

ICB Primary Care Commissioning Committee

Date of meeting	10 October 2024
Title of paper	Primary Care Commissioning Committee - Risk Management Report
Presented by	Claire Moore, Head of Risk, Assurance and Delivery
Author	Claire Moore, Head of Risk, Assurance and Delivery
Agenda item	9
Confidential	No

Executive summary

The ICB's arrangements for risk management are now well established and provide the framework for the oversight and management of risks at all levels across the organisation.

Risks held on the Operational Risk Register (ORR) which are assessed as having the potential to significantly impact on the delivery of plans or priorities are categorised as "high" and receive Corporate Oversight through the Executive Management Team (EMT) and at the relevant assuring committee.

There are currently no risks held on the Board Assurance Framework (BAF) in relation to the business of the committee.

There are two risks currently held in relation to the business of the Primary Care Commissioning Committee (PCCC) which were assessed as meeting the threshold for Corporate Oversight.

One risk previously held on the ORR has been de-escalated to functional oversight.

A summary of the actions taken to mitigate these risks, including any approved changes/movement in risk scores is presented within section 2 of the report. The risk register entries are provided in full at Appendix 1 and a high-level summary dashboard of all risks currently held which meet the threshold for corporate oversight through other assuring committees is attached at Appendix 2.

Advise, Assure or Alert

The report is to advise the committee of the management and oversight of risks held on the ORR relating to the business of the committee and the risk management activity undertaken during the reporting period.

Recommendations

The Primary Care Commissioning Committee is requested to:

- **Note** the contents of the report;

<ul style="list-style-type: none"> • Review the actions taken to mitigate the risks held in relation to the business of the PCCC; • Note the update provided on actions taken to reduce the risk score in relation to ICB 010 regarding the primary care quality team staffing capacity. • Note the reduction in risk score for risk ICB 009 and subsequent de-escalation of that risk for management and oversight at functional level 				
Which Strategic Objective/s does the report contribute to				Tick
1	Improve quality, including safety, clinical outcomes, and patient experience			✓
2	To equalise opportunities and clinical outcomes across the area			✓
3	Make working in Lancashire and South Cumbria an attractive and desirable option for existing and potential employees			
4	Meet financial targets and deliver improved productivity			✓
5	Meet national and locally determined performance standards and targets			
6	To develop and implement ambitious, deliverable strategies			
Implications				
	Yes	No	N/A	Comments
Associated risks	X			Outlined in the report
Are associated risks detailed on the ICB Risk Register?	X			Outlined in the Appendices
Financial Implications				
Where paper has been discussed (list other committees/forums that have discussed this paper)				
Meeting	Date		Outcomes	
Executive Management Team	Monthly		Endorsed the actions and recommendations outlined in the report.	
Conflicts of interest associated with this report				
Not applicable				
Impact assessments				
	Yes	No	N/A	Comments
Quality impact assessment completed			X	
Equality impact assessment completed			X	
Data privacy impact assessment completed			X	
Report authorised by:	Debra Atkinson, Company Secretary/Director of Corporate Governance			

ICB Primary Care Commissioning Committee

10 October 2024

Primary Care Commissioning Committee Risk Management Update Report

1. Introduction

- 1.1 The ICB has well established arrangements in place for risk management as set out in the ICB's Risk Management Policy¹. This includes the oversight and reporting framework for ensuring the appropriate management of all risks held on the ICB's risk registers at both strategic and operational levels.
- 1.2 Risks which are assessed as having the potential to significantly impact on the delivery of plans or priorities and are categorised as "high", are held on the Operational Risks Register (ORR); these are reported to the Executive Management Team (EMT) monthly, with quarterly risk updates provided to the relevant assuring committee.
- 1.3 This report presents the quarterly risk update on the management of those risks held on the ORR in relation to the business of the Primary Care Commissioning Committee (PCCC) since the last report in June 2024.

2. Review of Risks relevant to the business of the PCCC

- 2.1 There are no risks held on the Board Assurance Framework (BAF) which relate to the business of the committee.
- 2.2 There are currently two risks held on the ORR which relate to the business of the PCCC including one risk which is jointly overseen with the Quality Committee.
- 2.3 A further risk update has been provided for committee members' information in relation to staffing capacity within the ICB's primary care quality team. This risk is overseen through the Quality Committee but has the potential to impact on the proactive management of issues relating to the quality and safety of ICB primary care commissioned services.
- 2.4 A summary of the actions taken to mitigate the risks including movement in risk scores are highlighted below. Full details of the risks are provided at Appendix 1 and a high-level dashboard of all risks currently held with corporate oversight through other assuring committees is also provided at Appendix 2.

