

<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>	13 January 2022
<b>Title of Paper</b>	<b>Risk Management and Assurance: Q3 (Oct – Dec)</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: Nov/Dec 2021 – Governing Body escalations (*Item 9a*)

**Oxfordshire CCG:**

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

**Berkshire West CCG**

- Corporate Risk Register: Nov/Dec2021 – 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.

In support of this work, the Audit Committee has carried out extensive review in overseeing this process, and a first draft of the RMF was circulated to Audit Committee members in September for comment, before taking for further review at their Audit Committee meeting in October 2021. Comments from the Audit Committee discussion are being incorporated into the draft RMF and this will be circulated to committee members for agreement.

Whilst awaiting the agreed 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 are scored/rated as >12 and 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.

Although the risk registers are not yet aligned (i.e., one single report) across BOB (Buckinghamshire, Oxfordshire, and Berkshire West) the individual risk registers presented for review show areas of commonality, and those individual CCG risks are attached for review.

A snapshot of those shared 'high' level risks across BOB is provided for as follows:

- **Provider Organisations:** There is a collective risk to provider workforce management; total establishment staffing levels.
- **PCNs:** Capacity, workload volumes and vacancies. Development of Primary Care Networks, Direct Enhanced Service Contract, and some re-alignment of commissioning responsibilities
- **Safeguarding:** Safeguarding Team Staffing, workforce redeployment issues and working arrangements impacted by Covid-19
- **Finance:** The medium-term financial plans contain significant risk to delivery of the CCG's/ICB control total.
- **Finance:** 2021-22: CCG, ICP and ICS Efficiency Programme not delivering sufficient recurrent savings
- **A&E Services:** A risk that A&E 4-hour performance of 95% may not be achieved.

- **Hospital Discharge:** The number of people remaining in hospital who do not meet the criteria to reside under the Hospital Discharge Guidance above acceptable thresholds.

### Buckinghamshire CCG

The BCCG Corporate Risk Register Summary is attached (*Item 9a*) 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.

In October the Executive Committee approved the transfer of risks from a separately held Covid-19 Risk Register over to the Corporate Risk Register for continued reporting. Therefore, the total number of risks on the register increased by eleven and the number of risks reported as red increased by eight.

### Oxfordshire CCG

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

### Berkshire West CCG

Since reporting in September, the total number of risks on the register increased by three (totalling 44) and the number of risks reported as red increased by six (totalling 14). Five of those risks are new risks, and these are in relation to:

- Quality (Care home staffing)
- Long-term Conditions: Staff Morale and loss of workforce (RBFT/BHFT)
- Long-term Conditions: Financial envelope constraints to bed funding.
- Long-term Conditions: Location and bed modelling (BHFT)
- Urgent and Emergency Care: Hospital Discharge

In November, Risk PC4 (Adult Hearing procurement) was closed due to a new AQP contact starting with Specsavers.

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.