



Agenda Item

3.4

Joint Commissioning Committee

Joint Commissioning Committee Risk Register

Dyddiad y Cyfarfod / Date of Meeting	17/09/2024
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 For Approval
---	--------------------------

Engagement (internal/external) undertaken to date (including receipt /consideration at Committee/Group)		
Committee / Group / Individuals	Date	Outcome
JCC Committee Secretaries	Ongoing	Noted
JCC Strategic Risk Owners	April 2024	Noted
CTM Asst. Director of Governance & Risk	17/04/2024	Noted
CTM Datix Team	21/05/2024	Noted
JCC Planning Team	28/05/2024	Noted
JCC SLT	03/06/2024	Noted
JCC SLT	01/07/2024	Discussed and Agreed
Risk Scrutiny Group	1/08/2024	Discussed risk register
JCC SLT	02/09/2024	Noted

Acronyms / Glossary of Terms	
JCC	Joint Commissioning Committee
SLT	Senior Leadership Team
WHSSC	Welsh Health Specialised Services Committee
EASC	Emergency Ambulance Services Committee
NCCU	National Collaborative Commissioning Unit
ICP	Integrated Commissioning Plan
IMTP	Integrated Medium Term Plan
RSG	Risk Scrutiny Group
CRAF	Corporate Risk Assurance Framework
CDGB	Corporate Directors Group Board
QPSC	Quality & Patient Safety Committee
IGC	Integrated Governance Committee
ARC	Cwm Taf Morgannwg Audit & Risk Committee
WFI	Wales Fertility Institute
HFEA	Human Fertilisation and Embryology Authority
IPFR	Individual Patient Funding Request

1. SITUATION

The purpose of this report is to present the transitional amalgamated risk register as at July 2024 for the Joint Commissioning Committee (JCC), which encompasses risks scoring 15 and above. The JCC is asked to review the risks, consider the controls and mitigating actions and approve the JCC risk register, which will then be considered by the CTMUHB Audit and Risk Committee for hosted bodies.

1.1 Background

Under the new hosting agreement with CTMUHB, the JCC is expected to utilise the CTMUHB approach to risk management including its strategy and procedure. These were presented to the JCC at its meeting on 16 July 2024.

The amalgamated risk register for the JCC as at 31 July 2024 (**Appendix 1**) remains a transitional risk register whilst further work continues to be undertaken to fully develop and implement the CTM Risk Management Strategy for the JCC (in line with the hosting agreement), and until the JCC has an opportunity to consider its risk appetite on 15 October as outlined in section 5. The Strategic Objectives of the JCC are due for agreement at the September meeting under separate cover and these will also form part of the risk management framework going forward.

1.2 Feedback and Discussion on the New JCC Amalgamated Risk Register to date

The following feedback has been used to inform the ongoing transitional approach to risk management for the JCC.

1.2.1 JCC Meeting 16 July 2024

On the 16 July 2024 the JCC approved the transitional risk register approach as laid out in section 1.1. The JCC recognised that a significant amount of work had gone into developing the new risk register, that it is a work in progress and there is still much more work to be undertaken to strengthen and develop it. Members also expressed concern at the high red risks concerning ambulance performance and capacity.

1.2.2 CTM Audit & Risk Committee

The amalgamated risk register, as at June 2024, was presented to the CTM Audit & Risk Committee on 15 August 2024. Robust feedback was received from the Chair, in particular to the Risk Target scores where the rationale for de-escalating the consequence score in order to achieve a lower target score was challenged.

To address the feedback received as noted above, JCC Directorates were asked to undertake a review of their risk scores for July 2024 before being presented to the JCC. The JCC team will also consider the approach to this and discuss it further in future risk management sessions with JCC members.

In addition, three risks that had been de-escalated based on the confidence of plans coming to fruition, rather than at the point of delivery, were also challenged. Further assurance around the rationale for de-escalating these risks has been sought and referenced within the transitional risk register.

