

**Meeting:** Buckinghamshire, Oxfordshire, and Berkshire West CCGs (BOB) Governing Bodies Meetings in Common (in public)

<b>Date of Meeting</b>	10 June 2021
<b>Title of Paper</b>	<b>Risk Management and Assurance</b> <ul style="list-style-type: none"> <li>Governing Body Assurance Framework</li> <li>Corporate Risk Register Escalations (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: May 2021 – Governing Body escalations (*Item 9(a)*)
- Corporate Risk Register: May 2021 – Covid-19 (*Item 9(ai)*)

### Oxfordshire CCG:

- Strategic Risk Register - Executive Summary (*Item 9b*)
- Strategic Risk Register – Summary of Current Mitigations (*Item 9bi*)

### Berkshire West CCG

- Corporate Risk Register: May 2021 – Red Rated Risks
- Governing Body Assurance Framework (GBAF) Summary Risk Profile (SRP)

## **Executive Summary – Buckinghamshire CCG**

CCGs must have a robust risk management framework and have in place processes in place to identify emerging risks or issues. Risk is a core assurance audit every year with our internal auditors RSM.

Our routine registers currently are:

1. Governing Body Assurance Framework; captures principal risks to the delivery of the CCG's strategic aims/goals.
2. Corporate Risk Register – Business as Usual – risk above threshold of 15 are escalated to Governing Body (Appendix A)
3. Corporate Risk Register – COVID-19 specific – risks above threshold of 15 are escalated to Governing Body (Appendix B)

### Update since November 2020

All current GBAF risks are paused due to changes in the financial regime whilst the pandemic continues. Meanwhile an engagement letter and terms of reference has been agreed for a review of current risk management arrangements across the three CCGs. The outcomes from this review will be discussed in due course through audit committees in common and will inform future reporting arrangements.

### Corporate Risk Register

A previous corporate risk on GPIT has been closed by the CCG Executive Committee on 27/05/2021. This is now that funding has been received from NHS England to cover upfront costs for the rollout to primary care of Windows 10 and N365.

## **Executive Summary – Oxfordshire CCG**

Please see reports attached (Item 9b(i))

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## **Executive Summary – Berkshire West CCG**

### **Background**

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.

### **Governing Body Assurance Framework (GBAF) Summary Risk Profile (SRP)**

The GBAF is an NHS risk management method, through which governing bodies are able to identify the principal risks to the organisation's achievement of its strategic objectives. The SRP provides a snapshot of the current status of the risks described in the GBAF, with comparison of inherent and residual risk scores/ratings.

The profile has remained static this month. This is not unusual for strategic risks, where changes often take place over a longer timescale.

Date: 10 June 2021

Filename: Risk Management and Assurance

## High-level Risks from the Corporate Risk Register

The Corporate Risk Register (RR) 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.

### Q1 (April – June)

In April, the total number of risks on the register stayed the same and the number of risks reported as red increased by one (totalling six). The Finance Risk F1 relating to the significant risk to delivery of the CCGs control total had its recently reduced residual score of Amber, increased back up to Red. Although the CCG is planning breakeven against its allocation, the financial framework for the second half of the year is uncertain and a return to the pre-pandemic framework would expose the CCGs underlying deficit.

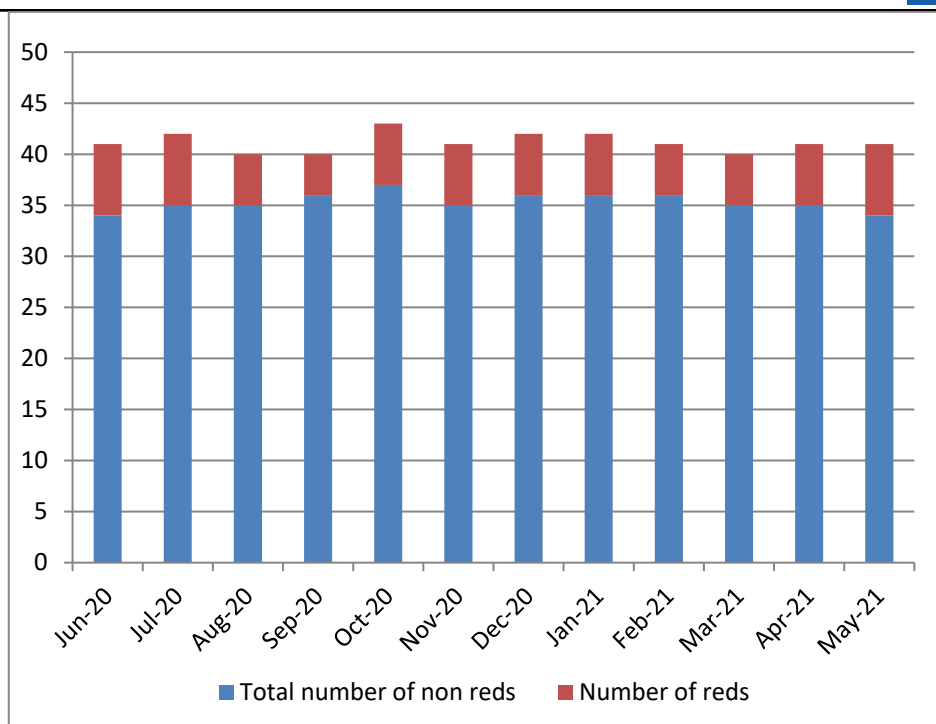
In May, the total number of risks on the register stayed the same and the number of risks reported as red increased by one (totalling 7). The Quality Risk Q1 relating to Deprivation of Liberty Safeguards had its residual score of amber, increased to Red. This is due to a member of staff on long term sick resulting in assessments and reviews being placed on hold and the waiting list will remain unallocated.

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 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.

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**

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

**Figure 2 Number of red risks**