



Audit and Performance Systems Committee

Report Title	Revised Board Assurance and Escalation Framework
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1: Purpose of the Report

To present the Audit and Performance Systems (A&PS) Committee with the revised Board Assurance and Escalation Framework for approval.

2: Summary of Key Information

The Board Assurance and Escalation Framework (BAEF).

In order to fulfil its remit, the Integration Joint Board (IJB) needs to be able to 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.

The BAEF describes the regulatory framework of the IJB to support its vision, values and principles, within which the A&PS committee will work. Fundamental to the framework are the IJB's strategic priorities and the appetite for risk that the board has across these priorities.

It 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.

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 board assurance on key risks to objectives.



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The appendices illustrate the landscape in which the IJB will 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.

The A&PS committee 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.

Introduction and Revision of the BAEF.

The BAEF was formally approved by the IJB at its meeting in March 2016. The A&PS committee assumed responsibility for the regular review and any necessary escalation of the BAEF at its meeting in May 2016. The Executive Team have undertaken a review of the BAEF and present the revised version to the A&PS committee (appendix A).

Largely, the content of the BAEF remains the same after the revision. Key changes include:

- Recommendation that the A&PS reviews the BAEF annually,
- Suggested delegation of the review of the Corporate (Operational) Risk Register to the Clinical & Care Governance Committee, with only major issues being escalated to the Integration Joint Board ,
- Updates to the text to reflect that we are no longer in the first year of operation,
- Formalised cycle of business indicating regular reporting in key areas.
- Additional information on escalation process



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3: Equalities, Financial, Workforce and Other Implications

Equalities – there are no equalities implications

Financial – there are no financial implications

Workforce – there are no workforce implications

Other – there are no other implications

4: Management of Risk

Identified risk(s):

- There is a risk that responsibilities, processes and route of reporting may be unclear in some parts of the system during transition, which could impact on the ability of the A&PS committee to keep the IJB informed about risks of significance to its operations.
- There is a risk that the framework may not be updated in line with the pace of change experienced across the partnership.

Link to risk number on strategic or operational risk register: NA

How might the content of this report impact or mitigate the known 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 (appendix A) helps to mitigate the impact of a number of risks in the strategic risk register, by providing the necessary assurance and escalation processes.

5: Recommendations

It is recommended that the Audit and Performance Systems Committee:

1. Comments on the revised BAEF, as in appendix A.
2. Recommends the revised BAEF is approved by the Integration Joint Board.



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