



Agenda Item No:	7
-----------------	---

Report to:	Humber & North Yorkshire Integrated Care Board
Date of Meeting:	10 January 2024
Subject:	Board Assurance Framework (Including Corporate Risk Update)
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:

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. All risks identified are subject to continuous review by the principle senior risk owner as well as the Executive Committee prior to submission to the Board.

BOARD ASSURANCE FRAMEWORK

A summary of the current position is as follows:

Strategic Objective A: Managing Today

Risk Ref A1 (patient safety and positive health outcomes)

- No changes since last reported at the Board in December 2023.

Risk Ref A2 (22/23 financial performance)

- CLOSED IN JULY 2023

Risk Ref A3 (23/24 financial performance)

- No changes since last reported at the Board in December 2023.

Risk Ref A4 (workforce – system wide)

- No changes since last reported at the Board in December 2023.

Risk Ref A5 (Estates)

- No changes since last reported at the Board in December 2023.

Risk Ref A6 (Performance Standards)

- Following discussion at the ICB Board meeting in December 2023, the risk description has been revised by the Director of Planning and Performance to: *Failure to deliver the ICB Operating plan for 2023/24, and the associated 31 national objectives, may result in patients not being treated in a timely and appropriate manner.*
- Three mitigating actions are due for completion in January all of which an update is being taken to the January meeting - Monthly board oversight process (extraordinary system improvement board meeting)

- Regular reset H2 plan update to Board – starting in January 2024
- Urgent and Emergency Care (UEC) further faster plan prioritising immediate actions
- Cancer recovery plan developed through cancer system tier meetings

Strategic Objective B: Managing Tomorrow

Risk Ref B1 (Data & digital maturity)

- No changes since last reported at the Board in December 2023.

Risk Ref B2 (Relationships with all partners and stakeholders)

- Two mitigating actions have been completed and moved to positive assurance and key controls:
 - a Futures Group work plan has been developed
 - in reference to re-establishing our approach as an ICB and wider health and care partnership and their contributions to the wider determinants (anchor), the actions are now an integral part of the Place arrangements and the new deal for Place (for example, the agreement to move to joint arrangements in North East Lincolnshire)
- No changes to the risk score since last reported at the Board in December 2023.

Risk Ref B3 (Transforming services to achieve enduring improvement)

- No changes since last reported at the Board in December 2023.

Risk Ref B4 (priority workforce transformation initiatives)

- No changes since last reported at the Board in December 2023.

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)

- Following discussion at the ICB Board meeting in December 2023, a new gap has been added: *Robust Integrated Impact Assessments that are developed by skilled and knowledgeable individuals, with sufficient insight into local populations and have a true understanding of our statutory duty to involve our population in decision making, giving particular consideration to health inequalities and protected characteristics.*
- Following discussion at the ICB Board meeting in December 2023, a number of mitigating actions have been included, designed to address gaps:
 - *Level of non-pay investment to be agreed Executive Committee by the end of Q4.*
 - *Integrated Impact Assessment processes are reviewed, including the identification of training and development for colleagues' where appropriate by the end of Q4.*
- No changes to the risk score since last reported at the Board in December 2023.

Risk Ref C2 (governance processes and effective control mechanisms)

- Target date to deliver and implement all recommendations from the Q4 Audit Reports from 2022/23 has been moved from Q3 to Q4 due to some recommendations yet to be closed. These recommendations span a number of portfolio areas, and the Corporate Affairs Team (Compliance) are monitoring this.
- No changes to the risk score since last reported at the Board in December 2023.

Risk Ref C3 (workforce – internal)

- No changes since last reported at the Board in December 2023.

CORPORATE RISKS UPDATE

The Out of Appetite Corporate Risks continue to be monitored and reviewed by executive directors, via the ICB committees, directorates and local health and care partnerships. The intelligence from this process is then considered by the Executive Committee and it has collectively agreed that the Board Assurance Framework adequately accounts for the key risks to bring to the Board's attention.

RECOMMENDATIONS:

Members are asked to:

- Approve the changes to the BAF as highlighted in the report and summarised above.
- Identify any further areas of risk that impact of delivery of the ICB strategic objectives.

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	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.

REPORT EXEMPT FROM PUBLIC DISCLOSURE

No Yes

If yes, please detail the specific grounds for exemption.