

Title of Report:	Risk Register May 2019	
Status:	TO NOTE / FOR DECISION	
Committee:	Primary Care Commissioning Committees in Common Part One	Date: 10/05/2019
Venue:	Cedar and Hazel Room, First Floor, SD CCG, Cedar Court, Guildford Road, Leatherhead, Surrey, KT22 9AE	

Presented by:	Helen Snelling, Head of Primary Care Contracting, Surrey Heartlands CCGs	
Executive Lead sign off:	Rachael Graham, Deputy Director of Contracts Non Acute and Primary Care, Surrey Heartlands CCGs	Date: 03/05/2019
Author(s):	G Langlois-Pearson, Primary Care Contracts Manager, Surrey Heartlands CCGs	

Governance:

Conflict of Interest: The Author considers:	None identified	✓
Previous Reporting: (relevant committees/ forums this paper has previously been presented to)	PCOG	
Freedom of Information: The Author considers:	Open – no exemption applies	✓

Executive Summary:

<p>The Primary Care Risk Register captures all risks within Surrey Heartlands CCGs' Primary Care risks.</p> <p>A full summary of the Risk Register is set out in the attached paper.</p>
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Implications:

What is the health impact/ outcome and is this in line with the CCG's strategic objectives ?	<ul style="list-style-type: none"> • Achieving a sustainable system • Development of collaborative working • Primary Care development • Safe, effective care providing the best possible health and care outcomes and patient experience
What is the financial/ resource required?	N/A

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What legislation, policy or other guidance is relevant?	CCG Governance/policy
Is an Equality Analysis required?	N/A
Any Patient and Public Engagement/consultation required?	N/A
Potential risk(s) ? (including reputational)	Refer to Risk Register Summary and Risk Register excel spreadsheet for additional information

Recommendation(s):

The Committee is requested to:

- (1) To note:
 - New Risk Register Summary outlining current risks for Part 1 Committees in Common PCCC meeting.
 - Risk Register report (appendix) for additional information
- (2) To agree Risks which are proposed for closure

Next Steps:

The Primary Care team will continue reviewing and reporting Surrey Heartlands CCGs Primary Care Risk Register for PCCC.

