West Yorkshire & Harrogate
Joint Committee of Clinical Commissioning Groups

Summary report			
Date of meeting: 5th October 2021		Agenda item: 39/21	
Report title:	**Risk management**		
Joint Committee sponsor:	Chair		
Clinical Lead:	Not applicable		
Author:	Stephen Gregg, Governance Lead		
Presenter:	Stephen Gregg		
Purpose of report: (why is this being brought to the Committee?)			
Decision		Comment	✓
Assurance	✓		

Executive summary

The Joint Committee has agreed an approach to reviewing and managing the risks to the delivery of its work plan. Risks are given a score of 1-5 for likelihood and 1-5 for impact. These scores are then multiplied to give the total risk score. All risks scored at 12 or above after mitigation are reported to the Committee

The significant risks to the delivery of the plan have been reviewed and are attached at **Appendix 1.** Controls, assurances and planned mitigating actions are set out for each risk. There are currently 10 risks scored at 12 or above after mitigation:

Cancer

New risks:

1.1 Delivery of operational standards (Risk score - 12)
1.2 Stage shift ambition (% of patients diagnosed at stages one or two) (16)
1.3 Digital remote monitoring (16)
1.4 Workforce (15)

Maternity
2.1 Development of a Maternal Medicine Network across Yorkshire & Humber (12)

Mental health, learning disability and autism
3.1 Psychiatric intensive care unit (PICU) out of area placements (12)

Improving Planned care
4.1 Hydroxychloroquinine monitoring (12)
4.2 Eye care services (16)
4.3 MSK implementation (12)
4.4 Digital (12)

Recommendations and next steps	
The Joint Committee is asked to: a) **Review** the risk to delivery of its work plan and comment on the actions being taken to mitigate identified risks.	
Delivering outcomes: describe how the report supports the delivery of outcomes (Health and wellbeing, care and quality, finance and efficiency)	
The Joint Committee work plan focuses on the delivery of priority outcomes.	
Impact assessment (please provide a brief description, or refer to the main body of the report)	
Clinical outcomes:	A key element of the work plan and critical path for Joint Committee decisions.
Public involvement:	As above.
Finance:	As above.
Risk:	The refreshed risk framework is attached at Appendix 1.
Conflicts of interest:	None identified.

West Yorkshire and Harrogate Joint Committee of CCGs

Assurance Framework

Introduction

The Assurance Framework sets out how the Joint Committee will manage the principal risks to delivering agreed outcomes covered by the Committee's work plan. The Framework enables the Committee to assure itself (gain confidence, based on evidence). The framework aligns risks, key controls and assurances.

Where gaps are identified, or key controls and assurances are insufficient to reduce the risk of non-delivery, the Committee will agree the action that needs to be taken. Planned actions will enable the Committee to monitor progress in addressing gaps or weaknesses.

The Committee will:

- Monitor the principal risks that threaten the achievement of the outcomes covered by the Joint Committee's workplan.
- Evaluate the controls intended to manage these principal risks.
- Evaluate the assurance across all areas of principal risk.
- Identify positive assurances and areas where there are gaps in controls and / or assurances
- Put in place plans to take corrective action where gaps have been identified in relation to principal risks.

Risks are given a score of 1-5 for likelihood and 1-5 for impact. These scores are then multiplied to give the total risk score. The framework identifies risks with a score of 12 or more, after mitigating controls and assurances have been taken into account.

27th October 2021.

