

OXFORDSHIRE CLINICAL COMMISSIONING GROUP BOARD

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| Date of Meeting: 28 November 2019 | Paper No: 19/74 |
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| Title of Paper: OCCG Strategic Risk Register |
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| Paper is for: <small>(please delete tick as appropriate)</small> | Discussion ✓ | Decision ✓ | Information ✓ |
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| Conflicts of Interest <small>(please delete tick as appropriate)</small> | |
| This is the proposed new Strategic Risk Register for OCCG that identifies any risks, threats and opportunities across all business activities in the CCG. | |
| No conflict identified | ✓ |
| Conflict noted: conflicted party can participate in discussion and decision | |
| Conflict noted, conflicted party can participate in discussion but not decision | |
| Conflict noted, conflicted party can remain but not participate in discussion | |
| Conflicted party is excluded from discussion | |

Purpose and Executive Summary: This paper is the Executive summary of OCCG’s Strategic risks.

The Directors met on the 6th Nov 2019 as part of the Directors Risk Review meeting to discuss all OCCG Strategic and Operational risks. Following decisions taken in this meeting, updates on the Strategic Risk Register are discussed below:

- There are 7 Strategic risks in the Strategic Risk Register, all are in the High risk/Amber category risk (their risk scores are between 12 -19).
- Risk titles were updated for further clarity:
 - AF28 Workforce was updated to *Provider Workforce* – this risk is about managing provider workforce challenges.
 - AF34 Delivery was updated to *Quality Impact of non-delivery* and is now owned by the Director of Quality.
- The System management of each risk are now displayed below their risk reference number in the Executive Summary. Please note that AF29 & AF30 report to Audit Committee and work is being done with Datix to add Audit Committee in the Datix form codes.
- On Strategic risk AF34 (now called Quality Impact of non-delivery):
 - The current risk rating of 12 was discussed by Directors keeping in mind the feedback from committees. The Directors agreed that at present the risk Consequence should stay as Major (4) and the

Likelihood should also stay as Possible (3); and therefore the Risk score $3 \times 4 = 12$ reflects the current realities. This is mainly due to the on-going work on harm minimization. The Directors will continue to review this risk.

Update on OCCG's Operational Risk register:

- The Operational risk register has now been reviewed by respective Risk Owners and agreed at the Directors Risk Review meeting.
- There are now 7 Operational risks in the Operational Risk register.
- There is no Extreme risk/Red category risk (risk score ≥ 20) in the Operational Risk Register.
- Please note that all project level risks as well as Issues are discussed and noted as part of the OCCG-wide Senior Management Team (SMT) meetings. They are also regularly reviewed in their respective committees meetings (CCG Executive Committee, Finance Committee, Audit Committee, Oxfordshire Primary Care Commissioning Committee (OPCCC) and Quality Committee).

For reference: OCCG's risk grading matrix:

| Consequence | Likelihood | | | | |
|----------------|------------|----------|----------|--------|----------------|
| | 1 | 2 | 3 | 4 | 5 |
| | Rare | Unlikely | Possible | Likely | Almost certain |
| 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 |

| Summary Colour code | |
|---------------------|------------|
| Risk grading | Risk score |
| Low risk | 1 – 4 |
| Moderate risk | 5 – 11 |
| High risk | 12 – 19 |
| Extreme risk | 20 – 25 |

Engagement: clinical, stakeholder and public/patient: OCCG engages with Board and its sub-committees as well as with all OCCG Directors via the bi-monthly 'Directors Risk Review meeting' to discuss its risks.

Financial Implications of Paper: Risk Registers identify risks; threats and opportunities and the steps proposed to mitigate these risks.

Action Required: The Board is requested to review the Executive Summary of the Strategic Risk Register.

OCCG Priorities Supported (please delete tick as appropriate)

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| ✓ | Operational Delivery |
| ✓ | Transforming Health and Care |
| ✓ | Devolution and Integration |
| ✓ | Empowering Patients |
| ✓ | Engaging Communities |
| ✓ | System Leadership |

Equality Analysis Outcome: The risk management process enables equality and diversity related risks to be identified, evaluated, analysed and reported across the CCG.

Link to Risk: This paper is the Executive Summary of OCCG's Strategic Risk Register.

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| AF28 | Provider Workforce | 16 | 8 | Provider workforce challenges and actions are overseen in the Local Workforce Action Board (LWAB) which links with the Strategic Workforce Group. The actions are system-based and require commitment and drive from all stakeholders. Some provider workforce challenges are based on external economical and housing factors. |
| EXEC | There is a risk that provider workforce constraints may impact on the ability of providers to deliver, leading to sub-optimal care. | Manager: Sula Wiltshire Date opened: 02/07/2019 Target date: 31/12/2019 | | |
| AF29 | Cybersecurity | 16 | 8 | Work has been done map and understand current vulnerabilities and an action plan is being drawn up to address these. |
| EXEC | Poor cybersecurity leaves OCCG at risk of cyber attack. This can result in data loss, ransom, denial of service, business continuity impacts and a barrier to data sharing. The consequences can be financial, operational, reputational and regulatory. | Manager: Gareth Kenworthy Date opened: 01/07/2019 Target date: 03/08/2020 | | |
| AF30 | Implementation of Digital Solutions | 16 | 8 | System governance arrangements include the Oxfordshire Digital Steering Group (ODSG) reporting to the ISDB. ODSG will have oversight of programme delivery, enabling the necessary buy-in for implementation and adoption. The technical solutions are available to Oxfordshire but next steps require agreement from data controllers to share and 'on-board' patient data into the solutions. |
| EXEC | Risk that we do not implement digital solutions to provide a single shared care record for Oxon. The consequence of this is that the benefits of delivering integrated person and population centred care aren't realised to their potential. | Manager: Gareth Kenworthy Date opened: 01/07/2019 Target date: 03/08/2020 | | |
| AF32 | Use of Resources | 16 | 12 | ISDB(Integrated System Delivery Board) as a subgroup of the Health and Wellbeing Board, are overseeing agreement and delivery of joint priorities. Progress being made to recruit to an ICP Managing Director and agree transition path. |
| EXEC | There is a risk that Oxfordshire will not deliver comprehensive services if resources (money and people) are not used optimally leading to poorer health outcomes. | Manager: Catherine Mountford Date opened: 23/08/2019 Target date: 31/03/2020 | | |
| AF33 | CCG Organisational Change | 12 | 9 | Agreed joint Director team. Reviewing approaches to manage priorities and workload. Continued support offer and communication with staff to address concerns. |
| EXEC | There is a risk that organisational change to the CCG may impact on the organisation's ability to continue to deliver the business/statutory duties | Manager: Catherine Mountford Date opened: 23/08/2019 Target date: 31/03/2020 | | |

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| AF34 | Quality Impact of non-delivery |
| QPC | There is a risk that failure to comply with national targets will result in poor patient experience. |

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Manager: Sula Wiltshire

Date opened: 23/08/2019

Target date: 31/03/2021

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The CCG is working with providers to mitigate the quality impact of non-delivery and develop harm minimization. The CCG is working towards a harm minimization process.

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| AF31 | Integrated System Risk |
| EXEC | Risk the system doesn't work effectively together requirements of the Long Term Plan won't be delivered. Implications are that we may not be able to ensure the delivery of services to meet population need & that the funding we can attract is limited. |

12

Manager: Jo Cogswell

Date opened: 01/07/2019

Target date: 24/08/2020

8

Programme of work to establish integrated care partnership for Oxfordshire. System focus accross health and care to collaboratively work to identify and address population need.