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| **Agenda Item No:**  | **8** |



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| **Report to:**  | Humber and North Yorkshire Integrated Care Board |
| **Date of Meeting:** | 11 December 2024 |
| **Subject:** | **Board Assurance Framework**  |
| **Director Sponsor:** | Karina Ellis, Executive Director of Corporate Affairs |
| **Author:** | Sasha Sencier, Head of Governance and Development |

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| **STATUS OF THE REPORT:** Approve [x]  Discuss [x]  Assurance [x]  Information [ ]  A Regulatory Requirement [x]  |

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| **SUMMARY OF REPORT:**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.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.
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| **ICB STRATEGIC OBJECTIVE**  |

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| Leading for Excellence |[x]
| Leading for Prevention |[x]
| Leading for Sustainability |[x]
| Voice at the Heart |[x]

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| **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 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. |

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| **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. |

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| **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. |

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| **ENGAGEMENT:** A wide variety of ICB subject matter specialists, senior officers and the ICB Board have been engaged in the development of the BAF.  |

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| **REPORT EXEMPT FROM PUBLIC DISCLOSURE** No [x]  Yes [ ]  |
| If yes, please detail the specific grounds for exemption.  |

**Board Assurance Framework**

**1.0 Purpose**

* 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.
	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.



**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:

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| **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.** | Three new mitigating actions to address gaps have been identified and included in the report:

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| **Mitigating Action** | **Action Lead** |
| Clinical Network would take a lead role in cascade and support for improvement from a clinical leadership perspective. | Executive Director of Clinical & Professional |
| Acute providers would target reducing time waiting for a clinical review and reducing time waiting for a bed by focus on criteria lead discharge, estimated date for discharge, and no criteria to reside /pathway zero patients. These actions are supported by the role out of Optica. | Executive Director of Nursing & Quality |
| National Guidance re sharing Clinical risk – implications and applications locally to be determined. | Executive Director of Nursing & Quality |

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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.** | Three new mitigating actions to address gaps have been identified and included in the report:

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| **Mitigating Action** | **Action Lead** |
| Developing and enhancing a system/organisation list of Efficiency and Productivity Opportunities | Interim Executive Director of Finance & Investment |
| All organisations working up and delivering actions to deliver improved financial results | Interim Executive Director of Finance & Investment |
| All organisations developing Recovery Plans should the year-end result not be delivered | Interim Executive Director of Finance & Investment |

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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.**