

Primary Care Commissioning Committee Risk Register - October 2020 (extracted 07.10.20)

Strategic Objective	ID	Risk Description	Current risk rating	Previous Risk rating	Initial risk rating	Key controls	Internal assurances	External assurances	Details of gaps in controls	Details of gaps in assurance	Progress	Review date	Risk Owner	CCG Committee
6- Develop an agreed out of hospital strategy for Hull, supporting local Primary Care Networks to determine models for transition to integrated provision	902	CCG practices unable to maintain a resilient primary care workforce resulting in reduced access to services and patient needs not being met.	High Risk 12	Extreme Risk 15	Extreme Risk 16	Development and implementation of CCG primary care workforce strategy and associated initiatives eg. International GP Recruitment, PCN Ready, Physician Associate Schemes. Use of National Workforce Reporting System to monitor trends in primary care workforce. Primary Care Networks to be supported to develop new roles as outlined in NHS Long Term Plan and for which reimbursement available through Network DES. Development of HCBV primary care workforce modelling as part of out of hospital care work-stream.	Progress in implementing primary care workforce strategy will be reported to Primary Care Joint Commissioning Committee. STP Strategic Partnership Board to oversee out of hospital care work-stream.	External support for practice groupings to cover support for addressing workforce challenges	Need for NHS Pensions issue to be addressed at a national level to address the increasing number of GPs retiring.	Adequate assurances in place.	Phil Davis - 07/10/20 - PCN workforce plans for Additional Roles Reimbursement Scheme completed and updated to reflect new roles added to the scheme. Work on-going with wider health community regarding rotational posts. Further work underway to understand practice staff risk assessments including BAME staff. Process in place for reporting and to support practices regarding contact identification when staff test positive. Advice provided to NHS staff re NHS COVID-19 app use when in surgery. Phil Davis - 28/08/20 - Risk rating reduced as hadn't been reduced following 13/08/20 update (raised at PCCC meeting 28/08/20). Phil Davis - 13/08/20 - Sitrep reports continuing with PCNs, numbers of staff absent has reduced further over July and into August. Impact of contact tracing and risk assessment (see risk 957) being monitored through sitrep and Outbreak Management Plan. PCNs being supported to develop workforce plans which are required by end August. Risk rating reduced to reflect reduced numbers of staff absent. Phil Davis - 17/06/20 - Daily sitrep reports show reductions in staff absences and staff unable to work remotely. Practices and PCNs developing models of service delivery to minimise risk of staff needing to self-isolate as a result of test and trace. CCG to support PCNs develop workforce plans by August and progress recruitment to additional roles. PC based CMHT workers model being developed and roles to recruited to. Phil Davis - 16/04/20 - COVID-19 presents a considerable challenge to all practices regarding workforce through risks of illness and/or self-isolation reducing staff availability and hence service provision. Practices have taken steps to address challenges and reduce risk by moving to triage based systems and utilisation of telephone/video and online consultation. Where face face consultations need to take place either separate Hot/Cold sites have been established or arrangements to triage externally to buildings and utilisation of dedicated rooms has been put in place. Practices and PCNs have consolidated sites from where services are delivered and are working collaboratively to minimise risk. As plans are further developed for the availability of testing for staff the number absent from work may reduce. A daily SITREP process is in place to understand current status of practices in terms of staff absences and impacts upon services, and any other challenges practices face. A RAG rating is provided by each practice and to date the vast majority have been Green ie. "No concerns, expecting challenges but confident contingency plans can be effective." The PCCC may wish to consider whether a separate COVID-19 primary care risk should be added to the risk register.	04/12/2020	Davis, Phil	Primary Care Commissioning Committee
2- Advance at system-level the delivery of the commissioning priorities set out in the NHS Long Term Plan.	915	There is significant patient and public opposition to plans for the development of new models of care resulting in services not being sustainable.	High Risk 12	High Risk 12	High Risk 12	Development of a Communications and Engagement plan with patients and the public for the CCG Primary Care Blueprint.	Reports to the Communications and Engagement sub-group and the Primary Care Commissioning Committee.	Regular reports and consultation with the Hull City Council Health and Wellbeing Overview and Scrutiny Commission.	Adequate controls in place	Adequate assurances in place.	