



REPORT CLASSIFICATION	✓	CATEGORY OF PAPER	✓
Official	✓	Proposes specific action	
Official: Sensitive Commercial		Provides assurance	✓
Official: Sensitive Personal		For information only	

BOARD	
30 MAY 2023	
<b>Report Title:</b>	Board Assurance Framework 2023/24
<b>Purpose of report</b>	
To present the Board with an updated Board Assurance Framework (BAF) for 2023/24.	
<b>Key points</b>	
<p>The Board has overall responsibility for ensuring systems and controls are in place and sufficient to mitigate any significant risks which may threaten the achievement of the ICB's strategic aims and objectives. The Board achieves this primarily through the work of its committees, through use of audit, independent inspections and by systematic collection and scrutiny of performance data.</p> <p>The Board Assurance Framework (BAF) is used to provide assurance on the management of key risks to the delivery of the ICB's strategic aims and objectives. The BAF is intended to provide a visible strategic risk summary, supported by the full detail of the corporate risk register.</p> <p>The BAF has been updated to reflect the current position for the ICB, along with further alignment of the identified risks to the ICP Strategy as well as the ICB's four main aims. The BAF was reviewed by the Audit Committee at its meeting held on 13 April 2023 and the Committee was assured by its progress to date.</p> <p>The BAF was also reviewed by the Executive Committee at its meeting held on 9 May 2023. As a result of the discussion at this meeting, the format of the BAF is being revised to help provide a more transparent and visual overview of the ICB's current position.</p> <p>Further work is also being undertaken to continue to develop and embed the ICB's risk management approach and establish the ICB's overall risk appetite as well as individual appetites for each of the four main goals of the ICP strategy. This work, along with work on the format, will continue over the coming months and a further updated BAF will be brought back to the Board in September.</p> <p>The following documents are attached:</p>	

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- Updated BAF - Appendix 1
- Corporate risk register – Appendix 2

**Risks and issues**

The ICB's current strategic risks are detailed in appendix 2.

**Assurances**

Risks have been mapped to the goals identified in the North East and North Cumbria Health and Care Partnership strategy 'Better health and wellbeing for all'.  
The BAF process has been updated to include a review by the Executive Committee to enable a collective discussion with all Executive Directors and ensure a more robust management approach.

**Recommendation/action required**

The Board is asked to:

- Receive the updated BAF for 2023/24;
- Satisfy itself that the BAF accurately reflects the strategic risks to achieving our objectives.

**Acronyms and abbreviations explained**

BAF – Board Assurance Framework  
ICP – Integrated care Partnership

<b>Sponsor/approving executive director</b>	Claire Riley, Executive Director of Corporate Governance, Communications, and Involvement
<b>Date approved by executive director</b>	19 May 2023
<b>Date reviewed by Executive Committee</b>	9 May 2023
<b>Reviewed by</b>	Deborah Cornell, Director of Corporate Governance
<b>Report author</b>	Neil Hawkins, Head of Corporate Affairs Wendy Marley, NECS Governance and Assurance Manager

**Link to ICB corporate aims (please tick all that apply)**

CA1: Improve outcomes in population health and healthcare	✓
CA2: tackle inequalities in outcomes, experience, and access	✓
CA3: Enhance productivity and value for money	✓
CA4: Help the NHS support broader social and economic development	✓

**Relevant legal/statutory issues**

Note any relevant Acts, regulations, national guidelines etc.

<b>Any potential/actual conflicts of interest associated with the paper? (Please tick)</b>	Yes		No	✓	N/A	
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If yes, please specify

<b>Equality analysis completed (Please tick)</b>	Yes		No		N/A	✓
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<b>If there is an expected impact on patient outcomes and/or experience, has a quality impact assessment been undertaken? (Please tick)</b>	<b>Yes</b>		<b>No</b>		<b>N/A</b>	<input checked="" type="checkbox"/>
<b>Key implications</b>						
<b>Are additional resources required?</b>	N/A					
<b>Has there been/does there need to be appropriate clinical involvement?</b>	N/A					
<b>Has there been/does there need to be any patient and public involvement?</b>	N/A					
<b>Has there been/does there need to be partner and/or other stakeholder engagement?</b>	N/A					

## **Board Assurance Framework 2023/24**

### **1. Introduction**

The Board has overall responsibility for ensuring systems and controls are in place, sufficient to mitigate any significant risks which may threaten the achievement of the ICB's strategic aims and objectives. Evidence may be gained from a wide range of sources, but it should be systematic, supported by evidence, independently verified, and incorporated within a robust governance process. The Board achieves this primarily through the work of its committees, through use of audit, independent inspections and by systematic collection and scrutiny of performance data.

