

Agenda Item No:

7

<b>Report to:</b>	Humber & North Yorkshire Integrated Care Board
<b>Date of Meeting:</b>	13 September 2023
<b>Subject:</b>	Board Assurance Framework
<b>Director Sponsor:</b>	Karina Ellis – Executive Director of Corporate Affairs
<b>Author:</b>	Mike Napier – Director of Governance & Board Secretary, and 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) and Corporate Risk escalations for discussion and approval.

#### Board Assurance Framework

- **Risk Ref A3 (23/24 financial performance)** – Following the increase in the previous impact rating from moderate (3) to serious (4), the mitigating action two (Development of a system-wide efficiency and productivity plan) has also been updated for completion by the end of September 2023.
- **Risk Ref B1 (data & digital maturity)** – Three further positive assurances and key controls added. Mitigating action reviewed and updated with one action completed.
- *Thematic analysis of Board Assurance Frameworks*  
Following previous discussion at Board an initial high-level review of 13 BAFs across system partners has been completed, with common themes set out below. More detailed analysis will be set out in future reports.

#### *Risk Themes*

- Finance
- Workforce
- Compliance/Regulatory
- Quality/Patient Safety/Patient Care
- Digital
- Transforming/improving services (including Partnership working)
- Performance Targets (constitutional & regulatory)
- Estates/infrastructure

#### Corporate Risk

The Corporate Risk Register (CRR) continues to be reviewed by executive directors and via their executive committee. They have collectively identified the following corporate risks to highlight to the Board:

- Strategic estate risk, including backlog maintenance. (Jane Hazelgrave Lead)
- Risks associated with clinical service modelling / capacity challenges across the system. (Nigel Well /Teresa Fenech / Amanda Bloor joint leads)
- Risk associated with capacity challenges with respect to legal duties to engage with public. (Anja H).

The CRR comprises Place derived out of appetite risks however the mobilisation of the new web based ICB risk solution during September – December '23 will see future versions reflect a much wider base of risks across the ICB through the inclusion of committee, collaborative and directorate sourced risks. The web tool also enables enhanced analysis and filtering of risks.

**RECOMMENDATIONS:**

Members are asked to:

- i. Approve the changes to the BAF as highlighted in the report and summarised above.
- ii. Identify any further areas of risk that impact of delivery of the ICB strategic objectives.
- iii. Note the three corporate risk items highlighted by the executive.

**ICB STRATEGIC OBJECTIVE**

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

**IMPLICATIONS**

Finance	<b>Risk A3</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 BAF. Financial implications associated with other risks would be set out on a case-by-case basis.
Quality	<b>Risks A1 and C1</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 BAF
HR	<b>Risks A4, B4 and C3</b> 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. <b>Risk C2</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, B1, B2 and B3</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 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.