

ICB Primary Care Commissioning Committee

Date of meeting	14 March 2024
Title of paper	Primary Care Commissioning Committee - Risk Management Report
Presented by	Debra Atkinson, Director of Corporate Governance/Company Secretary
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Agenda item	9a
Confidential	No

Executive summary

The purpose of this report is to provide the Primary Care Commissioning Committee (PCCC) with an update on risk management activity undertaken during the reporting period relating to risks specific to the business of the committee since the last update in September 2023.

Further to the “deep dive” review and report presented to the PCCC in September 2023, **Risk ID ICB 026: Dental Access** which was held on the Board Assurance Framework (BAF) was re-assessed and a new risk relating to oral health issues opened on the Corporate Risk Register (CRR) as follows:

- Risk ID ICB038: High levels of oral health issues (dental caries). Risk:**
 There is a risk that the prevalence of dental caries will deteriorate and that the underlying level of oral health will deteriorate putting additional pressure on access to routine dental care and other dental services available in primary and secondary care.

The risk is currently scored as “**16**” (consequence 4 x likelihood 4 with a target risk score of “**8**” (4 x 2) by 31 March 2026; the actions to mitigate the risk are summarised within the report.

The report also provides an update on the work undertaken following a PCCC risk management workshop delivered at its development session in November 2023. This included a facilitated discussion which focused on the identification and review of risks relating to the effective and safe delivery of dental, pharmacy, ophthalmic and medical care services. Following this, work has been undertaken to implement a consistent approach to risk identification across the Groups and, that processes are implemented to ensure the PCCC is informed of risks associated with the work of the Primary Care Groups.

The outputs from the workshop are summarised within the report including a proposal for the future reporting of the Primary Care Groups' risks and issues via the Group Escalation and Assurance Reports from April 2024.

The Committee Escalation and Assurance report to the board in November included an "alert" from the Quality Committee regarding primary care incident reporting and the variation and underdevelopment of incident reporting in primary care. Following the General Practice Care Delivery Workshop held in January 2024, work is underway to scope and define the risks arising as a result of this.

To enable full visibility of all risks held by the ICB and overseen through its assuring committees, members are provided with "read" access to a high-level summary dashboard which details all risks currently held on the ICB's BAF and CRR:

[BAF and CRR Dashboard.](#)

Advise, Assure or Alert

The report is to advise the committee of the management and oversight of risks held on the BAF and CRR relating to the business of the committee and the risk management activity undertaken during the reporting period.

Recommendations

The Primary Care Commissioning Committee is requested to:

- **Note** the contents of the report;
- **Note** the re-assessed risk relating to dental access (**Risk ICB-026**) and revised risk relating to Oral Health Issues (**Risk ICB-038**);
- **Note** the work undertaken following the risk management workshop delivered at the Primary Care Commissioning Committee development session in November and the proposals for reporting Primary Care Groups' Risks from April 2024;
- **Note** the work underway following the Committee Escalation and Assurance report to the board in November 2023 regarding primary care incident reporting, and the actions following the General Practice Care Delivery Workshop held on 31 January 2024.

Which Strategic Objective/s does the report contribute to		Tick
1	Improve quality, including safety, clinical outcomes, and patient experience	
2	To equalise opportunities and clinical outcomes across the area	✓
3	Make working in Lancashire and South Cumbria an attractive and desirable option for existing and potential employees	
4	Meet financial targets and deliver improved productivity	
5	Meet national and locally determined performance standards and targets	
6	To develop and implement ambitious, deliverable strategies	

Implications

	Yes	No	N/A	Comments
Associated risks	X			Outlined in the report

Are associated risks detailed on the ICB Risk Register?	X			Outlined in the Appendices
Financial Implications				
Where paper has been discussed (list other committees/forums that have discussed this paper)				
Meeting	Date		Outcomes	
Executive Management Team	Monthly		Endorsed the actions and recommendations outlined in the report.	
Conflicts of interest associated with this report				
Not applicable				
Impact assessments				
	Yes	No	N/A	Comments
Quality impact assessment completed			X	
Equality impact assessment completed			X	
Data privacy impact assessment completed			X	

Report authorised by:	Debra Atkinson, Company Secretary/Director of Corporate Governance
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ICB Primary Care Commissioning Committee

14 March 2024

Primary Care Commissioning Committee Risk Management Update Report

1. Introduction

- 1.1 This report provides an update on the risk management activity undertaken since September 2023 relating to the risks held on the ICB's Corporate Risk Register (CRR) specific to the business of the Primary Care Commissioning Committee (PCCC).
- 1.2 Also provided is a summary of the progress made following the risk management workshop provided at the PCCC development session in November 2023, to support the Primary Care Group Assurance leads to establish a consistent approach to capturing the risks and issues managed through the work of the Primary Care Groups - dental, pharmaceutical, ophthalmic, primary medical services and capital working group.
- 1.3 The report includes a brief update following the Committee Escalation and Assurance report to the board in November 2023; the report included an "alert" from the Quality Committee to the board regarding incident reporting in primary care. Following the General Practice Care Delivery Workshop held in January 2024, work is underway to further review and assess risks arising as a result of this.

2. Background

- 2.1 To ensure visibility of all risks held on the ICB's BAF and CRR including those overseen through the work of the other committees, members are provided with access to the ICB's risk management system (Smartsheets) which provides a high-level summary via a "live" [BAF and CRR Dashboard](#).
- 2.2 All risks held on the BAF or CRR are aligned to the achievement of one of the ICB's 6 Strategic Objectives (SO); the risk relating to the business of the PCCC (section 3.1) is aligned to:

SO2: To equalise opportunities and clinical outcomes across the area.

