



Integration Joint Board

Report Title	Revised Board Assurance and Escalation Framework
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Report Author (Job Title, Organisation)	Alex Stephen, Chief Finance Officer, ACHSCP
Report Number	HSCP/17/100
Date of Report	21/11/2017
Date of Meeting	30/01/2018

1: Purpose of the Report

- 1.1. To present the Integration Joint Board with the revised Board Assurance and Escalation Framework for approval.

2: Summary of Key Information

The Board Assurance and Escalation Framework (BAEF).

- 2.1. 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.
- 2.2. The BAEF describes the regulatory framework of the IJB to support its vision, values and principles. Fundamental to the framework are the IJB's strategic priorities and the appetite for risk that the board has across these priorities.
- 2.3. 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.
- 2.4. A key element of the assurance framework is the risk management system, whose outputs (i.e. strategic and operational risk registers, and other reports) contribute significantly to board assurance on key risks to objectives.



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2.5. 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.

2.6. 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.

2.7. The BAEF was formally approved by the shadow 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 and the Good Governance Institute have undertaken further work to review the BAEF.

2.8. Key changes in this revision include:

- Standardisation of references to board level (strategic) and corporate level (operational) risk registers,
- Additional detail regarding the risk appetite,
- Explanation of the risk assessment methodology, and;
- Further information on the strategic & operational risk registers

2.9. This revised version of the BAEF was presented to the A&PS committee at its meeting on the 21st of November. The A&PS committee requested a number of further amendments, which are included in this version of the BAEF:

- to request that narrative be provided on page 12 to explain the diagram;
- to request that reporting links between the A&PS Committee and the Executive Team be inserted into the diagram on page 71;
- to recommend to the IJB that the Statement of Risk Appetite be



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- reviewed by the Board on an annual basis;
- to request that version control and authorisation be added to future versions of the BAEF;

2.10. The committee also requested that further detail on the risk escalation process for locality planning. This has been raised with the Heads of Locality, who will ensure risk escalation processes are thoroughly considered ahead of the locality 'go-live'. Following this, the amendment will be included in the BAEF.

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, which could impact on the ability to escalate risks of significance to the IJB's operations.
- There is a risk that the framework may not be updated in line with the pace of change experienced across the partnership.

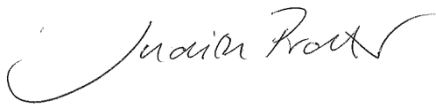

Link to risk number on strategic or operational risk register: NA

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.



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5: Recommendations	
It is recommended that the Integration Joint Board:	
1. Approves the revised BAEF, as presented at appendix A.	

6: Signatures	
	Judith Proctor (Chief Officer)
	Alex Stephen (Chief Finance Officer)