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| <b>Report to:</b>        | Humber & North Yorkshire Integrated Care Board        |
| <b>Date of Meeting:</b>  | 8 March 2023  |
| <b>Subject:</b>          | <b>Board Assurance Framework</b>                      |
| <b>Director Sponsor:</b> | Karina Ellis, Executive Director of Corporate Affairs |
| <b>Author:</b>           | 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. Members' attention is drawn, in particular, to the following.

- All risks, including risk scores, positive assurances, gaps in control and mitigating actions have been updated, as appropriate, with the Executive Director Leads / Deputies since the February report and taken through the Executive Committee for assurance before being submitted to the ICB Board for approval.
- A new risk has been added to the BAF regarding the new financial risk for 2023/24 (Ref E2). Risk Ref E1 which pertains to 2022/23 will be considered by the Board for closure following year-end processes.
- Two mitigating actions are due to be reported on by the end of March 2023. Both items (Update on Operational Plan and Delivery of 180 Day People Plan) are included as agenda items on today's meeting.
- In line with the ICB Board's approach to risk appetite, each risk has been realigned to reflect the risk appetite against the agreed domain, with a green and red colour code adopted to indicate whether each risk is in or out of appetite.
- On the above basis, four risks are currently assessed as in appetite and five risks assessed as out of appetite.

**RECOMMENDATIONS:**

Members are asked to:

- i) Review and approve, as appropriate, the updated ICB Board Assurance Framework.

| <b>ICB STRATEGIC OBJECTIVE</b>                         |                                     |
|--|-------------------------------------|
| Realising our vision                                   | <input checked="" type="checkbox"/> |
| Improving outcomes in population health and healthcare | <input checked="" type="checkbox"/> |



|   |   |
|---|---|
| Supporting broader social and economic development      | ☒ |
| Tackling inequalities in outcomes experience and access | ☒ |
| Delivering our operational plan 2022/23                 | ☒ |
| Developing our ICS                                      | ☒ |

| <b>IMPLICATIONS</b>          |  |
|------------------------------|--|
| Finance                      | <b>Risk E1 and E2</b> 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. Financial implications associated with other risks would be set out on a case-by-case basis. |
| Quality                      | <b>Risks B1 and B2</b> 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.   |
| HR                           | <b>Risk F2</b> 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.   |
| Legal / Regulatory           | The maintenance of a comprehensive BAF provides an important means through which the compliance / regulatory risks to the ICB are mitigated for. <b>Risk F1</b> specifically considers the principal compliance / regulatory risk identified at the present time, together with its controls and mitigations.                  |
| Data Protection / IG         | 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.  |
| Health inequality / equality | <b>Risks A1, B2, C1 and D1</b> 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.  |
| Conflict of Interest         | 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.  |
| 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