Phil Davis - 07/10/2020 - HCV engagement report awaited. National campaigns regarding primary care being developed regarding accessing general practice. New edition of My City My Health My Care being prepared. Continuing oversight of comments received through social media. Phil Davis - 13/08/2020 - HCV engagement currently live and participation being encouraged. Feedback also being received through CCG social media sites. Primary Communications and Engagement Group meeting to be held to consider next steps required regarding engagement including potential national and more local plans. Phil Davis - 17/06/20 - HCV wide piece of engagement work planned to obtain patient/public views on changes to services to support on-going service delivery plans. Phil Davis - 16/04/20 - In light of COVID-19 all practices following national guidance to implement telephone triage, telephone and video consultation, electronic prescribing etc. to minimise face-to-face activity. National and local communications supporting this approach. Phil Davis - 13/02/20 - CCG Engagement and Consultation Assurance Framework developed which will be applicable to and used to support primary medical care services. Phil Davis - 19/12/19 - Following advice received from IAGC the risk rating has been increased back to High Risk 12 to allow further progress in relation to the actions to be made. Phil Davis - 03/12/19 - Draft edition of My City My Health My Care produced. PCN OD plans include developing working with patients and communities. Phil Davis - 15/10/19 - Further discussion to be had with Health & Wellbeing Overview & Scrutiny Commission Chair regarding the Consultation protocol - hence not taken to October meeting. Next My City My Health My Care edition being drafted and to include focus on Primary Care Networks. Primary Care Network OD Plans submitted at end of September include actions in relation to the Working with People and Communities domain of the maturity matrix eg. working with Healthwatch, communities, community groups and developing PGs. Risk rating adjusted from 12 to 8. Phil Davis - 21/08/19 - Draft Consultation protocol produced by Associate Director of Communications and Engagement and Hull City Council Scrutiny Officer. To be submitted to October 2019 Scrutiny Commission.	04/12/2020	Davis, Phil	Primary Care Commissioning Committee
6- Develop an agreed out of hospital strategy for Hull, supporting local Primary Care Networks to determine models for transition to integrated provision	930	Practices may not remain part of a Primary Care Network (PCN) and therefore do not support delivery of the CCG Strategic Commissioning Plan for Primary Care and are unable to access resources associated with PCNs thereby making themselves vulnerable/unsustainable.	High Risk 8	High Risk 12	High Risk 8	Integrated Delivery Framework - developed October 2017 Local Quality Premium Scheme - 2019/20 scheme developed. OD and other support to practice grouping - on-going	Reports to Primary Care Commissioning Committee	Reports to NHS England as part of regular CCG performance reviews	Adequate controls in place	Adequate assurances in place.	Phil Davis - 07/10/20 - PCN OD plans being reviewed. Phil Davis - 13/08/20 - All practices across the CCG continue to be a member of a PCN. Phil Davis - 17/06/20 - All practices have signed up to the Network DES - the 5 PCNs in Hull will continue from July in their current form. Practices within PCNs and the 5 PCNs have worked collaboratively to respond to COVID-19 and the additional asks of primary medical care services (eg. care homes enhanced service). Phil Davis - 16/04/20 - COVID-19 has resulted in limited further progression of PCN OD Plans. However practices in PCNs are working collaboratively to develop solutions to the challenges of COVID-19 eg. Hot/Cold sites and home visiting services etc. No practices have advised the CCG that they do not wish to remain part of a PCN or participate in the Network DES. Phil Davis - 13/02/20 - CCG to support PCNs in progressing and implementing OD plans. National service specifications published in December refreshed, two being deferred, along with changes to Additional Roles Reimbursement Scheme to provide 100% reimbursement for a wider range of roles. Phil Davis - 03/12/19 - PCN OD plans include proposals for PCN development including development of vision and priorities. CCG Extended Primary Care Medical Services to be commissioned from PCNs from April 2020. Phil Davis - 15/10/19 - All PCNs have submitted their maturity matrix and OD plans by 30th September deadline. Responses and support for PCNs being developed with NHSE/I to respond to needs identified. PCNs continue to develop their ways of working and significant resource available to support PCN plans and to develop PCN Clinical Directors. Risk rating reduced from 12 to 8. Phil Davis - 21/08/19 - PCN development support prospectus published to support PCNs. Each PCN developing an organisational development plans by end September 2019. Phil Davis - 16/07/19 - Risk rewritten to reflect Primary Care Networks (PCN) national policy as set out in NHS Long Term Plan and new GP contract/Network DES. All practices in Hull were included within one of 5 PCNs by end of May and all 5 PCNs approved by HCBV Primary Care Programme Board at meeting on 30/05/19. Network and Data Sharing Agreements developed. Awaiting confirmation of full practice sign up in 2 PCNs.	04/12/2020	Davis, Phil	Primary Care Commissioning Committee
