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



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| **Report to:** | Humber and North Yorkshire Integrated Care Board |
| **Date of Meeting:** | 12 March 2025 |
| **Subject:** | **Board Assurance Framework** |
| **Director Sponsor:** | Karina Ellis, Executive Director of Corporate Affairs |
| **Author:** | Sasha Sencier, Head of Governance and Compliance |

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

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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 any updates. * Approve the updated Board Assurance Framework. * Notes that the annual review of the BAF will be taken to the April Board. * 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 |  |
| Leading for Prevention |  |
| Leading for Sustainability |  |
| Voice at the Heart |  |

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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), C3a / C3b (2024/25 financial resource), C5a / C5b (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  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 **12** active risks listed in the BAF, unchanged from last month. All risks and scores remain the same.

A close-up of a list of words

Description automatically generatedA red and green squares with white text

Description automatically generatedThe 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 and Risk Table (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.

Considering the extensive updates presented to the Board in February, which included a detailed review of Risk A1, there are no specific updates for the March Board meeting. However, it is important to note that several papers address or concentrate on ongoing risk management, which could result in the identification of new information necessitating additional updates to the BAF following the Board meeting.

**4.0 ICB BAF: 2024/25 Review and Planning for 2025/26**

As part of the year-end processes, the Board will receive an annual review of the BAF for 2024/25. This review should aid in identifying necessary changes for the BAF for 2025/26. The report is scheduled to be presented to the Board in April 2025, and it is anticipated that several risks will be closed following year-end, with new ones being developed for 2025/26.

**5.0 Recommendations**

**Members are asked to:**

* + Discuss the updates.
  + Approve the updated Board Assurance Framework.
  + Notes that the annual review of the BAF will be taken to the April Board.
  + Identify any further areas of risk that may impact on the delivery of the ICB strategic objectives.

**END.**