

Agenda item: 16

Paper no: 16

Title of Report:	Issues Log (Includes Combined East Surrey CCG Risk & Issues Log)	
Status:	To Approve / Note	
Committee:	Primary Care Commissioning Committees In Common Part One – November 2019	Date: 08/11/2019
Venue:	Martineau Hall, Dorking Halls, Reigate Road, Dorking, Surrey, RH4 1SG	

Presented by:	Helen Snelling, Head of Primary Care Contracting, Surrey Heartlands CCGs	
Executive Director Lead sign off:	Rachael Graham, Deputy Director of Contracts, Non Acute and Primary Care	Date: 01/11/2019
Author(s):	Paul Coppini – Primary Care Contracts Manager	

Governance:

Conflict of Interest: The Author considers:	None identified	✓
Previous Reporting: (relevant committees/ forums this paper has previously been presented to)	N/A Committee name: Meeting date: Outcome:	
Freedom of Information: The Author considers:	Open – no exemption applies. Part I paper suitable for publication.	✓

Executive Summary:

Issue 007: To note update.
 Issue 011a: Ongoing.
 Issue 011b: Ongoing
 Issue 013: Ongoing.
 Issue 020: To note update.

Please note that the enclosed East Surrey Log is a combination log of Issues & Risks. Going forward the risks and issues will be separated and reported to PCCC.

Implications:

What is the health impact/ outcome and is this in line with the CCG's strategic objectives ?	<ul style="list-style-type: none"> • Objective 1: Achieving a sustainable system • Objective 2: Development of collaborative working • Objective 3: Developing Integrated Care at a local level • Objective 4: Primary Care development • Objective 5: Safe, effective care providing the best possible health and care outcomes and patient experience • Objective 6: Commissioning a safe and sustainable Children's service
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Working together across Surrey Heartlands

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

What is the financial/ resource required?	None
What legislation, policy or other guidance is relevant?	NHS England directive and policy.
Is an Equality Analysis required?	Not required.
Any Patient and Public Engagement/ consultation required?	Not required.
Potential risk(s) ? (including reputational)	Refer to attached Issues Log.

Recommendation(s):

To note the issues reported.

Next Steps:

Primary Care Team to continue to monitor and react to issues identified.

Primary Care Commissioning Committee
Issues Log Summary
Part 1 PCOG October/PCCC November 2019

Executive Summary:

All potential issues are considered by PCOG prior to inclusion in the formal Issues Log. Each identified Issue will be allocated an owner who will be responsible for reviewing and updating the Issue as required. The Issue Log is a standing item on the PCOG and PCCC agendas.

Next steps:

- Seek feedback/comments from PCCC regarding layout/content of Issue Log.
- Summary and revise appropriately.

Summary of Issues to Note:

Issue No	CCG	Issue Description	Current Status/Recommendation to PCCC
I-007	SH	PCSE service delivery concerns.	To note update.
I-011a	SH	NHSE/NHSPS Non-Reimbursable service/rent charges.	Ongoing.
I-011b	SH	NHSE/NHSPS Reimbursable service/rent charges.	Ongoing.
I-013	SH	GP Workforce	Ongoing.
I-020	SH	NHSPS Leases	To note update.

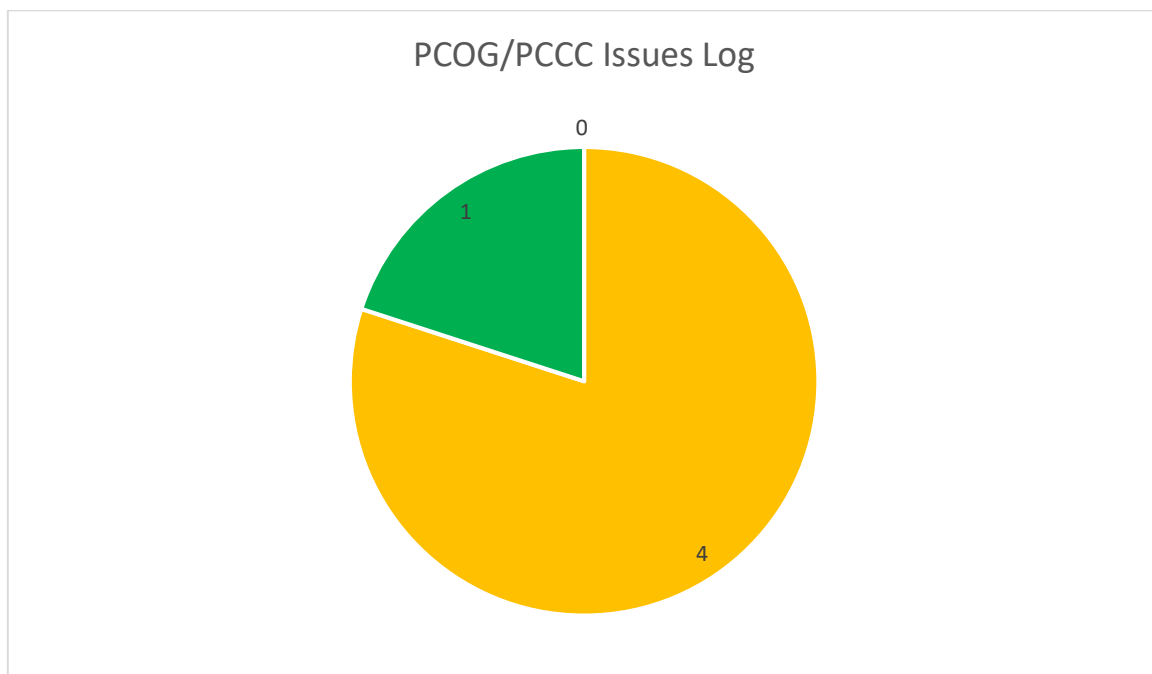
		ISSUES		
		Priority		
		1 Low	2 Medium	3 High
Impact	1 Low	1	2	3
	2 Medium	2	4	6
	3 High	3	6	9

