



Agenda Item No:	7
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Report to:	Humber & North Yorkshire Integrated Care Board
Date of Meeting:	12 July 2023
Subject:	BOARD ASSURANCE FRAMEWORK
Director Sponsor:	Karina Ellis – Executive Director of Corporate Affairs
Author:	Mike Napier – Director of Governance & Board Secretary Claire Stocks – Corporate Affairs Manager

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 previous report and taken through the Executive Committee for assurance before being submitted to the ICB Board for approval.
- **Risk Ref A2 (22/23 financial performance) - Proposal to remove.** As discussed at the May Board Meeting, it is planned that this risk now be closed following Board approval of the 22/23 Annual Report and Accounts and their successful submission to NHSE by 30 June 2023.
- **Risk Ref A3 (23/24 financial plan): Reduction** of current risk rating impact from 5 to 3 and likelihood from 5 to 4 giving a reduction of risk rating from 25 to 12 (Impact 4 x Likelihood 3). Impact revised down from catastrophic to moderate in the light of previous Board discussion of impact definitions.
- **Risk Ref C3 – (Recruitment and Retention) Reduction** of likelihood rating from 5 to 3 giving a reduction of risk rating from 25 to 15 (Impact 5 x Likelihood 3).
- **Domain 2 –** The Executive Director of Communication, Marketing & PR proposes the addition of Public Involvement to the domain wording. BAF to be updated to reflect this change immediately and the corporate risk register will be similarly updated during a subsequent iteration of updates (to coincide with launch of risk management software solution)

RECOMMENDATIONS: *(Specify the recommendation(s) being asked of the meeting - use additional points as appropriate):*

Members are asked to:

- i. Approve Closure of Risk A2
- ii. Review and approve as appropriate, the updated ICB BAF

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

Managing Today	<input checked="" type="checkbox"/>
Managing Tomorrow	<input checked="" type="checkbox"/>
Enabling the Effective Operation of the Organisation	<input checked="" type="checkbox"/>

IMPLICATIONS (Please state N/A against any domain where none are identified)

Finance	Risk A3 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 BAF. Financial implications associated with other risks would be set out on a case-by-case basis.
Quality	Risks A1 and C1 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 BAF
HR	Risk C3 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. Risk C2 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	Risks A1, B1, B2 and B3 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 Aspects	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.