

## Cambridgeshire and Peterborough Integrated Care System

<b>Agenda item:</b>	2.3									
<b>Title:</b>	<b>Board Assurance Framework (BAF) and Operational Risk Register (ORR) Movement Report: September 2021</b>									
<b>Lead:</b>	Kit Connick, Director of Strategy & Planning									
<b>Author:</b>	Kit Connick, Director of Strategy & Planning									
<b>Report purpose</b> <i>(Please mark one in bold)</i>										
APPROVAL	DECISION	<b>ASSURE</b>	INFORM							
<b>Committees/groups where this has been presented to before</b> <i>(including date)</i>										
None										
<b>Purpose of the paper</b>										
<p>The purpose of this report is to provide an update to the System Partnership Board on key strategic risks that may affect the delivery of the Integrated Care System (ICS).</p> <p>The Board Assurance Document (BAF) is a live tool that assists the Board to undertake its strategic risk management duties by providing a simple yet comprehensive means by which to effectively manage the principal risks to meeting the strategic objectives.</p> <p>The BAF is the key source of evidence that links strategic objectives to risks and assurances, and a tool for the Board to discharge its overall responsibility for control.</p> <p>The ORR is the key source of evidence that links operational objectives to risks and assurances, which without due mitigation could impact on the operational functions of the ICS and present a risk to the delivery of the strategic objectives.</p>										
<b>Recommendation</b>										
The Board Assurance Framework summary for September is:										
	<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 25%;">No. of Risks on the BAF</th> <th style="width: 25%;">Below Threshold (&lt;15)</th> <th style="width: 25%;">At Threshold (15)</th> <th style="width: 25%;">Above Threshold (&gt;15)</th> </tr> </thead> <tbody> <tr> <td style="text-align: center;">11</td> <td style="text-align: center;">10</td> <td style="text-align: center;">1</td> <td style="text-align: center;">0</td> </tr> </tbody> </table>	No. of Risks on the BAF	Below Threshold (<15)	At Threshold (15)	Above Threshold (>15)	11	10	1	0	
No. of Risks on the BAF	Below Threshold (<15)	At Threshold (15)	Above Threshold (>15)							
11	10	1	0							

The Operational Risk Register summary for September is:

No. of Risks on the ORR	Below Threshold (<12)	At Threshold (12)	Above Threshold (>12)
20	1	9	10

The Board is asked to:

1. **Review** the current risks on the BAF and ORR and observe what additional strategic and operational risks may need to be considered.
2. **Consider** whether further mitigation need to be considered for the identified risks and whether the current scoring is appropriate
3. **Discuss** whether the current risks accurately reflect i) those set out in the Development plan ii) discussions at Partnership Board and iii) are discussed in high level system-wide operational meetings e.g. Health Gold
4. **Consider** whether the risks are recorded on the correct risk register

## Board Assurance Framework (BAF) and Operational Risk Register (ORR) Risk Movement Report

### 1. Purpose of Report:

This report presents the Board with an overview of the key strategic and operational risks currently affecting Cambridgeshire and Peterborough Integrated Care System (ICS).

The Board Assurance Framework (BAF) provides the Board with an overview of all ICS strategic risks that may affect the Board's cycle of business and the delivery of the ICS strategic aims, in line with current known timeframes and requirements.

The ORR is the key source of evidence that links operational objectives to risks and assurances, which without due mitigation could impact on the operational functions of the ICS and present a risk to the delivery of the strategic objectives.

Collective, the BAF and ORR enables the Board to:

- Identify and understand the principal risks to achieving its strategic objectives
- Identify and understand any significant operational risks that could materialise
- Receive assurance that suitable controls are in place to manage the identified risks.
- Have oversight of what actions are in place, where improvements are needed, and that these are being delivered to agreed timescales.
- Provide an assessment of the risk to achieving the strategic objectives, based on the strength of controls and assurance in place.

### 2. Summary of Key Strategic Risks

The BAF and ORR have been populated via risk identification from the following workstreams:

- Escalation of risks from ICS working groups/committees that may affect the strategic aims of the ICS.
- Identification and escalation of risks from System Leaders
- Identification of risks from Partnership Board
- Identification and escalation of risks from the ICS Leadership Team
- Risks arising from the Operational Plan and Development Plan

### 3. BAF Risk Movement Report

At each reporting cycle, a summary statement of risk movements and highlights will be provided for the previous review period as follows:

	Below Threshold	At Threshold	Above Threshold
--	-----------------	--------------	-----------------

No. of Risks on the BAF	(<15)	(15)	(>15)
11	10	1	0

For the September reporting cycle:

- One risk has been **added** to the BAF:
  - **Risk 32:** The voluntary and community sector is not at the heart of ICS planning, infrastructure and service developments, which would result in a reduced offer to our system and the community it serves.
- **18** risks have been **removed** from the BAF as these have all been moved to the ORR
- There are no **increasing** risks
- There are no **decreasing** risks

#### 4. ORR Risk Movement Report

At each reporting cycle, a summary statement of risk movements and highlights will be provided for the previous review period as follows:

No. of Risks on the ORR	Below Threshold (<12)	At Threshold (12)	Above Threshold (>12)
20	1	9	10

For the September reporting cycle:

- Two risks have been **added** to the ORR:
  - **Risk No. 30:** The capacity to assimilate national guidance into locally adapted governance to support the ICS delivery is not deliverable within the required timescales
  - **Risk No.31:** EAHSN/ARC/AHSC are not aligned on research and application of research for rapid improvement in population health at scale
- Zero risks have been **removed** from the ORR
- There are no **increasing** risks:
- There is one **decreasing** risk:

- **Risk 19:** The closedown of the CGG and transition of its functions to the ICS could lead to the potential risk of destabilising and loss of key members of its leadership team. In turn this could result in a loss of focus on business as usual and the safe delivery of the CCG's statutory functions

## 5. Extreme Risk Escalation and Assurance

There is one risk in September reporting a mitigated score of 20+:

- **Risk 23:** Mechanical Failure of the Main Building Structure (RAAC Panels) at Hinchingsbrooke Hospital (ORR).

This risk is managed locally by North West Anglia NHSFT and there is a comprehensive business continuity plan in place.

There are zero risks on the BAF with an **above threshold score of 16:**

There are ten risks on the ORR with an **above threshold score of 12:**

At appendix 1, a summary of the BAF and ORR is provided that enables the Board to track the monthly movement in risk.

## 6. Exceptions

There are no exceptions to report.

## 7. Risks and Concerns

None to report, other than those risks contained in the report. All risks have been updated this reporting cycle.

## 8. Recommendations

The Board is asked to:

- **Review** the current risks on the BAF and ORR and observe what additional strategic or operational risks may need to be considered.
- **Consider** whether further mitigation need to be considered for the identified risks and whether the current scoring is appropriate
- **Discuss** whether the current risks accurately reflect i) those set out in the Development plan ii) discussions at Partnership Board and iii) are discussed in high level system-wide operational meetings e.g. Health Gold
- **Consider** whether the risks are recorded on the correct risk register