

CCG REPORT COVER SHEET

Meeting Title:	CCG Governing Body in Public	Date: 11 May 2021								
Report Title:	CCG Assurance Framework and Risk Register 2020-21	Agenda Item: 2.7								
Chief Officer:	Sharon Fox, Director of Governance									
Clinical Lead:	N/a									
Report Author:	Sharon Fox, Director of Governance									
Document Status:	Final									
Report Summary:	The CCG Assurance Framework and Risk Register (CAF) sets out the high level strategic organisational risks that could potentially have an impact on the CCG and its ability to deliver its responsibilities. This report presents the first version of the CCG Assurance Framework and Risk Register (CAF) for 2021-22 for review									
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:	<p>The Governing Body is asked to note that the Chief Officer Team has completed a detailed review of the strategic organisational risks which are to be included in the CAF for 2021/22,</p> <p>The Governing Body is asked to discuss the CAF presented at Appendix A and highlight any areas where further assurance is required on the actions in place to mitigate against these risks.</p> <p>The Governing Body is asked to endorse Version 1 of the CAF for 2021/22.</p>									
Link to Corporate Objectives: 2020/22	Ensure everyone has the opportunity to improve their health and well-being									
	Level-up health and care provision to ensure our communities in areas of high deprivation and need get the resources needed to minimise inequalities									
	Focus time and resources on areas where people receive most of their health and care services, the community									
	Facilitate organisations to join forces at 'place' and offer 'patient first' well-co-ordinated efficient services to those who need them.									
	Deliver our statutory financial commitments as best as possible									
CAF (Strategic Risk) Reference	Description of Risk	Current Risk Score								
CAF08	There is a risk that the transition from the CCG to the Integrated Care System will lead to loss of focus on business as usual and the delivery of the CCG's statutory functions.	12(A)								
Impact Assessments	Equality	N/a								
	Health Inequalities									
	Health Impact									
	Data Privacy									
	Sustainability									
	Quality									
Financial Impact	N/a									
Chief Officer/ SRO Sign Off:	Sharon Fox, Director of Governance									
Chief Finance Officer Sign Off: (if required)	N/a									
Legal implications	N/a									
Conflicts of Interest	Any conflicts of interest (Col) will need to be raised and managed in line with the CCG's Col Policy									
Report history:	The CAF is reported to the Governing Body as a standing item									
Next steps:	Comments from the Governing Body will be reflected in the next version of the CAF									

MEETING: GOVERNING BODY IN PUBLIC

AGENDA ITEM: 2.7

DATE: 11 MAY 2021

TITLE: CCG ASSURANCE FRAMEWORK & RISK REGISTER 2021/22

FROM: SHARON FOX, DIRECTOR OF GOVERNANCE

1. ISSUE

- 1.1 The CCG Assurance Framework and Risk Register (CAF) sets out the high level strategic organisational risks that could potentially have an impact on the CCG and its ability to deliver its responsibilities.
- 1.2 This report presents the latest CCG Assurance Framework and Risk Register (CAF) for 2021/22 for review by the Governing Body.

2 KEY POINTS

- 2.1. The CAF is seen as a living document that is updated regularly and reported to the CCG Governing Body and relevant sub-committees for monitoring purposes.
- 2.2 The Chief Officer Team discussed the strategic organisational risks pertinent to the CCG during 2021/22 at its meeting on 19 April 2021. As a result of this and subsequent discussions, a number of risks in the CAF have been re-worked and included in the newly formatted document.
- 2.3 The CAF is now presented in its new format.

Section 1	CAF Monthly Summary with SRO Comment
Section 2	Glossary
Section 3	Detailed Description of CAF Risk
Section 4	CCG Corporate Objectives 2020/21
Section 5	CCG Risk Management Reporting Structures
Section 6	CCG Risk Management Policy Scoring Extract
Section 7	CCG Governance Framework
Section 8	Archived Risks
Section 10	Blank Template

- 2.4 The monthly summary set out in Section 2 (Page 3) now includes a brief Senior Risk Owner commentary in line with the recommendation from our Internal Auditor.
- 2.5 Section 3 (Page 5 onwards) provides the detailed description of each risk. This includes the risk scoring, cause and effect of the risks, gaps in controls and the levels of assurances (First Line, Second Line, Third Line). Future versions will include a RAG rating on the level of assurance provided.
- 2.6 Version 1 of the CAF 2021/22, which was received and discussed by the Integrated Performance and Assurance Committee on 27 April 2021, is now presented to the Governing Body for review and endorsement.

3. RECOMMENDATION

- 3.1 The Governing Body is asked to note that the Chief Officer Team has completed a detailed review of the strategic organisational risks which are to be included in the CAF for 2021/22,
- 3.2 The Governing Body is asked to discuss the CAF presented at Appendix A and highlight any areas where further assurance is required on the actions in place to mitigate against these risks.
- 3.3 The Governing Body is asked to endorse Version 1 of the CAF for 2021/22.

Author **Sharon Fox**
 Director of Governance
 4 May 2021

Appendix 1 CCG Assurance Framework & Risk Register 2021/22