

**CCG REPORT COVER SHEET**

<b>Meeting Title:</b>	<b>CCG Governing Body in Public</b>	<b>Date: 8 September 2020</b>								
<b>Report Title:</b>	<b>CCG Assurance Framework and Risk Register 2020-21</b>	<b>Agenda Item: 2.7</b>								
<b>Chief Officer:</b>	Sharon Fox, Director of Governance									
<b>Clinical Lead:</b>	N/a									
<b>Report Author:</b>	Sharon Fox, Director of Governance Simon Barlow, Corporate Governance Manager									
<b>Document Status:</b>	Final									
<b>Report Summary:</b>	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 CCG Assurance Framework and Risk Register (CAF) for 2020/21 for review, comment and endorsement.									
<b>Report Purpose:</b>	<table border="1"> <tr> <td><b>For Assurance</b></td> <td>√</td> <td><b>For Decision</b></td> <td></td> <td><b>For Approval</b></td> <td></td> <td><b>For Recommendation</b></td> <td></td> </tr> </table>	<b>For Assurance</b>	√	<b>For Decision</b>		<b>For Approval</b>		<b>For Recommendation</b>		
<b>For Assurance</b>	√	<b>For Decision</b>		<b>For Approval</b>		<b>For Recommendation</b>				
<b>Recommendation:</b>	<p>The Governing Body is asked to</p> <ul style="list-style-type: none"> <li>- 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.</li> <li>- endorse Version 2 of the CAF for 2020/21.</li> </ul>									
<b>Link to Corporate Objective:</b>	<b>1 – Ensure clear patient voice in everything we do.</b>									
	<b>2 – Deliver improvements that make best use of the public pound and save system 'cost'</b>									
	<b>3 – Use data and information to prove everything</b>		√							
	<b>4 – Deliver the prioritised performance standards</b>									
	<b>5 - Deliver the 6 transformation programmes</b>									
	<b>6 – Deliver the CCG Financial Plan</b>		√							
<b>CAF (Strategic Risk) Reference</b>	<b>Description of Risk</b>	<b>Current Risk Score</b>								
<b>CAF08</b>	Risk to maintaining robust CCG Governance Arrangements	<b>8 (A)</b>								
<b>NHSE CCG IAF Links</b>	<b>IAF 1 Domain 1 - Better Health</b>									
	<b>IAF 2 Domain 2 - Better Care</b>									
	<b>IAF 3 Domain 3 - Sustainability:</b>									
	<b>IAF 4 Domain 4 - Leadership</b>	√								
<b>Resource implications:</b>	N/a									
<b>Chief Officer/ SRO Sign Off:</b>	Sharon Fox, Director of Governance									
<b>Chief Finance Officer Sign Off: (if required)</b>	N/a									
<b>Legal implications including equality and diversity assessment:</b>	Equality Delivery System (EDS) Goal 4 - Inclusive leadership at all levels									
<b>Conflicts of Interest</b>	Any conflicts of interest (CoI) will need to be raised and managed in line with the CCG's CoI Policy									
<b>Report history:</b>	The CAF is reported to the Governing Body in Public as a standing item									
<b>Next steps:</b>	Comments from Governing Body will be reflected in next iteration of CAF.									

**MEETING:** CCG GOVERNING BODY IN PUBLIC  
**AGENDA ITEM:** 2.7  
**DATE:** 8 SEPTEMBER 2020  
**TITLE:** CCG ASSURANCE FRAMEWORK & RISK REGISTER 2020/21 – V2  
**FROM:** SHARON FOX, DIRECTOR OF GOVERNANCE

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## 1. ISSUE

- 1.1 The CCG Assurance Framework and Risk Register (CAF) sets out the high level organisational risks which could potentially have an impact on the CCG and its ability to deliver its statutory duties, statutory responsibilities and corporate objectives. This report presents Version 2 of the CCG Assurance Framework and Risk Register (CAF) for 2020/21.
- 1.2 The CCG's Corporate Objectives for 2020/22 (two years) are presented within the Accountable Officer's Report elsewhere on this agenda, for the Governing Body's approval. These will be reflected in the next version of the CAF.

