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| Generated Date | 06 Sep 2024 09:42 |
| Risk Criteria | |
| Project | ICB Board Assurance Framework (BAF) |
| Risk Area | BOB ICB Strategic Risks/Board Assurance Framework BAF |

| Very High | | | | | | | | | | | | | | | | | |
|-----------|------|---|--|--------------------|--------------------|---------------|--|--|---|---------------|-------------------------|---|-------|-------------|---|-------------|-------------------------|
| Prefix | Ref | Risk Title and Ownership | Risk Description | Inherent Score | Residual Score | Target Score | Directorate / Governance Group / Assurances | BOB ICB Core Objectives | Risk Area | Risk Review | | Controls | | | Actions | | Flagged for 'Deep Dive' |
| | | | | | | | | | | Review Status | Last Review Actual Date | Detail | Score | Score Text | Detail | Closed | |
| BOB0002 | 1154 | Risk Title: Financial Sustainability Risk Owner: Matthew Metcalfe Directorate Lead: Noreen Kanyangarara 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 (4:5=20) | Very High (4:5=20) | High (4:3=12) | 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 | 19 Jul 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. ICS Efficiencies Collaboration Group to add additional focus to short term delivery in light of current financial pressures Submission of revised plan to NHSE in June 2024 – Final plan deficit - £60m system deficit. ICB deficit £13.73 m | 05 Apr 2024 | No |
| | | | | | | | | | | | | ICS Efficiencies Collaborative Group established and work in progress | 0.5 | Adequate | Financial recovery board established and financial improvement/turnaround director in post. | 16 Aug 2024 | |
| BOB0004 | 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 2024/25 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 (4:4=16) | Very High (4:4=16) | High (4:3=12) | Directorate: Delivery Primary Responsible Governance Group: Population Health and Patient Experience Committee | Improve outcomes, Tackle inequality | BOB ICB Strategic Risks/Board Assurance Framework BAF | Open | 23 Jul 2024 | NHSE assurance and oversight processes Review at PHPE Committee | 1 | Substantial | Additional UEC recovery plans requested for BHT & OUH | 05 Apr 2024 | No |
| | | | | | | | | | | | | System Wide Boards | 0.5 | Adequate | Revised trajectories for waiting lists requested from all 3 Trusts | 05 Apr 2024 | |
| | | | | | | | | | | | | SOF Processes with Trusts | 1 | Substantial | | | |
| | | | | | | | | | | | | Board Performance Reports | 1 | Substantial | | | |
| | | | | | | | | | | | | System Oversight Meeting | 1 | Substantial | | | |

| High | | | | | | | | | | | | | | | | | |
|---------|------|--|--|--------------------|----------------|----------------|--|--|---|---------------|-------------------------|--|-------|-------------|---|-------------|--------------------------------------|
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| BOB0001 | 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) | High (3:3=9) | Medium (2:3=6) | 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 | 04 Sep 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 | | Review undertaken / Reported to ORMG |
| | | | | | | | | | | | | Governance | 0 | Limited | 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 | | | |
| BOB0003 | 1155 | Risk Title: Resilience Risk Owner: Matthew Tait Directorate Lead: Hannah Mills 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 (4:3=12) | High (4:3=12) | Medium (4:2=8) | 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 | | 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 | | | |
| BOB0005 | 1157 | Risk Title: Transformation Risk Owner: Hannah Iqbal Directorate Lead: Robert Bowen 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 (4:4=16) | High (3:3=9) | Medium (3:2=6) | 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 | 05 Sep 2024 | Integrated Care Strategy agreed. | 1 | Substantial | Further development of provider collaboratives and delegation of some agreed functions | 05 Sep 2024 | No |
| | | | | | | | | | | | | Joint Forward Plan agreed | 1 | Substantial | | | |
| | | | | | | | | | | | | Acute Provider Collaborative/Elective Care Programme with agreed work programme | 0 | Limited | 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. | 05 Sep 2024 | |
| | | | | | | | | | | | | Quarterly ICB/NHSE oversight and Trust tri-partite sessions | 0.5 | Adequate | Monthly update to be presented to Board | | |
| | | | | | | | | | | | | 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 | | | |
| | | | | | | | | | | | | Work being undertaken under risk STR0008 in relation to provider collaboratives. ICB forward vision is currently being finalized in the BOB ICB operating model. | 0 | Limited | | | |
| | | | | | | | | | | | | System recovery and transformation board in place | 0 | Limited | | | |

