

<b>Report to:</b>	Humber & North Yorkshire Integrated Care Board
<b>Date of Meeting:</b>	10 May 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, Director of Governance & Board Secretary Sasha Sencier, Head of Governance & Development

**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 March report and taken through the Executive Committee for assurance before being submitted to the ICB Board for approval.
- **Risk Ref E1:** This financial risk pertains to 2022/23. The Executive Director of Finance & Investment has confirmed that the Board can review this risk for closure at the meeting in public in July once year-end processes are completed.
- **Risk Ref E2:** This financial risk pertains to 2023/24. Following discussions by the Board in April regarding the financial deficit, a recommendation was made to increase the risk rating. The Executive Director of Finance & Investment has updated the risk and increased the risk from 15 to 25 as an unbalanced plan is certain.
- **Risk Ref F1:** Following discussions by the Board in April regarding the impact of industrial action and the current pause on recruitment due to the financial deficit, a recommendation was made to increase the risk rating. The Executive Director of People has updated the risk and increased the risk from 15 to 25 as the likelihood is certain.

**RECOMMENDATIONS:**

Members are asked to:

- Review and approve, as appropriate, the updated ICB BAF.

**ICB STRATEGIC OBJECTIVE** *(please click on the boxes of the relevant strategic objective(s))*

Realising our vision	<input checked="" type="checkbox"/>
Improving outcomes in population health and healthcare	<input checked="" type="checkbox"/>

Supporting broader social and economic development	<input type="checkbox"/>
Tackling inequalities in outcomes experience and access	<input checked="" type="checkbox"/>
Delivering our operational plan 2022/23	<input checked="" type="checkbox"/>
Developing our ICS	<input checked="" type="checkbox"/>

<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