

BOARD MEETING

Title	Board Assurance Framework (BAF)		
Paper Date:	7 May 2024	Meeting Date:	21 May 2024
Purpose:	Assurance	Agenda Item:	14
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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 (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 also describes the actions to 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 (Nov 2023 – Apr 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
							04/24	03/24	02/24	01/24	12/23	11/23
BOB0002	Risk Title: Financial Sustainability Risk Owner: Matthew Metcalfe Directorate Lead: Matthew Metcalfe	Adequate (0.50)	Very High (16)	Very High (16)	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 (1.00)	Very High (16)	Very High (16)	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 Corporate Risk Register (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 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 ICB's 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 no residual movement (Nov 2023 – Apr 2024). The risks in relation to All Age Continuing Care (AACC) and the risk of increased issues against delegated healthcare tasks will be reviewed in more detail by the executive and then through the Audit and Risk Committee.

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
							04/24	03/24	02/24	01/24	12/23	11/23
ORM0001	Risk Title: Increased issues against delegation healthcare tasks (DHTs) across BOB ICS. Risk Owner: Rachael Corser Directorate Lead: Zoe Woods	Adequate (0.50)	Very High (16)	Very High (16)	Low (4)	↑	Very High (16)	n/a	n/a	n/a	n/a	n/a
CHC0009	Risk Title: AACC Funded Nursing Care Risk Owner: Niki Cartwright Directorate Lead: Liz Hodgkinson	Limited (0.00)	Very High (20)	Very High (20)	Medium (6)	↔	Very High (20)	Very High (20)	Very High (20)	n/a	n/a	n/a
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
							04/24	03/24	02/24	01/24	12/23	11/23
SP0001	Risk Title: Financial Sustainability (in year) Risk Owner: Matthew Metcalfe Directorate Lead: Matthew Metcalfe	Adequate (0.25)	Very High (16)	Very High (16)	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: Matthew Metcalfe	Limited (0.00)	Very High (16)	Very High (16)	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 Chair's report:

- The introduction of additional areas of reporting relating to approval of 'new/emerging' risks and request for consideration of 'closure' of risks to provide visibility and assurance.
- The reporting of 'risk deep dives' or 'internal reviews on risk' (quarterly), providing assurance around directorate management and review processes.
- Internal audit issued a final risk management report on the 12 March 2024, which provided BOB ICB with an audit opinion of 'substantial assurance', with four low management actions for consideration which are actively being addressed by the governance team.
- A Board Risk Workshop took place on the 19 March 2024, facilitated by our internal auditors RSM, supported by the Governance Directorate. The focus of this workshop was to enable the Board to set its 'risk appetite' for the coming year, it was agreed that further evaluation is required to understand in more detail the ICB's level of maturity in its acceptance and management of risk before accurate assessment of its 'risk appetite' can be taken forward for consideration, and ultimately agreement.

Action Required

The Board is asked to:

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

Conflicts of Interest:

No conflict identified

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

Executive Management Committee: 8 April 2024 and 13 May 2024
Audit and Risk Committee: 23 April 2024

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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 Review Status	Last Review Actual Date	Detail	Controls	Score	Score Text	Detail	Actions	Closed	Flagged for 'Deep Dive'
1154	Risk Title: Financial Sustainability Risk Owner: Matthew McElaffe 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	Open	04 Jan 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	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. Financial recovery board established and financial improvement turnaround director in post.	05 Apr 2024		
1156	Risk Title: Access to Services Risk Owner: Matthew Tait Directorate Lead: Ben Gatlin 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	Open	05 Apr 2024	NHSE assurance and oversight processes Review at FHPPE Committee System Wide Boards SOF Processes with Trusts Board Performance Reports	1 Substantial 1 Substantial 0.5 Adequate 1 Substantial 1 Substantial	1 Substantial 1 Substantial 0.5 Adequate 1 Substantial 1 Substantial	Additional UIC recovery plans requested for BHT & OUH Revised trajectories for waiting lists requested from all 3 Trusts	05 Apr 2024 05 Apr 2024			