Surrey Heartlands CCGs Primary Care Risk Register Part 1 PCCC May 2019

ID	Title	Approval status	Organisation	Owner	Handler	Description	Potential effect of the risk	Source of risk	Rating (initial)	Rating (current)	Rating (Target)	Risk Appetite	T Value	Actions and Comments	Reason of Proposed Closure of Risk if applicable	Last updated
164	GPN Workforce Demographic	Proposed for Closure	Surrey Heartlands CCGs	Mallinder, Nikki	Hodgkinson, Joanna	40% of SH GPN workforce are over the age of 45 years when GPNs leave/retire their Expert Generalist Skills and any organisational memory will be lost, there are insufficient numbers of newly qualified nurses choosing primary care as a work place.	Primary Care will not have the necessary workforce with the required skills to deliver the increased amounts and complexity care in a primary care setting.	Historical lack of investment in GP Nursing National high level of vacancies in all areas of nursing	12	9	4	Low 1-4	Treat	Numbers of practices taking students has increased from 4 to 6 We have lots of active nurse mentors working with CEPN to look at additional and diverse roles in primary care 8.2.18 Engagement with practices is ongoing to complete a full workforce tool targeted work by LM 6.3.18 Comms to practices continues to ensure the workforce tool is completed fully each quarter 23.4.18 HEE KSS are producing a primary care plan on a page looking at recruitment and retention strategies for GPs and GPNs in the SH STP and providing numbers to meet the shortfall 6.6.18 New workforce tool to combine national and local model will be active by end of 2018 compulsory completion quarterly 9.8.18 Transferred ownership of risk from Eileen Clark (Quality) to Nikki Mallinder (Primary Care). 2018 Q3 >80% of SH practices completed workforce tool	Proposing to close as workforce is covered in totality by the Primary Care ISSUES LOG I-013 and being managed.	Nikki Mallinder 29/04/2019 09:37:00
198	End of Pilot for Primary Care Workforce Lead Role	Proposed for Closure	Surrey Downs CCG	Mallinder, Nikki	Hodgkinson, Joanna	Discontinued funding from Health Education England Kent Surrey and Sussex for the 4 year piloted role of the Primary Care Workforce Lead may mean that the work that has gone in to the development of the existing workforce in primary care as well as developing new roles in primary care will not be continued	1.Education and training of the current nurse and HCA workforce will revert to an adhoc basis rather than a co-ordinated systematic approach 2.The development and implementation of new roles in primary care will not be continued 3. The retention and retraining of nurses to return to primary care will not be continued 4. Working relationships across the wider CEPN will become more challenging	End of funding from HEKSS to support the pilot role and as yet unidentified on-going funding	9	1	4	Low 1-4	Treat	8.2.18 Shared case for change with Claire Stone and Eileen Clark to support substantive role Quarterly Partnership Meetings across CEPN to provide feedback 6.3.18 Await outcome from 2b Consultation process 24.4.18 Following discussions with CS, EC confirmed future role will sit within primary care team. Plan to develop JD from case for change 6.6.18 From 1.4.2018 post sits within Primary Care portfolio new line manager Nikki Mallinder first 1:1 meeting 7.6.18 9.8.18 Transferred ownership of risk from Eileen Clark (Quality) to Nikki Mallinder (Primary Care). Oct 2018 Role and responsibilities outlined and shared with Nikki M. April 2019 Primary Care Team structure has been approved to contain this function substantively.	Proposed for closure as HEE Funding has come to an end the primary care structure has incorporated primary care workforce roles.	Nikki Mallinder 29/04/2019 09:40:51
163	Insufficient number of GP practices hosting pre registration student nurses	Proposed for Closure	Surrey Heartlands CCGs	Mallinder, Nikki	Hodgkinson, Joanna	A lack of exposure to primary care for student nurses will reduce numbers of qualified nurses choosing primary care as a first choice career destination affecting supply	Significant reduction in new GPNs choosing to work in primary care may create a threat to the out of hospital strategy	Lack of understanding or acknowledgement from Primary Care about the potential scale of the problem Lack of engagement with pre-registration education for non-medical students Lack of capacity of existing GPN workforce to manage the support and mentorship of Pre-Reg Nurses	12	8	3	ZERO	Treat	8.2.18 More nurse mentors are being created providing greater opportunity for practices to host students Targeted investment from the GPN workforce review to create mentors 6.3.18 An increased number of GPNs are becoming mentors however we have no sign off mentors and currently UoS can not support this which means 3rd year students on their final placement can not be placed in GP. We are working with UoS to resolve this 24.04.2018 We have approached Portsmouth Uni to offer a non credit based mentorship programme the aim for Surrey Downs is to have at least one active nurse mentor in all practices currently 15 more required Data has been collected across the CEPN to detail which practices take what types of pre reg students to provide a picture of how we may influence practices to host all students from all disciplines 6.6.18 The increase in nurse mentors to support students continues to be the driver from HEKSS Quote to provide from Portsmouth £8000 for 40 nurses across the CEPN decision to proceed will be made on 13.06.2018 9.8.18 Transferred ownership of risk from Eileen Clark (Quality) to Nikki Mallinder (Primary Care). Jan 19 - UoS are piloting a mapping process for existing mentors to new standards and a shortened course we are engaging with them to provide. April 2019 Plan from HEE to pilot placements for all students - medics nurses pharm paramedics etc at multi sites via a hub and spoke to broaden placement experience in an out of hospital setting.	Proposed for closure as this is a duplicate to Risk 164 which is being managed under the Primary Care ISSUES LOG I-013.	Nikki Mallinder 29/04/2019 09:38:31

