

# Primary Care Commissioning Committee

26 April 2017

<b>Details</b>	Part 1	✓	Part 2		Agenda Item No.	12
Title of Paper:	Risk Report					
Board Member:	Margaret O'Dwyer, Director of Commissioning and Business Delivery					
Author:	Danny Lansley, Corporate Governance Manager Lynne Byers, GM Shared Service					
Presenter:	Margaret O'Dwyer, Director of Commissioning and Business Delivery					
Please indicate:	For Decision	X	For Information		For Discussion	X

## Executive Summary

<b>Summary</b>	<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>					
<b>Risk</b>	<b>High</b>		<b>Medium</b>	X	<b>Low</b>	
	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.					
<b>Recommendations</b>	<p>The Primary Care Commissioning Committee is asked to:</p> <ul style="list-style-type: none"> <li>• receive the risk report;</li> <li>• note the updates on the risk register as reflected in Appendix A and B;</li> <li>• note the update provided;</li> <li>• note the summary position.</li> </ul>					

## 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 with 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 ✓

## **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. The report presents the risk position and status as at **11 April 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. The risk matrix is also provided at Appendix C for ease of reference.
- 2.3 There are currently a total of 29 risks being monitored across the organisation (excluding the Governing Body Assurance Framework) of which 2 are included on the Primary Care Commissioning 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 and 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 There is one new risk to report to the Committee following referral from the Finance Contracting and Procurement Committee. It was also decided at their last meeting that it would be appropriate for this risk and one existing risk, which had joint overview to be transferred to the Primary Care Committee. These related to the Uplands Medical Centre and Whitefield Health Centre new build. The detail of the risks was referenced in February's report to the Committee. Both risks haven't been reviewed since this meeting.
- 3.2 The following commentary is an extract of the report the Finance Committee report in March, which provides the most upto date position of the risks.

- **RR\_SB\_F\_05a Uplands Health Centre – Existing Infrastructure**

3.3 This is a longstanding risk to the CCG and centres around impact on service delivery should the building fail. Short term controls are in place to manage the existing deficiencies with the building.

- **RR\_SB\_F05a New Build – Uplands Health Centre**

3.4 This new risk is the long term mitigation to resolve the issues with the current premises and monitors the programme for the development of a new health and care centre. It has initially been scored at level 12. A revised programme was issued by NHS Property Services on 01/02/2017 with a completion end date of 31/03/2019.

3.5 However if delays to the approval of the Outline Business Case which has a milestone date of 31/05/2017 occur, this will have a knock on effect for the programme delivery. Mitigating actions will be developed at the next review.

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

3.6 No risks have reduced in score.

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

3.7 No risks have increased in score.

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

3.8 No risks have been recommended for closure

#### **New Risks added to the register**

3.9 There have been no new risks added to the register.

#### **Risks that have reached the target score**

3.10 There are no primary care risks which have reached target score.

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

3.11 There are no primary care risks identified at 15 or above.

#### **Risk Summary**

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

	<b>April</b>	<b>April %</b>
Total Risks on Report	<b>0</b>	
New Risks	0	
Risks reduced since last report	0	
Risks increased since last report	0	
Risks that have been closed since last report (committee approval)	1	
Risk that have reached target level	0	
Low Risks (1-3)	0	
Medium Risks (4-6)	0	
High Risks (8-12)	0	
Significant Risks (15-25)	0	
Risks reviewed in this period (April)	0	
Risks yet to be reviewed in (April risk review due date)	0	
Risks to be reviewed for next report (May risk review due date )	0	

#### **4.0 Recommendations**



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;
- note the summary position.



**Danny Lansley**  
**Corporate Governance Manager**  
**April 2017**

**Lynne Byers**  
**Risk Manager - GMSS**  
**April 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_FF_05a	New Build re: Uplands Health Centre - Structure	23-Aug-2012	16	18-Jan-2017	12	4		31-May-2017
RR_SB_FF_05	Uplands Health Centre - Existing Infrastructure	09-Feb-2017	12	09-Feb-2017	12	4		30-Sep-2017



## Appendix B: Primary Care Commissioning Committee: Detailed Risk

<b>Risk Code &amp; Title</b>	RR_F_F_05a New Build re: Uplands Health Centre - Structure			
<b>Risk Statement</b>	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.	<b>Risk Owner</b>	<b>Current Risk Status</b>	<b>Direction of Travel</b>
		Mike Woodhead		

Original Risk				Current Risk				Next Risk Review Date	Target Risk			
Date Risk Identified	Impact	Likelihood	Rating	Current Risk Review Date	Impact	Likelihood	Rating	Next Risk Review Date	Impact	Likelihood	Rating	Target Date
23-Aug-2012	4	4	16	18-Jan-2017	4	3	12	31-May-2017	4	1	4	31-Jan-2019