### **2. Board Assurance Framework process**

The ICB manages risk across five levels with the principal risks to achieving the ICB's objectives forming the Board Assurance Framework:

1. Place
2. Area
3. Directorate
4. Executive directors (corporate risks)
5. Board Assurance Framework

Risks are considered at their corresponding committees to provide the Board with assurance that risks are reviewed individually by risk owners and collectively by an oversight committee.

Further to the publication of the North East and North Cumbria Health and Care Partnership's strategy, the ICB's risks have been assessed to determine their impact on achieving the vision and goals of the strategy and these have been aligned to the BAF for 2023/24.

At first glance some of the ICB's risks may appear only to have a tenuous link to the four goals, however the statutory compliance, effectiveness, and financial viability of the ICB underpins the strategy's vision and therefore these risks have been considered when determining the risks to the strategy.

- Goal 1 – Longer and healthier lives for all
- Goal 2 – Fairer health outcomes for all
- Goal 3 – Best start in life for children and young people
- Goal 4 – Improving health and care services

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The updated BAF for 2023/24 shows the key risks being managed at place which are linked to the ICB's principal risks.

A copy of the BAF is attached at **Appendix 1**.

All risks are reviewed by an oversight committee. Table 1 sets out which committee consider which risks:

Table 1 risk oversight

<b>Committee name</b>	<b>Remit of the committee</b>	<b>Frequency</b>	<b>Risk reports</b>
Audit Committee	Responsible for oversight and assurance of the effectiveness of risk.	Quarterly	Corporate risk register Assurance Framework (6 monthly)
Executive Committee	Responsible for day to day running of the ICB (operational and strategic)	Bi- monthly	Executive Committee risk register Full risk register Place-based directorate risk register (extreme risks) Assurance Framework (6 monthly)
Finance, performance, and investment committee	Specific responsibility for financial risks	Quarterly	FPIC risk register
Quality and Safety Committee	Risks specific to quality, safety, patient care etc.	Bi- monthly	Quality and safety risk register
Board	Overall accountable for the delivery of the ICB's strategic priorities.	Six monthly	Assurance Framework Corporate risk register

## 2.1 Corporate risks

A risk is determined to be a corporate risk if it has a residual (current) score of 12 and above. A total of 26 risks currently have a residual score of 12 and above compared with 16 in the previous period.

The corporate risk register is available at **Appendix 2** and shows risks in descending order of residual score.

All risks are reviewed to establish overarching controls and assurances and to ensure that any gaps in controls or assurances are documented.

The risk review considers any gaps in controls or assurances identified and this is considered when the overall risk to the achievement of the strategic objective is assessed. In addition to the review of the risks' residual (current) rating, consideration is also given to the inherent risk assessment as this gives an indication of the impact of the risk should controls fail.

## 2.2 Risk monitoring

The Board Assurance Framework is monitored through the Audit and Executive Committees to give oversight to the controls.

**3. Recommendations**

The Board is asked to:

- Receive the updated BAF for 2023/24 for assurance;
- Satisfy itself that the BAF accurately reflects the strategic risks to achieving our objectives, and
- Approve the BAF for 2023/24.

**Name of Sponsoring Executive Director:**

Claire Riley, Executive Director of Corporate Governance, Communications, and Involvement

**Reviewed by:**

D Cornell, Director of Corporate Governance

**Name of Author(s):**

N Hawkins, Head of Corporate Affairs  
W Marley, NECS Governance and Assurance Manager

**Date:**

15 May 2023

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