

BOB ICB BOARD MEETING

Title	Board Assurance Framework (BAF)		
Paper Date:	29 June 2023	Meeting Date:	18 July 2023
Purpose:	Assurance	Agenda Item:	10
Author:	Lynn Casey-Sturt, Governance Manager (Corporate Governance)	Exec Lead/ Senior Responsible Officer:	Catherine Mountford, Director of Governance

Executive Summary

The Board Assurance Framework (BAF) sets out the principal risks to the achievement of the ICB's strategic objectives and is a practical means through which the Board can assess controls against delivery of these. In doing so, the BAF is also a primary source of evidence in describing how the ICB is discharging its responsibilities for internal control.

The BAF further sets out the controls in place to manage these risks and the assurances available to support judgements as to whether the controls are having the desired impact. It additionally describes the actions to further reduce each risk.

This report presents the BAF (Annex 1) and the red rated risks (Annex 2) on the Corporate Risk Register (CRR) for consideration and discussion. Members' attention is drawn to the following:

- All risks, including risks scores, positive assurances, gaps in control and mitigating actions have been updated, as appropriate, with the Executive Director Leads since May reporting, and taken through the Executive Committee and Audit and Risk Committee for assurance before being submitted to ICB Board.
- All risks have been assessed against system priorities and meeting the Integrated Care System (ICS) four key aims.
 - Improving outcomes in population health and health care.
 - Tackling inequalities in outcomes, experience, and access.
 - Enhancing productivity and value for money.
 - Helping the NHS to support broader social and economic development.

The BAF is also indicative of where it sits currently in terms of its maturity within a new ICB. Directorates are currently focused on ensuring the risks escalated to the CRR reflect the current operating environment, this is still in development.

The report also provides an update on the progress made in development of a comprehensive risk management process, ensuring a joined-up approach is adopted, to enact appropriate management and oversight of risk, both locally and across the wider collaborative.

Action Required

The Board is asked to:

- **Note** the report.
- **Note** the CRR 'Red Rated Risks'.
- **Identify** any strategic gaps and propose any areas where further investigation work may support further risk modification.

Conflicts of Interest:	No conflict identified.
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Date/Name of Committee/ Meeting, Where Last Reviewed:	Executive Management Committee: 26 June 2023 Audit and Risk Committee: 27 June 2023
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BOB ICB Strategic Risks/BAF Report - BOB ICB Board in Public, 18 July 2023 - Item 10, Annex 1

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Risk Criteria
 Project ICB Board Assurance Framework (BAF)
 Risk Area BOB ICB Strategic Risks/Board Assurance Framework BAF

Very High

Reference	Risk Title and Ownership	Risk Description	Inherent Score	Residual Score	Target Score	Directorate / Governance Group / Assurances	ICS Core Objectives	Risk Area	Review Status	Risk Review Current Review Period End Date	Controls Detail	Actions Detail
1156	Risk Title: Access to Services Risk Owner: Matthew Tait Directorate Lead: Ben Gattlin Created: 17 Nov 2022	As a result of: the BOB health and care system is unable to achieve the restoration of NHS services in line with 2022/23 priorities and operational planning guidance There is the risk of: the populations of BOB will wait longer for clinical appointments and treatment Resulting in: poorer health outcomes for people across BOB	Very High (4.4=16)	Very High (4.4=16)	High (4.3=12)	Directorate: Delivery Responsible Governance Group: Population Health and Patient Experience Committee	Improve outcomes, Tackle inequality	BOB ICB Strategic Risks/Board Assurance Framework BAF	Open	15 Jul 2023	NHSE assurance and oversight processes Review at PHPE Committee System Wide Boards SOF Processes with Trusts Board Performance Reports	

