

OXFORDSHIRE CLINICAL COMMISSIONING GROUP BOARD

Date of Meeting: 24 September 2020	Paper No: 20/42
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Title of Paper: OCCG Strategic and Operational Risk Registers
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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>	
This is the OCCG Risk Register that identifies any risks, threats and opportunities across all business activities in the CCG.	
No conflict identified	<input checked="" type="checkbox"/>
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 held a Directors Risk Review meeting on 3 September 2020. At the meeting the risks on both the Strategic Risk Register and Operational Risk Register were reviewed. Currently there are no red rated Operational Risks.

The Strategic Risk Register Summary is attached as appendix 1.

Changes made to the Strategic Risks are:

AF28 Workforce
The risk was discussed at the Oxfordshire System Workforce Group meeting and the Controls, Gaps in Controls and Assurances have been updated. The score remains unaltered.

AF30 Single Care Record
New controls have been added.

AF31 System Working
The risk has been reviewed following receipt of the Phase 3 letter and the Controls and Assurances updated. No change to the risk score was agreed.

AF34 Patient Experience
As national targets are not being achieved resulting in poor patient experience, it was agreed that this was no longer a risk but an issue. The Board is asked to approve the closure of AF34 and agree the opening of a new risk focusing on elective risk.

The Directors Risk Review also agreed that a joint (provider/commissioner) Quality Impact Assessment looking at the impact on patients and harm they may have experienced through specialities being closed during the COVID-19 situation should be considered.

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. This process enables risks to be identified, evaluated, analysed and reported across the CCG.

Action Required:

The Board is asked to note the content of the paper and agree the closure of risk AF34, Patient Experience, with the opening of a new elective risk.

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: Not Applicable

Link to Risk: The paper concerns the OCCG Strategic and Operational Risk Registers

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Date of Paper: 14 September 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: 31/12/2020

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 - this gives a whole system view of workforce challenges. Local health and social care providers are exploring increased employment opportunities caused by the economical impact of COVID-19. Overseas recruitment has successfully taken place, with new staff due to arrive in September.

AF29	Cybersecurity
FIN	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 Vulnerabilities have been identified, including the use of simulated phishing exercises in the CCG and Practices. An action plan has been developed and adopted by the system group (ODSG). Progress on the action plan is reported to ODSG as joint delivery is required due to the shared network infrastructure.

AF30	Implementation of Digital Solutions
FIN	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 established with the Oxfordshire Digital Steering Group (ODSG) having oversight of programme delivery, enabling the necessary buy-in for implementation and adoption. Primary care and OUH data now live in the platform, all EMIS practices have agreed Data Sharing (Agreements). Funding is in place to progress introduction of OH and OCC data subject to confirmation of fit with ICS capital control total. HIE available and being used in OUH and GP practices.

AF32	Use of Resources
FIN	There is a risk that cost pressures against OCCGs allocation will lead to non-delivery of the CCG statutory financial duty and NHSE business rules. This would impact on future sustainability and viability and impact on providers and service delivery

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

12 The CCG delivered its 2019/20 financial plan targets. However, the draft financial plan for 2020/21 anticipated the CCG being in deficit. In response to the COVID-19 pandemic, amended financial regime has been put in place by NHSE for all NHS organisations. The first phase of this allows the CCG to breakeven through reimbursement of all costs. The risk of non-delivery of financial duties in 2020-21 remains a risk. Post pandemic it is likely that there will be additional pressures arising eg. long term impacts on those recovering from infection, a backlog of elective work and also wider issues such as deteriorating mental health due to lock down measures.

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: 31/08/2020

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. COVID-19 specific work cells have been developed, with recovery plans in place to triage and manage backlog.

AF35	COVID-19 impact on business as usual
QPC	There is a risk the Oxfordshire healthcare system may be unable to balance the needs of patients with Covid-19 with those without Covid-19 in order to deliver safe & effective care which may lead to patient harm.

16
 Manager: Helen Ward
 Date opened: 21/04/2020
 Target date: 31/08/2020

4 Individual issues and mitigations are listed in the attached spreadsheet. A process is in place to review, update and add risks with work stream leads within NHS Oxfordshire CCG, coordinated by the Quality Directorate. As the peak of the virus has passed and plans to restart services are commenced, the impact of the virus on other services is understood better and risk assessments are carried out on services.

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: 31/03/2021

9 The CCG Director teams in the three BOB CCGs are working with the joint AO to align work wherever possible to maximise capacity. Continuing joint working with partners in Oxfordshire on agreed priorities.

AF31	Integrated System Risk
OPCCC	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: 31/12/2020

8 Building on the way we worked together to respond to COVID we are strengthening our system approach into recovery with a focus on agreed priorities. Plans to deliver the requirements of the Phase 3 recovery letter are being managed to ensure delivery. This will inform our ongoing development of the ICP.