

Agenda Item

3.1

Joint Commissioning Committee

Joint Commissioning Committee Risk Register

Dyddiad y Cyfarfod / Date of Meeting	12/11/2024
Statws Cyhoeddi / Publication Status	Open/ Public
	Not Applicable
Awdur yr Adroddiad / Report Author	Maxine Evans, Assurance and Risk Officer
Cyflwynydd yr Adroddiad / Report Presenter	Jacqui Maunder, Committee Secretary
Noddwr Gweithredol yr Adroddiad / Report Executive Sponsor	Jacqui Maunder, Committee Secretary

Pwrpas yr Adroddiad / Report Purpose	Approval Choose an item.
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Engagement (internal/external) undertaken to date (including receipt /consideration at Committee/Group)		
Committee / Group / Individuals	Date	Outcome
JCC Meeting	17 September 2024	Approved
JCC SLT Away day	25 September 2024	Discussed
JCC Development Day	15 October 2024	Discussed
CTMUHB Hosted Bodies Audit & Risk Committee	17 October 2024	Noted
JCC SLT	4/11/2024	Noted
Acronyms / Glossary of Terms		
JCC	Joint Commissioning Committee	
SLT	Senior Leadership Team	
CTMUHB	Cwm Taf Morgannwg University Health Board	

1. SITUATION

The purpose of this report is to present:

- The transitional risk register as at 30 September 2024, which encompasses risks scoring 15 and above,
- The detailed review and reset of the ambulance risks scoring 15 and above for inclusion in the September risk register following approval by the Senior Leadership Team; and
- The work being undertaken to develop a risk appetite statement for the JCC following discussion at the JCC Development session on 15 October 2024.

1.1 Background

Further to the establishment of the JCC on 1 April 2024, in accordance with the new Hosting Agreement (HA) with CTMUHB, the JCCT is required to adopt the risk assessing mechanisms of CTMUHB. Any adaptation to the agreed risk processes of the Host Body, which may be required owing the specific functions of the JCC/JCCT, should only be made after consulting with the Host Body Executive Director of Finance and the Director of Corporate Governance/Board Secretary.

On [16 July 2024](#) the Joint Committee approved the transitional amalgamated risk register incorporating the high risks of predecessor organisations EASC, NCCU and WHSSC and which aligned the layout of the risk register to the CTMUHB Risk Register template to move the JCC a step forward on its risk development journey.

The risk register for the JCC as at 30 September 2024 (**Appendix 1**) remains transitional whilst further work continues to be undertaken to fully develop and implement the Risk Management Strategy for the JCC (in line with the CTMUHB HA), and until the JCC has had opportunity to consider its risk appetite following discussion at the JCC development session on 15 October 2024.

The Vision, Mission and Strategic Objectives of the JCC were considered and approved by the JCC at its meeting on [17 September 2024](#) and work has commenced to triangulate the high risks against them.

2. JCC RISK PROFILE - SEPTEMBER 2024

2.1 Risk Summary

As at 30 September 2024 there are **19** risks with a score of 15 and above (high risks) on the transitional Risk Register. A summary of these risks is outlined below.

2.2 Commissioning Risks

There are **17** risks open with a risk score of 15 and above:

- Ambulance Services x 2
- Cancer and Blood x 1

- Cardiac x 3
- Neurosciences x 4
- Welsh Kidney Network x 2
- Women and Children x 5

A summary of the changes that have taken place up to September 2024 are outlined in **table 1** below:

Table 1 – Commissioning Risk Profile – September 2024

Commissioning Risk Activity	Update as at September 2024
New Commissioning Risks	Two new risks were added: <ul style="list-style-type: none"> • Risk 77 - Commissioning of sufficient Emergency Ambulance Services capacity This new risk replaces Risks 70 and 74 • Risk 78 - Utilisation of Emergency Ambulance Capacity This new risk replaces Risks 71, 72 and 73
Escalated Commissioning Risks	No risks were escalated
De-escalated Commissioning Risks	No risks were de-escalated
Closed Risks	Five ambulance risks were closed: <ul style="list-style-type: none"> • <u>Risk 70 (4503) – Secure Sufficient Ambulance Services (was Red 15)</u> The Ambulance & 111 Commissioning team have undertaken an in-depth piece of work to review and reset the risks for their commissioning portfolio. These were considered by the Senior Leadership Team on 4 November 2024 and are now included in the new JCC Risk Register. This risk has been replaced by Risk 77. • <u>Risk 71 (4506) - Ambulance Services Red Performance Levels (was Red 25)</u> As above. This risk has been replaced by Risk 78. • <u>Risk 72 (4507) - Ambulance Services Amber Performance Levels (was Red 20)</u> As above. This risk has been replaced by Risk 78. • <u>Risk 73 (5005) - Ambulance Services Patient Safety and Clinical Risks (was Red 15)</u> As above. This risk has been replaced by Risk 78. • <u>Risk 74 (5370) - Ambulance Services Commissioned Capacity (was Red 25)</u> As above. This risk has been replaced by Risk 77.

