is generally in poor condition</li> </ul>								

Original Risk				Current Risk				Next Risk Review	Target Risk			
Date Risk Identified	Impact	Likelihood	Rating	Current Risk Review Date	Impact	Likelihood	Rating		Impact	Likelihood	Rating	Target Date
23-Aug-2012	5	4	20	15-Jan-2020	2	2	4		2	2	4	31-Mar-2019

Existing Assurance	Existing Controls	Gaps in Assurance / Gaps in Control
<ul style="list-style-type: none"> <li>. Updates given to the Bury Strategic Estates Group</li> <li>. Adhoc reporting to Primary Care Commissioning Committee (for information)</li> </ul>	<ul style="list-style-type: none"> <li>. NHSPS continually monitors statutory compliance and H&amp;S at the site and if critical works are identified these would be addressed in the appropriate manner as landlord works. A specific lifecycle and maintenance programme has been developed for the property</li> <li>. Longer term risk control plan is the development of the new build</li> <li>. CCG Business continuity plan cover major/adverse incidents</li> <li>. CCG monitor the NHSPS maintenance plan</li> <li>. Development of new build options appraisal</li> </ul>	<p><b>Gaps in controls controls:</b></p> <ul style="list-style-type: none"> <li>. None identified</li> </ul> <p><b>Gaps in current assurances:</b></p> <ul style="list-style-type: none"> <li>. <b>Bury Strategic Estates Group has not been meeting regularly.</b></li> </ul>

Action	Due Date	Assigned To	'Action' progress update (latest)	% Progress	Status
OR_SB_02a Review options appraisal and recommend preferred course of action	31-Oct-2017	Mike Woodhead	Financial and non-financial appraisal reviewed with NHSPS in light of new evidence. Paper to be finalised to go through CCG Governance framework for decisions October 2017	100%	Completed
OR_SB_02b Scheme development to full business case stage	31-May-2020		<b>Outline proposals developed with engagement of stakeholders. MOU drafted with LITFCo to take proposals to next stage. This action has been assigned to Paul Patterson, Bury Council.</b>	20%	Unassigned
OR_SB_02c Strategic Estates Group to be reconstituted	30-Jan-2020		<b>TORs reviewed and invites sent for relaunch of SEG. This action has been assigned to Paul Lakin, Bury Council.</b>	75%	Check Progress