

Agenda Item No:	7
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Report to:	Humber and North Yorkshire Integrated Care Board
Date of Meeting:	10 July 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). 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 and approve the updated Board Assurance Framework. Note that a review of the main risks associated with quality, performance, finance and workforce is due to take place at the Board in July 2024 and Committees will also consider any additional mitigating actions of risks aligned to them in the coming month. Updates will be presented to the Board in August 2024. Identify any further areas of risk that may impact on the delivery of the ICB strategic objectives.
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ICB STRATEGIC OBJECTIVE	
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

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 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	Risks C1 (system workforce availability) and C4 (workforce transformation) 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.
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 C4 (workforce transformation) 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	Risks C1 (system workforce availability), C2 (Estates), C3 (2024/25 financial resource), C4 (workforce transformation), 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

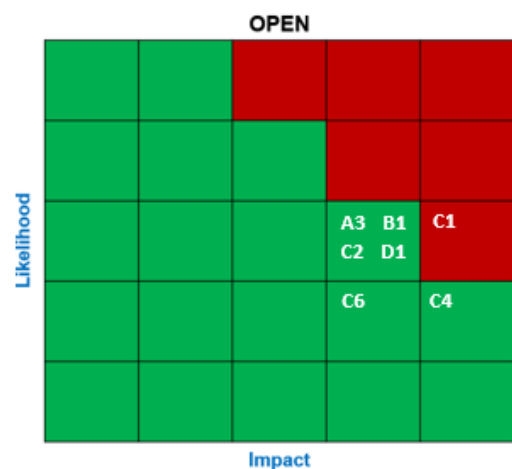
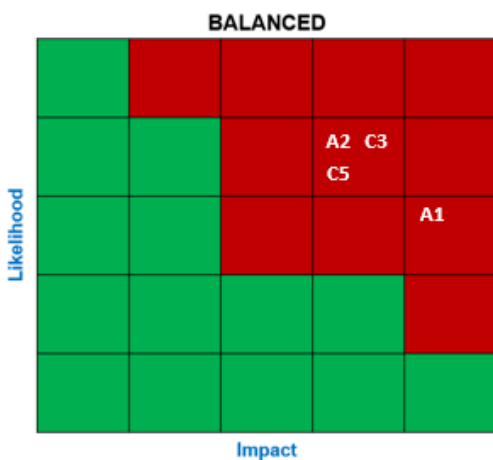
1.0 Purpose

- 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 **11 active risks** detailed on the BAF. The table and heat maps below outline how each of the risks are aligned to the ICB strategic objectives, risk domains and risk appetite:

Strategic Objective	Domain	Risk Appetite	Risks aligned to Strategic Objective		
A: Leading for Excellence	Delivery Improvement	BALANCED (8)	A1 (patient safety)		A2 (2024/25 delivery of operational plan)
	Data and Digital	OPEN (12)	A3 (data and digital maturity)		
	Empowering Collaboratives	OPEN (12)	No risks currently aligned		
B: Leading for Prevention	Population Health	OPEN (12)	B1 (partnership vision and priorities)		
	Relationship with Place	OPEN (12)	No risks currently aligned		
C: Leading for Sustainability	System workforce	OPEN (12)	C1 (system workforce availability)	C4 (workforce transformation)	C6 (ICB workforce sustainability)
	Sustainable estates	OPEN (12)	C2 (Estates)		
	Outcomes led resourcing	BALANCED (8)	C3 (2024/25 financial resource)	C5 (medium-term financial sustainability)	
D: Voice at the Heart	Transformative public engagement	OPEN (12)	D1 (patient and public engagement)		
	System voice and relationships	OPEN (12)	No risks currently aligned		



3.0 BAF Risks: Areas for Attention of the Board

The Board noted previously that further assurance for the mitigating actions regarding the current BAF risks relating to quality, finance, performance and workforce will be assessed as part of the Board's ongoing consideration of high-risk elements to the delivery of the operational and financial plan. The first of these subjects, relating to urgent and emergency care performance, is being considered at the July 2024 Board.

4.0 Recommendations

Members are asked to:

- Discuss and approve the updated Board Assurance Framework.
- Note that further mitigating actions for the current BAF risks relating to quality, finance, performance and workforce will be confirmed as part of the Board's ongoing consideration of high-risk elements to the delivery of the operational and financial plan.
- Identify any further areas of risk that may impact on the delivery of the ICB strategic objectives.

END.