

BOB ICB BOARD MEETING

Title	Board Assurance Framework (BAF)		
Paper Date:	7 September 2023	Meeting Date:	19 September 2023
Purpose:	Assurance	Agenda Item:	13
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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 applied to support judgements as to whether the controls are having the desired impact. It additionally describes the actions to further reduce each risk, whilst providing assurance that organisational risk reviews have been carried out.

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:

- Additional measures to encapsulate emerging events or threats that could impact on business in terms of prevalence based on the following considerations, will be factored into the organisations overarching strategic risks as well operational risk.
 - Societal and community; Governance; Economic and financial; People Resources; Policy and Regulation; Environmental; Technological; Commercial.
- An approach to further develop a cross-directorate approach to risk management and to support the delivery of system priorities across its organisational boundaries has been developed; supported by internal risk management processes and procedures and the further development of the ICBs risk management portal (4Risk).
- **BAF:** Risk 1154 (Financial Sustainability) has been amended to reflect the current financial position, and to reflect the financial challenges of an ICB in the current climate.
- All risks, including risks scores, positive assurances and assurance values, gaps in control and mitigating actions have been updated, as appropriate, with the Executive Director Leads since July 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 BOB Integrated Care Board (ICB) 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 and CRR is indicative of where the ICB sits currently in terms of its maturity and will continue to evolve as the ICBs individual and shared risks across the wider collaborative (ICS), manifest themselves.

Directorates are currently focused on ensuring a joined-up approach is adopted, to enact appropriate management and oversight of risk, both locally and across the wider collaborative; and to take forward system risk management principles to self-assess its partnership governance arrangements to work alongside, and complement, organisational risk management.

This will add value, with a focus on collective identification, assessment and mitigation of risks related to the achievement of shared outcomes across system partners.

Action Required

The Board is asked to:

- **Note** the report.
- **Note** the BAF and 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

Date/Name of Committee/ Meeting, Where Last Reviewed:

Executive Management Committee: 11 September 2023;
Audit and Risk Committee: 22 August 2023

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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	BOB ICB Core Objectives	Risk Review		Detail	Controls			Actions	
								Review Status	Current Review Period End Date		Closed	Score	Score Text	Detail	Closed
1154	Risk Title: Financial Sustainability Risk Owner: Matthew Metcalfe Directorate Lead: Jenny Simpson Created: 17 Nov 2022	If: the BOB Integrated Care System is unable to manage its expenditure within its available resource Then: it will not deliver its financial plan and financial targets Resulting in: reputational damage and inability to deliver high quality services for patients	Very High	Very High	High	Directorate: Finance Responsible Governance Group: System Productivity	Improve outcomes, Tackle inequality, Enhance productivity, Social and economic development	Open	29 Sep 2023	NHSE financial controls implemented across all organisations within the system. All new expenditure by ICB overseen by Executive Team, establishment of recovery plan, monitoring of actions by System Productivity Committee. ICS Efficiencies Collaborative Group established and work in progress	0.5	Adequate	In-year financial recovery plans being developed for discussion with NHSE. IECG to add additional focus to short term delivery in light of current financial pressures		
1156	Risk Title: Access to Services Risk Owner: Matthew Tait Directorate Lead: Ben Gattlin Created: 17 Nov 2022	If: the BOB health and care system is unable to achieve the restoration of NHS services in line with 2023/24 priorities and operational planning guidance Then: the populations of BOB will wait longer for clinical appointments and treatment Resulting in: poorer health outcomes for people across BOB	Very High	Very High	High	Directorate: Delivery Responsible Governance Group: Population Health and Patient Experience Committee	Improve outcomes, Tackle inequality	Open	15 Aug 2023	NHSE assurance and oversight processes Review at PHPE Committee System Wide Boards SOF Processes with Trusts Board Performance Reports			Additional UEC recovery plans requested for BHT & OUH Revised trajectories for waiting lists requested from all 3 Trusts		

