

## Draft Primary Care Risk Dashboard

### Board Assurance Framework

[Click here for the ICB Board Assurance Framework](#)

### Corporate Oversight Risks

#### Primary Care Corporate risks

Risk ID	Risk Title	Senior Responsible Officer	Directorate/ Functional Area	Risk Category	Initial Risk Score	Current Risk Score	Target Risk Score	Target Date for Closing the Risk
ICB007	High levels of Oral Health issues (Dental Caries) and the longer time to recover from COVID means patients are having difficulties in accessing routine dental access or specific services to manage oral health issues.	David Armstrong	Primary Care - Dental	Quality (includes complaints & audit)	16- C4 x L4, High	16- C4 x L4, High	8 -C4 x L2, Medium	31/03/26
ICB009	GP contract 2024/25 dispute - potential industrial action	Peter Tinson	Primary Care - Medical	Business/ Service Interruption/ Environmental Impact	16 - C4 x L4, High	16-C4 X L4, High	8 -C4 x L2, Medium	31/03/25

[Primary Care Corporate Risks full detail](#)

### Functional Level/ Group Risks

#### Capital Risks

Risk ID	Risk Description	Risk Owner	Functional Area/ Directorate	Risk Category	Initial Risk Score	Current Risk Score	Target Risk Score	Target Date for Closing the Risk
ORR016	Ormskirk currently has a patient population of over 30,000 with 5 practice all owned by GP's who are due to retire within the next 5 years. There are no NHSPS estates at all in Ormskirk that if the GP hands back the contract we have nowhere to move a practice to. Also the estates is all very old and in need of updating.	david.armstrong3@nhs.uk donna.roberts1@nhs.uk	Primary Care - Capital	Business/ Service Interruption/ Environmental Impact	16 -C4xL4, High	12-C4 x L3, Medium		

#### Dental Risks

Risk ID	Risk Description	Risk Owner	Functional Area/ Directorate	Risk Category	Initial Risk Score	Current Risk Score	Target Risk Score	Target Date for Closing the Risk
ORR011	Routine reporting of CDS waiting lists at the contract meeting highlights longer waiting times. Quality of information sometimes lacking. If continuing long waiting times reported by CDS Then: quality of service and outcome can decline Leading to: poor patient experience and potential harm	david.armstrong3@nhs.uk leanne.fawcett1@nhs.uk	Primary Care - Dental	Quality (includes complaints & audit)	6 - C2 x L3, Low	6 - C2 x L3, Low		
ORR012	A corporate provider based on historic poor performance present a financial risk - historically very low delivery resulting in large clawback, and limited cashflows. Supported by an Independent Financial Firm appointed by their banks they have made great progress. Still however presenting high levels of under performance in some areas.	david.armstrong3@nhs.uk leanne.fawcett1@nhs.uk	Primary Care - Dental	Finance including claims	6 - C2 x L3, Low	6 - C2 x L3, Low		
ORR014	In quarter 1 of 2023/24 the ICB was informed that the ICB in Cheshire and Merseyside are considering serving termination notices on 5 contracts that are held within a corporate Dental Group for not providing NHS dental care within their contracted hours. If the ICB in Cheshire and Merseyside move to termination of contracts Then: there will be financial pressure on both the Provider and the ICB Leading to: potential financial instability of the Provider	david.armstrong3@nhs.uk leanne.fawcett1@nhs.uk	Primary Care - Dental	Finance including claims	8 - C2 x L4, Low	6 - C2 x L3, Low		
ORR018	Both NHSE Nationally and the Business Services Authority are increasingly changing deadlines associated with various process.	david.armstrong3@nhs.uk leanne.fawcett1@nhs.uk	Primary Care - Dental	Legal/ Statutory/ Inspections	4 - C2 x L2, Very Low	9- C3 x L3, Medium	9 - C3 x L3, Medium	
ORR013	It has come to light that signed, up to date contracts are not held on file for all primary care contractors. This has been highlighted due to a recent legal challenge. If contracts are not up to date with signed copies this results in poor contracting housekeeping. This may lead to potential issues should contractual/legal challenges commence	sarah.danson@nhs.uk david.armstrong3@nhs.uk	Primary Care - Dental Primary Care - Medical Primary Care - Optometry	Legal/ Statutory/ Inspections	9-C3xL3, Medium	9-C3 x L3, Medium		
ORR010	Access to translation and Interpretation services across the ICB area is not equitable with some independent contractor groups not having access. This poses a risk when delivering services particularly in those areas where there are larger numbers of asylum seekers whose first language is not English. ICB not meeting the needs of the population and creating a risk of communication barriers between providers	sarah.danson@nhs.uk	Primary Care - Dental Primary Care - Medical Primary Care - Optometry Primary Care - Pharmaceutical	Quality (includes complaints & audit)	12-C3xL4, Medium	9-C3 x L3, Medium	6 - C3 x L2, Low	

and patients.