1.2.3 NHS Wales Directors of Corporate Governance Group (DoCG)

The JCC Committee Secretary met with some members of the NHS Wales DoCG peer group on 21 August 2024 and gave an update on plans to develop the JCC's risks management framework, and the plan to develop and strengthen the risk register. The DoCGs in attendance were satisfied with the approach and suggested that the risk register be presented to the DoCG group twice a year for a "check in". The two highest red risks with a score of 25 (ambulance services) were also discussed and it was suggested that these should be further scrutinised. This will take place at the JCC development session on 15 October 2024 which will have a specific focus on risk appetite.

2. JCC RISK PROFILE - JULY 2024

2.1 Risk Summary

As at 31 July 2024 there are **27** risks with a score of 15 and above (high risks) on the Risk Register. A summary of these risks is outlined below.

2.2 Commissioning Risks

There are **24** risks open with a risk score of 15 and above:

- Ambulance Services x 5
- Cancer and Blood x 1
- Cardiac x 3
- Intestinal Failure x 1

- Mental Health and Vulnerable Groups x 2
- Neurosciences x 4
- Welsh Kidney Network x 2
- Women and Children x 6

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

Table 1 – Commissioning Risk Profile – July 2024

Commissioning Risk Activity	Update as at July 2024
New Commissioning Risks	No new risks were added
Escalated Commissioning Risks	No risks were escalated
De-escalated Commissioning Risks	No risks were de-escalated
Closed Risks	<p>Two risks were closed:</p> <ul style="list-style-type: none"> • <u>Risk 75 – IF02</u> – Calea Contract Renewal Procurement confirmed in July 24 that Calea are no longer in contingency measures. Risk score lowered to 8 (target score) therefore, commissioning team agreed to close risk. • <u>Risk 59 – IF15</u> - Calea Contract Renewal New providers in place 01 July 24.

2.3 Very High Commissioning Risks as at July 2024

The highest scoring risks relate to:

Very High Risk	Risk Score	Risk Response Plan
71 Failure to achieve agreed performance standard for category red calls	25	This risk will be reviewed and assessed by the JCC team and a risk response plan will be discussed with JCC members at the JCC development session on 15 October 2024 which will have a specific focus on risk appetite and tolerance.
74 Failure to secure sufficient ambulance	25	This risk will be reviewed and assessed by the JCC team and risk response plan will be discussed with

Very High Risk	Risk Score	Risk Response Plan
capacity to meet the needs of the population		JCC members at the JCC development session on 15 October 2024 which will have a specific focus on risk appetite and tolerance.

2.4 Corporate/Organisational Risks

There are **3** risks open with a risk score of 15 and above:

- Corporate Services x2
- Finance & Information x1

A summary of the changes that have taken place in July 2024 are outlined in **table 2** below.

Table 2 – Corporate/Organisational Risk Profile – July 2024

Corporate Risk Activity	Update as at July 2024
New Risks	One new risk was added <ul style="list-style-type: none"> • <u>Risk 76 – FD4</u> – Financial break-even.
Escalated Risks	No risks were escalated
De-escalated Risks	No risks were de-escalated
Closed Risks	No risks were closed.

2.5 Risks Associated with Commissioning the 111 Service and Emergency Medical Retrieval Transport Service (EMRTS) Judicial Review

The risks associated with the commissioning of the 111 service have not yet been incorporated into the JCC Risk Register. Work is underway to develop a risk register for the 111 commissioned service which will relate to capacity and resource, specifically linked to the requirement and demand of the commissioned service going forward. A Welsh Government Quality Statement is also expected to be published imminently which might have a further bearing on the risks.

A new risk has been identified for the Emergency Medical Retrieval Transport Service (EMRTS) in relation to the Judicial Review. However, this has been scored as a 12 (Consequence 4 x Likelihood 3) and therefore does not feature on the transitional risk register. The JCC will receive regular reports on the progress of the EMRTS Review and the Judicial Review, and the risk will be regularly reviewed through the RSG and Senior Leadership Team (SLT).

