



Report to:	Integrated Care Board
Date of Meeting:	11 January 2023
Subject:	Board Assurance Framework
Director Sponsor:	Karina Ellis, Executive Director of Corporate Affairs
Author:	Mike Napier / Sasha Sencier, Corporate Affairs Team

STATUS OF THE REPORT: *(Please click on the appropriate box)*

Approve Discuss Assurance Information A Regulatory Requirement

SUMMARY OF REPORT:

This report presents the updated ICB Board Assurance Framework (BAF) for consideration and approval.

In summary, the following updates have been made since the previous BAF in November 2022.

- Inclusion of the newly agreed Board risk appetite scores (as developed by the Board at its meeting in December '22) against each of the BAF domains (*slide 3*)
- Update to the principal risk descriptions reflecting wider system-level / partner ownership
- Addition of mitigating actions against each of the principal risks (*slides 6 -13*)

Next steps:

- Continue to update the principal risk descriptions
- Completion of risk target assessments (Q4 22/23)
- Alignment of the BAF review cycle to the wider ICB / ICS risk assurance programme (closely linked to the Place and Collaborative(s) Operational Arrangements Programme of work)

RECOMMENDATIONS:

Members are asked to:

- i) Review and approve, as appropriate, the updated ICB BAF with particular agreement to the Board risk appetite scores.
- ii) Note the next steps in relation to the continued refinement of the BAF.



ICB STRATEGIC OBJECTIVE	
Realising our vision	☒
Improving outcomes in population health and healthcare	☒
Supporting broader social and economic development	☒
Tackling inequalities in outcomes experience and access	☒
Delivering our operational plan 2022/23	☒
Developing our ICS	☒

IMPLICATIONS	
Finance	<p>Risk 5.2 relates specifically to risks associated with the maintenance of financial control. The current assessment of the risks, together with their mitigations, associated with this are set out in the document.</p> <p>Financial implications associated with other risks would be set out on a case-by-case basis.</p>
Quality	<p>Risks 2.1 and 2.2 refer specifically to quality impacts should the threats relating to clinical quality, safety and patient experience not be adequately mitigated for. The current controls and assurances in place are set out within the document.</p>
HR	<p>Risk 5.1 sets out the risks in the event of not delivering the ICB People Plan, together with the controls and mitigations in place to minimise these.</p>
Legal / Regulatory	<p>The maintenance of a comprehensive BAF provides an important means through which the compliance / regulatory risks to the ICB are mitigated for. Risk 6.1 specifically considers the principal compliance / regulatory risk identified at the present time, together with its controls and mitigations.</p>
Data Protection / IG	<p>There are no direct data protection / IG implications relating to this paper, however data protection/IG controls and mitigations will be considered, as relevant, for all principal risks.</p>
Health inequality / equality	<p>Risks 1.1, 2.2, 3.1 and 4.1 reference the negative impacts on health inequality / equality in the event that each risk is not adequately controlled however the existing mitigations are also set out within the document.</p>
Conflict of Interest	<p>No conflicts of interest are identified in relation to the BAF, however it is noted that CoIs will continue to be monitored on a case-by-case basis given the broad scope of the report's contents and the professional / organisational diversity of the Board membership.</p>



Sustainability	There are no sustainability implications relating to this paper, however sustainability controls and mitigations will be considered on a case-by-case basis, as appropriate.
----------------	--

ASSESSED RISK:
The ICB has a statutory and regulatory obligation to ensure that systems of control are in place to minimise the impact of all types of risk. The BAF and Corporate Risk Register are essential parts of a robust and comprehensive internal control framework for the ICB.

MONITORING AND ASSURANCE:
The Executive Team will oversee the development of the wider risk management strategy and framework of which the BAF will be an element.

The Audit Committee maintains independent oversight for the assurance of the BAF and ICB control framework.

ENGAGEMENT:
A wide variety of ICB subject matter specialists, senior officers and the ICB Board have been engaged in the development of the BAF and Corporate Risk Register.

REPORT EXEMPT FROM PUBLIC DISCLOSURE No Yes
If yes, please detail the specific grounds for exemption