BNSSG ICB  
Risk Management Framework



|  |  |
| --- | --- |
| ***Please complete the table below:***  *To be added by corporate team once policy approved and before placing on website* | |
| **Policy ref no:** | 54 |
| **Responsible Executive Director:** | Sarah Truelove, Deputy CEO |
| **Author and Job Title:** | Sarah Carr, Corporate Secretary |
| **Date Approved:** | 1/7/22 |
| **Approved by:** | ICB Board |
| **Date of next review:** | June 2023 |

**Policy Review Checklist**

|  | **Yes/ No/NA** | **Supporting information** |
| --- | --- | --- |
| Has an Equality Impact Assessment Screening been completed? | Yes | See section 14.1 |
| Has the review taken account of latest Guidance/Legislation? | Yes |  |
| Has legal advice been sought? | N/A |  |
| Has HR been consulted? | N/A |  |
| Have training issues been addressed? | Yes |  |
| Are there other HR related issues that need to be considered? | No |  |
| Has the policy been reviewed by Staff Partnership Forum? | N/A |  |
| Are there financial issues and have they been addressed? | No |  |
| What engagement has there been with patients/members of the public in preparing this policy? | N/A |  |
| Are there linked policies and procedures? | No |  |
| Has the lead Executive Director approved the policy? | Yes |  |
| Which Committees have assured the policy? |  | ICB Board |
| Has an implementation plan been provided? |  | See section 14.2 |
| How will the policy be shared? |  | Published on website |
| Will an audit trail demonstrating receipt of policy by staff be required; how will this be done? | No |  |
| Has a DPIA been considered in regards to this policy? | Yes |  |
| Have Data Protection implications have been considered? | Yes |  |

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Risk Management Framework

# Introduction

This framework describes the arrangements that NHS Bristol, North Somerset and South Gloucestershire Integrated Care Board (ICB) has in place to manage risk. The framework supports the consistent, robust identification and management of risks and opportunities within accepted levels across the ICB. The framework supports openness, challenge, innovation and excellence in the achievement of the ICB’s objectives. The Risk Management Framework sets out the ICB approach to risk management including the systematic identification, assessment, treatment and monitoring of risk.

This framework incorporates the key principles described in “The Orange Book – Management of Risk – Principles and Concepts” (HM Government 2020)

* Risk management is an essential part of governance and leadership, fundamental to how the organisation is directed, managed and controlled at all levels
* Risk management is integral to all organisational activities, supporting decision-making and the achievement of objectives, incorporated within strategic and operational planning processes at all levels across the CG
* Risk management is collaborative and informed by the best available information and expertise
* Risk management processes include: risk identification and assessment, risk treatment, risk reporting and continual improvement

The ICB will:

* ensure all staff are provided with appropriate guidance and training on the principles of risk management and their responsibilities to implement risk management effectively
* foster a culture of openness that encourages organisation wide learning.
* develop an appropriate risk management culture and will regularly review and monitor the implementation and effectiveness of the risk management process.

The ICB recognises it is impossible to eliminate all risk from its activities and that systems of control should not stifle innovation and the imaginative use of limited resources to achieve health benefits for the population of Bristol, North Somerset and South Gloucestershire.

The ICB acknowledges the need for all of its commissioned services to have in place rigorous risk management systems and processes as described in the Francis Report (May 2013).

The values of the organisation https://bnssgccg.nhs.uk/about-us/our-values/ support our risk culture and our risk management framework supports our values through an open, fair and positive learning culture.

# Purpose and scope

This framework applies to all areas of our operations and to all ICB staff, regardless of whether they are directly employed or hold a corporate or clinical role. For the purposes of this document ‘employees’ includes BNSSG ICB staff, ICB Board members, executive officers, lay members (including co-opted members), those with honorary contracts, volunteers, contractors and trainees.

