



Agenda Item No:	7
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Report to:	Humber & North Yorkshire Integrated Care Board
Date of Meeting:	11 September 2024
Subject:	Board Assurance Framework
Director Sponsor:	Karina Ellis, Executive Director of Corporate Affairs
Author:	Mike Napier, Director of Governance and Board Secretary Sasha Sencier, Head of Governance and Development

STATUS OF THE REPORT:	
Approve <input checked="" type="checkbox"/>	Discuss <input checked="" type="checkbox"/> Assurance <input checked="" type="checkbox"/> Information <input type="checkbox"/> A Regulatory Requirement <input checked="" type="checkbox"/>

<p>SUMMARY OF REPORT:</p> <p>This paper presents the updated Board Assurance Framework (BAF) for September 2024. It aims to provide the ICB Board Members with assurance that the key risks, agreed by the Board, relating to the delivery of the ICB’s Strategic Objectives are being managed appropriately.</p> <p>Key areas for consideration by the Board are detailed in Section 3 of the report. The BAF can be found in full at Appendix A.</p> <p>RECOMMENDATIONS:</p> <p>Members are asked to:</p> <ul style="list-style-type: none"> • Discuss the updates • Approve the updated Board Assurance Framework. • Identify any further areas of risk that may impact on the delivery of the ICB strategic objectives.
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ICB STRATEGIC OBJECTIVE	
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Leading for Excellence	<input checked="" type="checkbox"/>
Leading for Prevention	<input checked="" type="checkbox"/>
Leading for Sustainability	<input checked="" type="checkbox"/>
Voice at the Heart	<input checked="" type="checkbox"/>

IMPLICATIONS	
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Finance	Risk C3 (2024/25 finance) 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
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	the BAF. Financial implications associated with other risks would be set out on a case-by-case basis.
Quality	Risks A1 (patient safety) and D1 (patient and public engagement) 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	C7 (workforce availability & transformation) 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.
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 (patient safety), A2 (2024/25 delivery of operational plan) and C7 (workforce availability & transformation) reference the negative impacts on health inequality/ equality if 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	C7 (workforce availability & transformation), C2 (Estates), C3 (2024/25 financial resource), C5 (medium term financial sustainability), and C6 (ICB workforce sustainability) relate specifically to risks associated with leading for sustainability.

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 is an essential part 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.

REPORT EXEMPT FROM PUBLIC DISCLOSURE

No Yes

If yes, please detail the specific grounds for exemption.

Board Assurance Framework

1.0 Purpose

- 1.1 This paper presents the updated Board Assurance Framework (BAF). It aims to provide the ICB Board Members with assurance that the key risks, agreed by the Board, relating to the delivery of the ICB's Strategic Objectives are being managed appropriately.
- 1.2 Key areas for consideration by the Board are detailed in **Section 3** of the report. The BAF can be found in full at **Appendix A**.

2.0 BAF Snapshot

- 2.1 There are currently **10** active risks listed in the BAF, down from 11 last month. This decrease is due to the consolidation of two workforce risks into a single new risk, approved by the Board in August 2024.

The risk scores remain consistent with last month's report (subject to any further updates following returns from annual leave).

The table and heat maps in **Figure 1** outline how each of the risks are aligned to the ICB strategic objectives, risk domains and risk appetite. The heatmap has been updated in accordance with the outcomes from the Board discussions in August 2024.

