

Agenda Item No:	8
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Report to:	Humber and North Yorkshire Integrated Care Board
Date of Meeting:	9 July 2025
Subject:	Board Assurance Framework
Director Sponsor:	Des Irving-Brown, Executive Director of Finance & Investment
Author:	Sasha Sencier, Head of Governance and Compliance
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"/>	

SUMMARY OF REPORT: This paper presents the Board Assurance Framework (BAF) risks that are aligned to the Finance, Performance and Delivery Committee. The BAF 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. The BAF was last received by the Board on 9 April 2025. Key areas for consideration are detailed in Section 3 of the report. The BAF can be found in full at Appendix B. RECOMMENDATIONS: Members are asked to: Review and discuss the risks, agreeing any updates before the Board reviews the BAF in June 2025.
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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	C3a / C3b (2024/25 financial resource) and C5a / C5b (medium term financial sustainability) 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.

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.

1.0 Purpose

- 1.1 This paper presents the Board Assurance Framework (BAF) risks that are aligned to the Finance, Performance and Delivery Committee.
- 1.2 The BAF 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. The BAF was last received by the Board on 9 April 2025.
- 1.3 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 **14** active risks listed in the BAF, 6 being aligned to the Finance, Performance and Delivery Committee.

The table and heat maps in **Figure 1** outline how each of the BAF risks are aligned to the ICB strategic objectives, risk domains and risk appetite.

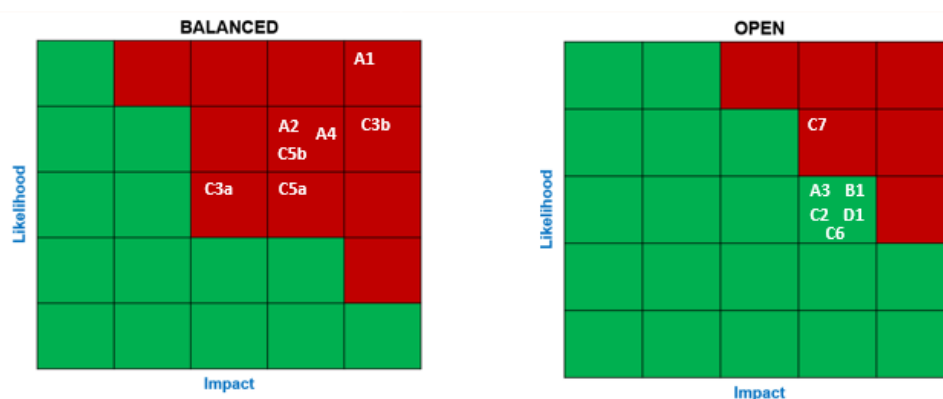


Figure 1:
Heat Map and Risk Table
(based on risk appetite)

3.0 BAF Risks: Areas for Attention

In April 2025, the Board resolved that due to the recent submission of the 2025/26 planning round for NHS England approval and national announcements, subsequent updates would be presented to the Board at the public meeting in June 2025.

Six risks related to the Finance, Performance, and Delivery Committee require review. The table below includes year-end recommendations that were reviewed by the Board in April 2025, based on the year-end analysis.

RISK REF	RISK DESCRIPTION	RECOMMENDATION FOR CONSIDERATION
Strategic Objective A: Leading for Excellence		
A2	Delivery Improvement 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.	It is advised to close this risk associated with the 2024/25 Operating Plan, and initiate a new risk focused on the updated Operating Plan for 2025/26 and any emerging priorities. Positive assurances, key controls, and any identified gaps will be developed and presented to the Board in May/June.
Strategic Objective C: Leading for Sustainability		
C2	Sustainable Estates The estates infrastructure of the ICS hinders our ability as an ICB to deliver consistently high-quality care.	The Board should assess whether this risk should stay open, considering the risk appetite has been consistently met. However, due to recent announcements and forthcoming changes, it is advisable to keep this risk open in 2025/26 for continued close monitoring in Q1.
C3a	Outcomes Led Resourcing Failure to operate within the ICBs 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 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.	It is recommended to close this risk with respect to 2024/25, and a new risk should be initiated focusing on 2025/26 and any emerging priorities. Positive assurances, key controls, and identified gaps will be developed and presented to the Board in June.

RISK REF	RISK DESCRIPTION	RECOMMENDATION FOR CONSIDERATION
Strategic Objective A: Leading for Excellence		
C3b	Outcomes Led Resourcing Failure to operate within 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 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.	It is recommended to close this risk with respect to 2024/25, and a new risk should be initiated focusing on 2025/26 and any emerging priorities. Positive assurances, key controls, and identified gaps will be developed and presented to the Board in June.
C5a	Outcomes Led Resourcing Failure to deliver a medium-term financial plan for the ICB, that achieves financial sustainability and recovery, leading to poorer outcomes for the population; threatens ICB sustainability; undermines confidence in the ICB and ICS leadership, as part of the system.	It is recommended to close this risk with respect to 2024/25, and a new risk should be initiated focusing on 2025/26 and any emerging priorities. Positive assurances, key controls, and identified gaps will be developed and presented to the Board in June.
C5b	Outcomes Led Resourcing Failure to deliver a medium-term financial plan for the system, that achieves financial sustainability and recovery, leading to poorer outcomes for the population; threatens individual organisations sustainability; undermines confidence in the ICB, ICS leadership and System leaders.	It is recommended to close this risk with respect to 2024/25, and a new risk should be initiated focusing on 2025/26 and any emerging priorities. Positive assurances, key controls, and identified gaps will be developed and presented to the Board in June.

4.0 Recommendations

Members are asked to: Review and discuss the risks, agreeing any updates before the Board reviews the BAF in June 2025.

END.