The purpose of this framework is to:

* Ensure robust governance and risk management arrangements to support the delivery of the ICB’s strategic and operational objectives
* Ensure commissioning of high quality and safe patient care and maximise the resources available for patient services
* Develop a proactive approach to identification of understanding of risks inherent in and external to the ICB
* Minimise the ICB’s exposure to financial risk
* Maintain an effective system of internal control across the ICB
* Reduce risks to the health, safety and welfare of patients, staff and those who may be affected by the ICB’s activities, to the lowest level it is reasonably practicable to achieve
* Ensure that risks are managed effectively, consistently and systematically throughout the ICB
* Set a risk appetite, ie the extent to which the ICB accepts levels of risk exposure in the pursuit of their objectives. Risk appetite is contextual, for example, the acceptance level may be higher in cases where significant change is involved
* Clearly define roles, responsibility, ownership of risks and associated action plans for the management of risk
* Comply with national standards regarding risk management

The ICB is committed to the continued development of partnership working and will work closely with all partner organisations to achieve a shared ownership of risks facing the health economy and the solutions that are implemented.

The ICB expects risk management to be a priority for all those organisations from whom the ICB commissions services and will require evidence of robust risk management systems.

# Definitions/explanations of terms used

The following definitions are taken from the Australian/New Zealand Standard for Risk Management AS/NZS 4360:2004

Risk: “the chance of something happening that will have an impact on objectives.” Risk may have a positive or negative impact.

Risk identification: “the process of determining what, where, when, why and how something could happen”

Risk analysis: “the systematic process to understand the nature of and to deduce the level of risk”

Risk evaluation: “the process of comparing the level of risk against risk criteria”

Risk criteria: “the terms of reference used to assess the significance of risk”. These can include costs and benefits, legal and statutory requirements, and other aspects such as the concerns of stakeholders.

Risk assessment; “the overall process of risk identification, risk analysis and risk evaluation”

Risk management: “the culture, processes and structures that are directed towards effective management of potential opportunities and adverse effects.”

Risk management process: “the systematic application of management policies, procedures and practices to the tasks of establishing the context, identifying and analysing, evaluating, treating, monitoring and reviewing risk’.

Risk Appetite: ‘the amount of risk that an organisation is prepared to accept, tolerate or be exposed to at any point on time’ (HMT Orange Book 2005).

# Risk Appetite

We recognise that decisions about our level of exposure to risk must be taken in context. We are committed, however, to a proactive approach and will take risks where we are persuaded that there is potential for benefit to patient outcomes/experience, service quality and/or value for money. We will not compromise patient safety; where we engage in risk strategies we will ensure they are actively monitored and managed. We will not hesitate to withdraw our exposure if benefits fail to materialise.

Our risk appetite takes into account our capacity for risk, that is, the amount of risk we are able to shoulder before we breach our statutory obligations and duties. Our capacity for risk is also delineated by the risks our stakeholders are willing to bear.

Our risk appetite statement is dynamic and its drafting is an iterative process that reflects the challenging environment facing the ICB and the wider NHS. We will review our risk appetite statement at least annually.

The risk appetite is set by the ICB Board.

# Governance Structure

The ICB has in place a constitution that describes the governance arrangements established to ensure that it meets its duties and obligations. These arrangements include the ICB Board underpinned by supporting committees. Key committees with responsibility for the management of risks are the Audit, Committee, the Outcomes, Quality and Performance Committee, and Finance, Digital and Estates Committee. These committees are responsible for the review and scrutiny of specific risks, seeking assurance that risks are properly managed. If a committee is not assured that risks are being properly managed that concern is to be escalated to the ICB Board. A diagram of the governance structure is at appendix 5.