Impact on Primary Care:	1 Low, 2 Medium, 3 High
Priority for PCCC:	1 Low, 2 Medium, 3 High
Progress:	1 - Analysis Underway 2 - Reviewing Options 3 - Solution Identified 4 - Solution in Delivery 5 - Implemented Final Solution 6 - Pending Closure

Appendices:

Primary Care Co-Commissioning Issues Log - Committees In Common Part 1
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Additional Information:



**Risk Register Summary
PCCC Part 1 - November 2019**

Working together as the Surrey Heartlands Clinical Commissioning Groups

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

Primary Care Co-Commissioning Issues Log - Committees In Common (Part 1)

Issue ID	CCG	Date Raised	Raised by	Status	Issue Owner	Date Closed	GP Practice	Locality	Contract	Financial Impact?	Issue Description			Target Date for Resolution	Progress	Latest Update				Escalation Action	Escalation Outcome			
											Issue	Issue Effect (Impact)	Impact on Primary Care			Priority for PCCC	Original RAG Score	Update	Current RAG			Date of Last Update	Last Update By	Review Date
I-007	SH	04-Aug-16	Snelling, Helen	Open	Graham, Rachel		All	All	All	Yes	PCSE Capita All practices are having issues with PCSE (Capita) regarding Superannuation, health records and delivery, and communication difficulties	Extra cost of constant escalation from Practices, CCG and NHSE to PCSE(Capita) to provide their agreed service on a timely basis. Risk to patients if practices do not receive their files in timely manner.	3 - High 2 - Medium	6	Communication to be sent to all Practices to advise that we have become aware that some errors have occurred in the calculation of superannuation payments due to errors in the date held on the system; GPs may wish to assure themselves that their payments are accurate. Identify a contact at PCSE that GPs can be directed to should they identify issues. Work with NHSE to seek assurance from PCSE re timeline for remedy and an Action Plan for all matters	Ongoing	1 - Analysis Underway	Service delivery has improved. PCSE provided checklist for CCG and practices to ensure queries are dealt with efficiently. Reduced priority score to medium. Monthly escalation meetings with PCSE and continue to review outstanding issues. Ongoing.	Amber	20-Aug-19	Snelling, Helen	08-Oct-19	Escalated to PCCC	Please refer to standing agenda item for updates.
I-011a	SH	16-Dec-16	Singh, Mandeeep	Open	Fuller, Claire		All	All	All	Yes	NON-Reimbursables: Lack of information shared between NHSPS, NHSE regarding service charges.	Financially destabilising practices / NHSPS (18 practices affected)	3 - High 3 - High	9	CCG facilitating co-ordination of financial position for each NHSPS occupied building through monthly meetings with them.	Ongoing	1 - Analysis Underway	No change	Amber	19-Aug-19	Andy Law	08-Oct-19	Escalated to PCCC	
I-011b	SH	16-Dec-16	Singh, Mandeeep	Open	Fuller, Claire		All	All	All	Yes	Reimbursables: Lack of information shared between NHSPS, NHSE regarding rent charges.	Financially destabilising practices / NHSPS (18 practices affected)	3 - High 3 - High	9	2019/20 rental values have been agreed between NHSPS & Practices for all bar 3 GP practices. Where agreement has been reached, the CCG has made payment to practices to enable onward payment to NHSPS. There are still issues remaining relating to prior years, for which the CCG is working with NHSPS and practices to resolve.	Ongoing	1 - Analysis Underway	No change	Amber	19-Aug-19	Andy Law	08-Oct-19	Escalated to PCCC	
I-013	SH	07-Apr-17	Thorburn, Karen	Open	Mallinder, Nikki		All	All	All	Yes	Workforce Continuing local and national challenges to recruit GPs to post and enhanced skill set in primary care.	Unable to deliver high quality Primary Care and the CCG's Model of Care. Limited ability of Primary Care to transform. Sustainable primary care workforce will not be achieved. Impacts on service delivery.	3 - High 2 - Medium	6	07/04/17: PCCC proposed and agreed to move this item to Programme Board and close the item on this log. PCCC has requested quarterly updates. Recruitment/ workforce/ skill mix strategies incorporated into the Primary Care Strategy. CCG has appointed internal Primary Care Workforce Tutor via Health England Kent Surrey & Sussex. Workforce Tutor commenced role and working with locality team to support practices.	Ongoing	1 - Analysis Underway	PCCC to receive quarterly update on workforce changes. Team currently working on related recruitment and retention strategies. No further update.	Green	20-Aug-19	Mallinder, Nikki	08-Oct-19	Escalated to PCCC	
I-020	SH	01-Feb-18	Fuller, Claire	Open	Mallinder, Nikki		All	All	GMS	Yes	NHSPS Leases GP practices who occupy NHSPS owned properties without leases. NHSPS is working on new leases which are disproportionate to current market rent with regard to high services charges	Risk of practices no resolution between practices and NHSPS landlord May destabilize GP practices	2 - Medium 2 - Medium	4	NHSE/CCG supporting practices to negotiate new leases with NHSPS landlords	Ongoing	2 - Reviewing Options		Amber	19-Aug-19	Andy Law	08-Oct-19	Escalated to PCCC	

