

**CCG REPORT COVER SHEET**

<b>Meeting Title:</b>	<b>CCG Governing Body in Public</b>	<b>Date: 3 September 2019</b>								
<b>Report Title:</b>	<b>CCG Assurance Framework and Risk Register 2019-20</b>	<b>Agenda Item: 2.7</b>								
<b>Chief Officer:</b>	<b>Louise Mitchell, Chief Operating Officer</b>									
<b>Clinical Lead:</b>										
<b>Report Author:</b>	<b>Sharon Fox, Associate Director Corporate Affairs (CCG Secretary)</b>									
<b>Document Status:</b>	Final									
<b>Report Summary:</b>	<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>The Delivery and Governance Oversight Group has reviewed the CAF and made several suggestions to reduce duplication and which have been endorsed by the Chief Officer Team and Integrated Performance &amp; Assurance Committee (IPAC).</p> <p>This report presents the final Version 2 CCG Assurance Framework and Risk Register (CAF) for 2019-20.</p>									
<b>Report Purpose:</b>	<table border="1"> <tr> <td><b>For Assurance</b></td> <td><b>X</b></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>X</b>	<b>For Decision</b>		<b>For Approval</b>		<b>For Recommendation</b>		
<b>For Assurance</b>	<b>X</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>Formally approve the changes made to the CAF as set out in Section 2.1.2 above and endorse Version 2.</li> <li>Discuss the CAF presented at Appendix A and highlight any areas where further assurance is required on the level of actions developed to mitigate the risk.</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>X</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>X</b>							
<b>CAF (Strategic Risk) Reference</b>	<b>Description of Risk</b>	<b>Current Risk Score</b>								
<b>CAF01</b>	Risk to maintaining robust CCG Governance Arrangements	<b>16 Red</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>X</b>								
<b>Resource implications:</b>	N/a									
<b>Chief Officer/ SRO Sign Off:</b>	Louise Michell, Chief Operating Officer									
<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>	N/a									
<b>Report history:</b>	Report presented to COT and IPAC during August 2019. IPAC as a standing item. This version of the CAF reviewed and discussed by the Delivery and Governance & Oversight Group, Chief Officer Team, Primary Care Commissioning Committee and IPAC									
<b>Next steps:</b>	To be discussed at 3 September Governing Body									

**MEETING: GOVERNING BODY IN PUBLIC**

**AGENDA ITEM: 2.7**

**DATE: 3 SEPTEMBER 2019**

**TITLE: CCG ASSURANCE FRAMEWORK & RISK REGISTER 2019-20 – V2**

**FROM: LOUISE MITCHELL, CHIEF OPERATING OFFICER**

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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 Version 2 of the CCG Assurance Framework and Risk Register (CAF) for 2019-20.

## 2.1 CAF 2019/20 UPDATE

2.1.1 Version 2 of the 2019-20 CAF is attached as **Appendix 1**. Leading up to this Governing Body meeting, the CAF has been reviewed by the Delivery and Governance Oversight Group (DGOG), which comprises the Accountable Officer, Director of Performance and Delivery and Associate Director of Corporate Affairs (CCG Secretary). This is a newly formed group which as part of its remit will meet and review the CAF on a regular basis. The CAF has also been discussed/reviewed at the Chief Officer Team (COT), Audit Committee, Primary Care Commissioning Committee and the Integrated Performance and Assurance Committee (IPAC).

2.1.2 The current version of the CAF has been updated to reflect the revisions proposed by the DGOG following its review and which were subsequently supported at COT and approved by IPAC. The main changes to highlight to the Governing Body are summarised below.

### Revised (Material Changes) and Archived Risks

- **CAF 02** – *Failure to achieve the 2019/20 planned deficit of £75m agreed with NHS England*. The remit of this risk has now been extended to incorporate CAF 03 – *Failure to deliver the QIPP Plan (Finance)* – as it was considered unnecessary have these as two separate risks. Relevant elements of the old CAF 03 are now reflected in CAF 02.

As a result of the above it is proposed that CAF 03 is removed from the Register and archived.

- **CAF 03** – *Risk to the delivery of the QIPP Plan (Transformation)*. It has been proposed this risk be changed to read as follows;  
*Risk to the delivery of the CCGs six key areas of Transformation: Urgent Care, Community Contracts Review, Elective Care – Outpatients, High Cost Patients, Medicines Optimisation and GP Services at Scale* - on the basis that this was more descriptive and pertinent to the CCG's requirements.
- **CAF 06** – *Failure to meet the National Framework for NHS Continuing Healthcare and NHS Funded Nursing Care compliance*. The remit of this risk has been extended to incorporate old CAF 08 – *Failure to provide accurate data on activity and finance for complex cases – Continuing Healthcare*. It was felt that it was not necessary to maintain this as a stand-alone-risk on the CAF and that the pertinent elements could be captured within CAF 06.

This being the case it is proposed that the original CAF 08 be removed from the Register and archived.

- **CAF 08** – *Failure to address flow of patients from health care services into social care services*. It has been proposed this risk be changed to read as follows:

*Failure to address patient flow in hospitals and meet the locally mandated length of stay targets* on the basis that this more accurately describes the potential risk to the CCG.

### **New Risks**

At IPAC, it was agreed to add/escalate the following risks:

- **CAF 12** – Failure to deliver the System Control total of £192m; and
- **CAF 13** – Failure to adequately prepare for an EU Exit. This risk has been escalated from the Corporate Governance and Corporate Services Team Risk Register.

### **3. Target Risk Scores - Review**

- 3.1 At Audit Committee on 16 July 2019, the need to review existing Target Risk Scores set for each of the CAF risks was identified. The Committee was of the view that the scores calculated for certain risks were unrealistic and therefore unlikely to be met by year-end. The Chief Officers have reviewed these scores and amended where they consider appropriate. The status of Target Risks scores will continue to be monitored on a regular basis going forward.

### **4. RECOMMENDATION**

- 4.1 The Governing Body is asked to:

- Formally approve the changes made to the CAF as set out in Section 2.1.2 above and endorse Version 2.

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

**Simon Barlow**  
**Governance Support Manager**  
**29 August 2019**

**Attachments**

Appendix 1 CCG Assurance Framework & Risk Register 2019-20 (Version 2) – August 2019