**The ICB Board**

The ICB Board has a duty to assure itself that the ICB has properly identified the risks it faces and that the ICB has appropriate controls in place to manage those risks. The ICB Board will:

* Demonstrate leadership, active involvement and support for risk management
* Ensure roles and responsibilities for risk management are clear
* Ensure it is satisfied that key and emerging risks to the ICB have been identified and managed appropriately
* Ensure that there is a structure in place for the effective management of risk throughout the ICB
* Review and approve the Risk Management Framework on an annual basis
* Identify strategic objectives and the principal risks to these
* Establish a ICB Board Assurance Framework
* Review and approve the level of risk the ICB is willing to accept
* Review risks reported via the ICB Board Assurance Framework and the Corporate Risk Register at least quarterly and
* Exercise challenge regarding risks and the effectiveness of controls and mitigations
* Seek assurance regarding risks and the effectiveness of controls and mitigations
* Ensures the ICB’s risk appetite is defined and clearly communicated

Notwithstanding the requirements set out above, significant issues will be bought to the ICB Board’s attention more rapidly when required and all ICB Board reports include a section for the balanced assessment of risks. The ICB Board will monitor the quality of information received to ensure it is sufficient to allow for effective decision-making.

The ICB Board must be informed of and where necessary, consulted on all significant risks that arise from the commissioning of services. Risks associated with commissioned services must be systematically identified, assessed and analysed in the same way as other risks to the organisation. Risks relating to commissioned services assessed as scoring 15 or over will be escalated to the Corporate risk Register to provide a complete risk profile of the organisation to ICB Board.

**The Audit and Risk Committee**

The Audit and Risk Committee is accountable to the ICB Board and provides an independent and objective view of our systems, information and compliance with laws, regulations and obligations. The Committee is responsible for agreeing the scope of the annual internal audit programme to obtain assurance regarding the ICB’s internal system of control. The Audit and Risk Committee reviews the establishment and maintenance of an effective system of integrated governance, risk management and internal control across the whole of the ICB’s activities. The Audit and Risk Committee reviews the Corporate Risk Register and the ICB Board Assurance Framework as standing item agenda items at its meetings.

**The Outcomes, Performance and Quality Committee**

The Committee is accountable to the ICB Board. It oversees and seeks assurances on the systems and processes which the ICB uses to ensure patient safety and improve the quality of services for its population*.* The Committee also oversees and seeks assurance on the delivery of outcomes and matters related to performance. The Committeeis responsible for the review and scrutiny of risks that are relevant to its business, and ensuring that appropriate and effective mitigating actions are in place. The Committee reviews and monitors risks relating to outcomes, performance quality, patient safety and patient experience. Risks assigned to the Committee for review are indicated on both the Corporate Risk Register and the ICB Board Assurance Framework. The Committee reviews the Corporate Risk Register and ICB Board Assurance Framework as standing agenda items at its meetings.

**The Finance, Digital and Estates Committee**

The Committee is accountable to the ICB Board and makes recommendations to the ICB Board so that set financial objectives are achieved. The Committee monitors financial activity and budgets and progress against plan. The Committee has oversight of risks that relate to strategic financial risks. The Committeeis responsible for the review and scrutiny of risks that are relevant to its business, and ensuring that appropriate and effective mitigating actions are in place Risks assigned to the Committee for review are indicated on both the Corporate Risk Register and the ICB Board Assurance Framework. The Committee reviews the Corporate Risk Register and ICB Board Assurance Framework as standing agenda items at its meetings.

**The Primary Care Commissioning Committee**

The Primary Care Commissioning Committee oversees and seeks assurance on issues relating to the commissioning of primary care services under delegated authority from NHS England. The Committeeis responsible for the review and scrutiny of risks that are relevant to its business, and ensuring that appropriate and effective mitigating actions are in place. The Committee reviews the Corporate Risk Register and the ICB Board Assurance Framework quarterly.

**The People Committee**

The People Committee oversees and seeks assurance on matters associated with system and ICB workforce. It challenges and scrutinises workforce risks, ensuring they are understood and mitigating actions are identified and implemented.