2.3 Emergency Ambulance Risks

As per the discussions at previous Joint committee meetings, the Director of Commissioning for Ambulance Services and 111 has undertaken a review of the risks related to Emergency Ambulance Services commissioning.

Alongside this, work has been undertaken to develop a consistent approach to risk development across the whole Ambulance Services and 111 commissioning portfolio which will be brought to the committee at its next meeting.

In relation to the specific risks related to the Emergency Ambulance Services Commissioning it was proposed that the existing risks were aligned under the following proposed commissioning risks:

Commissioning Capacity

If: The NWJCC does not commission sufficient capacity of services

Then: The providers will be unable to deliver their commissioned requirements

Resulting in: Reduced performance and quality standards, increased risk of harm, reduced system flow and NWJCC reputational risk.

This covers existing risks: Risk 70 and Risk 74.

Utilisation of Capacity

If: The capacity commissioned by the NWJCC is not utilised for its intended purpose

Then: Health boards and their populations will not receive the services they require

Resulting in: Patients not receiving a timely or any emergency ambulance response, increasing the risk of harm, disability and death

This covers existing risks: Risk 71, Risk 72 and Risk 73.

Finance

If: The provider does not operate within the allotted commissioning allocation

Then: The NWJCC may need to provide additional funding to providers,

Resulting in: NWJCC members needing to reprioritise other areas.

This covers existing risks: Risk 70 and Risk 74.

Governance

If: The Ambulance and NHS 111 commissioning team does not have sufficient capacity or expertise to undertake its duties effectively,

Then: Limiting the team's ability to effectively support the commissioning of services on behalf of the NWJCC,

Resulting in: The NWJCC's ability, to confidently discharge its statutory duties

This covers existing risks: Risk 70.

In line with the host body’s requirements, risk identification and assessment forms have been completed for each of the proposed risks and are available at **Appendix 2**.

The **table 2** below summaries the outputs of that assessment for each risk and the approach that has been taken to scoring each risk.

Table 2 – Summary of Outputs

Risk	C	L	Risk Score	Approach
Commissioning of Capacity	5	3	15	Likelihood: Based of review current demand and capacity, current performance and known health board requirements Consequence: Likely nature of patients outcome Note: Where demand varies, we have considered likelihood in relation to periods of highest demand
Utilisation of Capacity	5	5	25	Likelihood: Based on the current frequency that capacity is not being used effectively for its commissioned purpose Consequence: Likely nature of patients outcome Note: Drivers of ineffective utilisation outside of the JCC’s direct role i.e. ambulance handover delays, service redesign, population demand
Finance	4	2	8	Likelihood: Based of the known financial position of services currently Consequence: Based of proportionate impact to the JCC Note: Consider risk scoring - service vs organisational financial position
Governance	3	4	12	Likelihood: Reflects the current capacity with the Ambulance and 111 Commissioning team and OCP position Consequence: Balanced against providers statutory requirements

C = Consequence
L = Likelihood

The above set of new risks were considered by the Senior Leadership Team at its meeting on 4 November 2024, where it was agreed that the two new risks with a score over 15 should be added to the JCC Risk Register, replacing Risks 70, 71, 72, 73 and 74.

2.4 Corporate/Organisational Risks

There are **2** risks open with a risk score of 15 and above:

- Corporate Services x1
- Finance & Information x1

A summary of the changes that have taken place in September 2024 are outlined in **table 3** below.

Table 3 – Corporate/Organisational Risk Profile – September 2024

Corporate Risk Activity	Update as at September 2024
New Risks	No new risks were added
Escalated Risks	No risks were escalated
De-escalated Risks	No risks were de-escalated
Closed Risks	No risk were closed

3. UPDATE ON DEVELOPING THE JCC RISK MANAGEMENT FRAMEWORK

3.1 SLT Risk Management Session – 25 September 2024

During the SLT leadership away day on 25 September 2024, SLT members participated in a risk management session to consider:

- Horizon scanning for new emerging risks
- Aligning risks to the new strategic objectives
- Aligning risks to the new Quality, Safety & Outcomes sub-committee and the Planning, Performance and Finance sub-committee
- The need for Directors to provide assurance to the lay members on the sub-committees
- Plan for JCC development day 15 October – risk appetite and tolerance
- How the JCC can learn from the 3 year journey CTMUHB underwent to develop their risk register and Board Assurance Framework (BAF).