Existing Assurance	Existing Controls	Gaps in Assurance / Gaps in Controls
<ul style="list-style-type: none"> <li>. SMT receive key stage reports on an adhoc basis</li> <li>. Monthly updates given to the Bury Strategic Estates Group</li> <li>. Monthly review at Finance Committee</li> <li>. CCG Risk lead attends regular meetings with stakeholders (including Bury MBC, NHSE, NHS Property Services and Community Solutions)</li> <li>. Regular meetings are taking place with the practice and other potential stakeholders</li> <li>. Regular reporting to Primary Care Commissioning Committee (for information)</li> <li>. Monthly whitefield development steering group - with detailed highlight reports from NHSPS and LiftCo</li> </ul>	<ul style="list-style-type: none"> <li>. 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</li> <li>. Scoping options developed and supported by the local LIFT (Local Improvement Finance Trust) Company (Bury and Tameside Community Solutions) with involvement from NHSPS</li> <li>. Standing agenda item on the Bury Strategic Estates group</li> <li>. PID has been approved. The NHSPS, CCG and NHSE are working jointly on a full business case with a target submission date of <b>Nov 2017</b> to NHS Bury CCG Governing Body and further approval stages required thereafter by NHS England Capital Pipeline Steering Group and the Project Appraisal Unit (PAU) of NHS England.</li> </ul>	<ul style="list-style-type: none"> <li>. Action plan is long term and is slow moving, programme milestones are subject to change ( outside of CCG control)</li> <li>. 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 <b>work programme captured under further actions</b></li> </ul>

Action	Due Date	Assigned To	'Action' progress update (latest)	Status	
05b Schedule of Accommodation Approved	20-May-2016	Mike Woodhead	Approved by Whitefield User Group, Tech Group, Steering Group, SMT		Completed
05c Concept Design Approved (1:200)	31-Mar-2017	Mike Woodhead	Revised programme issued by NHSPS 1/2/2017		Overdue
05d PID Complete and Approved	31-Jul-2016	Mike Woodhead	PID approved by CCG and Bury SEG; and then by NHSPS and NHSE		Completed
05e Developed Design Finalised and Approved (1:100)	30-Apr-2017	Mike Woodhead	Revised programme issued by NHSPS 1/2/2017		In Progress
05f NHS Bury CCG Governing Body Approval of OBC	31-May-2017	Mike Woodhead	Revised programme issued by NHSPS 1/2/2017		In Progress
05g NHS England Approval of OBC – Capital Working Group	31-May-2017	Mike Woodhead	Revised programme issued by NHSPS 1/2/2017		In Progress
05h NHS England Approval of OBC – Capital Steering Group	31-May-2017	Mike Woodhead	Revised programme issued by NHSPS 1/2/2017		In Progress
05i Technical Design Finalised and Approved (1:50)	31-Jul-2017	Mike Woodhead	Revised programme issued by NHSPS 1/2/2017		In Progress
05j NHS Bury CCG Governing Body Approval of FBC	30-Nov-2017	Mike Woodhead	Revised programme issued by NHSPS 1/2/2017		In Progress
05k NHS England Approval of FBC – Capital Working Group	30-Nov-2017	Mike Woodhead	Revised programme issued by NHSPS 1/2/2017		In Progress
05l NNS England Approval of FBC – Capital Steering Group	30-Nov-2017	Mike Woodhead	Revised programme issued by NHSPS 1/2/2017		In Progress
05m Commence on Site (Estimated 60 week build)	31-Jan-2018	Mike Woodhead	Revised programme issued by NHSPS 1/2/2017		In Progress
05n Completion and operationalisation	31-Jan-2019	Mike Woodhead	Revised programme issued by NHSPS 1/2/2017		In Progress

<b>Risk Code &amp; Title</b>	RR_SB_F_05 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 longer be delivered to the local population.	<b>Risk Owner</b>	<b>Current Risk Status</b>	<b>Direction of Travel</b>	<b>Annual profile</b>
		Mike Woodhead			

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	4	3	12	09-Feb-2017	4	3	12	30-Sep-2017	2	2	4	31-Jan-2019

Existing Assurance	Existing Controls	Gaps in Assurance / Gaps in Controls
<ul style="list-style-type: none"> <li>. Regular agenda item on the Whitefield Steering group with status and mitigation reports provided by NHSPS</li> <li>. Updates given to the Bury Strategic Estates Group</li> <li>. Adhoc review at Finance Committee</li> <li>. Adhoc reporting to Primary Care Commissioning Committee (for information)</li> </ul>	<ul style="list-style-type: none"> <li>. Regular agenda item on the Whitefield Steering group with status and mitigation reports provided by NHSPS</li> <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> </ul>	<ul style="list-style-type: none"> <li>. None identified</li> </ul>

Action	Due Date	Assigned To	'Action' progress update (latest)	Status

## Actions to be developed on next review

## 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
Complaints/audit	Informal complaint/inquiry	Formal complaint (stage 1)  Local resolution  Single failure to meet internal standards  Reduced performance rating if unresolved	Formal complaint (stage 2) complaint  Local resolution (with potential to go to independent review)  Repeated failure to meet internal standards	Multiple complaints/independent review  Low performance rating  Critical report	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
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



	Consequence score (severity levels) and examples of descriptors				
	1	2	3	4	5
Domains	Negligible	Minor	Moderate	Major	Catastrophic
<b>Business objectives/ projects</b>	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
<b>Finance including claims</b>	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
<b>Service/business interruption Environmental impact</b>	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
<b>Frequency</b> 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
<b>Probability</b>	<1%  Will only occur in exceptional circumstances	1-5%  Unlikely to occur	6-20%  Reasonable chance of occurring	21-50%  Likely to occur	>50%  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