



RISK, AUDIT AND PERFORMANCE COMMITTEE

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| Date of Meeting | 2 April 2024 |
| Report Title | Review of Board Assurance and Escalation Framework |
| Report Number | HSCP24.017 |
| Lead Officer | Martin Allan |
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| Consultation Checklist Completed | Yes |
| Directions Required | No |
| Exempt | No |
| Appendices | a. Board Assurance and Escalation Framework Revised 2024 |
| Terms of Reference | 9. Monitor the risk appetite and/or tolerance established by the Board Assurance Framework to ensure effective oversight and governance of the partnership's activities. 10. Ensure the existence of, and compliance, with an appropriate risk management strategy including: reviewing risk management arrangements; receiving biannual Strategic Risk Management updates and undertaking in-depth review of a set of risks and annually review the IJB's risk appetite document with recommendations being brought to the IJB |



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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 Risk, Audit and Performance Committee:

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

3. Strategic Plan Context

- 3.1. Risk management is referenced in the Strategic Plan, specifically in relation to the management of risk to enablers to the Plan eg workforce, technology, finances, as well as in the Strategic Aims of the Plan.

4. Summary of Key Information

- 4.1. 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 integration objectives are appropriately identified, communicated and addressed.
- 4.2. 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.
- 4.3. The BAEF presents and populates a model where individuals, groups and committees, plans, reports, and reporting processes are mapped at different



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organisational levels, against two broad assurance requirements - compliance and transformation.

4.4. 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.

4.5. 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.

4.6. The BAEF was formally approved by the IJB in 2016 and was last reviewed by RAPC on 28 February 2023. The 2024 review has been undertaken and the revised version is attached as Appendix A to this report.

4.7. The main changes to the framework are in relation to minor housekeeping updates relating to changes to names of posts in the Senior Leadership Team.

4.8. It is proposed that the BAEF continue to be reviewed on an annual basis.

5. Implications for Committee

5.1. Equalities, Fairer Scotland and Health Inequality

There are no direct equalities, Fairer Scotland and Health Inequalities implications arising from 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.

5.2. Financial

There are no direct financial implications arising from this report.

5.3. Workforce



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There are no direct workforce implications arising from this report.

5.4. Legal

There are no direct legal implications arising from this report.

5.5. Unpaid Carers

There are no direct implications relating to Unpaid Carers arising from this report.

5.6. Information Governance

There are no direct information governance implications arising from this report.

5.7. Environmental Impacts

There are no direct environmental implications arising from this report.

5.8. Sustainability

There are no direct sustainability implications arising from this report.

5.9. Other

There are no other implications arising from this report.

6. Management of Risk

The IJB's Board Assurance and Escalation Framework outlines the governance processes for the consideration and escalation of risks through the Partnership.

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" 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



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helps to mitigate the impact of a number of risks in the strategic risk register, by providing the necessary assurance and escalation processes.