High

Reference	Risk Title and Ownership	Risk Description	Inherent Score	Residual Score	Target Score	Directorate / Governance Group / Assurances	ICS Core Objectives	Risk Area	Review Status	Risk Review Current Review Period End Date	Controls Detail	Actions Detail
1154	Risk Title: Financial Sustainability Risk Owner: Matthew Metcalfe Directorate Lead: Matthew Metcalfe Created: 17 Nov 2022	As a result of: the BOB health and care system is unable to manage its expenditure There is the risk of: it will not deliver its financial plan, Resulting in: an unsustainable financial position and an increased challenge in driving improvements for patients	Very High (4.4=16)	High (4.3=12)	Medium (4.2=8)	Directorate: Finance Responsible Governance Group: System Productivity	Enhance productivity	BOB ICB Strategic Risks/Board Assurance Framework BAF	Open	15 Jul 2023	Financial reporting, all new expenditure approved by Executive Team, establishment of recovery plan, monitoring of actions by Productivity Committee	Working to achieve a financial 'break-even' position.
1155	Risk Title: Resilience Risk Owner: Matthew Tait Directorate Lead: Alexander Thompson Created: 17 Nov 2022	As a result of: the BOB health and care system lacks resilience to respond to significant incidents, events and emergencies There is the risk of: services to the population of BOB will be affected Resulting in: poorer health outcomes for people across BOB	High (4.3=12)	High (4.3=12)	Medium (4.2=8)	Directorate: Delivery Responsible Governance Group: Audit and Risk Committee	Improve outcomes, Tackle inequality, Enhance productivity	BOB ICB Strategic Risks/Board Assurance Framework BAF	Open	15 Jul 2023	NHSE EPRR Standards and Review Review through Audit Committee Production of Annual Report Robust risk and capability management in partnership with stakeholders - LRF and LHRP EPRR work programme developed against risks Internal Business Continuity Management System	
1157	Risk Title: Transformation Risk Owner: Steve McManus Directorate Lead: Catherine Mountford Created: 17 Nov 2022	As a result of: the ICB is unable to establish and lead a system-wide approach and culture of transformation There is the risk of: it will fail to achieve the four core purposes set out by NHS England. Resulting in: non-compliance of statutory requirements	Very High (4.4=16)	High (3.3=9)	Medium (3.2=6)	Directorate: Strategy and Partnerships Responsible Governance Group: System and Place Development Committee	Improve outcomes, Tackle inequality, Enhance productivity, Social and economic development	BOB ICB Strategic Risks/Board Assurance Framework BAF	Complete	15 Jul 2023	Integrated Care Strategy agreed. Joint Forward Plan in development (gap) Acute Provider Collaborative/Elective Care Programme with agreed work programme Urgent and Emergency Care system wide priorities Quarterly ICB/NHSE oversight and Trust tri-partite sessions Developing Suite of BOB system strategies (gap)	Further development of provider collaboratives and delegation of some agreed functions Development of Place moving to agreed level of delegated resources with LA Partner e.g., Health Inequalities Developing system Q1 approach, Whole system education even in June.
1158	Risk Title: Quality and Safety Risk Owner: Rachael Corser Directorate Lead: Rachael Corser Created: 17 Nov 2022	As a result of: the ICB does not have the correct quality assurance mechanisms in place There is the risk of: it may fail to maintain or improve the quality and safety of patient services Resulting in: poor patient care and experience and potential harm	Very High (4.4=16)	High (4.3=12)	Medium (4.2=8)	Directorate: Nursing Responsible Governance Group: Population Health and Patient Experience Committee	Improve outcomes, Tackle inequality	BOB ICB Strategic Risks/Board Assurance Framework BAF	Open	15 Jul 2023	a) Additional interim support in place b) Restructure proposal of team to support strengthening oversight underway c) Aligning of quality processes across Place d) System wide quality workshop undertaken e) New quality group in place to support oversight of internal quality processes	a) Redesign of monthly quality Dashboard - April 2023 b) Development of quarterly thematic reports - May 2023 c) Restructure consultation outcome implementation commences - March 2023 d) Quality Assurance framework developed - First draft March 2023 e) Quality Strategy developed - May 2023
1159	Risk Title: Working in Partnership Risk Owner: Matthew Tait Directorate Lead: Matthew Tait Created: 17 Nov 2022	As a result of: BOB does not develop effective partnerships across place, system and beyond There is the risk of: it will be unable to respond to the needs of patients and public across BOB Resulting in: lost opportunities to deliver the right care at the right place and at the right time to address the full range of people's needs	High (4.3=12)	High (4.3=12)	Medium (4.2=8)	Directorate: Delivery Responsible Governance Group: System and Place Development Committee	Social and economic development	BOB ICB Strategic Risks/Board Assurance Framework BAF	Open	15 Jul 2023	NHSE assurance and oversight Review at SPD Committee SOF Processes with Trusts Board Performance Reports	
1160	Risk Title: Workforce Risk Owner: Karen Beech Directorate Lead:	As a result of: the BOB health and care system is unable to attract and retain a suitably qualified workforce There is the risk of: this will result in missed opportunities to deliver	High (3.3=9)	High (3.3=9)	Medium (3.2=6)	Directorate: People Responsible Governance Group: People	Improve outcomes, Tackle inequality, Enhance productivity	BOB ICB Strategic Risks/Board Assurance Framework BAF	Open	15 Jul 2023	System projects to be put in place to support our most challenged workforce	System projects to be put in place to support our most challenged