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| BOB0007 | 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 (4:3=12) | High (4:3=12) | Medium (4:2=8) | Directorate: Delivery Primary Responsible Governance Group: System and Place Development Committee | Improve outcomes | BOB ICB Strategic Risks/Board Assurance Framework BAF | Open | 18 Jul 2024 | NHSE assurance and oversight | 1 | Substantial | Specific agenda item on Quarterly NHSE Review meetings to look at Partnership Development | 18 Jul 2024 | Yes |
| | | | | | | | | | | | | Review at SPD Committee | 1 | Substantial | Update at PSD Committee meetings on Partnership working / Acute Provider Collaborative and Mental Health Collaborative. | 18 Jul 2024 | |
| | | | | | | | | | | | | SOF Processes with Trusts | 1 | Substantial | | | |
| | | | | | | | | | | | | Board Reports & Updates | 1 | Substantial | | | |
| | | | | | | | | | | | | Implementation of new Operating Model | 0.5 | Adequate | Tripartite agenda prompt to be added to discuss partnership working at meetings | | |
| | | | | | | | | | | | | Specific agenda item on Quarterly NHSE Review meetings to look at Partnership Development | 0.5 | Adequate | Single Place focus at every Board meeting | 18 Jul 2024 | |
| | | | | | | | | | | | | Update at PSD Committee meetings on Partnership working / Acute Provider Collaborative and Mental Health Collaborative. | 0.5 | Adequate | Board development sessions to be held on Acute Provider Collaborative and Mental Health Provider Collaborative. | 23 Feb 2024 | |
| | | | | | | | | | | | | Single Place focus at every Board meeting | 0.5 | Adequate | Produce structures to support the new operating model and agree with partners Development of a new assurance & oversight framework. | | |

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| BOB0008 | 1160 | Risk Title: Workforce Risk Owner: Caroline Corrigan Directorate Lead: Sandra Grant 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 (3:2=6) | Directorate: People Primary Responsible Governance Group: Audit and Risk Committee | Improve outcomes, Tackle inequality, Enhance productivity | BOB ICB Strategic Risks/Board Assurance Framework BAF | Open | 18 Jul 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 | Resourcing plan for Nursing Directorate (AACH) Allocation of an HR individual to provide support to delivery of plan and work with senior managers within AACH | | No |
|---------|------|--|---|-----------------|-----------------|-------------------|--|---|--|------|-------------|---|-----|----------|---|--|----|

Medium

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| BOB0006 | 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 | High (4:3=12) | Medium (4:2=8) | Medium (4:2=8) | 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 | 23 Aug 2024 | Operational and system quality groups embedded | 1 | Substantial | a) Redesign of monthly quality Dashboard - April 2023 - 1st draft completed | 02 Aug 2023 | No |
| | | | | | | | | | | | | ICB internal equality and quality impact assessment panel established | 0.5 | Adequate | b) Development of quarterly thematic reports - May 2023 - now in place | | |
| | | | | | | | | | | | | Contracts for 24/25 updated to include quality requirements | 0.5 | Adequate | c) Restructure consultation outcome implementation commences - March 2023 - restructure completed | | |
| | | | | | | | | | | | | Contract review meetings to be established in 24/25 including quality. | 0.5 | Adequate | d) Quality Assurance framework developed - First draft March 2023 - approved July 23 | | |
| | | | | | | | | | | | | Tripartite meetings include quality focused key lines of enquiry | | | e) Quality Strategy developed - May 2023 | | |
| | | | | | | | | | | | | ICB quality team attendance at acute and mental health trusts internal quality/clinical governance meetings | | | Quality Strategy- awaiting national quality strategy publication prior to drafting ICB quality strategy | | |
| | | | | | | | | | | | | Quality insight visits protocol published - forward planner for 24/25 visits | 0.5 | Adequate | Establish Contract review meetings (with Finance) | | |
| | | | | | | | | | | | | Quality assurance framework updated for 24/25 | 0.5 | Adequate | | | |
| | | | | | | | | | | | | ICB quality strategy to be published in 24/25 | 0.5 | Adequate | | | |