Joint Committee work plan	Risk to delivery	Initial Score Likelihood x impact (Without controls)	Controls and assurances	Current Score Likelihood x impact (With controls)	Planned mitigating actions
1. Cancer Develop and agree WY&H commissioning policies impacting on cancer care, including but not limited to: • Lynch syndrome testing • Optimal cancer pathways which deliver Constitutional standards • Tele dermatology services for suspected skin cancers • Rapid diagnostic centres • Personalised support for people living with and beyond cancer	1.1 Ability to deliver the Operational Standards within existing resources	20 (4x5)	• Planning work agreed with the Cancer Alliance Board and WYAAT Leadership. Improvement Collaborative approach across WY&H.	12 (4x3) New risk	• Develop system wide plan, pathway analysis work, use of Transformation Funds and Diagnostic Capacity and Demand programme. Also ongoing and close planning with WYAAT Leadership.
	1.2 Ability to deliver stage shift ambition required by the National Programme - 8% percentage points improvement shift by 2023. (Note: percentage of patients who are diagnosed with cancers at stage one or two)	25 (5x5)	• Alliance plan addressing all designated deliverables by the NHS Cancer Programme.	16 (4x4) New risk	• Actively exploring research for evidence that additional interventions will have the desired impact.
	1.3 The lack of a digital remote monitoring system to track patients on a personalised stratified follow up pathway presents a significant risk to both patient safety, with reliance on manual spreadsheets to monitor patients and a lack of effective safety-netting, and progress against the national deliverables; without a robust digital system, progress on PSFU will stall as pathways are agreed but are unable to be implemented safely.	25 (5x5)	• Escalating the issue to Strategy and Ops for agreement on how to progress this. Continued support from Macmillan Implementation Project Managers, working to support Trusts to find suitable solutions and sharing best practice. Discussions ongoing through the Living With and Beyond Cancer Project Group to share learning and approaches. Focus on transforming outpatients provides an opportunity to connect to this work and align with cancer and the local digital roadmap, ensuring optimisation of RMS technology across several specialities within the Trust.	16 (4x4) New risk	• Working with Outpatient Transformation programme to align priorities and share learning. Practical support provided through Implementation Project Managers to identify solutions / workarounds. Ongoing discussions with senior leadership in the digital and cancer programme to seek clarity on how to progress. Regular calls with national cancer team who have escalated this to region, with some suggestions of support proposed and accepted, including regional messaging to the CIO's.

	1.4 Shortages, chronic vacancies and disconnect between training employment in 6 of the workforce categories in the national phase 1 Cancer Workforce plan affecting the capacity to deliver the optimal pathways as required by NHS England (lung, colorectal and prostate)	15 (5x3)	• Re-testing the data and underpinning assumptions (return to work etc.) and including workforce activity in each of the pathway workstreams.	15 (5x3) New risk	• Working with Health Education England actively and the ICS/H&CP workforce group (as well as the Local Workforce Action Board) .• Appointment of an HEE funded cancer workforce lead for WY&H • Influencing content of the forthcoming NHS People Plan through system leaders • Actively looking at skill mix as part of system work on non surgical oncology and diagnostics. • HEE cancer workforce lead supporting Gynae Optimal Pathway Group with Clinical Nurse Specialist workforce census and skill mix review.
2. Maternity Agree the approach to commissioning maternity services across WY&H including: • the specification, service standards and commissioning policy. • the commissioning and procurement approach	2.1 Development of a Maternal Medicine Network across Yorkshire & Humber. The three LMS's have been identified as leads on this project. The service will not be in place by 1st April 2021, the draft specification was published in September but awaiting the national equality impact assessment	16 (4x4)	• Leeds CCG now agreed as the lead commissioner and LTHT as the main provider • National Specification is now published • Good Collaboration across the region	12 (3x4) No change since last meeting.	• NHS England project support in place • Implementation group established • Regional Model in draft • Good clinical and commission engagement
3. Mental Health, learning disability and autism • Agree a single operating model for the management of acute and psychiatric intensive care unit (PICU) beds. • Agree a standard commissioning approach to acute and PICU services and a commitment to peer review local crisis services. • Agree plan for the provision of children and young people inpatient units, integrated with local pathways. • Agree a collaborative commissioning model for Assessment and Treatment Units across West Yorkshire for people with learning disabilities to support the new operating model.	3.1 There is a reputational and quality risk that the number of PICU out of area placements continues to grow across the ICS, leading to poorer patient experience and increased scrutiny by NHS England/Improvement. At present this risk is heightened by the presence of covid.	20 (4x5)	• Secondary Care Pathways steering group is a formal workstream of the programme and has PICU as a component part with steering group, clinical leadership and SRO. • Weekly 'cohorting' and mutual aid discussions between the MHLDA collaborative • Regular submissions on out of area placements to MHLDA core team and NHS England	12 (4x3) No change since last meeting	• Continue to build on the modelling work undertaken by NICHE consultancy to progress opportunities for closer system working and future capacity needs, including revising the modelling post-pandemic. • Appointment of Senior Inpatient Oversight Lead role on behalf of the MHLDA collaborative to support discussions re bed pressures across the system. • Co-production work to understand impact on service users of OAPs and our ability to deliver continuity of care principles • Use outputs from Community Mental Health Mapping exercise to inform community improvements as upstream interventions to reduce reliance on inpatient services • Align the CMHT Transformation project to the wider demand agenda, making the dependencies clear