Jordan Archer Created: 17 Nov 2022

services and/or work on the improvement agenda across the system Resulting in: poorer outcomes, and failure in achieving the four core purposes set out by NHS England



Committee

1. Collaborative absence management workforce
 2. Collaborative health and care recruitment
 3. Managing our agency and bank temporary staffing
 4. Collaborative staff turnover
- These projects are set out in our Joint Forward Plan and People Strategy

Medium												
Reference	Risk Title and Ownership	Risk Description	Inherent Score	Residual Score	Target Score	Directorate / Governance Group / Assurances	ICS Core Objectives	Risk Area	Risk Review		Controls Detail	Actions Detail
									Review Status	Current Review Period End Date		
1153	Risk Title: Health Inequalities Risk Owner: Rachael Decaux Directorate Lead: Steve Goldensmith Created: 17 Nov 2022	As a result of: the ICB is unable to integrate and lead effectively with its system partners in relation to improving health outcomes and reducing health inequalities There is the risk of: the population of BOB will continue to experience inequalities and suboptimal outcomes and experience. Resulting in: poor outcomes and failure to support broader social and economic development	High (3-4-12)	Medium (4-2-8)	Medium (2.3-6)	Directorate: Medical Responsible Governance Group: Population Health and Patient Experience Committee	Improve outcomes, Tackle inequality	BOB ICB Strategic Risks/Board Assurance Framework BAF	Open	15 Jul 2023	The putting in place of agreed priorities to tackle health inequalities through Place and clinical programmes	Place developing plans for use of H1 funding development of systematic approach to completion and reporting on Health Inequality Impact Assessments

Corporate Risk Register - Red Rated - BOB ICB Board in Public, 18 July 2023 - Item 10, Annex 2