# Responsibilities and Accountabilities

**All staff**

The management of risk is one of the fundamental duties of all employees who must have a sense of ownership for, and commitment to, identifying and minimising risks. The day to day management of risk is the responsibility of all staff

All staff must:

* Accept personal responsibility for maintaining a safe environment, which includes being aware of their duty under legislation to take reasonable care of their own safety and all others that may be affected by the ICB’s business
* Comply with the ICB’s policies, procedures and guidelines
* Ensure incidents, claims and complaints are reported using the appropriate procedures
* Be responsible for completing/attending mandatory, statutory and relevant education and training events
* Participate in the risk management process in a timely way, including the assessment of risk within their area of work and the notification to their line manager of any perceived risk which may not have been assessed
* Be aware of the Risk Management Framework risk appetite and processes and comply with them.

Project Management

The ICB has adopted a Programme Management Office (PMO) approach and the management of risk is embedded in this process. Project risk management enables the systematic identification, clarification and management of risk through the lifespan of a project. Project risk management helps to both control the probability of an adverse event materialising and mitigate the impact of an adverse risk event. Where Projects are managed as a Programme then there may be a need for risk assessment at both Project and Programme level as Projects may be interdependent.

**Managers**

Managers at all levels have a responsibility to ensure that they are familiar with the Risk Management Framework, including the timely maintenance of risk registers, risk assessment methods and risk scoring.

* Managers are accountable for the day-to-day management of risks within their respective areas of responsibility, including assurance that appropriate controls are in place and that action plans are owned, being progressed and monitored.
* Managers with line-management responsibilities must ensure that their staff are aware of the Risk Management Framework and their individual responsibilities for managing risks. This requirement is important when delivering local induction for new starters.

**Risk Leads**

Risk leads responsibilities include:

* embedding risk management processes across their directorates/teams.
* raising awareness of the Risk Management Framework across their directorates/teams
* Taking a lead role in the maintenance of risk registers and ensuring risks that meet the tolerance level of 15 or higher are escalated and managed on the Corporate Risk Register

**The Corporate Secretary**

The Corporate Secretary is responsible for:

* Developing and overseeing effective risk management systems including timetabling activities for others’ contributions
* Developing a Risk Management Framework and associated policies and procedures
* Working with Executives, Risk Owners and Senior Managers to co-ordinate and implement the Risk Management Framework
* Establishing and maintaining an effective ICB Board Assurance Framework process
* Establishing and maintaining an effective corporate risk register process
* Raising awareness regarding the management of risk, the Risk Management Framework and the tools used by the ICB to facilitate risk management
* Support staff in the implementation of the Risk Management Framework and Policy and the tools used by the ICB to facilitate risk management
* Ensure appropriate training and development for staff is in place as required

**Associate Director of Corporate Services**

The Associate Director for Corporate Services is responsible for ensuring the ICB maintains a robust risk management process and will oversee the Risk Management Framework.

**The Executive Team**

The Executive team is responsible for identifying risks to be placed on the Corporate Risk Register and ICB Board Assurance Framework. The Executive Team meetings are the forum for peer review of the Corporate Risk Register and ICB Board Assurance Framework at least quarterly. Directors will incorporate risk management within all aspects of their work and are responsible for directing the implementation of the ICB Risk Management Framework by:

* Demonstrating leadership, active involvement and support for risk management
* Ensuring that staff accountable to them understand and pursue risk management in their areas of responsibility
* Setting personal objectives for risk management and monitoring their achievement
* Ensuring risk are identified and managed, and mitigating actions implemented in functions for which they are accountable
* Ensuring action plans for risks relating to their respective areas are prepared and reviewed on a regular basis
* Ensuring a Directorate Risk Register is established and maintained that relates to their areas of responsibility and to involve staff in this process to promote ownership of the risks identified
* Signing off Directorate Risk Registers
* To ensure Directorate Risk Leads and Directorate Risk Administrators are identified to support the implementation of the Risk Management Framework within the directorate.
* Ensuring risks are escalated when they are of a strategic nature to the Corporate Risk Register, and the attention of the ICB Board and Primary Care Commissioning Committee.

