

BOARD MEETING

Title	Board Assurance Framework (BAF)		
Paper Date:	28 June 2024	Meeting Date:	16 July 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 additionally describes the actions to further reduce 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: In June, the Financial Sustainability score increased to ‘Very High (20)’ whilst the Access to Services has remained static between the reporting period. (December 2023 – June 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	Residual
							06/24	05/24	04/24	03/24	02/24	01/24	12/23
BOB0002	Risk Title: Financial Sustainability Risk Owner: Matthew Metcalfe Directorate Lead: Matthew Metcalfe	Adequate (0.50)	Very High (16)	Very High (20)	High (12)	↑	Very High (20)	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)	Very High (16)

Corporate Risk Register

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 residual movement (Dec 2023 – June 2024). Risks related to AACC, and delegated healthcare tasks currently have a residual score/rating and are under review by the nursing directorate.

BOB Corporate Risk Register (CRR)													
Prefix	Risk Title	Aggregated Control Score	Inherent Score	Residual Score	Target Score	Residual Direction of Travel	Risk History						
							Residual 06/24	Residual 05/24	Residual 04/24	Residual 03/24	Residual 02/24	Residual 01/24	Residual 12/23
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)	Very High (16)	Very High (16)	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)	Very High (20)	Very High (20)	n/a	n/a
SP0001	Risk Title: Financial Sustainability (in year) Risk Owner: Matthew Metcalfe Directorate Lead: Matthew Metcalfe	Adequate (0.25)	Very High (16)	Very High (20)	High (12)	↑	Very High (20)	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 (0.00)	Very High (16)	Very High (20)	High (12)	↑	Very High (20)	Very High (16)	Very High (16)	Very High (16)	Very High (16)	Very High (16)	Very High (16)

Audit and Risk Committee (ARC) - Feedback

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.

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 at its meeting in June 2024 which is supported by the Audit Chairs report:

- Approval of the BOB ICBs Risk Management Framework (RMF)
- General risk management and how the impact and consequences of potentially not continuing a service/ or engaging a new service provision is being monitored, with acknowledgement and assurance that Turnaround decision logs (including risk assessment) are developed as part of the QEIA process.
- Oversight of Financial Risks (BAF/CRR) with a residual score/rating of Very High (20 RED).

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: 10 June & 8 July 2024
Audit and Risk Committee: 25 June 2024

BOB ICB Strategic Risks/BAF Report

Generated Date	28 Jun 2024 12:12
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		Controls			Actions		Flagged for 'Deep Dive'
								Review Status	Last Review Actual Date	Detail	Score	Score Text	Detail	Closed	
1154	Risk Title: Financial Sustainability Risk Owner: Matthew Metcalfe Directorate Lead: Matthew Metcalfe Created: 17 Nov 2022	As a result of: the BOB Integrated Care System is unable to manage its expenditure within its available resource There is the risk of: 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	12 Jun 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.	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	No
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 2023/24 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	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	1	Substantial	Additional UEC recovery plans requested for BHT & OUH	05 Apr 2024	No
										Review at PHPE Committee	1	Substantial	Revised trajectories for waiting lists requested from all 3 Trusts	05 Apr 2024	
										System Wide Boards	0.5	Adequate			
										SOF Processes with Trusts	1	Substantial			
										Board Performance Reports	1	Substantial			

High

Reference	Risk Title and Ownership	Risk Description	Inherent Score	Residual Score	Target Score	Directorate / Governance Group / Assurances	BOB ICB Core Objectives	Risk Review		Controls			Actions		Flagged for 'Deep Dive'
								Review Status	Last Review Actual Date	Detail	Score	Score Text	Detail	Closed	
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	High	Medium	Directorate: Delivery Primary Responsible Governance Group: Audit and Risk Committee	Improve outcomes, Tackle inequality, Enhance productivity	Open		NHSE EPRR Standards and Review	0.5	Adequate		No	
										Review through Audit and Risk Committee	0.5	Adequate			
										Production of Annual Report to Board	0	Limited			
										Robust risk and capability management in partnership with stakeholders - LRF and LHRP	0	Limited			
										EPRR work programme developed against risks	0	Limited			
										Internal Business Continuity Management System	0	Limited			
1157	Risk Title: Transformation Risk Owner: Robert Bowen Directorate Lead: Hannah Iqbal 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	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	Open	10 Nov 2023	Integrated Care Strategy agreed.	1	Substantial	Further development of provider collaboratives and delegation of some agreed functions	No	
										Joint Forward Plan agreed	1	Substantial			
										Acute Provider Collaborative/Elective Care Programme with agreed work programme	0.5	Adequate	Development of Place moving to agreed level of delegated resources with LA Partner e.g., Health Inequalities		02 Aug 2023
										Urgent and Emergency Care system wide priorities	0.5	Adequate	Developing system Q1 approach. Whole system education even in June.		
										Quarterly ICB/NHSE oversight and Trust tri-partite sessions	0.5	Adequate			
										Developing Suite of BOB system strategies (gap)	0.5	Adequate			

										System Leadership Forum established - meeting frequently twice year (met 6 Nov 23)	0.5	Adequate			
1158	Risk Title: Quality and Safety Risk Owner: Rachael Corser Directorate Lead: Heidi Beddall 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	High	Medium	Directorate: Nursing Primary Responsible Governance Group: Population Health and Patient Experience Committee	Improve outcomes, Tackle inequality	Open	09 May 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	0.5 0.5 0.5 0.5	Adequate Adequate 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 Quality Strategy- first draft completion for key stakeholder comments Establish Contract review meetings (with Finance)	02 Aug 2023	No
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	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 1 1 1 0.5	Substantial Substantial Substantial Substantial 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: Dailshad Cunnah Created: 17 Nov 2022	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: 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 (3:3=9)	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	System projects to be put in place to support our most challenged workforce.		No

Medium														
Reference	Risk Title and Ownership	Risk Description	Inherent	Residual	Target	Directorate /	BOB ICB Core	Risk Review	Controls	Actions	Flagged for			

			Score	Score	Score	Governance Group / Assurances	Objectives	Review Status	Last Review Actual Date	Detail	Score	Score Text	Detail	Closed	Deep Dive
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	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	0.5	Adequate	Place development of plans for use of HI funding		Yes
										Governance	0.5	Adequate	Prevention, Population Health and Reducing Health Inequalities meetings established and working well.		
										Resourced Actions	0.5	Adequate	Population Health Management Collaboration Group spreading good practice across system		
										Population Health Management	0.5	Adequate	Map and network with workforce leads to identify opportunities to influence training programmes to become more inequalities aware		
										Workforce	0.5	Adequate			