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Risk Criteria		Project Risk Registers																		
		Risk Area BOB Corporate Risk Register																		
Very High																				
Reference	Risk Area	Risk Title and Ownership	Risk Description	Inherent Score	Residual Score	Target Score	Directorate / Governance Group	ICS Core Objectives	Location	ICS Risk	Review Status	Risk Review Current Review Period End Date	Controls Detail	Closed	Actions Detail	Closed	Flagged for Escalation			
1080	BOB Corporate Risk Register	Risk Title: Safeguarding Risk Owner: Rachael Corser Created: 20 Sep 2022	As a result of: legislation compliance under the Mental Capacity Act, Human Rights Act, CHC framework and Care Act. There is the risk of: The ICB being non-compliant in providing a robust assurance and governance process. Resulting in: non delivery of our statutory obligations and upholding patient human rights	Very High (4.4-1A)	Very High (4.4-1A)	High (3.4-12)	Directorate: Nursing Responsible Governance Group: Quality, Safeguarding	Tackle inequality	BOB Wide	No	Missed Open	15 Mar 2023 14 Jul 2023	To put in place a controlled and aligned process to support the commissioned services in place across BU, OX and BW and the wider collaborative Assurance programmes, maturity assessment frameworks Multi-Agency Audits		Deputy designate adult safeguarding (MCA/DOLS) to be recruited		No			
1050	BOB Corporate Risk Register	Risk Title: Quality of Care - Children in Care Risk Owner: Rachael Corser Created: 15 Sep 2022	As a result of: the current compliance with Initial Health Assessments, Review Health Assessments and Health Summaries for Looked After Children (including those with neurodevelopmental conditions). There is the risk of: a failure to meet the requirement for initial assessment to be made within 20 days b, placement of children across geographical boundaries Mental Health c. Meeting the National Eating Disorder Standards d. Increased demand across children's MH Services nationally due to the pandemic Resulting in: services not being able to deliver the care required; and the ICB not delivering on the requirement to improve outcomes in population health and health care and support broader economic development	Very High (4.4-1A)	Very High (4.4-1A)	High (3.4-12)	Directorate: Nursing Responsible Governance Group: Quality, Continuing Healthcare/ All Age Continuing Care (AACCC/ CHC)	Improve outcomes	BOB Wide	No	Missed Open	15 Mar 2023 14 Jul 2023	Risk assessment to be made at the point of the child becoming a child in care Joint working (health, local authorities and voluntary sector) to promote resilience and improve on early interventions A review of services to be taken through CAMHS working group		Working group set up to review controls - first meeting beginning July		No			
1217	BOB Corporate Risk Register	Risk Title: Provider Workforce Management Risk Owner: Rachael Corser Created: 19 Dec 2022	As a result of: staffing challenges across a variety of AIC bands, within our Provider organisations (collaborative) There is the risk of: that due to low staffing levels, there is increased reliability on bank and agency staff Resulting in: a risk to the continuity of patient care and financial sustainability	Very High (4.4-1A)	Very High (4.4-1A)	Medium (3.2-6)	Directorate: Nursing Responsible Governance Group: Quality	Improve outcomes, Enhance productivity	BOB Wide	No	Missed Open	15 Mar 2023 14 Apr 2023	Monthly monitoring of key performance indicators, including: Turnover/sickness/agency spend		Regular Deep Dive reviews upon identification of significant risk areas. An ICP Workforce metric in plan: create a sustainable workforce that supports new ways of working.		No			
1053	BOB Corporate Risk Register	Risk Title: Financial Sustainability (in year) Risk Owner: Matthew Metcalfe Created: 15 Sep 2022	As a result of: Demand is higher than plan and/or non-delivery of planned savings. There is the risk of: (1) non-delivery of financial duties and resulting intervention regimes (2) long term sustainability (3) inability therefore to tackle inequalities Resulting in: which may result in not meeting statutory targets / obligations resulting in non compliance and the inability to provide a financially sustainable and affordable healthcare system in BOB	Very High (4.4-1A)	Very High (4.4-1A)	High (3.4-12)	Directorate: Finance Responsible Governance Group: System Productivity	Enhance productivity	BOB Wide	Yes	Missed Open	15 Mar 2023 14 Jul 2023	Work being carried out with ICS partners on wider system recovery in year and subsequent years Balanced plan submitted for ICB May 2023 as part of overall ICS deficit plan agreed with NHS E ICS Efficiency Collaboration Group (IECG) established to drive a financially sustainable position for the BOB ICS across a 5 year horizon Good in year budgetary control by budget holders supported by Finance team and adequate reporting Particular focus on areas of budget pressure for ICB - prescribing and CHC		IECG to oversee collation of ICS efficiency portfolio IECG to facilitate identification and development of ICS efficiency opportunities and to maintain a pipeline tracker IECG to report bi monthly to SPC on development and delivery status Regular reporting to SPC of ICB and system financial position and risks Ensure all budget holders are clearly identified, receive regular reports and take action to address variances and risks		No			
1055	BOB Corporate Risk Register	Risk Title: Financial Sustainability (Long Term) Risk Owner: Matthew Metcalfe Created: 15 Sep 2022	As a result of: Insufficient funding to meet all demands in the medium to long term and lack of achievable savings plans for the system for the next 5 years. There is the risk of: Some/all organisations in the BOB ICS not achieving their financial targets and therefore the system not achieving its target. Resulting in: Intervention and special measures from NHS E	Very High (4.4-1A)	Very High (4.4-1A)	High (3.4-12)	Directorate: Finance Responsible Governance Group: System Productivity	Enhance productivity	BOB Wide	Yes	Missed Open	15 Mar 2023 14 Jul 2023	The ICBs financial plans for 2023/24 to be worked through and agreed with NHS England (Dec 2022) The ICB is being closely monitored by NHS England System CFO group considering longer term financial sustainability and actions required ICS Efficiencies Collaborative Group (IECG) established and work commenced - funding agreed by SPC March 2023 and SRO appointed May 2023	09 Jun 2023	A return to a form of pre-pandemic framework has been announced for 2022-23 and this could potentially create a significant financial gap for the ICB in the coming period(s). The details of this potential gap are currently being worked through with ICS partners. The BOB CCGs will work closely together to develop a recovery plan for the ICB and with other ICS Partners on wider system recovery	09 Jun 2023	No			
															2023-24 financial plan submitted and agreed with NHS E System CFO group to agree approach to longer term financial sustainability and for pipeline of Savings plans via IECG group IECG to oversee collection of ICS efficiency portfolio for next 5 years	09 Jun 2023				

