

<b>Agenda Item No:</b>	<b>7</b>
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<b>Report to:</b>	<b>Humber and North Yorkshire Integrated Care Board</b>
<b>Date of Meeting:</b>	9 October 2024
<b>Subject:</b>	<b>Board Assurance Framework</b>
<b>Director Sponsor:</b>	Karina Ellis, Executive Director of Corporate Affairs
<b>Author:</b>	Mike Napier, Director of Governance and Board Secretary Sasha Sencier, Head of Governance and Development

**STATUS OF THE REPORT:**

Approve  Discuss  Assurance  Information  A Regulatory Requirement

**SUMMARY OF REPORT:**

This paper presents the updated Board Assurance Framework (BAF) for 9 October 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.

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.

**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.

**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	<b>Risk C3 (2024/25 finance)</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 (patient safety)</b> and <b>D1 (patient and public engagement)</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>C7 (workforce availability &amp; transformation)</b> 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	<b>Risks A1 (patient safety), A2 (2024/25 delivery of operational plan)</b> and <b>C7 (workforce availability &amp; transformation)</b> 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	<b>C7 (workforce availability &amp; transformation), C2 (Estates), C3 (2024/25 financial resource), C5 (medium term financial sustainability), and C6 (ICB workforce sustainability)</b> 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

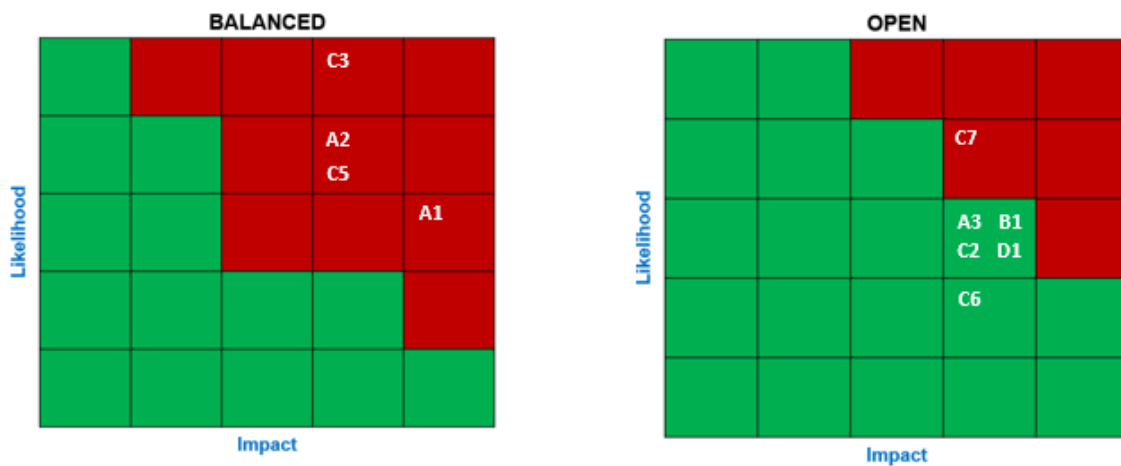
## 1.0 Purpose

- 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, which has not changed since August 2024. The risk scores remain consistent with last month's report.

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)**

## 3.0 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. 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		

<p><b>A1</b></p>	<p><b>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.</b></p>	<p>An update has been provided on two of the mitigating actions to address gaps:</p>	
		<p><b>Mitigating Action</b></p>	<p><b>Update</b></p>
		<p>UEC Clinical Leadership Summit to take place on 15 August 2024.</p>	<p>The summit took place, and several next steps have been agreed. These will form actions in the next iteration of the BAF.</p>
		<p>Refresh of governance arrangements for UEC Boards with additional weekly executive UEC Oversight meetings in place for w/c 5/8</p>	<p>Governance arrangements in the process of being further refined with greater delegated responsibility to the Collaborative of Acute Providers. A further update will be provided at the November / December Board.</p>
		<p>Exec to Exec UEC site visits to take place between August and October 2024 all dates now in diary with first one taking place on 5 August 24</p>	<p>Exec to Exec UEC site visits, in York, Scarborough, Hull, Grimsby and Scunthorpe took place between August and September 24. The Harrogate site visit is imminent and an update on this work will be provided to the Board in November 24.</p>
<p><b>A2</b></p>	<p><b>Failure to deliver the ICB Operating plan for 2024/25, and the associated 32 national objectives, may result in patients not being treated in a timely and appropriate manner.</b></p>	<p><b>Mitigating Action</b></p>	
		<p>Stepping up of focused prioritisation of UEC and Financial Plan delivery priorities with weekly governance arrangements established to ensure tighter grip and control</p>	<p>Governance arrangements in the process of being further refined with greater delegated responsibility to the Collaborative of Acute Providers. A further update will be provided at the November / December Board.</p>
		<p>Recovery plans are in place for all Places need to be delivered.</p>	<p>Recovery plans are being delivered but require close monitoring and to be augmented by additional actions for winter. A further update will be provided at the November Board.</p>
		<p>Reporting of 'monthly Deep Dive' supplementary performance reports giving real and additional insight into risk delivery areas for board scrutiny</p>	<p>Reports produced for UEC. Diagnostics and further thematic to be completed. The next update will be at the end of Q3.</p>

