INTEGRATION JOINT BOARD

Date of Meeting	12.02.2019
Report Title	Board Assurance & Escalation Framework
Report Number	HSCP.18.128
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Consultation Checklist Completed	*Yes*
Appendices	a. Board Assurance & Escalation Framework

1. Purpose of the Report

1.1. To present the Audit & Performance Systems (APS) Committee with the latest version of the Board Assurance and Escalation Framework (BAEF) for approval.

2. Recommendations

2.1. It is recommended that the Audit & Performance Systems Committee:

    a) Approve and provide comment on the Board Assurance and Escalation Framework, as at Appendix A.

3. Summary of Key Information

3.1. 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.

3.2. The BAEF describes the regulatory framework of the IJB to support its vision, values and principles, within which the A&PS committee will work.

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Fundamental to the framework are the IJB's strategic priorities and the appetite for risk that the board has across these priorities.

3.3. 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.

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 board assurance on key risks to objectives.

3.5. 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.

3.6. 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.

3.7. 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.

Further Revision of the BAEF

3.8. Key changes to this version of the BAEF include:

- Updated risk appetite statement;
- Updated strategic priorities in anticipation of the revised strategic plan;
- Review of the terminology and structures to reflect the interim arrangements within senior management of ACHSCP
- Updated appendix 8 (Cycle of Business)

3.9. As the Committee will be aware, work is currently ongoing to take a full review of several processes including:

- Clinical & Care Governance processes
- Risk Management processes
- Health & Safety governance processes

3.10. The current revisions are presented to the APS committee to ensure that regular, annual review of the BAEF is undertaken. However, once these reviews have been concluded, the BAEF will be further revised to reflect the new arrangements. This will then be presented back to the APS committee.

4. Implications for IJB

4.1. **Equalities –** there are no direct implications arising directly as a result of this report

4.2. **Fairer Scotland Duty –** there are no direct implications arising directly as a result of this report

4.3. **Financial** – there are no direct implications arising directly as a result of this report

4.4. **Workforce -** there are no direct implications arising directly as a result of this report.

4.5. **Legal -** there are no direct implications arising directly as a result of this report

4.6. **Other -** there are no direct implications arising directly as a result of this report.

5. Links to ACHSCP Strategic Plan

5.1. Ensuring a robust and effective assurance and escalation framework will help the ACHSCP achieve the strategic priorities as outlined it its strategic plan, as it will provide assurance that key risks to the achievement of integration objectives are appropriately identified, communicated and addressed.

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6. Management of Risk

6.1.   Identified risks(s): all known risks

6.2.   Link to risks on strategic or operational risk register: all risks as captured on the strategic risk register.

6.3.   How might the content of this report impact or mitigate these risks: Ensuring a robust and effective risk management process, as captured in the BAEF will help to mitigate all risks.