High																	
Reference	Risk Area	Risk Title and Ownership	Risk Description	Inherent Score	Residual Score	Target Score	Directorate / Governance Group	ICS Core Objectives	Location	ICS Risk	Review Status	Risk Review Current Review Period End Date	Controls Detail	Closed	Actions Detail	Closed	Flagged for Escalation
1059	BOB Corporate Risk Register	Risk Title: Cybersecurity (Primary Care) Risk Owner: Ross Fullerton Created: 15 Sep 2022	As a result of poor cybersecurity and identified vulnerabilities within Primary Care There is the risk of that GP Practices will be at risk of a cyber attack, due to lack of data security controls Resulting in a breach of shared network infrastructure, data loss and business continuity, reputational and regulatory damage	Very High (4.4-16)	High (4.3-17)	High (3.3-9)	Directorate: IT & Digital Transformation Responsible Governance Group: Audit and Risk Committee	Tackle inequality	BOB Wide	No	Missed Open	15 Mar 2023 14 Apr 2023	Vulnerabilities across the BOB geography have been identified and action plans developed				No
1430	BOB Corporate Risk Register	Risk Title: Human & Animal Disease - pandemics Risk Owner: Alexander Thompson Created: 23 Feb 2023	As a result of communicable disease outbreaks escalating to pandemics There is the risk of significant disruption to NHS service delivery and significant surge in demand of NHS services Resulting in: poor outcomes to patients	Very High (5.3-15)	High (4.3-12)	High (4.3-12)	Directorate: EPRR Responsible Governance Group: EPRR	Improve outcomes	BOB Wide	Yes	Missed Open	15 Mar 2023 14 May 2023	EPRR Core Standards annual assurance process - ensuring compliance within the ICB and across the ICS for all NHS providers. ICB participation in Local Resilience Forum structures, including multi-agency risk assessment. Multi-agency Local Resilience Forum and Local Health Resilience Partnership planning, including specific planning for pandemics.		ICB engagement in leading the LRF Pandemic workstream. Work with UKHSA to review and adopt a regional communicable disease incident and outbreak response SOP which supports first steps to pandemic pathway.		No
1434	BOB Corporate Risk Register	Risk Title: Environmental Hazards Risk Owner: Alexander Thompson Created: 23 Feb 2023	As a result of environmental hazards resulting in disasters There is the risk of disruption to the delivery of NHS services and surge in demand for NHS services Resulting in: poor outcomes for patients	Very High (4.6-16)	High (4.4-19)	Medium (3.4-9)	Directorate: EPRR Responsible Governance Group: EPRR	Improve outcomes	BOB Wide	Yes	Missed Open	15 Mar 2023 14 Jul 2023	EPRR Core Standards annual assurance process - ensuring compliance within the ICB and across the ICS for all NHS providers. ICB participation in Local Resilience Forum structures, including multi-agency risk assessment. Multi-agency Local Resilience Forum and Local Health Resilience Partnership planning, including specific planning for a range of hazard-induced disasters such as flooding and severe weather.		Developing a work stream within LHRP strategy to focus on climate change modulation to environmental hazards (and others) to target mitigation and preparedness activity.		No
1439	BOB Corporate Risk Register	Risk Title: Malignant Attacks Risk Owner: Alexander Thompson Created: 23 Feb 2023	As a result of malicious attacks There is the risk of disruption to and surge in demand for NHS services Resulting in: poor outcomes for our population	Very High (5.3-15)	High (4.3-17)	High (3.3-9)	Directorate: EPRR Responsible Governance Group: EPRR	Improve outcomes	BOB Wide	Yes	Missed Open	15 Mar 2023 14 May 2023	EPRR Core Standards annual assurance process - ensuring compliance within the ICB and across the ICS for all NHS providers. ICB participation in Local Resilience Forum structures, including multi-agency risk assessment. Multi-agency Local Resilience Forum and Local Health Resilience Partnership planning, including specific planning for deliberate release of chemical, biological, radiological and nuclear substances; mass casualties; and mass fatalities.				No