ORR017	Currently have limited clinical advisor availability .No cover when advisors off work and no succession planning has been undertaken to date . If clinical capacity remains at current level will impact on workstreams where dedicated clinical advice is required	sarah.danson@n david.armstron3 nick.barkworth@1	Primary Care - Dental Primary Care - Optometry Primary Care - Pharmaceutical	Business/ Service Interruption/ Environmental Impact	6 - C3 x L2, Low	6 - C3 x L2, Low	4 - C2 x L2, Very Low	31/05/24
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**Medical Risks**

Risk ID	Risk Description	Risk Owner	Functional Area/ Directorate	Risk Category	Initial Risk Score	Current Risk Score	Target Risk Score	Target Date for Closing the Risk
ORR013	It has come to light that signed, up to date contracts are not held on file for all primary care contractors. This has been highlighted due to a recent legal challenge. If contracts are not up to date with signed copies this results in poor contracting housekeeping . This may lead to potential issues should contractual/legal challenges commence	sarah.danson@n david.armstrong2	Primary Care - Dental Primary Care - Medical Primary Care - Optometry	Legal/ Statutory/ Inspections	9-C3xL3, Medium	9-C3 x L3, Medium		
ORR010	Access to translation and Interpretation services across the ICB area is not equitable with some independent contractor groups not having access.This poses a risk when delivering services particularly in those areas where there are larger numbers of asylum seekers whose first language is not English. ICB not meeting the needs of the population and creating a risk of communication barriers between providers and patients.	sarah.danson@n	Primary Care - Dental Primary Care - Medical Primary Care - Optometry Primary Care - Pharmaceutical	Quality (includes complaints & audit)	12- C3 x L4, Medium	9-C3 x L3, Medium	6 - C3 x L2, Low	
ORR015	Compass Medical Practice do not receive clinical information when patients of the practice attend other providers. This results in Compass Medical Practice not having all patient information recorded on the clinical system . This could lead to issues with the delivery of clinical care to individual patients . If: Patients from Compass Medical Practice access services at other healthcare care providers Then: outcomes from consultations are not transferred to the patient record held with Compass Medical Practice Leading to: an incomplete patient history which could lead to clinical errors and potential patient harm.	michael.anderson sarah.danson@n	Primary Care - Medical	Quality (includes complaints & audit)	16-C4xL4, High	9-C3 x L3, Medium		
ORR024	As chronic diseases are increasingly being managed in Primary Care the number of blood tests required by Practices to monitor, diagnose and treat patients has risen. Many services also now request phlebotomy diagnostics prior to referral. The availability of Phlebotomy in the Community has not increased in recent years and capacity far exceeds demand. The long waiting list contributes to a delay in patients' diagnosis and treatment.	Donna Roberts	Primary Care - Medical	Safety	16- C4 x L4, High			
ORR025	Primary Care access to ABPI services	Donna Roberts	Primary Care - Medical	Business/ Service Interruption/ Environmental Impact	16-C4xL4, High			

**Optometry Risks**

Risk ID	Risk Description	Risk Owner	Functional Area/ Directorate	Risk Category	Initial Risk Score	Current Risk Score	Target Risk Score	Target Date for Closing the Risk
ORR013	It has come to light that signed, up to date contracts are not held on file for all primary care contractors. This has been highlighted due to a recent legal challenge. If contracts are not up to date with signed copies this results in poor contracting housekeeping . This may lead to potential issues should contractual/legal challenges commence	sarah.danson@n david.annstrong2	Primary Care - Dental Primary Care - Medical Primary Care - Optometry	Legall Statutory/ Inspections	9-C3xL3, Medium	9-C3 x L3, Medium		
ORR010	Access to translation and Interpretation services across the ICB area is not equitable with some independent contractor groups not having access.This poses a risk when delivering services particularly in those areas where there are larger numbers of asylum seekers whose first language is not English. ICB not meeting the needs of the population and creating a risk of communication barriers between providers and patients.	sarah.danson@n	Primary Care - Dental Primary Care - Medical Primary Care - Optometry Primary Care - Pharmaceutical	Quality (includes complaints & audit)	12- C3 x L4, Medium	9- C3 x L3, Medium	6-C3 x L2, Low	
ORR017	Currently have limited clinical advisor availability .No cover when advisors off work and no succession planning has been undertaken to date . If clinical capacity remains at current level will impact on work.streams where dedicated clinical advice is required	sarah.danson@n david.armstron3 nick.barkworth@1	Primary Care - Dental Primary Care - Optometry Primary Care - Pharmaceutical	Business/ Service Interruption/ Environmental Impact	6 - C3 x L2, Low	6-C3 x L2, Low	4 - C2 x L2, Very Low	31/05/24

**Pharmaceutical Risks**

Risk ID	Risk Description	Risk Owner	Functional Area/ Directorate	Risk Category	Initial Risk Score	nt Risk	Target Risk Score	Target Date for Closing the Risk
ORR010	Access to translation and Interpretation services across the ICB area is not equitable with some independent contractor groups not having access.This poses a risk when delivering services particularly in those areas where there are larger numbers of asylum seekers whose first language is not English. ICB not meeting the needs of the population and creating a risk of communication barriers between providers and patients.	sarah.danson@n	Primary Care - Dental Primary Care - Medical Primary Care - Optometry Primary Care - Pharmaceutical	Quality (includes complaints & audit)	12-C3xL4, Medium	9-C3 x L3, Medium	6 - C3 x L2, Low	
ORR017	Currently have limited clinical advisor availability .No cover when advisors off work and no succession planning has been undertaken to date . If clinical capacity remains at current level will impact on workstreams where dedicated clinical advice is required	sarah.danson@n david.annstron3 nick.barkworth@1	Primary Care - Dental Primary Care - Optometry Primary Care - Pharmaceutical	Business/ Service Interruption/ Environmental Impact	6 - C3 x L2, Low	6 - C3 x L2, Low	4 - C2 x L2, Very Low	31/05/24
ORR009	NHS England have announced amended regulations that mean 100 hour pharmacies can reduce down to a minimum of 72 hours. They are still required to open until 9pm every evening including Saturday. This new amendment means that pharmacies could choose to open 5-9pm on Saturdays only. If pharmacies reduce their hours then provision of pharmacy services will reduce leading to patients not being able to access care in pharmacies	nicola.feeney1@ sarah.danson@n	Primary Care - Pharmaceutical	Business/ Service Interruption/ Environmental Impact	12 - C3 x L4, Medium	9-C3 x L3, Medium	6 - C3 x L2, Low	30/09/24