High

Reference	Risk Title and Ownership	Risk Description	Inherent Score	Residual Score	Target Score	Directorate / Governance Group / Assurances	BOB ICB Core Objectives	Risk Review		Detail	Controls			Actions	
								Review Status	Current Review Period End Date		Closed	Score	Score Text	Detail	Closed
1155	Risk Title: Resilience Risk Owner: Matthew Tait Directorate Lead: Alexander Thompson Created: 17 Nov 2022	If: the BOB health and care system lacks resilience to respond to significant incidents, events and emergencies Then: services to the population of BOB will be affected Resulting in: poorer health outcomes for people across BOB	High	High	Medium	Directorate: Delivery Responsible Governance Group: Audit and Risk Committee	Improve outcomes, Tackle inequality, Enhance productivity	Open	15 Aug 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: Catherine Mounford Directorate Lead: Catherine Mounford Created: 17 Nov 2022	If: the ICB is unable to establish and lead a system-wide approach and culture of transformation Then: it will fail to achieve the four core purposes set out by NHS England. Resulting in: non-compliance of statutory requirements	Very High	High (3.3=9)	Medium	Directorate: Strategy and Partnerships Responsible Governance Group: System and Place Development Committee	Improve outcomes, Tackle inequality, Enhance productivity, Social and economic development	Open	01 Sep 2023	Integrated Care Strategy agreed. Joint Forward Plan agreed 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)	1	Substantial	Further development of provider collaboratives and delegation of some agreed functions		
1159	Risk Title: Working in Partnership Risk Owner: Matthew Tait Directorate Lead: Matthew Tait Created: 17 Nov 2022	If: BOB does not develop effective partnerships across place, system and beyond Then: 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	High	Medium	Directorate: Delivery Responsible Governance Group: System and Place Development Committee	Social and economic development	Open	15 Aug 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: Dailshad Cunanan Created: 17 Nov 2022	If: the BOB health and care system is unable to attract and retain a suitably qualified workforce Then: this will result in missed opportunities to deliver 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	High (3.3=9)	High (3.3=9)	Medium	Directorate: People Responsible Governance Group: People Committee	Improve outcomes, Tackle inequality, Enhance productivity	Open	22 Sep 2023	System projects to be put in place to support our most challenged workforce 1. Collaborative absence management 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			System projects to be put in place to support our most challenged workforce		

Medium

Reference	Risk Title and Ownership	Risk Description	Inherent Score	Residual Score	Target Score	Directorate / Governance Group / Assurances	BOB ICB Core Objectives	Risk Review		Detail	Controls			Actions	
								Review Status	Current Review Period End Date		Closed	Score	Score Text	Detail	Closed
1153	Risk Title: Health Inequalities Risk Owner: Rachael Decaux Directorate Lead: Steve Goldensmith Created: 17 Nov 2022	If: the ICB is unable to integrate and lead effectively with its system partners in relation to improving health outcomes and reducing health inequalities Then: 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 (3.3=9)	Medium	Medium	Directorate: Medical Responsible Governance Group: Population Health and Patient Experience Committee	Improve outcomes, Tackle inequality	Open	15 Aug 2023	The putting in place of agreed priorities to tackle health inequalities through Place and clinical programmes	0.5	Adequate	Place developing plans for use of H1 funding development of systematic approach to completion and reporting on Health Inequality Impact Assessments		
1158	Risk Title: Quality and Safety Risk Owner: Rachael Corser Directorate Lead: Rachael Corser Created: 17 Nov 2022	If: the ICB does not have the correct quality assurance mechanisms in place Then: 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	Medium	Medium	Directorate: Nursing Responsible Governance Group: Population Health and Patient Experience Committee	Improve outcomes, Tackle inequality	Open	07 Sep 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	0.5	Adequate	a) Redesign of monthly quality Dashboard - April 2023 - 1st draft completed b) Development of quarterly thematic reports - May 2023 - now in place c) Restructure consultation outcome implementation commences - March 2023 - restructure completed d) Quality Assurance framework developed - First draft March 2023 - approved July 23 e) Quality Strategy developed - May 2023		