¹ [LSC ICB Risk Management Strategy and Policy](#)

3. Review of Risks

3.1 The following risk has been reviewed with no proposed change in risk score:

Risk ID ICB 007: There is a risk that the prevalence of dental caries will deteriorate and that the underlying level of oral health will deteriorate putting additional pressure on access to routine dental care and other dental services available in primary and secondary care.			
Current score: 16 (C4xL4)	Target score: 8 (C4 x L2)	In/out of appetite current: Out	In/out of appetite target: In
The following actions have been updated:			
<ul style="list-style-type: none"> • Development of Dental dashboard: the dental dashboard is now live on Aristotle and is in the “user acceptance testing” section due to impending further development, however all relevant ICB staff now have access. • Enhanced Dental Care for Children Pathway: expressions of interest have been invited from all dental practices to deliver the enhanced pathway with 50 dental practices invited to deliver the service. • Expressions of Interests have been invited from all dental providers across Lancashire and South Cumbria to participate in the Dental Recruitment Investment Scheme (DRIS). The top seven applications have been confirmed and will be progressed. 			

3.2 The following risk is jointly overseen with the ICB’s Quality Committee; the risk has been reviewed with no proposed change in risk score:

Risk ID ICB 013: There is a risk that the ICB is not sighted on and managing effectively the quality of care delivered by Primary Care. This could adversely impact patient safety, experience, outcomes, clinical effectiveness and the ICB’s ability to meet its statutory responsibilities in relation to quality oversight.			
Current score: 16 (C4xL4)	Target score: 8 (C4 x L2)	In/out of appetite current: Out	In/out of appetite target: In
Actions to mitigate the risk include:			
<ul style="list-style-type: none"> • Work continues to ensure that effective data triangulation and escalation pathways are established through the design of systems and processes so that data and intelligence is available and timely. • Engagement with Place Clinical Leads has been conducted to ensure escalation pathways are effective and emerging concerns are raised with the ICB’s quality assurance and patient safety & experience teams. • Contract monitoring is in place to enable oversight of operational delivery and the Primary Care Team continues to review reactive responses and escalate to EMT where required. • Quality Framework has been drafted and will be presented to Quality Committee in November 24. 			

3.3 The following risk update is provided for information due to its potential impact on risk ICB 013; this relates to the ICB’s primary care quality staffing capacity and is overseen through the Quality Committee:

Risk ID ICB 010: There is a risk that effective delivery of an ICB Primary Care quality function and associated oversight will be compromised due to challenges with ICB staff resource and capacity.

Current score: 16 (C4xL4)	Target score: 8 (C4 x L2)	In/out of appetite current: Out	In/out of appetite target: In
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The risk was reviewed by the EMT on 22 September and approved the request for a reduction in risk score from “20” (C4xL5) to “16”. The reduction in risk likelihood is mitigated as follows:

- Staffing capacity has improved due to the return of a substantive member of the quality team and additional interim capacity being implemented via a fixed term post effective from 6 September 2024.

Whilst the adjusted risk score remains high, a business case for further resources is being developed.

4. Risk De-Escalation

4.2 The following risk has been reviewed and a reduction in consequence score agreed by the Executive Management Team (EMT):

Risk ID ICB 009: GP Contract 2024/25 dispute Collective Action; there is a risk that collective action may further result in reduced level of service and impact on patients’ ability to access healthcare via their GP; reduce the number of patient contacts; result in practices not engaging with advice and guidance; with further impact on secondary care.

Current score: 12 (C3xL4)	Target score: 6 (C3 x L2)	In/out of appetite current: In	In/out of appetite target: In
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Following review by the EMT on 27th August, the risk consequence score was reduced from “4” to “3”; this places the risk below the threshold for Corporate Oversight and therefore the risk has been transferred for oversight at functional level.

Regular meetings have been established, and constant monitoring of risk/impact assessments and other actions to mitigate the risk will continue to be undertaken with updates provided through the Primary Care Group escalation reports.