4. Improving Planned care Develop and agree WY&H commissioning policies, including, but not limited to: • Clinical thresholds and procedures of low clinical value; • Efficient prescribing. Develop and agree service specifications, service standards and the commissioning and procurement approach to support pathway optimisation, including outpatients transformation	4.1 Hydroxychloroquine: There is a cohort of people prescribed and taking Hydroxychloroquine/ chloroquine in the community across WY&H who are not being monitored to guard against the risk of avoidable sight loss. The ICS currently doesn't have an effective monitoring programme, and this will continue if the ICS does not commission a service to deliver one; heightening the risk of sight loss to people across WY&H. The capacity challenges faced by providers add to the difficulty in providing a service to monitor patients, and capacity challenges will present difficulty in having enough suitably qualified staff.	15 (5 x 3)	• A monitoring protocol follows issued guidance from the Royal College of Ophthalmologists	12 (4 x 3) No change since last meeting	• There will be local negotiations with NHS providers to see if something can be delivered within Hospital Eyecare Services. We will need to consider a System option if there's no success with this. There needs to be a relationship between hospital eye care services and the community to build capacity. The programme's plan to manage AMD, Cataracts and Glaucoma and eventually Diabetic Retinopathy demand for services will create capacity in the system in ensuring appropriate referrals and streamlining the discharge and follow up pathway and process to ensure that only appropriate patients are seen in outpatients. The pathway and policy were agreed at JCC in November 2019. An implementation meeting is planned for Q4 with a 3 year implementation plan. 1 place is ready to implement from 1 April 2020.
Improving planned care	4.2 There is a need for disproportionate investment in eye care services over the next 5 years to meet increasing growth in demand. This will require investment in hospital and community eye services. Without this investment growth will not keep pace with demand and people will be at risk of preventable sight loss.	20 (4 x 5)	• Raise awareness through programme working groups including programme board, through shared leadership arrangements with WYAAT, and through WY&H Finance Forum. Bradford and Wakefield are already planning for now. Places need to consider planning for the growth in demand over the next 5 years.	16 (4 x 4) No change since last meeting	• Through implementation planning ensure need for additional investment is highlighted and escalated within organisations. Meeting of programme directors with Place based planned care arranged by NHSE/I regional director. Confidence that current spending plans will reflect this. There is an increased risk from COVID 19 that implementation planning in eye care services will be delayed.
Improving planned care	4..3 There is a need for clear plans for MSK implementation at place to reflect demographic growth and shift in investment to preventative and conservative management strategies. Without investment in MSK services secondary care demand will continue to grow. We want to stem the rate of growth.	16 (4 x 4)	• Raise awareness through programme working groups including programme board, through shared leadership arrangements with WYAAT, and through WY&H Finance Forum, and highlight the impact on the delivery of our programme.	12 (4 x 3) No change since last meeting	• Through implementation planning ensure need for additional investment is highlighted and escalated within organisations. Investment strategy to reflect future intentions. There is an increased risk from COVID 19 that implementation of the MSK pathway and the suite of MSK commissioning policies will be delayed.

Improving planned care	4.4 Technological advancement not progressing at the same pace as the programme to enable standardisation of commissioning policies and clinical thresholds and care pathways to be implemented at pace to deliver the identified outcomes, and achieve the realisable benefits within the programme's deliverables. This programme does not have the financial resource to support the creation of additional capacity.	20 (5 x 5)	• Ensure integration and collaboration with Digital programme of WYH HCP. Digitally enabling our population to engage with the programme: ensuring we include patient facing digitisation of the programme in collaboration with the digital programme of WYH HCP.	12 (3 x 4) No change since last meeting	• Engaging with primary care and secondary providers to identify gaps in technological advancement • Encouraging and engaging participation from technology advancement leads across the provider and commissioner sectors to support development of digital platforms to aid clinicians in directing patients along elective care pathways and in shared decision making with patients • Engaging with and working with NHS England, NHS Improvement and NHS Digital to address the gaps in technology or technological ability or functionality issues experienced by providers within the scope of the programme • WYAAT engagement • Link with NHS Digital – ERS • Trial in the ERS and ophthalmology referrals for optometrists via NHS Digital. • The programme director has become a member of the Digital Programme Board and the programme works collaboratively with the WYH HCP Digital Programme to explore the digital needs of the Improving Planned Care Programme.
5. Urgent and emergency care • For Integrated Urgent Care and 999 services, agree for WY&H the transformational, finance and contractual matters identified as CCG decisions to be made in collaboration across Yorkshire and the Humber. • Agree the specification, business case, commissioning and procurement process for GP out of hours services	• No relevant risks currently scored at 12 or above.				
6. Joint Committee decision-making • Joint Committee decisions are robust, with appropriate public and patient involvement, clinical engagement and quality assurance.	• No relevant risks currently scored at 12 or above.				