ISSUES				
Impact		Priority		
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1 Low		1	2	3
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Impact on Primary Care:	1 Low, 2 Medium, 3 High
Priority for PCCC:	1 Low, 2 Medium, 3 High
Progress:	1 - Analysis Underway 2 - Reviewing Options 3 - Solution Identified 4 - Solution in Delivery 5 - Implemented Final Solution 6 - Pending Closure

Status	Probability (Risks)	Impact (Risks)	Impact (Issues)	Priority (Issues)	Risk Responses	Yes/No	Escalation Assessment	Progress (Issues)
Open	0 - Closed	0 - Closed	1 - Low	1 - Low	Accept	Yes	Escalated to JET	1 - Analysis Underway
Closed	1 - Rare	1 - Negligible	2 - Medium	2 - Medium	Avoid	No	Escalated to Corporate	2 - Reviewing Options
	2 - Unlikely	2 - Minor	3 - High	3 - High	Reduce		Escalated to NHSE	3 - Solution Identified
	3 - Possible	3 - Moderate			Share		Escalated to a Risk	4 - Solution in Delivery
	4 - Likely	4 - Major			Transfer		Escalated to CPN	5 - Implemented Final Solution
	5 - Almost Certain	5 - Catastrophic						6 - Pending Closure

Primary Care Co-Commissioning Issues Log and Risk Register

Issue ID	CCG	Date Raised	Raised by	Status	Issue Owner	Date Closed	GP Practice	Locality	Contract	Financial Impact?	Issue Description			Target Date for Resolution	Progress	Latest Update				Escalation Action	Escalation Outcome				
											Issue	Issue Effect (Impact)	RAG Score			Update	Current RAG	Date of Last Update	Last Update By			Review Date			
I-001	ES	04-Aug-16	Brine, Sara	Open	Sollitt, Steve		All	All	All	Yes	There is a risk that due to Practices capping their patient registration lists will put further pressure on neighbouring practices as an extra process for patients who may then not register	There is a risk to Primary Care provision and the stability of practices as a result of a number of practices capping list. This also increases workload to CCG staff who have to allocate patients. Some long term capping issues need to be investigated - and a large number of capped practices in Crawley CCG area has a knock on effect into East Surrey CCG.	3 - High	3 - High	9	Meetings to take place with practices to identify issues leading to capping and to investigate what the CCG can do to help practices to uncap This needs to also be at PCN level	Ongoing	1 - Analysis Underway	Meetings to be arranged and action plans developed 22/10/19 There have been some intial discussions with a number of practices in one PCN	Red	13-Aug-19	Sollitt, Steve	01-Nov-19		
I-002	ES	01-Jun-19	Brine, Sara	Open	Sey, Tina		All	All	All	Yes	NON-Reimbursable: Lack of information shared between NHSPS, NHSE regarding service charges. Reimbursable: Lack of information shared between NHSPS, NHSE regarding rent charges.	Financially destabilising practices / NHSPS	2 - Medium	2 - Medium	4	CCG to facilitate co-ordination of financial position for each NHSPS occupied building through monthly meetings with them.	Ongoing	1 - Analysis Underway	True up figures not yet received for a number of practices with some significant outstanding issues , but we are finding issues with the figures reported. Lack of information re: non reimbursable cost continues No change in status	Amber	13-Aug-19	Sey, Tina	01-Nov-19		
I-003	ES	01-Jun-19	Brine, Sara	Open	Sollitt, Steve		All	All	All	No	There is a risk that Primary Care will not be resilient because of various factors including estates and premises issues, workforce and population growth across the CCG	Financially destabilising practices (16 practices affected)	3 - High	3 - High	9	CCG undertaking practice visits to understand the impacts of these issues. Working at PCNM level to help identify solutions	Ongoing	1 - Analysis Underway	Visits planned and the CCG is constructing a Balance Scorecard for practices	Red	13/18/19	Sollitt, Steve	01-Dec-19		
