



Agenda Item No:	7
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Report to:	Humber & North Yorkshire Integrated Care Board
Date of Meeting:	8 November 2023
Subject:	Board Assurance Framework
Director Sponsor:	Karina Ellis – Executive Director of Corporate Affairs
Author:	Mike Napier, Director of Governance & Board Secretary, and Sasha Sencier, Head of Governance and 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. The BAF now includes a heat map as a helpful visualisation tool (see slide 4).

ICB Board Assurance Framework

Members' attention is drawn, in particular, to the following updates:

Strategic Objective A: Managing Today

Risk Ref A1 (patient safety and positive health outcomes)

- The framework detailed in the action: *Wider stakeholder collaboration, including jointly scoping with providers to develop a Quality Assurance and Improvement Framework (QAIF)*, was presented to the Quality Committee in October 2023 and an update is detailed within the Quality paper.
- The Quality Committee and the Executive Committee has made a recommendation to update the risk description from:
Failure to effectively recognise, monitor and affect fundamental standards of local care will impact on patient safety and positive health outcomes for local people and communities, to
Failure to effectively recognise, monitor and have mitigating actions to improve standards of local care will impact on patient safety and positive health outcomes for local people and communities.
- The risk score currently remains the same at the end of Quarter 2, moving into Quarter 3, however, the Executive Committee has considered the updated risk description and the positive assurance of the QAIF and has made a recommendation to lower the score from 20 to 15 (5 for impact x 3 for likelihood).

Risk Ref A3 (23/24 financial performance)

- No changes since last updated in early October 2023
- The risk score remains the same at the end of Quarter 2, moving into Quarter 3.

Risk Ref A4 (workforce – system wide)

- A gap has been closed through the completion of the mitigating action to ensure that flexible working and wider benefits were published in the Staff handbook and promoted in the regular staff update: <https://humberandnorthyorkshire.pagetiger.com/ICB-staff-handbook/1>
- The risk score remains the same at the end of Quarter 2, moving into Quarter 3.

Risk Ref A5 (Estates)

- A new risk has been added: *The estates infrastructure of the ICS hinders our ability as an ICB to deliver consistently high quality care.*
- This risk has been developed with the Executive Director of Finance & Investment and the Assistant Director of Estates and has been reviewed by the Executive Committee before coming to the Board for approval.

Strategic Objective B: Managing Tomorrow

Risk Ref B1 (Data & digital maturity)

- No changes since last updated in early October 2023
- The risk score remains the same at the end of Quarter 2, moving into Quarter 3.

Risk Ref B2 (Relationships with all partners and stakeholders)

- The following mitigating action has been moved to March 2024 for completion: Integration needs assessment (lens on coastal): Development and recommendations. It should be noted that work has commenced with a session taking place with the system leadership forum in mid-October 2023.
- The risk score remains the same at the end of Quarter 2, moving into Quarter 3.

Risk Ref B3 (Transforming services to achieve enduring improvement)

- No changes since last updated in early October 2023
- The risk score remains the same at the end of Quarter 2, moving into Quarter 3.

Risk Ref B4 (priority workforce transformation initiatives)

- No changes since last updated in early October 2023
- The risk score remains the same at the end of Quarter 2, moving into Quarter 3.

Strategic Objective 3: Enabling the effective operation of the organisation

Risk Ref C1 (Failure to effectively engage and deliver our legal duty to involve patients)

- No changes since last updated in early October 2023
- The risk score remains the same at the end of Quarter 2, moving into Quarter 3.
- A Board review of this risk is taking place at the private session of the Board in November to explore how further mitigation can support delivery and the delivery of a meaningful strategy for 2024/25.

Risk Ref C2 (governance processes and effective control mechanisms)

- A gap has been closed through the completion of the mitigating action approve a risk management framework and complete engagement with staff on this piece of work.
- The risk score remains the same at the end of Quarter 2, moving into Quarter 3.

Risk Ref C3 (workforce – internal)

- A gap has been closed through the completion of the mitigating action to ensure that flexible working and wider benefits were published in the Staff handbook and promoted in the regular staff update: <https://humberandnorthyorkshire.pagetiger.com/ICB-staff-handbook/1>
- The risk score remains the same at the end of Quarter 2, moving into Quarter 3.

RECOMMENDATIONS:

Members are asked to:

- Approve the changes to the BAF as highlighted in the report and summarised above, in particular recognising the update to Risk A1 and the inclusion of the new Estates Risk (A5).
- Note that the Board previously discussed the need to develop a new risk regarding performance standards, with the Deputy Chief Executive /Chief Operating Officer as the Executive lead, and this will be brought to the meeting in December 2023.
- Identify any further areas of risk that impact of delivery of the ICB strategic objectives.

ICB STRATEGIC OBJECTIVE

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

IMPLICATIONS

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	Risks A4, B4 and C3 set 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 DISCLOSURENo Yes

If yes, please detail the specific grounds for exemption.