

OXFORDSHIRE CLINICAL COMMISSIONING GROUP BOARD

Date of Meeting: 30 January 2020	Paper No: 20/1
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Title of Paper: OCCG Strategic Risk Register

Paper is for: <small>(please delete tick as appropriate)</small>	Discussion <input checked="" type="checkbox"/>	Decision <input type="checkbox"/>	Information <input checked="" type="checkbox"/>
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Conflicts of Interest <small>(please delete tick as appropriate)</small>	
No conflict identified	<input checked="" type="checkbox"/>
Conflict noted: conflicted party can participate in discussion and decision	<input type="checkbox"/>
Conflict noted, conflicted party can participate in discussion but not decision	<input type="checkbox"/>
Conflict noted, conflicted party can remain but not participate in discussion	<input type="checkbox"/>
Conflicted party is excluded from discussion	<input type="checkbox"/>

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

The Directors met on 15 January 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:

- OCCG continues to have 7 Strategic risks in the Strategic Risk Register, all are in the High risk/Amber category risk (risk scores are between 12 -16).
- Risk description for AF34 ‘Use of Resources’ was updated for further clarity. This risk is now owned by the Director of Finance (previously owned by the Director of Governance).
The risk description changed from:
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.
To:
There is a risk that cost pressures against OCCGs allocation will lead to non-delivery of OCCG's statutory financial duty and NHSE business rules for CCG's. This will impact on future sustainability and viability and impact on providers and services.

OCCG’s Operational Risk register:

- There is no Extreme/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)

✓	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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Date of Paper: 21 January 2020

AF28	Provider Workforce
QPC	There is a risk that provider workforce constraints may impact on the ability of providers to deliver, leading to sub-optimal care.

16
 Manager: Sula Wiltshire
 Date opened: 02/07/2019
 Target date: 28/02/2020

8 Provider workforce challenges and actions are overseen in the Local Workforce Action Board (LWAB) which links with the Strategic Workforce Group at BOB-level. 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.

AF29	Cybersecurity
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.

16
 Manager: Gareth Kenworthy
 Date opened: 01/07/2019
 Target date: 03/08/2020

8 Work has been done map and understand current vulnerabilities and an action plan is being drawn up to address these.

AF30	Implementation of Digital 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.

16
 Manager: Gareth Kenworthy
 Date opened: 01/07/2019
 Target date: 03/08/2020

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. Business case completed and signed off at ODSG, application (BOB signed) submitted to NHSE.

AF32	Use of Resources
EXEC	There is a risk that cost pressures against OCCGs allocation will lead to non-delivery of OCCG's statutory financial duty and NHSE business rules for CCG's. This will impact on future sustainability and viability and impact on providers and services

16
 Manager: Gareth Kenworthy
 Date opened: 23/08/2019
 Target date: 31/03/2020

12 The CCG is planning to deliver its 2019/20 financial plan targets moving to a balanced net risk position in Month 9. The CCG has submitted a financial plan as part of the ICS plan for 2020/21- 2023-24 in November 2019 and re-submitted in January 2020. The plan is for a deficit of £8.3m and is not compliant with business rules. Contracts have not yet been agreed with key providers but are expected to be some form of block arrangement. Risks to the financial plan are in excess of £5m. They arise from potential tariff impacts which exceed the national planning assumptions, exposure to activity based expenditure and savings non-delivery.

AF33	CCG Organisational Change
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

12
 Manager: Catherine Mountford
 Date opened: 23/08/2019
 Target date: 31/03/2020

9 Agreed Joint Bucks and Oxford Director team. Reviewing approaches to manage priorities and workload. Continued support offer and communication with staff to address concerns.

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

12
 Manager: Sula Wiltshire
 Date opened: 23/08/2019
 Target date: 31/03/2020

8 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.

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.