

<b>Meeting:</b> Buckinghamshire, Oxfordshire, and Berkshire West CCGs (BOB) Governing Bodies Meetings in Common (in public)
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<b>Date of Meeting</b>	9 September 2021
<b>Title of Paper</b>	<b>Risk Management and Assurance</b> <ul style="list-style-type: none"> <li>Corporate Risk Register Escalations / Red Rated Risks (BAU including COVID-19)</li> </ul>
<b>Lead Director</b>	Director of Governance and Directors of Finance
<b>Author(s)</b>	BOB Governance Leads
<b>Paper Type</b>	Assurance
<b>Action Required</b>	The Governing Body is asked to: NOTE as ASSURANCE risk reports and highlighted escalations as described.

**Executive Summary:**

CCGs must have a robust risk management framework and have in place processes in place to identify emerging risks or issues.

The Governing Body has overall responsibility and accountability for the management of risk associated with the CCG's activities. It discharges this responsibility through regular review of the Governing Body Assurance Framework and related reports as set out in the CCG's Risk Management Framework and Strategy.

Included for review are the Risk Reports from the three BOB CCGs (Buckinghamshire, Oxfordshire, and Berkshire West).

**Buckinghamshire CCG:**

- Corporate Risk Register: Aug 2021 – Governing Body escalations (*Item 9(a)*)
- Corporate Risk Register: Aug 2021 – Covid-19 (*Item 9(ai)*)

**Oxfordshire CCG:**

- Strategic Risk Register: Aug 2021 – Summary of Current Mitigations (*Item 9b*)

**Berkshire West CCG**

- Corporate Risk Register: Aug 2021 – Red Rated Risks (*Item 9c*)

Supported by PwC the three CCGS are developing a single risk management framework (RMF) from which we will then develop a single way of reporting risks. This work is progressing well with a workshop held with members of the Audit Committees in July; a first draft of the RMF will be circulated to Audit Committee members and will be presented to their October meeting. Whilst awaiting the outcome of this piece of work relevant risks have continued to be reported to the committees in common meetings for review and scrutiny.

### **High-level Risks from the Corporate Risk Register**

The Corporate Risk Register (CRR) is composed of the registers of the individual programme boards and committees, who are responsible for managing and reviewing those risks. Governing Bodies are notified of those risks which retain a residual risk score/rating of  $\geq 15$  RED.

The impact of COVID19 has been considered by all risk owners as follows:

- Risk owners have been asked to review key objectives and priorities in light of the current COVID19.
- Risk owners and directors should consider whether they have sufficient capability and capacity to manage any heightened risk associated with the incident.
- The CCG is aware of and alert to other risks related to the COVID19 incident e.g., cyber-attacks and fraud.
- Risk owners are aware of potential opportunities related to COVID19 which will contribute to the achievement of the CCG's objectives when we move into recovery e.g., increased use of digital technology.
- The CCG's internal controls are being adapted and continue to work well.

### **Buckinghamshire CCG**

The BCCG Corporate Risk Register Summary is attached (*Item 9(a)*) for Red Rated risks, and shows the current position with regards to controls and actions and any corresponding change in residual risk score/rating for those risk that are Red.

#### **Q2 (July – Sept)**

For July reporting, the total number of risks on the register increased by one and the number of risks reported as red increased by one (Risk no.19), relating to Anticoagulation (Burnham Health Centre) Warfarin.

In August, the total number of risks on the register stayed the same and the number of risks reported as red remained the same.

**Covid-19 Risk Register** – see enclosed extract (*Item 9 (ai)*)

### **Oxfordshire CCG**

The OCCG Strategic Risk Register Summary is attached (*Item 9bi*). There are no Red rated Operational Risks.

For reference: OCCGs risk grading matrix:

Consequence	Likelihood				
	1	2	3	4	5
	Rare	Unlikely	Possible	Likely	Almost certain
5 Catastrophic	5	10	15	20	25
4 Major	4	8	12	16	20
3 Moderate	3	6	9	12	15
2 Minor	2	4	6	8	10
1 Negligible	1	2	3	4	5

Summary Colour code	
Risk grading	Risk score
Low risk	1 – 4
Moderate risk	5 – 11
High risk	12 – 19
Extreme risk	20 – 25

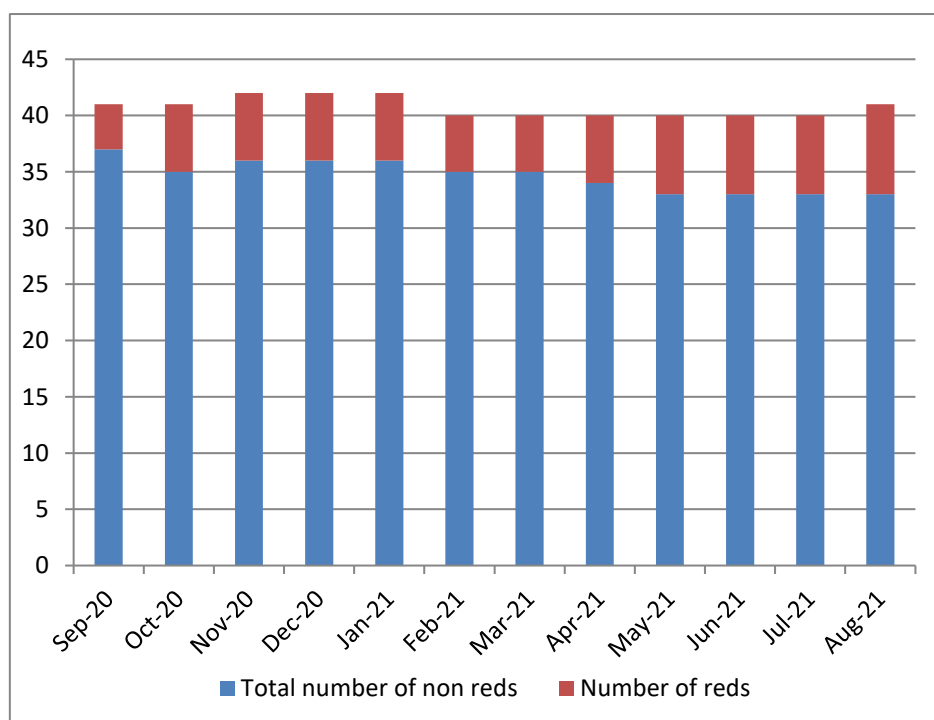
## Berkshire West CCG

### Q2 (July – August)

The total number of risks on the register increased by one (totalling 41) and the number of risks reported as red increased by one (totalling eight). The Urgent and Emergency Care (UEC) Risk UC5 relating to Hospital Discharge (Ready to Go list) had its residual score of Amber, increased to Red, due to increase in patients on Medically Optimised for Discharging list.

The extract from the register shows the current position with regards to controls and actions and any corresponding change in residual risk score/rating for those risks that are red.

The table below shows the overall profile of risks over the previous 12 months.



**Figure 1 Total risk (red and non-red) tracking over previous 12 months**

Sept	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	June	July	Aug
4	6	6	6	6	5	5	6	7	7	7	8

**Figure 2 Number of red risks**

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