

CCG REPORT COVER SHEET

Meeting Title:	CCG Governing Body in Public	Date: 14 January 2020								
Report Title:	CCG Assurance Framework and Risk Register 2019-20	Agenda Item: 2.7								
Chief Officer:	Louise Mitchell, Chief Operating Officer									
Clinical Lead:										
Report Author:	Sharon Fox, Associate Director Corporate Affairs (CCG Secretary)									
Document Status:	Final									
Report Summary:	<p>The CCG Assurance Framework and Risk Register (CAF) sets out the high-level organisational risks that could potentially have an impact on the CCG and its ability to deliver its responsibilities.</p> <p>This report presents the latest version of the CCG Assurance Framework and Risk Register (CAF) for 2019-20 for review and comment.</p>									
Report Purpose:	<table border="1"> <tr> <td>For Assurance</td> <td>√</td> <td>For Decision</td> <td></td> <td>For Approval</td> <td></td> <td>For Recommendation</td> <td></td> </tr> </table>	For Assurance	√	For Decision		For Approval		For Recommendation		
For Assurance	√	For Decision		For Approval		For Recommendation				
Recommendation:	The Governing Body is asked to discuss the current CAF presented at <b>Appendix A</b> and highlight any areas where further assurance is required on the actions in place to mitigate risks.									
Link to Corporate Objective:	1 – Ensure clear patient voice in everything we do.									
	2 – Deliver improvements that make best use of the public pound and save system ‘cost’									
	3 – Use data and information to prove everything									
	4 – Deliver the prioritised performance standards									
	5 - Deliver the 6 transformation programmes									
	6 – Deliver the CCG Financial Plan									
CAF (Strategic Risk) Reference	Description of Risk	Current Risk Score								
CAF01	Risk to maintaining robust CCG Governance Arrangements	4 (Y)								
NHSE CCG IAF Links	IAF 1 Domain 1 - Better Health									
	IAF 2 Domain 2 - Better Care									
	IAF 3 Domain 3 - Sustainability:									
	IAF 4 Domain 4 - Leadership	√								
Resource implications:	N/a									
Chief Officer/ SRO Sign Off:	Louise Mitchell, Chief Operating Officer									
Chief Finance Officer Sign Off: (if required)	N/a									
Legal implications including equality and diversity assessment:	Equality Delivery System (EDS) Goal 4 - Inclusive leadership at all levels									
Conflicts of Interest	In line with the CCG’s Conflicts of Interest Policy.									
Report history:	The CAF is reported to the Governing Body as a standing item.									
Next steps:	Comments from Governing Body to be reflected in next iteration of CAF.									

**MEETING:** CCG GOVERNING BODY IN PUBLIC

**AGENDA ITEM:** 2.7

**DATE:** 14 JANUARY 2019

**TITLE:** CCG ASSURANCE FRAMEWORK & RISK REGISTER 2019-20

**FROM:** SHARON FOX  
ASSOCIATE DIRECTOR OF CORPORATE AFFAIRS  
(CCG SECRETARY)

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## 1. ISSUE

- 1.1 The CCG Assurance Framework and Risk Register (CAF) sets out the high-level organisational risks that could potentially have an impact on the CCG and its ability to deliver its responsibilities. This report presents the latest version of the CCG Assurance Framework and Risk Register (CAF) for 2019-20.

