

CCG REPORT COVER SHEET

<b>Meeting Title:</b>	<b>Primary Care Commissioning Committee</b>	<b>Date: 14 September 2021</b>								
<b>Report Title:</b>	<b>CCG Assurance Framework and Risk Register 2021-22</b>	<b>Agenda Item: 3.1</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									
<b>Document Status:</b>	Final									
<b>Report Summary:</b>	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 latest version of the CCG Assurance Framework and Risk Register (CAF) for 2021-22 for review									
<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>	The Primary Care Commissioning Committee is asked to review the current version of the CAF 2021/22 attached as Appendix 1 and in particular, comment on the risks relevant to Primary Care.									
<b>Link to Corporate Objectives: 2020/22</b>	<b>Ensure everyone has the opportunity to improve their health and well-being</b>									
	<b>Level-up health and care provision to ensure our communities in areas of high deprivation and need get the resources needed to minimise inequalities</b>									
	<b>Focus time and resources on areas where people receive most of their health and care services, the community</b>									
	<b>Facilitate organisations to join forces at 'place' and offer 'patient first' well-co-ordinated efficient services to those who need them.</b>									
	<b>Deliver our statutory financial commitments as best as possible</b>									
<b>CAF (Strategic Risk) Reference</b>	<b>Description of Risk</b>	<b>Current Risk Score</b>								
<b>CAF08</b>	The closedown of the CGG and transition of its functions to the Integrated Care System (ICS) could lead to the potential risk of destabilising and loss of key members of its leadership team. In turn this could result in a loss of focus on business as usual and the safe delivery of the CCG's statutory functions.	12(A)								
<b>Impact Assessments</b>	<b>Equality</b>	N/a								
	<b>Health Inequalities</b>									
	<b>Health Impact</b>									
	<b>Data Privacy</b>									
	<b>Sustainability</b>									
	<b>Quality</b>									
<b>Financial Impact</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</b>	N/a									
<b>Conflicts of Interest</b>	Any conflicts of interest (Col) will need to be raised and managed in line with the CCG's Col Policy									
<b>Report history:</b>	The CAF is reported to PCCC on a regular basis									
<b>Next steps:</b>	Comments from the Committee will be reflected in the next version of the CAF.									

**MEETING: PRIMARY CARE COMMISSIONING COMMITTEE**

**AGENDA ITEM: 3**

**DATE: 14 SEPTEMBER 2021**

**TITLE: CCG ASSURANCE FRAMEWORK & RISK REGISTER 2021/22**

**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 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 discussion in relation to the work of PCCC. This is attached at Appendix 1.

## **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. The latest version was presented to the Governing Body in Public on 7 September 2021. This version will reviewed by Senior Risk Owners (SRO) and relevant Sub-Committees and culminate in its submission to the next Governing Body in Public on 6 November 2021
- 2.2 The summary set out in Section 2 (Page 3) includes a brief Senior Risk Owner (SRO) commentary, which is in line with the recommendation made by or Internal Auditor. The SROs have been asked to review and update this on a monthly basis.
- 2.3 Section 3 (Page 5 onwards) provides a detailed description for each risk. This includes the scoring, cause and effect of the risks, gaps in controls and levels of assurances (First Line, Second Line, Third Line). Preceding monthly ratings are also presented enable the Governing Body to track the 'movement' of individual risks as the year progresses.
- 2.4 In particular the Committee is asked to review CAF 13 - *Risk of insufficient capacity to meet general practice demand* which falls under the specific remit of this Committee.

### **3. RECOMMENDATION**

- 3.1 The Committee is asked to receive the latest 2021-22 CAF presented at Appendix 1; and comment on those risks pertinent to the work of the Committee.

**Author**        ***Simon Barlow***  
***Corporate Governance Manager***  
***10 September 2021***

Appendix 1    CCG Assurance Framework & Risk Register 2021/22 – September 2021