

## BOARD MEETING

<b>Title</b>	Board Assurance Framework (BAF)		
<b>Paper Date:</b>	7 March 2024	<b>Meeting Date:</b>	19 March 2024
<b>Purpose:</b>	Assurance	<b>Agenda Item:</b>	15
<b>Author:</b>	Lynn Casey-Sturt, Governance Manager (Corporate Governance)	<b>Exec Lead/ Senior Responsible Officer:</b>	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 (Appendix 1) comprises eight strategic risks as defined by the Board and sets out the controls BOB has 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 reduce/mitigate each risk, whilst providing assurance that organisational risk reviews have been carried out.

### BAF (Risk Score Map Report – Red Rated Risks) – High Level Review

The Board is notified of those risks which retain a residual score/rating of ≥ 15 RED; these are currently risks related to: Financial Sustainability and Access to Services, and shows that there has been no residual movement (Sep 2023 – Feb 2024)

BOB ICB Strategic Risks/Board Assurance Framework (BAF)												
Prefix	Risk Title	Aggregated Control Score	Inherent Score	Residual Score	Target Score	Residual Direction of Travel	Residual	Residual	Residual	Residual	Residual	Residual
							02/24	01/24	12/23	11/23	10/23	09/23
BOB0002	Risk Title: Financial Sustainability Risk Owner: Matthew Metcalfe Directorate Lead: Jenny Simpson	Adequate	Very High	Very High	High (12)	↔	Very High (16)	Very High (16)	Very High (16)	Very High (16)	Very High (16)	Very High (16)
BOB0004	Risk Title: Access to Services Risk Owner: Matthew Tait Directorate Lead: Ben Gattlin	Substantial	Very High	Very High	High (12)	↔	Very High (16)	Very High (16)	Very High (16)	Very High (16)	Very High (16)	Very High (16)

To support Board assurance, the Audit and Risk Committee has oversight of the full BAF and CRR generic heat map report which monitors residual movement across all risks. This supports identification of any risk(s) requiring a ‘deep dive’ or intervention.

### CRR

The Corporate Risk Register (CRR) is the mechanism to manage high level risks facing the organisation from a strategic, clinical, and business risk perspective, and comprises operational risks arising from the ICBs day-to-day activities.

The Board is notified of those risks on the CRR which retain a residual score/rating of ≥ 15 RED; these are currently risks related to: Financial Sustainability (in-year) and Financial Sustainability (long-term) and shows there has been no residual movement (Sept 2023 – Feb 2024). A new

risk has been identified in relation to All Age Continuing Care (AACC) Funded Nursing Care, with an Inherent and Residual Score of 20.

BOB Corporate Risk Register (CRR)												
Prefix	Risk Title	Aggregated Control Score	Inherent Score	Residual Score	Target Score	Residual Direction of Travel	Residual	Residual	Residual	Residual	Residual	Residual
							02/24	01/24	12/23	11/23	10/23	09/23
CHC0009	Risk Title: AACC Funded Nursing Care Risk Owner: Niki Cartwright Directorate Lead: Liz Hodgkinson	Limited	Very High	Very High	Medium (6)	↔	Very High (20)					
SP0001	Risk Title: Financial Sustainability (in year) Risk Owner: Matthew Metcalfe Directorate Lead: Jenny Simpson	Adequate	Very High	Very High	High (12)	↔	Very High (16)	Very High (16)	Very High (16)	Very High (16)	Very High (16)	Very High (16)
SP0002	Risk Title: Financial Sustainability (Long Term) Risk Owner: Matthew Metcalfe Directorate Lead: Jenny Simpson	Limited	Very High	Very High	High (12)	↔	Very High (16)	Very High (16)	Very High (16)	Very High (16)	Very High (16)	Very High (16)

### Audit and Risk Committee (ARC) - Feedback

The Committee, as part of its internal review process, systematically reviews all updates provided in relation to risk management, acknowledging and seeking assurance of the controls and assurances the ICB has put in place. For Board awareness the following has been provided and discussed at ARC which is supported by the Audit Chairs report:

- Risk Management Deep Dive Standard Operating Procedure (SOP), to assist in the embedding of new ways of working across the organisation.
- Concerns in relation to risk around financial sustainability, and the requirement to tighten internal controls and regular monitoring.
- The reporting of new/emerging risks to provide visibility and assurance around current and future processes and procedures.
- The embedding of risk reports to all committees of the Board

### Next Steps – Board Development Session (Risk Appetite)

This will be facilitated by our internal auditors (RSM) on 19 March 2024. In preparation, BOB ICB has been working with RSM to finalise the content so that it will bring together all the necessary perspectives for developing a forward-looking risk appetite that is useful for strategic decision-making.