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170	Limited response from practices to provide baseline information of current workforce on the NHSE (HEE KSS) tool	Proposed for Closure	Surrey Downs CCG	Mallinder, Nikki	Hodgkinson, Joanna	There is a risk that the lack of response from practices across the 3 CCGs to provide baseline information of the existing workforce will adversely impact on plans to create additional workforce capacity as set out in the GPFV.	Practices will face extreme difficulties due to increasing shortages in staff and will be unable to deliver high quality care, achieve poor outcomes for patients and not fulfil contractual requirements as outlined in the NHS Standard Contract.	GP practices across the three CCGs in GW, NWS and SD.	9	9	1	ZERO	Treat	CCG already engaged with HEE KSS Workforce Development team to understand potential issues across the SHP CCGs. SD workforce tutor also engaged with all SD practices offering guidance and support to help practices upload information on the workforce tool. HEE KSS Information Manager and Workforce Tutor presented to Practice Managers about potential workforce challenges and use of the tool to help understand issues and how preventative action can help alleviate the pressures. Report for the third quarter is expected in January 2018. Following this practices will be contacted directly. Reminder to practices was also sent out in the GPFV newsletter in December 2017. Submission made to International GP Recruitment Scheme to recruit GP from abroad.	proposed for closure as uploading workforce data is contractual and therefore will be dealt with through the contracting mechanisms.	Nikki Mallinder 29/04/2019 09:42:52
266	Open Exeter	Proposed for Closure	Surrey Heartlands CCGs	Mallinder, Nikki	Eugene, Shelley	if the transition from Open Exeter to the new system is not effectively managed	there is a risk of primary care services not being delivered effectively. There is also a financial impact to GP practices and CCGs as well as safety risk to the patients.	National decision to change database	15	15	8	Moderate 5-8	Treat	The CCG have quarterly updates with PCSE via NHS England networks to update us on progress. The CCG has offered PCSE named practices who could be used as pilot sites.	This risk has been duplicated by one of the CCGs and is currently on the ISSUES LOG and being managed.	Nikki Mallinder 29/04/2019 09:34:14
350	Primary care interpreting procurement	Approved by Owner	Surrey Heartlands CCGs	Graham, Rachael	Snelling, Helen	The CCG could be unsuccessful in securing a provider, that the programme team are unable to meet the procurement deadlines and timeframe and/or that the costs of the service are largely increased as a consequence of the revised service specification and drive to increase utilisation and access.	Failure to secure a service provider(s) leading to inability for GP practices to access interpreting and translation services on behalf of their patients.	Expiration of contracts transitioned from NHSE necessitated extensions due to "last minute" notification of handover of this delegated function. In order to comply with competition regs it is necessary to deliver a competitive exercise to secure longer term provisions to meet the statutory requirement to provide accessibility to Primary Care services as part of the Equality and Diversity provisions.	6	4	2	Low 1-4	Treat	Continue to work via procurement board. Agreement at PCOG that review of the suite of procurement documents via Chairs Actions due to time constraints to ensure programme stays on track. Action to be taken to continue with existing arrangements in the event no bids or only unaffordable bids are received.		Rachael Graham 23/04/2019 22:34:15

Likelihood	Consequence				
	None	Minor	Moderate	Major	Catastrophic
Certain	5	10	15	20	25
Likely	4	8	12	16	20
Possible	3	6	9	12	15
Unlikely	2	4	6	8	10
Rare	1	2	3	4	5

Range:	Low (1-4)	High (9-12)
	Moderate (5-8)	Significant (15-25)

Primary Care Commissioning Committee
Risk Register Summary
Part 1
PCOG APRIL / PCCC MAY 2019

Executive Summary:

This is the 2nd iteration of Risk Register Summary outlining current risks for Part 1 Committees in Common PCCC meeting.

This summary is part of an overall review of all Primary Care risks, ensuring that they are captured accurately on DATIX including identifying all appropriate owners and handlers for each Primary Care risk within Surrey Heartlands CCGs.

A further software update has taken place on DATIX with regard to the Primary Care Commissioning Committee meeting format – PCCC CiC Part 1 and PCCC Cic Part 2. This has enabled all Surrey Heartlands CCGs Primary Care risks will be searched and reported by Part 1 and Part 2 parameters.

To date, the steps completed within this review have included:

- Reviewed and correctly identified owners/handlers for outstanding risks (280, 340, 279 and 313).
- Software update complete on DATIX to identify Part 1 and Part 2 risk categories
- Identifying DATIX CHAMPIONS as well as a list of owners and handlers as requested from Corporate Governance and Risk Managers.
- Facilitating risk owners and handlers to update/close current and new risks.
- 2nd iteration of executive summary formatting complete in line with March PCCC recommendations to include actions and comments.
- Primary Care Risk Register now being prepared and presented to the Primary Care Operation Group (PCOG) prior to being presented to PCCC for assurance and approval.

Next steps:

- All owners/handlers to continue to update comprehensive content.
- Facilitating on going exercise for all owners/handlers to update their risks to incorporate the Primary Care Commissioning searching parameters.
- Datix Champions to attend DATIX training session and feedback learning to all owners/handlers as appropriate.
- Seek feedback/comments from PCCC regarding layout/content of new Risk Register Summary and revise appropriately.
- Send monthly reminders to all owners/handlers to update their risks.
- Extract and submit Risk Register for review at PCOG and PCCC meetings.

