



## Risk, Audit and Performance Committee

<b>Date of Meeting</b>	23 September 2021
<b>Report Title</b>	Review of Board Assurance and Escalation Framework
<b>Report Number</b>	HSCP.21.101
<b>Lead Officer</b>	Alex Stephen, Chief Finance Officer
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<b>Consultation Checklist Completed</b>	Yes
<b>Appendices</b>	Appendix A - Board Assurance and Escalation Framework Revised 2021

### 1. Purpose of the Report

- 1.1. To present the annual review of the Integration Joint Board's (IJB) Board Assurance and Escalation Framework (BAEF) as part of the Risk, Audit and Performance Committee's (RAPC) annual review of the Framework.

### 2. Recommendations

- 2.1. It is recommended that the Committee:
- (a) Approve the revised Board Assurance and Escalation Framework (BAEF) as attached at Appendix A.
  - (b) Agree that the Framework continue to be reviewed annually by RAPC.

### 3. Summary of Key Information

#### Board Assurance and Escalation Framework (BAEF)

- 3.1. In order to fulfil its remit, the IJB must demonstrate an effective governance process whereby it can be assured that key risks to the achievement of



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integration objectives are appropriately identified, communicated and addressed.

- 3.2.** The BAEF describes the regulatory framework of the IJB to support its vision, values and principles, within which the RAPC will work. Fundamental to the framework are the IJB's strategic priorities and the appetite for risk that exists across these priorities.
- 3.3.** The BAEF presents and populates a model where individuals, groups and committees, plans, reports, and reporting processes are mapped at different organisational levels, against two broad assurance requirements - compliance and transformation.
- 3.4.** A key element of the assurance framework is the risk management system, whose outputs (i.e. strategic and corporate risk registers, and other reports) contribute significantly to assurance on key risks to objectives. The appendices illustrate the landscape in which the IJB operate:
  - The committee structure and terms of reference
  - The risk assessment system
  - The risk escalation process
  - The clinical and care governance framework
  - The IJB's cycle of business.
- 3.5.** The RAPC performs the key role of reviewing and reporting on the effectiveness of the governance structures in place and on the quality of the assurances the Board receives.
- 3.6.** The BAEF was formally approved by the IJB in 2016 and was last reviewed by RAPC on 26 August 2020. The 2021 review has been undertaken and the revised version is attached as Appendix A to this report.
- 3.7.** Largely, the content of the BAEF remains unchanged following the revision, with minor housekeeping undertaken on the document.
- 3.8.** The main change to the framework relates to governance arrangements for the reporting of clinical and non-clinical risks through the governance structures in place in Aberdeen City Health & Social Care Partnership (ACHSCP) and IJB (as outlined at pages 12-15 in Appendix A). These



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changes will clarify the reporting of clinical and non-clinical risks through the operational and strategic risk registers, as well as explaining which governance groups will scrutinise the risks.

- 3.9.** It is proposed that the BAEF continue to be reviewed on an annual basis. The review for 2022 will reflect the development of a new Strategic Plan for ACHSCP.

### **4. Implications for IJB**

- 4.1. Equalities, Fairer Scotland and Health Inequality** – there are no direct implications arising directly as a result of this report, however the BAEF outlines the regulatory framework of the IJB, supporting its vision, values and principles in terms of equalities, the principles within the Fairer Scotland Duty and tackling health inequalities.
- 4.2. Financial** – there are no direct implications arising directly as a result of this report.
- 4.3. Workforce** - there are no direct implications arising directly as a result of this report.
- 4.4. Legal** – there are no direct legal implications arising directly as a result of this report.
- 4.5. Covid 19-** there are no direct implications relating to Covid 19 or response as a result of this report.
- 4.6. Unpaid Carers-** there are no direct implications arising directly as a result of this report.
- 4.7. Other** - there are no direct implications arising directly as a result of this report.

### **5. Links to ACHSCP Strategic Plan**

- 5.1.** The Strategic Plan sets out the aims, commitments, and priorities of the Partnership, in alignment with Community Planning Aberdeen's Local



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Outcome Improvement Plan, NHS Grampian's (NHSG) Clinical Strategy and Aberdeen City Council's (ACC) Local Housing Strategy. Since its inception, the ACHSCP and its governance body, the Integration Joint Board, have progressed integration of the health and social care services delegated from our partners, ACC and NHSG. Part of the Governance around the IJB is the development and revision of the BAEF.

### 6. Management of Risk

6.1. **Identified risks(s):** Reputational Damage.

6.2. **Link to risks on strategic or operational risk register:** The development and revision of the BAEF will help to mitigate all of the risks on the IJB's Strategic Risk Register, however the main risk that it will help mitigate is "There is a risk of reputational damage to the IJB and its partner organisations resulting from complexity of function, delegation and delivery of services across health and social care"

6.3. **How might the content of this report impact or mitigate these risks:**

This report helps to mitigate the risks as it commits to an annual review of the BAEF to ensure it is updated appropriately. Further, the information provided in the BAEF helps to mitigate the impact of a number of risks in the strategic risk register, by providing the necessary assurance and escalation processes.

Approvals	
	Sandra Macleod (Chief Officer)
	Alex Stephen (Chief Finance Officer)