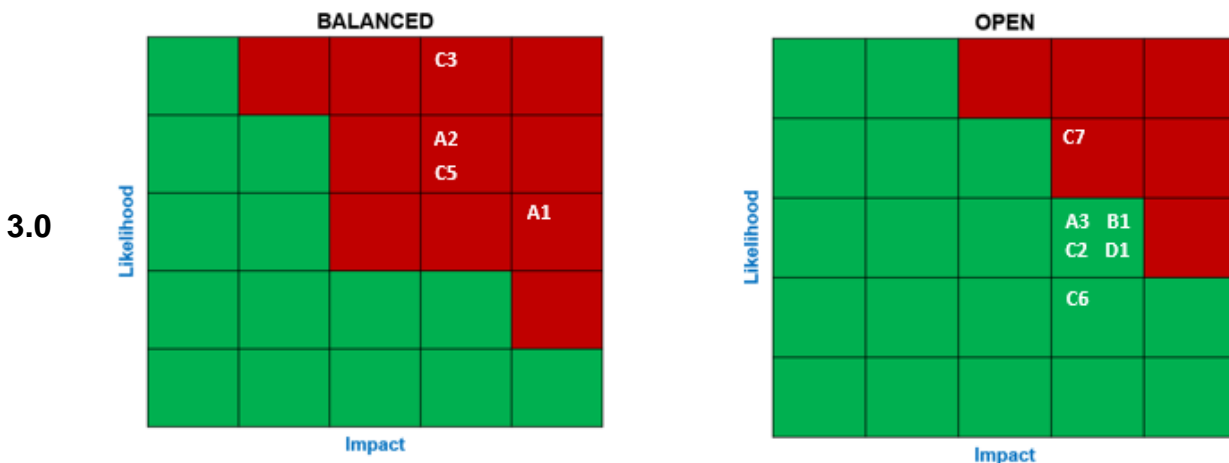


Figure 1: Heat Map (based on risk appetite)

BAF Risks: Areas for Attention of the Board

The Board has previously received updates on several high-impact risks related to quality, finance, performance, and workforce. These risks pose a significant threat to the successful delivery of our operational and financial plan. At the last Board meeting, specific actions were agreed to mitigate these risks. This report provides updates on the progress made on those actions due to be reported on, as well as other relevant updates that require attention.

While Appendix A of the BAF provides comprehensive details on key areas (highlighted in light blue), the Board's attention is drawn to the following critical updates requiring consideration:

RISK REF	RISK DESCRIPTION	FOR CONSIDERATION						
Strategic Objective A: Leading for Excellence								
A1	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.	An update has been provided on two of the mitigating actions to address gaps:						
		<table border="1"> <thead> <tr> <th>Mitigating Action</th> <th>Update</th> </tr> </thead> <tbody> <tr> <td>UEC Place Recovery Plans requested with robust Check and challenge on Place and system plans, reviewed and refined as part of UEC Summit on 31 July 2024</td> <td>COMPLETED: The UEC Summit provided a timely opportunity to review and refine the recovery plans, and they were subsequently amended to reflect the discussions at the UEC Summit. These are subject to weekly review and monitoring through the x3 Place UEC Boards</td> </tr> <tr> <td>Exec to Exec UEC site visits to take place between Aug and Oct 2024 all dates now in diary with first one taking place on 5 August 2024.</td> <td>UPDATE: Site visits have taken place for York and Scarborough. Visits scheduled for Hull, Grimsby, Scunthorpe and Harrogate later in September.</td> </tr> </tbody> </table>	Mitigating Action	Update	UEC Place Recovery Plans requested with robust Check and challenge on Place and system plans, reviewed and refined as part of UEC Summit on 31 July 2024	COMPLETED: The UEC Summit provided a timely opportunity to review and refine the recovery plans, and they were subsequently amended to reflect the discussions at the UEC Summit. These are subject to weekly review and monitoring through the x3 Place UEC Boards	Exec to Exec UEC site visits to take place between Aug and Oct 2024 all dates now in diary with first one taking place on 5 August 2024.	UPDATE: Site visits have taken place for York and Scarborough. Visits scheduled for Hull, Grimsby, Scunthorpe and Harrogate later in September.
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4.0 Recommendations

Members are asked to:

- Discuss the updates
- Approve the updated Board Assurance Framework.
- Identify any further areas of risk that may impact on the delivery of the ICB strategic objectives.

END.