## 2 KEY POINTS

### 2.1 CAF 2020/21 – Version 2

- 2.1.1 The CAF is a live document and subject to change throughout the year. The current version has been subject to review by Senior Risk Owners, the Chief Officer Team and relevant Sub-Committees leading up to its presentation to the Governing Body. The full CAF is presented at Appendix A.
- 2.1.2 Three new risks have been added to the CAF since the last Governing Body in July, details of which are provided below:

#### **New Risks**

**CAF 17 – *Failure to adequately prepare for EU Exit on 31.12.2020.*** On the recommendation of the Emergency Planning Resilience and Response Steering Group, the Integrated Performance and Assurance Committee agreed on 25 August 2020 to escalate this risk from the Corporate Governance Risk Register to reflect the proximity of the EU Exit deadline and the potential risk to the CCG and the services it commissions.

**CAF 18 - *As a result of need for additional infection prevention and control there is decreased diagnostic capacity across the system which could lead to diagnostic delay and a worsening of health outcomes.*** This risk has been escalated from the Joint Clinical Group (JCG) risk register following discussion at the Chief Officer Team on 2 September 2020.

**CAF 19** - *Potential failure of "Best Buy" building structures [Reinforced Autoclaved Aerated Concrete (RAAC panels)] impacting on Service Delivery – Risk added to CAF following discussion at the Chief Officer Team and reflect concerns around the potential system-wide impact on services the CCG commissions, and acknowledging that this risk is included in Board Assurance Frameworks for provider organisations affected.*

### **Other Changes of Note**

**CAF 01** - *Impact on the delivery of health services as a result of the Covid-19 Pandemic and further risk of a second wave of Covid-19 Pandemic occurring in the CCG area post relaxation of national lockdown measures. This risk has been re-worded to focus more specifically on the potential for a second wave of the pandemic occurring. The risk now reads as follows:*

*Further impact on the delivery of health services as a result of a second wave of the Covid-19 Pandemic* The existing score of 25 (Red) has been retained.

**CAF 02** – *Risk that the disease itself, the Covid-19 response across all sectors and the impact of Covid-19 on non-Covid-19 diseases widens health inequalities.* – Audit Committee on 21 July 2020 considered that the Target Risk score of 4 (Yellow) was too low and appeared overly ambitious to be met by year end. The Target Risk score has subsequently been reviewed by the Senior Risk Owner and raised to 12 (Amber).

**CAF 09** - *Failure to achieve the 2020/21 planned deficit and system control total agreed with NHS England / Improvement* – Following review by the Chief Finance Officer, the risk score has been increased from 12 (Amber) to 16 (Red) to reflect the current position in relation to Recovery and Restoration and following receipt of additional guidance from the Regulator.

**CAF 13** - *Failure to meet National Framework for NHS Continuing Healthcare and NHS Funded Nursing Care compliance* - The CHC service was suspended nationally from March 2020 as a result of the pandemic and while the risk was retained on the CAF no risk rating was assigned. The service has now been re-started (from September 2020). This risk will therefore be reviewed by the Senior Risk Owner and the updated risk reflected in the next version of the CAF.

2.1.3 For ease of reference and to support discussion a summary of all the risks on the CAF is set out in Table 1 overleaf.

2020/21 CAF Version 2 - Risk Summary (as at 03.09.20)