The session prompted good discussion and agreement on:

- The need for precision when articulating risks to ensure they are being described through a commissioning lens and not as a provider and to provide clarity to the reader on the exact nature of the risk
- That there were several live risks which were not currently featured on the risk register and that these will be explored further through a horizon scanning exercise with individual directorates in October
- That the CTMUHB framework for risk management was not congruent for commissioning risks and that benchmarking work should be undertaken

with other commissioning organisations (e.g. Integrated Care Boards (ICB's in NHSE England (NHSE)).

3.2 JCC Development Session – 15 October 2024

Following on from the approval of the JCC risk register on 16 July 2024 it was agreed to consider the JCCs risk appetite at a JCC development session on 15 October 2024.

During the session members

- Acknowledged that the risk team at CTMUHB had provided risk management training to all JCC Directors, Assistant Directors and risk authors
- Discussed risk appetite and tolerance
- Considered the CTMUHB risk management approach and what may be required additionally for the JCC as a commissioning organisation
- Considered the definition of risk for the JCC through a commissioning lens and considered example risk appetite statements from NHS England Integrated Commissioning Boards (ICBs), recognising that the narrative may be closer aligned to the JCC as a commissioning organisation
- Explored what approach the JCC members needed and wanted for assurance
- acknowledged the risk-led approach for the Integrated Medium Term Plan (IMTP)
- To develop the specific risk appetite and tolerance for the JCC

The JCC acknowledged that an alignment in approach to ICBs might be helpful, however this should not be considered in isolation from the risk appetite of health boards. It was agreed that a benchmarking exercise of the seven health boards risk appetite statements would be undertaken to identify any synergies.

3.3 Progress since October 2024

3.3.1 Directorate Risk Sessions

The corporate services team are continuing to meet with individual directorates to support them in horizon scanning for new risks and re-assessing existing risks to recalibrate and provide new narrative and focus for risks going forward. To date positive sessions have been held with the Ambulance and 11 directorate and the specialised services directorate.

3.3.2 Benchmarking Risk Appetite across the Health Boards

Further to the JCC development session on 15 October 2024 members a benchmarking exercise has been undertaken to compare and contrast the risk appetite statements of the seven health boards to identify any synergies, and to support the development of the JCC risk appetite statement. Work has also been undertaken to identify good practice, for example the Good Governance Institute (GGI) (May 2020) Risk Appetite Matrix. The findings will be discussed with the NHS Wales Directors of Corporate Governance (DoCG) peer group and the DoCG at CTMUHB as our host, and a draft risk appetite statement will be brought back

to the JCC in January 2025 for approval. Once approved this will enable the JCC to develop a new risk register for approval by the JCC in March 2025.

4. ASSESSMENT

Objectives / Strategy	
Dolen i Amcan (au) Strategol CBC / Link to JCC Strategic Objectives(s)	Ensure Quality
	All of the Strategic Objectives apply
Dolen i Ddeddf Llesiant Cenedlaethau'r Dyfodol – Nodau Llesiant / Link to Wellbeing of Future Generations Act – Wellbeing Goals 150623-guide-to-the-fg-act-en.pdf (futuregenerations.wales)	A Resilient Wales
	If more than one applies please list below: A Healthier Wales A More Equal Wales
Dolen i Hwyluswyr Ansawdd <i>(Canllawiau Statudol Dyletswydd Ansawdd (llyw.cymru)) /</i> Link to Enablers of Quality (Duty of Quality Statutory Guidance (gov.wales))	Whole-systems Perspective
	If more than one applies please list below:
Dolen i Feysydd Ansawdd <i>(Canllawiau Statudol Dyletswydd Ansawdd (llyw.cymru)) /</i> Link to Domains of Quality (Duty of Quality Statutory Guidance (gov.wales))	Effective
	If more than one applies please list below: Person Centred Timely Safe
Effaith Amgylcheddol/ Cynaliadwyedd (5R) / Environmental /Sustainability Impact (5Rs)	No - Not Applicable
	If more than one applies please list below:
Impact Assessment	
Ansawdd	Yes: <input type="checkbox"/> No: <input checked="" type="checkbox"/>

