

WOLVERHAMPTON CCG

GOVERNING BODY
11 FEBRUARY 2020

Agenda item 10

TITLE OF REPORT:	Governing Body Assurance Framework and Risk Register
AUTHOR(s) OF REPORT:	Peter McKenzie, Corporate Operations Manager
MANAGEMENT LEAD:	Mike Hastings, Director of Operations
PURPOSE OF REPORT:	To provide assurance to the Committee on the CCG's Risk Management arrangements, including the latest updated Governing Body Assurance Framework (GBAF) and Corporate Risk Register.
ACTION REQUIRED:	<input type="checkbox"/> Decision <input checked="" type="checkbox"/> Assurance
PUBLIC OR PRIVATE:	This Report is intended for the public domain. Any confidential information relating to any risks has been redacted.
KEY POINTS:	<ul style="list-style-type: none"> • This report outlines the current work underway to support risk management across the CCG, including the work of the Governing Body Committees. • The latest updated version of the GBAF and Strategic risk register, is appended following consideration at the Audit and Governance Committee in November 2019. • The Governing Body are asked to consider whether the risk ratings for each domain remain appropriate.
RECOMMENDATION:	<p>That the Governing Body</p> <ul style="list-style-type: none"> • Considers the report and updated risk profile for the CCG • Comments on any matters relating to risk management.
LINK TO BOARD ASSURANCE FRAMEWORK AIMS & OBJECTIVES:	This report details progress with developing the overall Board Assurance Framework and is therefore relevant to all of the aims and objectives.



1. BACKGROUND AND CURRENT SITUATION

- 1.1. The Audit and Governance Committee is responsible for maintaining an overview of the CCG's arrangements for managing risk and providing assurance to the Governing Body that they are operating effectively. The Committee agreed an updated version of the Risk Management Strategy in February 2018.
- 1.2. The CCG's risk management arrangements are designed to provide assurance to the Governing Body that risks to the CCG achieving its objectives are identified and effectively managed. A key element of this is the CCG's Governing Body Assurance Framework (GBAF) which outlines the overall risk to the CCG achieving each of its Corporate Objectives. This is supported by a Corporate level and Committee level risk register as well as regular risk assessment and review by teams throughout the CCG.

2. ASSURANCE FRAMEWORK UPDATE

- 2.1. The Audit and Governance Committee considered the latest version of the GBAF at its November meeting following a review by the Executive and Senior Management Team. This includes an indicative score from the management team to identify the risk to the achievement of each objective based on the updated risk profile, including the identified Corporate Risks which impact on each domain. The committee were assured that the scoring was appropriate and the Governing Body are asked to make their own assessment based on the assurance provided.
- 2.2. A key support for the development of the GBAF is the CCG's Strategic Risk Register, which includes an update on each of the identified risks, including those reviewed by the Governing Body Committees, which take place at each meeting. The committee were advised that, following management review, risk CR14 - Development of the Integrated Care Alliance (ICA) is recommended for closure and a new risk associated with the implementation of the ICA contract has been identified following a deep dive. Subsequently, following the regular reviews by management and committees, the score for risk CR21 – Impact of Funding reduction from City of Wolverhampton Council has been reduced and risk CR22 – Leaving the European Union is recommended for closure.

3. COMMITTEE RISK REVIEWS

- 3.1. In addition to supporting the Governing Body with their review of the Strategic Risk Register, Committees have also continued to review their own assigned risk registers at each meeting. These discussions are supported by work in CCG teams to identify operational risks and discussion at team meetings to escalate risks as appropriate to committees.
- 3.2. The current number of risks on each Committee Risk Register is as follows (Previous numbers in brackets):-

Committee	Number of Risks				
	Red	Amber	Yellow	Green	TOTAL
Commissioning Committee	1 (1)	1 (2)	0 (0)	0 (0)	2 (3)
Finance and Performance Committee	0 (0)	3 (2)	5 (6)	0 (0)	8 (8)
Primary Care Commissioning Committee	0 (0)	3 (5)	1 (0)	0 (0)	4 (5)
Quality and Safety Committee	1 (2)	1 (4)	4 (1)	0 (0)	6 (7)
TOTAL	2 (3)	8 (13)	10 (7)	0 (0)	20 (23)

- 3.3. Work continues to ensure that discussions of the risk profile at committees is an embedded part of the committees operation. This includes not just discussing the risks outlined on the committee's risk register, but also considering whether risks are identified as a result of issues discussed throughout the meeting.

4. RISK MANAGEMENT ARRANGEMENTS

- 4.1. The Audit and Governance committee were advised that a deep dive into Domain 2b – Build on our Primary Care Networks wrapping Community, Social Care and Mental Health Services around them had taken place. Following this review, it was determined that the risk scoring was appropriate, with a number of actions identified:-
- A further review of the risk associated with the Integrated Care Alliance. This review has led to the closure of the original risk and the identification of a new risk associated with the contract.
 - Further work is required to identify any risks associated with the development of Primary Care Networks.
- 4.2. The Committee have agreed an indicative programme of future deep dive reviews across the remaining domains. This will remain under review as the CCG's transition programme continues.
- 4.3. Following the meeting of the four Black Country and West Birmingham CCGs' Governing Bodies in Common on 21 January 2020 work is underway to develop a revised Governance structure. This will include further meetings of the Governing

Bodies in common to support the development of a common strategy and objectives across the four CCGs as they work together to become a Single Commissioning Voice in the developing Integrated Care System. As this work progresses, the CCGs will be developing mechanisms to understand and manage the risks to achieving these shared objectives. The Governance and Risk Team continue to be engaged in this developing agenda.

5. CLINICAL VIEW

- 5.1. A clinical view has not been sought for the purpose of this report; however, if relevant, a clinical view is always sought via the appropriate committee membership.

6. PATIENT AND PUBLIC VIEW

- 6.1. Not applicable for the purpose of this report.

7. KEY RISKS AND MITIGATIONS

- 7.1. The CCG GBAF and Risk Register on-going refresh work is critical, as failure to identify and manage risks is a risk to the achievement of the CCG's strategic objectives.

8. IMPACT ASSESFSMENT

Financial and Resource Implications

- 8.1. There are no financial implications arising from this report at this stage.

Quality and Safety Implications

- 8.2. Quality is at the heart of all CCG work and whilst no impact assessment has been undertaken for the purpose of this report, all risks have a patient safety and quality impact assessment

Equality Implications

- 8.3. There are no Equality Implications associated with this report.

Legal and Policy Implications

- 8.4. There are no legal implications arising from this report.

Other Implications

- 8.5. There are no other implications arising from this report.

Name Peter McKenzie
Job Title Corporate Operations Manager
Date: January 2020

ATTACHED

Draft GBAF and Risk Register.

REPORT SIGN-OFF CHECKLIST

This section must be completed before the report is submitted to the Admin team. If any of these steps are not applicable please indicate, do not leave blank.

	Details/ Name	Date
Clinical View	Not Applicable	
Public/ Patient View	Not Applicable	
Finance Implications discussed with Finance Team	Not Applicable	
Quality Implications discussed with Quality and Risk Team	Not Applicable	
Equality Implications discussed with CSU Equality and Inclusion Service	Not Applicable	
Information Governance implications discussed with IG Support Officer	Not Applicable	
Legal/ Policy implications discussed with Corporate Operations Manager	Report Owner	January 2020
Other Implications (Medicines management, estates, HR, IM&T etc.)	Not Applicable	
Any relevant data requirements discussed with CSU Business Intelligence	Not Applicable	
Signed off by Report Owner (Must be completed)	Peter McKenzie	31/01/2020