3. Review of Corporate Risks

- 3.1 Following the deep dive report presented to the PCCC in September 2023, the **BAF Risk ID ICB 026: Dental Access** was re-assessed and re-framed on the risks relating to oral health (attached at Appendix A) as follows:

Risk ID ICB038: High levels of oral health issues (dental caries);

Risk: There is a risk that the prevalence of dental caries will deteriorate and that the underlying level of oral health will deteriorate putting additional pressure on access to routine dental care and other dental services available in primary and secondary care.

Trigger: The level of dental care within areas of high deprivation across the ICB remains high, affecting a specific cohort of patients whose access to dental services and whose self-care dental regime has historically been lower than average. There has also been a shift in the oral health disease burden across the wider patient population largely caused by reduced access to dental services during Covid that has led to patients requiring far more invasive procedures.

As a result:

- Dental practices have not been able to see and treat the same number of patients as each patient is taking more clinical time and a greater number of appointments to make them orally fit
- Dental practices are not able to achieve their contracted activity, which leads to punitive contract sanctions and in turn reduces the sustainability of the dental practice, leading to contract hand-backs
- NHS dental contracts and their limited flexibility for developing services to specifically manage more effectively oral health issues
- The provision of NHS dental clinicians providing services under the NHS dental contract is reducing due to the increased pressure on the clinical team.

3.2 The risk is currently scored as “**16**” (consequence 4 x likelihood 4 with a target risk score of “**8**” (4 x 2) by 31 March 2026.

3.3 The risk is mitigated through a number of both short, and longer-term action plans and aligned to the delivery of the Dental Access and Oral Health Improvement Programme priority areas which are summarised below:

- Approval sought for the implementation of an investment prioritisation framework to focus resource allocation and ensure dental commissioning plans are evidence based on need and contribute towards the reduction of health inequalities (1 March 2024).
- Development of a dental “dashboard” to share access metrics across the ICB (30 September 2024).

3.4 Longer term actions include the establishment of a Dental Access and Oral Health Programme Implementation Group and, to work with Local Dental Committee and Local Dental Network to develop initiatives to support recruitment and retention of clinical teams including support for overseas recruitment for dentists (March 2026).

4. Review of risks relating to the work of the Primary Care Commissioning Committee's Groups

4.1 Following the risk management workshop provided at the PCCC development session in November 2023, the committee received an overview of the ICB's risk management systems and processes including the established cycle of risk management from identification, assessment through to monitoring and review.

4.2 A facilitated discussion was held focusing on the identification and review of risks which relate to the effective and safe delivery of dental, pharmacy, ophthalmic and medical care services, and how significant risks were escalated to the PCCC.

4.3 A break out session was held which focused on each of the Groups and the following outputs were captured:

- A consistent approach to recording the risks held by each of the Groups was agreed (content, format, scoring methodology, escalation triggers).
- Agreement that risks/issues would be presented periodically to the PCCC for information and assurance;
- Escalation and assurance reports from the Groups to include a summary of the risks reviewed so there is visibility at PCCC of those risks arising from the work of the Groups;
- The process to be consistent with and aligned to the ICB's established ICB risk management and reporting arrangements.

4.4 Work has since been undertaken by Primary Care Assurance Leads to create a single repository for all Groups' risks using the ICB's centralised risk management system. In addition, the ICB's risk assessment forms and scoring matrix have been utilised by the Assurance leads to enable a consistent approach to be taken across each the Groups.

4.5 Once this is finalised, in addition to the scheduled risk updates to the PCCC, from April 2024 onwards the Group Escalation Reports will include a summary of the risks held at Group level to enable full visibility of the risks/issues arising from and being managed through the work of Groups.

5. Assessment of Risks in relation to Incident Reporting in Primary Care

5.1 The Committee Escalation and Assurance report to the Board of the ICB in November 2023 included an "alert" from the Quality Committee relating to variation and underdevelopment of reporting of incidents within primary care.

5.2 Following a General Practice Care Delivery Workshop held on 31 January 2024 where a facilitated discussion on the processes and associated approaches to prioritised practice improvement visits was held, a further assessment is being

carried out to determine the scope and definition of the risks relating to this and a further update will be provided to the committee once this work has been completed.

6. Conclusion

- 6.1 The report provides the PCCC members with an update on the risks held on the CRR that relate to the business of the committee since the last update report provided in September 2023.
- 6.2 The report also provides an update on progress made following the Risk Management Workshop held in November 2023 to establish a consistent approach to the Primary Care Groups' risk management arrangements to ensure the PCCC full visibility of risks arising from the work of the Groups which will take effect from April 2024 onwards.
- 6.3 A brief update has been provided following the Committee Escalation and Assurance report to the board in November 2023, regarding incident reporting in primary care. A further update will be provided once the impact the risks have been reviewed.
- 6.4 Committee members have also been provided with a summary dashboard of all risks currently held by the ICB to ensure full risk visibility across the organisation.

7. Recommendations

- 7.1 The committee is requested to:
 - **Note** the contents of the report;
 - **Note** the re-assessed risk relating to dental access (**Risk ICB-026**) and revised risk relating to Oral Health Issues (**Risk ICB-038**);
 - **Note** the work undertaken following the risk management workshop delivered at the Primary Care Commissioning Committee development session in November and the proposals for reporting Primary Care Groups' Risks from April 2024;
 - **Note** the work underway following the Committee Escalation and Assurance report to the board in November 2023, and the actions following the General Practice Care Delivery Workshop held on 31 January 2024 relating to incident reporting in primary care.

Claire Moore

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14 March 2024