

Item: 9.1

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

BOARD

28 NOVEMBER 2023

Report Title:

Board Assurance Framework 2023/24 update

Purpose of report

To present the Board with an updated Board Assurance Framework (BAF) as part of the quarterly review for 2023/24 which was reviewed by the Audit Committee at their meeting on 12 October 2023. Changes to the BAF requested by the Audit Committee have been made.

Key points

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.

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 as well as the wider strategic goals of the Integrated Care Partnership. The BAF is reviewed by the Executive Committee and the Audit Committee before submission to the Board.

The BAF is intended to provide a visible strategic risk summary, supported by the full detail of the corporate risk register. A copy of the updated BAF for 2023/24 is attached at Appendix 1 and a copy of the corporate risk register is available at Appendix 2.

Risks and issues

Risks are mapped to the goals identified in the North East and North Cumbria Integrated Care Partnership strategy 'Better health and wellbeing for all' and from these goals the principal risks to the strategy have been identified as:

- 1. The ICB fails to commission services in a way that tackles the wider causes of ill health, and life expectancy of people within the North East and North Cumbria is not improving.**
The gap between how long people live in the North East and North Cumbria compared to the rest of England is not on track to reduce by 10% by 2030. Overall risk rated as 16 A (high).
- 2. Our health and care services are not delivered in a way in which improves the outcomes of communities who currently have much poorer health outcomes.**
The gap between the inequality in life expectancy and healthy life expectancy at birth between people living in the most deprived and least deprived 20% of communities is not on track to narrow by 10% by 2030. Overall risk rated as 20 R (extreme).

3. The quality of commissioned health and care services varies across the ICB area and in some places falls below our high expectations for our public and patients.

The ICB does not maintain its good or outstanding rating from the Care Quality Commission (CQC) and the percentage of regulated services across social care, primary care and secondary care that are rated as good or outstanding by the CQC is declining. Overall risk rated as 20 R (extreme).

4. We fail to deliver health and care services which give children the best start in life.

The percentage of children with good school readiness when they join the reception class (including children from disadvantaged groups) is declining. Overall risk rated as 16 A (high).

All ICB risks are assessed against the Integrated Care System's goals with the highest risk score used to determine the overall risk to the achievement of each goal. In summary, the risks to each goal are:

ICS Goal	Overall score
Longer and healthier lives	16
Fairer outcomes for all	20
Better health and care services	20
Giving children and young people the best start in life	16

Assurances

As set out in the attached report.

Recommendation/action required

The Board is asked to:

- Satisfy itself that the BAF accurately reflects the principal risks to achieving our objectives as well as their current mitigations, and
- Recommend the approval of the BAF for 2023/24 by the Board.

Acronyms and abbreviations explained

BAF – Board Assurance Framework
 CRR – Corporate Risk Register
 AC – Audit Committee
 POD - Pharmaceutical, general Ophthalmic and Dental services
 NHSE – NHS England
 FOI - Freedom of Information
 MOU - Memorandum of Understanding
 VCSE - Voluntary, Community & Social Enterprise
 SI – Serious Incident

Sponsor/approving executive director	Claire Riley, Executive Director of Corporate Governance, Communications and Involvement
Date approved by executive director	20/11/2023
Reviewed by	Deborah Cornell, Director of Corporate Governance and Board Secretary
Report author	Wendy Marley, NECS Governance and Assurance Manager Neil Hawkins, Head of Corporate Affairs

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							
Any potential/actual conflicts of interest associated with the paper? (please tick)	Yes		No		N/A	✓	
If yes, please specify							
Equality analysis completed (please tick)	Yes		No		N/A	✓	
If there is an expected impact on patient outcomes and/or experience, has a quality impact assessment been undertaken? (please tick)	Yes		No	✓	N/A		
Key implications							
Are additional resources required?	Not applicable						
Has there been/does there need to be appropriate clinical involvement?	Not applicable						
Has there been/does there need to be any patient and public involvement?	Not applicable						
Has there been/does there need to be partner and/or other stakeholder engagement?	Not applicable						

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. Developing the Board Assurance Framework for 2023/24

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

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 also collectively by an oversight committee.

Further to the publication of the North East and North Cumbria Integrated 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 incorporated into the BAF for 2023/24.

Each goal has been reviewed to determine an overarching or principal risk to its achievement and then each corporate risk has been aligned to one of the four risks to determine the overall risk score.

All risks have also been aligned to the top five risks identified by the Executive Committee:

- Finance
- Quality
- Workforce
- System recovery
- Political

The updated BAF reflects these top risks against each ICS goal.

The updated BAF for 2023/24 is available at Appendix 1. The BAF is monitored through the Executive Committee before submission to the Audit Committee to give oversight to the controls.

3. **Movement**

This is the first time the BAF has been presented to the Board in the current format. Future reports will describe any changes in the scoring of the overarching key risks.

4. **Recommendations**

The Board is asked to:

- Satisfy itself that the BAF accurately reflects the principal risks to achieving our objectives as well as their current mitigations, and
- Recommend the approval of the BAF for 2023/24 by the Board.

Name of Sponsoring Director: D Cornell, Director of Corporate Governance, and Board Secretary

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Date: 14 November 2023