**The Chief Executive - Accountable Officer**

The Chief Executive has overall responsibility for having an effective risk management system in place within the ICB that enables the maintenance of a sound system of internal control. The system of internal controls supports the achievement of the ICB’s strategic objectives. The Chief Executive has responsibility for ensuring the ICB meets all statutory requirements and adheres to guidance issued by the Department of Health in respect of Governance. The Chief Executive is specifically responsible for:

* Continually promoting risk management and demonstrating leadership, involvement and support,
* Ensuring an appropriate committee structure is in place with regular reports to the ICB Board and Primary Care Commissioning Committee
* Ensuring roles and responsibilities regarding risk management are communicated, understood and embedded at all levels,
* Ensuring that directors and senior managers are appointed with managerial responsibility for risk management
* Ensuring appropriate policies, procedures and guidelines are in place and operated throughout the ICB

**The Director with Lead for Risk Management**

The Director with lead for risk management is the Chief Finance Officer. The Director with lead for risk management facilitates the risk management process and:

* Ensures there is a an effective risk management system in place throughout the ICB
* Ensuring all risk registers are regularly reviewed and updated
* Ensuring that there is appropriate external review of the ICB’s risk management systems and that any recommendations are acted on
* Has responsibility for Information Governance arrangements within the ICB and is the Senior Information Risk Owner (SIRO).

**The Lay Member with lead role for Audit and Risk**

The Lay Member on the ICB Board with the lead role for overseeing audit, governance and risk will have the skills, knowledge and experience to assess and confirm that appropriate systems of internal control and assurance are in place for all aspects of governance including financial and risk management.

# Risk Management Process

Risk management processes will be conducted systematically, iteratively and in collaboratively. They will draw on the knowledge and views of experts and stakeholders. To support risk management there will be appropriate communication and consultation with internal and external stakeholders. Communication will support sharing of information and promoting awareness and understanding of risks. Communication and consultation with appropriate stakeholders will assist the understanding of the risks faced, the basis for decision-making and the reasons why particular actions are required. Communication and consultation will:

* Bring together different functions and areas of professional expertise in the management of risk
* Ensure that different views are appropriately considered
* Provide sufficient information and evidence to support oversight and decision-making
* Build a sense of ownership and inclusion among those affected by risk

**The risk management process structure**

(HM Government ‘The Orange Book’)

Risk assessment incorporates risk analysis and risk evaluation

## Risk Identification

The following factors and the relationships between them should be considered when identifying risks:

* Tangible and intangible sources of risk
* Changes in the internal and external context
* Uncertainties and assumptions within options, strategies and plans
* Indicators of emerging risks
* Limitations of knowledge and reliability of information

Each Directorate will ensure that risks are identified within their area of business and escalated where appropriate. The description of risks will follow best practice:

**If** (cause) **then** (risk event) **resulting in** (effect/impact)

Risks will be proactively identified through (but not limited to):

* Top-down assessment of strategic risks involving ICB Board, Primary Care Commissioning Committee, Executive Team and wider management
* Bottom up reporting and risk discussions
* Project risks identified by the Programme Management approach
* Assessment of emerging risks and horizon scanning
* Risk identification to support business planning and determining strategic priorities

When a risk has been identified and described, risk ownership needs to be agreed and assigned. A member of the Executive Team will own the risk and identify an appropriate lead.

## Risk Analysis

Risk analysis supports a detailed consideration of the nature and level of risk. To ensure a consistent interpretation and application when defining the level of risk the ICB has adopted a risk scoring matrix and the categories of risk set out in the NPSA “A Risk matrix for Managers” (2208) (appendix 3).

The risk analysis takes into account an assessment of the likelihoodof a risk occurring and the consequences should the event happen.