5. Recommendations

5.1 The committee is requested to:

- **Note** the contents of the report;
- **Review** the actions taken to mitigate the risks held in relation to the business of the PCCC;
- **Note** the update provided on actions taken to reduce the risk score in relation to **ICB 010** regarding the primary care quality team staffing capacity.
- **Note** the reduction in risk score for risk **ICB 009** and subsequent de-escalation of that risk for management and oversight at functional level.

Claire Moore

Head of Risk, Assurance and Delivery

10 October 2024

Appendix 2

High level summary dashboard of all risks held on Operational Risk Register (Corporate Oversight)

Risks held on the ORR (corporate oversight)											
Risk ID	Risk Title	Exec Lead	Senior Responsible Officer	Directorate/ Functional Area	Initial Risk Score	Current Risk Score	Target Risk Score	Risk Category	Risk Progress	Monthly Update Completed	Date Risk Updated
ICB003	Adult Autism Assessments	Sarah O'Brien	Jane Brennan	Adult Health and Care	15 - C3 x L5, Medium	20 - C4 x L5, High	12 - C3 x L4, Medium	Quality (includes complaints & audit)	→	✓	09/09/24
ICB010	Staff resource and capacity to effectively deliver quality oversight for Primary Care.	Sarah O'Brien	Kathryn Lord	Quality Assurance and Safety	16 - C4 x L4, High	20 - C4 x L5, High	8 - C4 x L2, Medium	Quality (includes complaints & audit)	→	✓	03/09/24
ICB001	Learning Disability and Autism - inpatient services	Sarah O'Brien	Jane Brennan	Adult Health and Care	16 - C4 x L4, High	16 - C4 x L4, High	12 - C4 x L3, Medium	Quality (includes complaints & audit)	→	✓	09/09/24
ICB004	Waiting times for Adult ADHD	David Levy	Fleur Carney	Mental Health	16 - C4 x L4, High	16 - C4 x L4, High	12 - C4 x L3, Medium	Quality (includes complaints & audit)	→	✓	11/09/24
ICB005	Waiting times for CYP ADHD	David Levy	Fleur Carney	Mental Health	16 - C4 x L4, High	16 - C4 x L4, High	12 - C4 x L3, Medium	Quality (includes complaints & audit)	→	✓	13/09/24
ICB006	Medicines shortages impacting clinical time and financial balance	David Levy, Sarah O'Brien	Andrew White	Meds Optimisation	20 - C4 x L5, High	16 - C4 x L4, High	12 - C4 x L3, Medium	Quality (includes complaints & audit)	→	✓	02/09/24
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.	Craig Harris	David Armstrong	Primary Care - Dental	16 - C4 x L4, High	16 - C4 x L4, High	8 - C4 x L2, Medium	Quality (includes complaints & audit)	→	✓	12/09/24
ICB011	Non compliance with National Patient Safety Alert: Valproate (NatPSA/2023/013/MHRA)	David Levy, Sarah O'Brien	Andrew White	Meds Optimisation	16 - C4 x L4, High	16 - C4 x L4, High	8 - C4 x L2, Medium	Safety	→	✓	09/09/24
ICB012	Clinical Commissioning Policy Backlog	Sarah O'Brien	Andrew White	Quality Assurance and Safety	16 - C4 x L4, High	16 - C4 x L4, High	8 - C4 x L2, Medium	Quality (includes complaints & audit)	→	✓	30/08/24
ICB013	Ability of the ICB to effectively identify and respond to quality concerns for Primary Care.	Sarah O'Brien	Kathryn Lord, Peter Tinson, Andrew White	Quality Assurance and Safety	16 - C4 x L4, High	16 - C4 x L4, High	8 - C4 x L2, Medium	Quality (includes complaints & audit)	→	✓	03/09/24
ICB002	Quality of Maternity and Neonatal Care	Sarah O'Brien	Vanessa Wilson	Maternity	15 - C5 x L3, High	15 - C5 x L3, High	10 - C5 x L2, Medium	Quality (includes complaints & audit)	→	✓	06/08/24
ICB008	Lymphoedema Provision Morecambe Bay, Lancaster and South Cumbria	Craig Harris	Peter Tinson	Health and Care Integration – South Cumbria	25 - C5 x L5, Extreme	15 - C5 x L3, High	10 - C5 x L2, Medium	Quality (includes complaints & audit)	→	✓	06/09/24