6- Develop an agreed out of hospital strategy for Hull, supporting local Primary Care Networks to determine models for transition to integrated provision	942	Lack of capacity/capability within Primary Care Networks and the CCG to support Primary Care Networks to deliver the Long Term Plan.	High Risk 8	High Risk 8	High Risk 8	Core Primary Care Team in place within CCG - Strategic Lead, Head of Commissioning - Integrated Delivery, Commissioning Manager, Commissioning Lead - Quality Lead and NHS E/I Assistant Contracts Manager. 5 PCNs approved in Hull with Clinical Directors appointed. Support roles approved by CCG for each PCN - Lead Nurse, Clinical Pharmacist and BI role. Wider support for PCNs from CCG teams - eg. BI, Comms & Engagement. PCN self-completion of Maturity Matrix and OD Plans. Resource available through HCV STP for PCN and Clinical Director development. Number-side LMCs Clinical Director development offer.	Reports to Primary Care Commissioning Committee regarding PCN establishment and development. Regular communication with PCNs and escalating of any issues to SLT if required.	Joint work with both Local Medical Committee and NHSE/I to support development of PCNs.	Adequate controls in place	Adequate assurances in place.	07/10/20 Phil Davis - Regular meetings held between PCN Clinical Directors and CCG Primary Care Team and PCN Link Managers. Options for further CCG support for PCN managers being explored. Collaborative Hull and East Riding work continues. 13/08/20 Phil Davis - PCN Link Managers continuing to support PCNs regarding both COVID and other work. Collaborative working between Hull and ER CCGs has resulted in some economies of scale in supporting PCNs. 17/06/20 Phil Davis - PCN Link Managers continue to support PCNs. Work to be undertaken to review PCN workforce and OD plans. Hull & ER Clinical Directors continue to meet fortnightly with CCG and LMC. 16/04/20 Phil Davis - Each PCN has an allocated CCG support manager to support them. Due to COVID-19 focus has been on developing operational response including Hot/Cold sites. Work undertaken with KC Frailty Team and PCNs to allocate care homes in Hull to PCNs to support COVID-19 response and the delivery of the requirements of the Enhanced Care in Care Homes service specification in 2020/21. 13/02/20 Phil Davis - CCG to work through implications of revised National Service Specifications and develop required support to PCNs for delivery in 2020/21. 03/12/19 Phil Davis - PCN OD Plans developed and resource allocated to each PCN for implementation. CCG & HCV STP providing support to PCNs across a range of issues including population health management (accelerator programme). Work on-going within CCG to develop support offer to PCNs building on the 3 roles approved in August (Leads for Nursing, Clinical Pharmacy and Business Intelligence) eg. support to PCN strategic leads as a group. 20/02/19 Phil Davis - This new risk added to the register following consideration at the Primary Care Commissioning Committee. It reflects a development of the previous risk 901 which it is recommended is closed. (IAGC to consider closure of 901 at the November 2019 meeting.)	04/12/2020	Davis, Phil	Primary Care Commissioning Committee

9 - Maintain support for the effective local planning and response to the Coronavirus Pandemic, ensuring that positive innovations are retained, improved and generalised.	957	Risk assessment of staff within general practice, in line with the NHS England and NHS Improvement "Risk assessments for at-risk staff groups" letter of 25th June 2020, and the necessary mitigating actions may result in some practices having reduced capacity to deliver some services or being unable to deliver some services (eg. face:face consultations).	High Risk 12	High Risk 12	High Risk 12	Risk assessment tools and guidance available from NHS England and NHS Improvement	Situation reports provided by practices which include outcomes of staff risk assessments	Strep returns to NHS England and NHS Improvement	Adequate controls in place	Adequate assurances in place.	Phil Davis - 07/10/2020 - Work on-going with practices to understand their Risk Assessments and ensure all staff have been reviewed. Phil Davis - 13/08/2020 - Practices have completed Risk Assessments on majority of staff and identified where action needs taking. CCG to review returns and identify any areas requiring for practices. Phil Davis - 29/07/2020 - Risk identified at Primary Care Commissioning Committee on 26/07/2020 as needing to be a separate risk. Previously had been incorporated in the broader primary care workforce risk. New risk will be reviewed by IAGC on 08/09/2020.	04/12/2020	Davis, Phil	Primary Care Commissioning Committee
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Risk scoring = consequence x likelihood (C x L)
The risk score is calculated by multiplying the consequence score by the

Likelihood of occurrence	Consequence/Severity				
	Insignificant 1	Minor 2	Moderate 3	Major 4	Extreme 5
Rare 1	1	2	3	4	5
Unlikely 2	2	4	6	8	10
Possible 3	3	6	9	12	15
Unlikely 4	4	8	12	16	20
Almost Certain 5	5	10	15	20	25