<p><i>Ydych chi wedi ymgymryd â Sgrinio Asesiad o'r Effaith ar Ansawdd? /</i></p> <p>Quality <i>Have you undertaken a Quality Impact Assessment Screening?</i></p>	<p>Outcome:</p>	<p>If no, please include rationale below:</p> <p>N/A</p>
<p>Cydraddoldeb <i>Ydych chi wedi ymgymryd â Sgrinio Asesiad o'r Effaith ar Gydraddoldeb? /</i></p> <p>Equality <i>Have you undertaken an Equality Impact Assessment Screening?</i></p>	<p>Yes: <input type="checkbox"/></p>	<p>No: <input checked="" type="checkbox"/></p>
	<p>Outcome:</p>	<p>If no, please include rationale below:</p> <p>N/A</p>
<p>Cyfreithiol / Legal</p>	<p>There are no specific legal implications related to the activity outlined in this report.</p>	
<p>Enw da / Reputational</p>	<p>There is no direct impact on the reputation of the Joint Committee as a result of the activity outlined in this report.</p>	
<p>Effaith Adnoddau <i>(Pobl /Ariannol) /</i></p> <p>Resource Impact <i>(People / Financial)</i></p>	<p>There is no direct impact on resources as a result of the activity outlined in this report.</p>	

5. RECOMMENDATIONS

Members are asked to:

- **Note** the report,
- **Approve** the JCC risk register as at 30 September 2024 with the inclusion of the revised risks for emergency ambulance services;
- **Note** the development work undertaken to date; and
- **Note** the further work planned to fully develop a JCC Risk Management Strategy and Risk Register, including the development of a risk appetite statement for the JCC, and the next steps required.

6. NEXT STEPS

The plan to develop and strengthen the JCC risk register during Q3/Q4 is set out in **table 4** below.

In addition, the plan to develop and strengthen the risk register will be supported by facilitated individual commissioning directorate meetings to horizon scan new risks and review current ones. These meetings are currently underway, supported by senior representation from the corporate directorates to ensure wider aspects of the risks are considered and captured. Colleagues from other areas of the JCC

Team who attended the Risk Review Task & Finish Group are also included to provide an impartial contribution and to help with identifying any potential cross-cutting themes.

Table 4 – Timetable for Developing the JCC Risk Register

Date	Activity	Update for SLT
02-Sep-24	SLT Formal Meeting – Risk Register for July to be presented	Committee Secretary will present the report and provide feedback from Audit and Risk committee and the plan for developing the risk register in Q3 to be discussed
12-Sep-24	Risk Management Training – CTMUHB	All Directors, Deputy Directors and risk authors are invited to attend risk management training which is being delivered by CTMUHB
17-Sep-24	JCC Meeting – JCC to approve vision, mission and strategic objectives	JCC will receive the risk register JCC will receive and approve the JCC’s vision, mission and strategic objectives
19-Sep-24	Task & Finish Group	A small T&F group to review the top ten risks for the JCC
23-Sep-24	Risk Scrutiny Group	This meeting was stood down whilst work is progressed with the SLT at the Time Out
25-Sept-24	SLT Time Out - Risk Workshop Part 1	A risk workshop will be held with SLT within the time out day to begin discussions on risk
07-Oct-24	SLT Formal Meeting - Risk Register for August to be presented	Update to be given on work to develop the risk register and the plan for the JCC development session on risk 15 October
08-30 Oct-24	Commissioning Directorate Meetings	To horizon scan new risks, review current ones and identify cross-cutting themes and risks, aligned to the new JCC strategic objectives
15-Oct-24	JCC Development Session – Risk Appetite	
17-Oct-24	Audit & Risk Committee	ARC will receive the risk register approved by the JCC on 17 September Update to be given on work to develop the risk register and feedback from the JCC development session on risk 15 October

Date	Activity	Update for SLT
04-Nov-24	SLT Formal Meeting	September 2024 draft risk register – specific discussion on Ambulance Risks and re-wording.
12-Nov-24	JCC Meeting	JCC will receive the September risk register.
10-Dec-24	JCC Development Session	Discussion on financial risks as part of the IMTP discussions
17-Dec-24	Audit and Risk Committee	ARC will receive the risk register approved by the JCC on 12 November Update to be given on work to develop the risk register
21-Jan-25	JCC Meeting	A draft Risk Appetite Statement for the JCC will be presented for consideration
18-Mar-25	JCC Meeting	New risk register aligned to the strategic objectives to be presented