Ref	Risk	Year Start Risk Score (April 20)	Current Risk Score (July 20)	Target Risk Score 2020/21	Movement since last review	Senior Risk Owner (SRO)
CAF01	Further impact on the delivery of health services as a result of a second wave of the Covid-19 Pandemic	25 5x5 Red	25 5x5 Red	12 3x4 Amber	→	Medical Director
CAF 02	Risk that the disease itself, the Covid-19 response across all sectors and the impact of Covid-19 on non-Covid-19 diseases widens health inequalities	12 3x4 Amber	20 4x5 Red	12 3x4 Amber	→ (*Target risk score raised from 4 to 12)	Medical Director
CAF 03	Risk that there will be outbreaks of Covid-19 both inside and outside the STP/CCG organisations which result in substantial impact either from patients needing hospital care or from disruption to services as a result of contact tracing and staff isolation	20 4x5 Red	20 4x5 Red	12 3x4 Amber	→	Medical Director / Chief Nurse
CAF04	Impacts of the development of additional surge capacity created to support the Covid-19 continued response	16 4x4 Red	16 4x4 Red	8 2x4 Amber	→	Accountable Officer
CAF05	Failure of Care Homes to be able to respond and manage resident care needs during the Pandemic and the Increasing expectation from NHSE/I on the responsibilities for care homes to sit with CCGs.	25 5x5	15 3x5 Red	12 3x4 Amber	→	Chief Nurse
CAF06	Failure to deliver the Covid-19 Recovery and Restoration Plan	12 3x4 Amber	12 3x4 Amber	8 2x4 Amber	→	Director of Contracts & Performance
CAF07	Risk to not achieving key performance targets due to ongoing impact of the Covid-19 Pandemic	16 4x4 Red	16 4x4 Red	12 3x4 Amber	→	Director of Contracts & Performance
CAF08	Risk to maintaining robust CCG Governance Arrangements	8 2x4 Amber	8 2x4 Amber	4 1x4 Yellow	→	Director of Governance

CAF09	Failure to achieve the 2020/21 planned deficit and system control total agreed with NHS England / Improvement	16 4x4 Red	16 4x4 Red	4 1x4 Yellow	↑	Chief Finance Officer
CAF10	The possible serious impact of any failure in quality, safety and patient experience in the services that the CCG commissions in acute care, community, integrated and mental health care	12 3x4 Amber	12 3x4 Amber	9 3x3 Amber	→	Chief Nurse
CAF11	The possible serious impact of any failure in quality, safety and patient experience in the services that the CCG commissions in primary care	16 4x4 Red	16 4x4 Red	12 3x4 Amber	→	Chief Nurse
CAF12	Risk that the business models for delivering primary care services become unsustainable.	9 3x3 Amber	16 4x4 Red	9 3x3 Amber	→	Director of Primary Care
CAF13	Failure to meet National Framework for NHS Continuing Healthcare and NHS funded Nursing Care compliance  <b>CHC Service suspended nationally from March 2020 due to the Covid-19 Pandemic</b>	12 3x4 Amber	Service now re-established September 2020 - Current Risk score being reviewed	8 2x4 Amber	→	Chief Nurse
CAF14	Failure to address patient flow in hospitals and meet the locally mandated length of stay targets	12 3x4 Amber	12 3x4 Amber	8 2x4 Amber	→	Director of Contracts & Performance
CAF15	Failure to meet national and local reporting requirements resulting from Patient Administration System (PAS) Replacement (Go-live) issues at North West Anglia NHS Foundation Trust (NWAFT)	15 5x3 Red	15 5x3 Red	6 2x3 Yellow	→	Chief Finance Officer
CAF16	Failure to effectively mitigate the impact of a cyber-attack upon the CCG where the likelihood of such an attack is increasing.	15 5x3 Red	15 3x5 Red	12 3x4 Amber	→	Chief Finance Officer
CAF17	Failure to adequately prepare for EU Exit on 31.12.2020  Escalated Risk	9 3x3 9 Amber	6 2x3 Yellow	6 2x3 Yellow	Escalated Risk	Director of Governance

<b>CAF18</b>	As a result of need for additional infection prevention and control there is decreased diagnostic capacity across the system which could lead to diagnostic delay and a worsening of health outcomes	15 3x5 Red	15 3x5 Red	10 2x5 Amber	Escalated Risk	Medical Director
<b>CAF19</b>	Potential Failure of Best Buy Building Structure (RAAC Panels) impacting on service delivery	15 3x5 Red	15 3x5 Red	10 2x5 Amber	New Risk	Director of Governance

### 3. RECOMMENDATION

3.1 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 risks.

3.2 The Governing Body is asked to endorse Version 2 of the CAF for 2020/21.

**Author** *Sharon Fox, Director of Governance*  
*Simon Barlow, Corporate Governance Manager*  
**3 September 2020**

### Appendices

Appendix 1 CCG Assurance Framework & Risk Register 2020-21 (Version 2)