Summary of Risks to Note:

Risk # / Title	CCG	Risk Description	Actions & Comments	Current Risk Rating	Status/Recommendation to PCCC
164- GPN Workforce Demographic	Surrey Heartlands	40% of SH GPN workforce are over the age of 45 years when GPNs leave/retire their Expert Generalist Skills and any organisational memory will be lost, there are insufficient numbers of newly qualified nurses choosing primary care as a work place.	Proposing to close as workforce is covered in totality by the Primary Care ISSUES LOG I-013 and being managed.	9	Proposed for closure
198 - End of Pilot for Primary Care Workforce Lead Role	Surrey Downs CCG	Discontinued funding from Health Education England Kent Surrey and Sussex for the 4 year piloted role of the Primary Care Workforce Lead may mean that the work that has gone in to the development of the existing workforce in primary care as well as developing new roles in primary care will not be continued	Proposed for closure as HEE Funding has come to an end the primary care structure has incorporated primary care workforce roles.	1	Proposed for closure
308 - Extended Access service SMN & DHC- capacity risk	Surrey Heartlands	There are insufficient staff to pick up the shifts	Approved for closure March 2019 PCCC		Closed
163 - Insufficient number of GP practices hosting pre registration student nurses	Surrey Heartlands	A lack of exposure to primary care for student nurses will reduce numbers of qualified nurses choosing primary care as a first choice career destination affecting supply	Proposed for closure as this is a duplicate to Risk 164 which is being managed under the Primary Care ISSUES LOG I-013.	8	Proposed for closure
266 – Open Exeter	Surrey Heartlands	If the transition from Open Exeter to the new system is not effectively managed there is a risk of primary care services not being delivered effectively. There is also a financial impact to GP practices and CCGs as well as safety risk to the patients.	Proposed for closure as this risk has been duplicated by one of the CCGs and is currently on the ISSUES LOG and being managed.	15	Proposed for closure

**Risk Register Summary PART 1
PCOG APRIL – PCCC MAY 2019**

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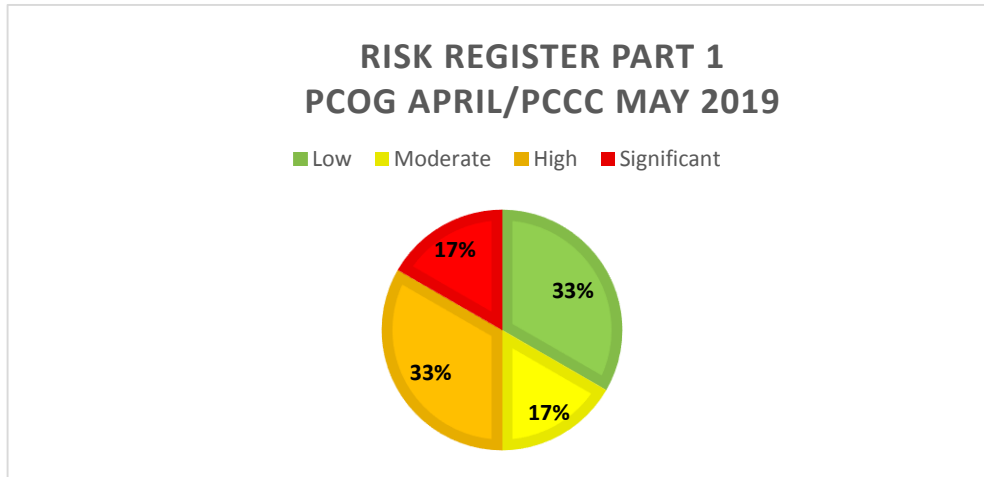
Guildford and Waverley CCG | North West Surrey CCG | Surrey Downs CCG

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170 – Limited response from practices to provide baseline information of current workforce on the NHSE (HEEKSS) tool.	Surrey Downs CCG	There is a risk that the lack of response from practices across the 3 CCGs to provide baseline information of the existing workforce will adversely impact on plans to create additional workforce capacity as set out in the GPFV.	Proposed for closure as uploading workforce data is contractual and therefore will be dealt with through the contracting mechanisms.	9	Proposed for Closure
350 - Primary care interpreting procurement	Surrey Heartlands	The CCG could be unsuccessful in securing a provider, that the programme team are unable to meet the procurement deadlines and timeframe and/or that the costs of the service are largely increased as a consequence of the revised service specification and drive to increase utilisation and access.	Continue to work via procurement board. Agreement at PCOG that review of the suite of procurement documents via Chairs Actions due to time constraints to ensure programme stays on track. Action to be taken to continue with existing arrangements in the event no bids or only unaffordable bids are received.	4	Ongoing

Appendices:

Surrey Heartlands CCGs Primary Care Risk Register Part 1 PCCC May 2019 excel spreadsheet

Additional Information:



**Risk Register Summary PART 1
PCOG APRIL – PCCC MAY 2019**

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