I-004	ES	01-Jul-19	Brine, Sara	Open	Sey, Tina		All	All	All	Yes	Interpreting and Translation services - Notice given on service	Risk to support service for patients	2 - Medium	2 - Medium	4	CCG is looking to utilise the new contract covering Surrey Heartlands from 1st October - this paper is currently passing through the CCGs governance process	At Committee	5 - Implemented Final Solution	If agreed by PCOG and PCCC, this service will be available from 1st October 2019 Service live in East Surrey and full access for Primary Care available. PCOG proposed closure	Green	01-Oct-19	Sollitt, Steve	01-Oct-19		This service transfer is complete There is no longer a risk due to this transfer and the risk should be CLOSED
I-005	ES	01-Jul-19	Sollitt, Steve	Open	Sey, Tina		All	All	All	Yes	PCN Payments and ensuring that these are made in a timely manner. This is a new set of payments being made	Financial impact on practices	2 - Medium	2 - Medium	4	The CCG have made additional payments to ensure that there is no financial risk	Ongoing	5 - Solution in Delivery	22/10/19 PCN Paymtnets are being made in accordance with the PCN DES	Amber	22-Oct-19	Sollitt, Steve	01-Oct-19		As paymtnets are now being made this is no longer a risk and this should be CLOSED
I-006	ES	01-Jun-19	Brine, Sara	Open	Sollitt, Steve		All	All	All	No	Workforce Continuing local and national challenges to recruit GPs to post and enhanced skill set in primary care.	Unable to deliver high quality Primary Care and the CCG's Model of Care. Limited ability of Primary Care to transform. Sustainable primary care workforce will not be achieved. Impacts on service delivery.	3 - High	2 - Medium	5	The CCG continues to work closely with practices around different skill mix and other ways of reducing pressure on remaining GPs and single hander practices. The introduction of PCNs should help with an increase in different staffing groups	Ongoing	2 - Reviewing Options	The CCG is undertaking visits to practices to identify where staffing is a risk or concern. 22/10/19 The introduction of different staff groups to the PCN funding scope in 2020/21 will allow for a different approach and should reduce this risk	Amber	13-Aug-19	Sollitt, Steve	01-Dec-19		
I-007	ES	01-Apr-19	Sollitt, Steve	Open	Sey, Tina		All	All	All	Yes	Payment of rates to practices for 19/20 delayed as agreement from GL Hearn not received	Financial impact on practices Rates paid but the CCG not able to reimburse	2 - Medium	2 - Medium	4	CCG is presently paying practices whilst following up with GL Hearn if the issues are resolved These payments are being made in advance of that final agreement	Ongoing	4 - Solution in Delivery	Ongoing - Regular meetings with Finance to monitor progress	Amber	13-Aug-19	Sey, Tina	01-Dec-19		
I-008	ES	01-Apr-19	Brine, Sara	Open	Sollitt, Steve		All	All	All	No	Practice Boundaries do not match - On Contract Documents and GIS Mapping Tool	This can cause confusion when allocating patients, checking on areas covered by practices and when there are boundary reviews	2 - Medium	2 - Medium	4	There is an ongoing review of boundaries, asking practices to confirm that they are operating to their contract boundary	01-Jan-20	1 - Analysis Underway	This work is underway 22/10/19 Several practices have been contacted and the issue is under review There are differences between the contract held boundary and the one used on the GIS mapping tool and these are in the process of being resolved.	Amber	20-Aug-19	Sollitt, Steve	01-Dec-19		

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