### Action Required

The Board is asked to:

- **Note** the report.
- **Note** the BAF (Appendix 1) and CRR ‘Red Rated Risks’ detailed in this report

<b>Conflicts of Interest:</b>	No conflict identified
-------------------------------	------------------------

<b>Date/Name of Committee/ Meeting, Where Last Reviewed:</b>	Executive Management Committee: 8 January 2024 Audit and Risk Committee: 27 February 2024
--	--

Generated Date														07-Mar-24	
Risk Criteria															
Project														ICB Board Assurance Framework (BAF)	
Risk Area														BOB ICB Strategic Risks/Board Assurance Framework BAF	
Very High															
Ref	Risk Title and Ownership	Risk Description	Inherent Score	Residual Score	Target Score	Directorate / Governance Group / Assurances	BOB ICB Core Objectives	Risk Area	Review Status	Current Review Period End Date	Detail	Controls	Score	Score Text	Actions Detail
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 Primary Responsible Governance Group: System Productivity	Improve outcomes, Tackle inequality, Enhance productivity, Social and economic development	BOB ICB Strategic Risks/Board Assurance Framework BAF	Open	03 Feb 2024	NHSE financial controls implemented across all organisations within the system. All new expenditure by ICB approved by Executive Team, establishment of recovery plan, monitoring of actions by Productivity Committee. ICS Efficiencies Collaborative Group established and work in progress	0.5 Adequate 0.5 Adequate	Adequate 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 System reforecast submitted to NHSE on 22/11/2023 with forecast deficit for the System of £47.6m, £27m worse than plan.	
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 Primary Responsible Governance Group: Population Health and Patient Experience Committee	Improve outcomes, Tackle inequality, Enhance productivity	BOB ICB Strategic Risks/Board Assurance Framework BAF	Open	15 Aug 2023	NHSE assurance and oversight processes Review at PHPE Committee System Wide Boards SOF Processes with Trusts Board Performance Reports	1 Substantial 1 Substantial 0.5 Adequate 1 Substantial 1 Substantial	Substantial Substantial Adequate Substantial Substantial	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 Area	Review Status	Current Review Period End Date	Detail	Controls	Score	Score Text	Actions Detail
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 is the risk of: services to the population of BOB will be affected Resulting in: poorer health outcomes for people across BOB	High	High	Medium	Directorate: Delivery Primary Responsible Governance Group: Audit and Risk Committee	Improve outcomes, Tackle inequality, Enhance productivity	BOB ICB Strategic Risks/Board Assurance Framework BAF	Open	15 Aug 2023	NHSE EPRR Standards and Review Review through Audit and Risk Committee Production of Annual Report to Board Robust risk and capability management in partnership with stakeholders - LRF and LHRP EPRR work programme developed against risks Internal Business Continuity Management System	0.5 Adequate 0.5 Adequate 0 Limited 0 Limited 0 Limited 0 Limited	Adequate Adequate Limited Limited Limited Limited		
1157	Risk Title: Transformation Risk Owner: Nick Broughton 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 Primary 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	Open	09 Dec 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) System Leadership Forum established - meeting frequently twice year (met 6 Nov 23)	1 Substantial 1 Substantial 0.5 Adequate 0.5 Adequate 0.5 Adequate 0.5 Adequate	Substantial Substantial Adequate Adequate Adequate Adequate	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.	
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 Primary Responsible Governance Group: System and Place Development Committee	Improve outcomes	BOB ICB Strategic Risks/Board Assurance Framework BAF	Open	01 Jun 2024	NHSE assurance and oversight Review at SPD Committee SOF Processes with Trusts Board Reports & Updates Implementation of new Operating Model	1 Substantial 1 Substantial 1 Substantial 0.5 Adequate	Substantial Substantial Substantial Adequate	Specific agenda item on Quarterly NHSE Review meetings to look at Partnership Development Update at SPD Committee meetings on Partnership working / Acute Provider Collaborative and Mental Health Collaborative. Tripartite agenda prompt to be added to discuss partnership working at meetings Single Place focus at every Board meeting Board development sessions to be held on Acute Provider Collaborative and Mental Health Provider Collaborative. Produce structures to support new operating model and agree with partners	
1160	Risk Title: Workforce Risk Owner: Caroline Corrigan Directorate Lead: Dalishad Cunnann Created: 17 Nov 2022	If the BOB health and care system is unable to attract and retain a suitably qualified workforce Then: there is a possibility that there will be an inability to deliver key ICB business objectives due to the potential failure to retain capacity and expertise at ICB workforce level as we go forward with the development of ICS working at place and within the wider system. Resulting in: Impact upon the deliverability of the People Plan and potential impact on the quality and continuity.	High (3:3=9)	High (3:3=9)	Medium	Directorate: People Primary Responsible Governance Group: People Committee	Improve outcomes, Tackle inequality, Enhance productivity	BOB ICB Strategic Risks/Board Assurance Framework BAF	Open	29 Feb 2024	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	0.5 Adequate	Adequate	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 Area	Review Status	Current Review Period End Date	Detail	Controls	Score	Score Text	Actions Detail
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 Primary Responsible Governance Group: Population Health and Patient Experience Committee	Improve outcomes, Tackle inequality	BOB ICB Strategic Risks/Board Assurance Framework BAF	Open	17 Dec 2023	The putting in place of agreed priorities as defined in JFP & Integrated Care Strategy to tackle health inequalities through Place and clinical programmes	0.5 Adequate	Adequate	Place development of plans for use of HI funding	
1158	Risk Title: Quality and Safety Risk Owner: Rachael Corser Directorate Lead: Heidi Beddall 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 Primary Responsible Governance Group: Population Health and Patient Experience Committee	Improve outcomes, Tackle inequality	BOB ICB Strategic Risks/Board Assurance Framework BAF	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	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	