3. ASSESSMENT

Objectives / Strategy	
Dolen i Nod (au) Strategol BIP CBC / Link to JCC Strategic Goal(s)	Not Applicable
	The JCC was established on 1 April 2024. Draft Strategic Objectives are being presented for approval at the September Joint Committee Meeting.
Dolen i Feysydd Strategol CBC / Link to JCC Strategic Areas	Not Applicable
	The JCC was established on 1 April 2024. Draft Strategic Objectives are being presented for approval at the September Joint Committee Meeting.
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 (Canllawiau Statudol Dyletswydd Ansawdd (llyw.cymru)) / 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 (Canllawiau Statudol Dyletswydd Ansawdd (llyw.cymru)) / 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 <i>Ydych chi wedi ymgymryd â Sgrinio Asesiad o'r Effaith ar Ansawdd? /</i> Quality <i>Have you undertaken a Quality Impact Assessment Screening?</i>	Yes: <input type="checkbox"/>	No: <input checked="" type="checkbox"/>
	Outcome:	If no, please include rationale below: N/A
Cydraddoldeb <i>Ydych chi wedi ymgymryd â Sgrinio Asesiad o'r Effaith ar Gydraddoldeb? /</i> Equality <i>Have you undertaken an Equality Impact Assessment Screening?</i>	Yes: <input type="checkbox"/>	No: <input checked="" type="checkbox"/>
	Outcome:	If no, please include rationale below: N/A
Cyfreithiol / Legal	There are no specific legal implications related to the activity outlined in this report.	
Enw da / Reputational	There is no direct impact on the reputation of the Joint Committee as a result of the activity outlined in this report.	
Effaith Adnoddau <i>(Pobl /Ariannol) /</i> Resource Impact <i>(People / Financial)</i>	There is no direct impact on resources as a result of the activity outlined in this report.	

4. RECOMMENDATIONS

Members are asked to:

- **Note** the report
- **Note** the JCC risk register as at 31 July 2024
- **Note** the continued work undertaken to date to produce a transitional amalgamated risk register
- **Note** the feedback received on the amalgamated risk register; and
- **Note** the further work planned to fully develop the CTM Risk Management Strategy and Risk Register for the JCC, and the next steps required to implement it.

5. NEXT STEPS

5.1 Risk Management Training – 12 September 2024

The risk team at CTMUHB will be providing risk management training to Directors, Assistant Directors and risk authors on 12 September 2024.

5.2 SLT Risk Management Workshop – 25 September 2024

At an SLT away day on 8 August, a review of the JCC risk appetite and risk register in light of the new JCC, the new strategic objectives, and feedback received from the CTMUHB Audit and Risk Committee were discussed.

To support further development of the new JCC risk register, and to address the feedback received, a risk management workshop has been planned on 25 September aligned to the SLT time out day already scheduled.

5.3 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 future development session. The JCC development session scheduled for 15 October 2024 will focus on risk appetite and will be facilitated by an external provider.

5.4 Specific Actions for Directors and their Directorate Risks

The plan to develop and strengthen the JCC risk register during Q3 is set out in **table 3** below. All Directors are required to attend the risk management training scheduled for 12 September. In addition, the plan to develop and strengthen the risk register will be supported by regular 1:1 meetings with individual Directors to discuss the risks on their directorate risk registers.

Table 3 – 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
23-Sep-24	Risk Scrutiny Group	RSG will be given an update on the plan to develop the risk register in Q3 – specifically aligning the JCCs risks to the new vision, mission and strategic objectives
25-Sept-24	SLT Time Out - Risk Workshop Part 1 – 2 hrs (tbc)	A risk workshop will be held with SLT within the time out day to begin discussions on risk

Date	Activity	Update for SLT
02-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
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
04-Nov-24	SLT Formal Meeting	New draft risk register aligned to the strategic objectives to be presented
12-Nov-24	JCC Meeting	JCC will receive the risk register Update to be given on work to develop the risk register and feedback from the JCC development session on risk 15 October
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	New risk register aligned to the strategic objectives to be presented