A3	Failure to develop data and digital maturity (including Cyber Security) will prevent the ICS from delivering against its core purposes.		
		<b>Mitigating Action</b>	<b>Update</b>
		Align digital priorities with the ICP strategy and develop an action plan to deliver	Funding to support this work was expected in April 2024 but has only recently been released therefore the target date has been pushed back to Q4. The team is working with NHSE Cyber Lead on an appendix to the ICB Digital Strategy outlining our approach to cyber.

RISK REF	RISK DESCRIPTION	FOR CONSIDERATION
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**Strategic Objective C: Leading for Sustainability**

C3	Failure to operate within the ICB and the ICSs available resources for 2024/25 will cause financial instability leading to poorer outcomes for the population; threaten individual organisation sustainability; undermine confidence in the ICB and ICS leadership; risks the system being subject to escalated oversight from regional and national processes that detract from getting on with the required responsibilities and priorities.	An update has been provided on two of the mitigating actions to address gaps:	
		<b>Mitigating Action</b>	<b>Update</b>
		System leaders acting as the authorising environment for resource decisions.	<b>COMPLETED:</b> The System Leader Forum continues to convene monthly with representation across providers and local government, providing transparency and system view on the anticipated impact of macro-level restrictions on discretionary spend.
		Systematic review of run rate and bridge analysis.	<b>COMPLETED:</b> Amendments have been made to the financial reporting to incorporate these elements.
C5	Failure to deliver a medium-term financial plan that achieves financial sustainability and recovery, leading to poorer outcomes for the population; threatens individual organisation sustainability; undermines confidence in the ICB and ICS leadership.		
		<b>Mitigating Action</b>	<b>Update</b>
		Creation of a refreshed MTFP and resource allocation methodology	<b>COMPLETED:</b> Presented at the Board Development Session on 8 October 2024

<b>C6</b>	<b>Failure to recruit and retain staff of the right calibre and with the right values will prevent the ICB organisation delivering its core purposes. Lack of effective succession planning will reduce the leadership capability of the ICB and limit the impact and effectiveness of the organisation in leading the improvement and transformation of the HNY health and care system.</b>				
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<b>Strategic Objective D: Voice at the Heart</b>								
<b>D1</b>	<b>Failure to effectively engage and deliver our legal duty to involve patients and the public in decision making and service development will prevent the ICS from providing integrated, coordinated and quality care.</b>	<p>An update has been provided on two of the mitigating actions to address gaps:</p> <table border="1"> <thead> <tr> <th><b>Mitigating Action</b></th> <th><b>Update</b></th> </tr> </thead> <tbody> <tr> <td>Working with People and Communities: Engagement Strategy, annual review undertaken, resulting in further development with a proposal to be shared with the Board</td> <td>On Board agenda re the Communications and Engagement Strategy</td> </tr> <tr> <td>Delivery of a Communications, Marketing and Engagement Strategy</td> <td>On the Board agenda re the Communications and Engagement Strategy</td> </tr> </tbody> </table>	<b>Mitigating Action</b>	<b>Update</b>	Working with People and Communities: Engagement Strategy, annual review undertaken, resulting in further development with a proposal to be shared with the Board	On Board agenda re the Communications and Engagement Strategy	Delivery of a Communications, Marketing and Engagement Strategy	On the Board agenda re the Communications and Engagement Strategy
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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.**