Corporate Risk Register - (CRR) - Red Rated Risks

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Risk Criteria

Project Risk Registers

Risk Area BOB Corporate Risk Register

Very High

Reference	Risk Title and Ownership	Risk Description	Inherent Score	Residual Score	Target Score	Directorate / Governance Group / Assurances	BOB ICB Core Objectives	Location	ICS Risk	Risk Review		Detail	Controls			Actions		Flagged for 'Deep Dive'	
										Review Status	Current Review Period End Date		Closed	Score	Score Text	Detail	Closed		
1053	Risk Title: Financial Sustainability (In year) Risk Owner: Matthew Metcalfe Directorate Lead: Jenny Simpson 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	Very	High	Directorate: Finance Responsible Governance Group: System Productivity	Enhance productivity	BOB Wide	Yes	Missed	15 Mar 2023	Work being carried out with ICS partners on wider system recovery in year and subsequent years			0.25	Adequate	IECG to oversee collation of ICS efficiency portfolio		No
									Open	30 Sep 2023	Balanced plan submitted for ICB May 2023 as part of overall ICS deficit plan agreed with NHS E.			0.5	Adequate	IECG to facilitate identification and development of ICS efficiency opportunities and to maintain a pipeline tracker			
											ICS Efficiency Collaboration Group (IECG) established to drive a financially sustainable position for the BOB ICS across a 5 year horizon. Immediate focus on short term delivery required due to financial pressures.			0.67	Adequate	IECG to report bi monthly to SPC on development and delivery status			
											Good in year budgetary control by budget holders supported by Finance team and adequate reporting			0.5	Adequate	Regular reporting to SPC of ICB and system financial position and risks			
											Particular focus on areas of budget pressure for ICB - prescribing and CHC. Med Man Team focussed on saving plans and delivery. Reviewing NHSE Medicine Optimisation guidance for additional initiatives CHC: Action plan has had delayed implementation. Two organisations now appointed to deliver reviews.			0.5	Adequate	Ensure all budget holders are clearly identified, receive regular reports and take action to address variances and risks			
											Implementation on financial controls regime for systems in deficit - including vacancy control panel and controls on discretionary expenditure.			0.5	Adequate	In relation to 1865: MM Team to extend and accelerate savings plans and using NHSE guidance.			
																In relation to 1865: CHC action plan to be accelerated to deliver savings in year and develop reporting methodology to monitor savings achieved			
																In relation to 2142: ensure all required controls in place and functioning effectively			

1055	Risk Title: Financial Sustainability (Long Term) Risk Owner: Matthew Metcalfe Directorate Lead: Jenny Simpson 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	Very	High	Directorate: Finance Responsible Governance Group: System Productivity	Enhance productivity	BOB Wide	Yes	Missed	15 Mar 2023	The ICBs financial plans for 2023/24 to be worked through and agreed with NHS England (Dec 2022)	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).	09 Jun 2023	No
									Open	30 Sep 2023	The ICB is being closely monitored by NHS England			1	Substantial				
											System CFO group considering longer term financial sustainability and actions required			0	Limited	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		
											ICS Efficiencies Collaborative Group (IECG) established and work commenced - funding agreed by SPC March 2023 and SRO appointed May 2023			1	Substantial				
																2023-24 financial plan submitted and agreed with NHS E	09 Jun 2023		
																System CFO group to agree approach to longer term financial sustainability and for pipeline of Savings plans via IECG group			
																IEGG to oversee collection of ICS efficiency portfolio for next 5 years			

High

Reference	Risk Title and Ownership	Risk Description	Inherent Score	Residual Score	Target Score	Directorate / Governance Group / Assurances	BOB ICB Core Objectives	Location	ICS Risk	Risk Review		Detail	Controls			Actions		Flagged for 'Deep Dive'
										Review Status	Current Review Period End Date		Closed	Score	Score Text	Detail	Closed	
1059	Risk Title: Cybersecurity (Primary Care) Risk Owner: Ross Fullerton Directorate Lead: 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	High	Directorate: IT & Digital Transformation Responsible Governance Group: Audit and Risk Committee	Tackle inequality	BOB Wide	No	Missed	15 Mar 2023	Vulnerabilities across the BOB geography have been identified and action plans developed						No
									Open	14 Aug 2023								

1430	Risk Title: Human & Animal Disease - pandemics Risk Owner: Alexander Thompson Directorate Lead: 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	High	Directorate: EPRR Responsible Governance Group: EPRR	Improve outcomes	BOB Wide	Yes	Missed	15 Mar 2023	EPRR Core Standards annual assurance process - ensuring compliance within the ICB and across the ICS for all NHS providers.	1	Substantial	ICB engagement in leading the LRF Pandemic workstream.		No	
									Complete	14 Aug 2023	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.							
																Work with UKHSA to review and adopt a regional communicable disease incident and outbreak response SOP which supports first steps to pandemic pathway.		

1434	Risk Title: Environmental Hazards Risk Owner: Alexander Thompson Directorate Lead: 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	Medium	Directorate: EPRR Responsible Governance Group: EPRR	Improve outcomes	BOB Wide	Yes	Missed	15 Mar 2023	EPRR Core Standards annual assurance process - ensuring compliance within the ICB and across the ICS for all NHS providers.	1	Substantial	Developing a work stream within LHRP strategy to focus on climate change modulation to environmental hazards (and others) to target mitigation and preparedness activity.	31 Jul 2023	No
									Complete	14 Aug 2023	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.						

1439	Risk Title: Malicious Attacks Risk Owner: Alexander Thompson Directorate Lead: 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	High	Directorate: EPRR Responsible Governance Group: EPRR	Improve outcomes	BOB Wide	Yes	Missed	15 Mar 2023	EPRR Core Standards annual assurance process - ensuring compliance within the ICB and across the ICS for all NHS providers.	1	Substantial			No
									Complete	14 Aug 2023	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.						