High																	
Reference	Risk Title and Ownership	Risk Description	Inherent Score	Residual Score	Target Score	Directorate / Governance Group / Assurances	BOB ICB Core Objectives	Risk Review Review Status	Last Review Actual Date	Detail	Controls	Score	Score Text	Detail	Actions	Closed	Flagged for 'Deep Dive'
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 Primary Responsible Governance Group: Audit and Risk Committee	Improve outcomes, Tackle inequality, Enhance productivity	Open		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	0.5 Adequate 0.5 Adequate 0 Limited 0 Limited 0 Limited					
1157	Risk Title: Transformation Risk Owner: Robert Bowen Directorate Lead: Hannah Iqbal 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	Medium	Directorate: Strategy and Partnerships Primary Responsible Governance Group: System and Place Development Committee	Improve outcomes, Tackle inequality, Enhance productivity, Social and economic development	Open	10 Nov 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 tripartite sessions Developing Suite of BOB system strategies (gpi) 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	1 Substantial 1 Substantial 0.5 Adequate 0.5 Adequate 0.5 Adequate 0.5 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 G1 approach. Whole system education even in June.	02 Aug 2023		No	
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	Open	02 Feb 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 1 Substantial 0.5 Adequate	1 Substantial 1 Substantial 1 Substantial 1 Substantial 0.5 Adequate	Specific agenda item on Quarterly NHSE Review meetings to look at Partnership Development Update at PSD 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 the new operating model and agree with partners Development of a new assurance & oversight framework.	23 Feb 2024		Yes	
1160	Risk Title: Workforce Risk Owner: Caroline Corrigan Directorate Lead: Dalshad Cuman 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	High	Medium	Directorate: People Primary Responsible Governance Group: People Committee	Improve outcomes, Tackle inequality, Enhance productivity	Open	23 Jan 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	0.5 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 Review Review Status	Last Review Actual Date	Detail	Controls	Score	Score Text	Detail	Actions	Closed	Flagged for 'Deep Dive'
1153	Risk Title: Health Inequalities Risk Owner: Rachael Deegan Directorate Lead: Steve Goldsmith 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	Medium	Medium	Directorate: Medical Primary Responsible Governance Group: Population Health and Patient Experience Committee	Improve outcomes, Tackle inequality	Open	11 Apr 2024	The putting in place of agreed priorities as defined in JFP & Integrated Care Strategy to tackle health inequalities through Place and clinical programmes Governance Resourced Actions Population Health Management Workforce	0.5 Adequate 0.5 Adequate 0.5 Adequate 0.5 Adequate 0.5 Adequate	0.5 Adequate 0.5 Adequate 0.5 Adequate 0.5 Adequate 0.5 Adequate	Place development of plans for use of HI funding Prevention, Population Health and Reducing Health Inequalities meetings established and working well. Population Health Management Collaboration Group spreading good practice across system Map and network with workforce leads to identify opportunities to influence training programmes to become more inequalities aware			Yes	
1158	Risk Title: Quality and Safety Risk Owner: Rachael Corser Directorate Lead: Heidi Beddall Created: 17 Nov 2022	If the ICB does not have oversight of the provider risks to quality and safety, particularly those impacted by financial recovery 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	Open	10 Apr 2024	Operational and system quality groups embedded ICB internal equality and quality impact assessment panel established Contracts for 24/25 updated to include quality requirements Contract review meetings to be established in 24/25 including quality. Tripartite meetings include quality focused key lines of enquiry ICB quality team attendance at acute and mental health trusts internal quality/clinical governance meetings Quality insight visits protocol published - forward planner for 24/25 visits Quality assurance framework updated for 24/25 ICB quality strategy to be published in 24/25	A Risk/Assurance Review taking place on 9 May 2024	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	02 Aug 2023		No		