## 2. CAF 2019/20 OVERVIEW

- 2.1 The CAF is seen as a living document which is updated regularly and reported to the CCG Governing Body and relevant sub-committees for monitoring purposes. The current version has been taken through all pertinent Committees for review and discussion in advance of its submission to the Governing Body.
- 2.2 Internal Audit has now concluded the review of the CCG's Risk Management and Assurance Framework. They have concluded that CCG has in place a Risk Management Policy, Assurance Framework and operational risk registers which are in place across the organisation. They have acknowledged that the CAF has been redesigned providing additional information for each risk. They acknowledged that the CAF is being discussed at the Governing Body, Integrated Performance and Assurance Committee and the Primary Care Commissioning Committee. They noted the CAF has improved in level of detail being provided for the reduced number of risks, which makes the CAF clearer for the reader. They confirmed, within the minutes of the Committees, the change to the CAF format has been received positively. Testing undertaken as part of our audit however identified that there is a need for these processes to be further embedded throughout the organisation, and in particular at a Directorate level. They also identified that refreshed training is required at Directorate level as well as Committee level. Taking account of the issues identified, the Governing Body can take **Reasonable Assurance** that the controls upon which the organisation relies to manage this risk are suitably designed, consistently applied and effective. They have identified issues that, if not addressed, increase the likelihood of the risk materialising.

- 2.3 The Management Action Plan is being progressed. In addition, to ensure focus on Directorate Risk Registers, the Senior Leadership Team now has in place a quarterly cycle of review of each Risk Register.
- 2.4 Over the last year, the CCG's approach to Risk Management was incorporated into the Governing Body Away Day in June 2020. Based on the findings of the Internal Audit review, we will continue to plan for further refresher training and development of our risk management culture.

### **3. VERSION 4 AMENDMENTS**

- 3.1 The main changes made to date to highlight to the Governing Body are summarised below.

#### **3.1.1 Revised Risks (Material Changes)**

##### **CAF 01 – Risk to maintaining robust CCG Governance Arrangements**

The CCG's Constitution has now been approved by NHSE and published on our web-site. The outcomes of the Internal Audit review of the Risk Management and Assurance Framework has concluded Reasonable Assurance with no High Actions to address. This score has now been reduced to its Target Risk Score of Moderate (Yellow).

##### **CAF 03 – Risk to Delivery of the CCG's six key areas of Transformation.**

The risk score has been reduced from 16 (Red) to 12 (Amber) to reflect current progress on the respective transformation projects, including the implementation of the Urgent & Emergency Care Collaborative pilot.

##### **CAF 4 – Risk of potential poor quality, safety and patient experience in the services that the CCG commissions in acute care.**

The current risk score has been reduced from 16 (Red) to 12 (Amber) to reflect current mitigations including reporting and monitoring arrangements in place.

##### **CAF 5 - Potential for poor quality, safety and patient experience in the services that the CCG commissions in primary, community and integrated care**

The current risk score of 16 (Red) has been retained. However, following review by the Senior Risk Owner (Chief Nurse) it is proposed the Target Risk score of 9 (Amber), which will not be met by Year End, be increased to 16 (Red) to reflect the ongoing vulnerability of primary care across the CCG Boundaries that has the potential to effect patient safety, quality or experience.

## **CAF 6 - Failure to meet National Framework for NHS Continuing Healthcare and NHS funded Nursing Care compliance**

The current risk score 16 (Red) retained. Following review by the Senior Risk Owner (Chief Nurse), it is proposed that the Target Risk score of 12 (Amber), which will not be met by Year End, should be increased to 16 (Red) in recognition of the significant financial risk to the CCG due to the high cost of placements and lack of a diverse market.

## **CAF13 – Failure to adequately prepare for EU Exit**

As reported in the Accountable Officer's Report, we have now stood down the planning and preparation for a potential no deal exit on 31 January 2020. The risk has been de-escalated to the Directorate Risk Register and reduced to Moderate (Yellow). We will continue to monitor any residual risks through the next phase of the EU Exit process.

### **4. RECOMMENDATION**

4.1 The Governing Body is asked to:

- Discuss the current CAF presented at **Appendix A** and highlight any areas where further assurance is required on the actions in place to mitigate the risk.

**Authors:** *Sharon Fox, Associate Director of Corporate Affairs*  
*Simon Barlow Governance Support Manager*  
*9 January 2020*

Appendix 1 CCG Assurance Framework & Risk Register 2019-20 (Version 4)