## Risk Evaluation and Treatment

Risk evaluation involves comparing the results of a risk analysis with the ICB’s tolerance and appetite for risk. This supports decisions regarding what action is required. Options may involve:

* Avoiding the risk by deciding not to start or continue with the activity (terminating)
* Taking or increasing the risk in order to gain an opportunity (tolerating)
* Retaining the risk by informed decision making (tolerating)
* Changing the likelihood or consequences (treating)
* Sharing the risk with partners (transferring)

The risk assessment process will result in:

* A risk description
* Risk scores for the unmitigated risk and for the current risk
* The controls already in place to manage the risk
* The actions required to treat the risk
* The risk owner and risk lead who are accountable and responsible for implementing the actions
* Key performance measures and control indicators
* When actions are expected to be undertaken and completed
* The target level of risk, which is the level of risk following the application of existing controls and additional mitigations.

The outputs of the risk assessment are reported through the Directorate and Corporate Risk Registers and through the ICB Board Assurance Framework.

## Risk Monitoring

The ongoing monitoring of risks and risk treatments provides an understanding of the extent to which the controls in place and additional mitigating actions are operating. This provides assurance about the management of risks. The outcomes of the management actions taken will be reported in performance reports and in other subject specific reports received by the ICB Board and Committees. The impact of management actions will also be reported as the current risk score on Directorate Risk Registers, the Corporate Risk Register and the ICB Board Assurance Framework.

## Risk Reporting

Risks are reported to the ICB Board and Committees through the Corporate Risk Register and the ICB Board Assurance Framework. Risks are also highlighted in specific reports to the ICB Board and Committees; in this case risks will also be reported on the appropriate registers.

The Corporate Risk Register is underpinned by Directorate Risk Registers. Directorate, Project and Corporate Risk Registers. Major programmes and all projects will also maintain risk registers which will be managed and reviewed by the Project Lead and reported to the Executive Director Lead. The Directorate and project risk registers are ‘live’ documents and will be updated whenever a new risk is identified or the level of a risk is considered to have changed. The Directorate and Project Risk Registers are updated on a monthly basis. All risk owners are responsible for monitoring and updating progress to reduce risks and ensure that mitigating actions are completed. The Corporate Risk Register details the high level risks of the organisation i.e. those scoring 15 or more. (Appendix 4) Once shown on the Corporate Risk Register only the ICB Board can close the risk however ownership remains with the relevant Director and risk owner.

The reporting arrangements for the Corporate Risk Register and Directorate Risk Registers is described below:

|  |  |  |
| --- | --- | --- |
| Directorate Risk Registers | | Timescale |
| Maintenance coordination including the addition of new risks | Designated person in each Directorate | Ongoing and at least monthly |
| Updating | Risk Owners | Ongoing and at least monthly |
| Review and Sign off | Directors | Ongoing and at least monthly |
| Monitoring | Directorate senior management | Ongoing |
| Project Risk Registers | | Timescale |
| Maintenance coordination | Designated project lead | Ongoing and at least monthly |
| Updating | Risk Owners | Ongoing and at least monthly |
| Review and Sign off | Project Director | Ongoing and at least monthly |
| Monitoring | project senior management | Ongoing |
| Corporate Risk Register and ICB Board Assurance Framework | | Timescale |
| Maintenance coordination | Corporate Secretary | Ongoing and at least monthly |
| Updating | Risk Owners | Ongoing and at least monthly |
| Review and sign off | Directors | Ongoing and at least monthly |
| Monitoring  review and scrutiny of risks that are relevant to its business, and ensuring that appropriate and effective mitigating actions are in place | Finance, Digital, and Estates Committee  Outcomes, Performance and Quality Committee  PCCC | Monthly |
| review the establishment and maintenance of an effective system of integrated governance, risk management and internal control | Audit and Risk Committee | Each meeting |
| Exercise challenge regarding risks and the effectiveness of controls and mitigations  Seek assurance regarding risks and the effectiveness of controls and mitigations | ICB Board | Quarterly |

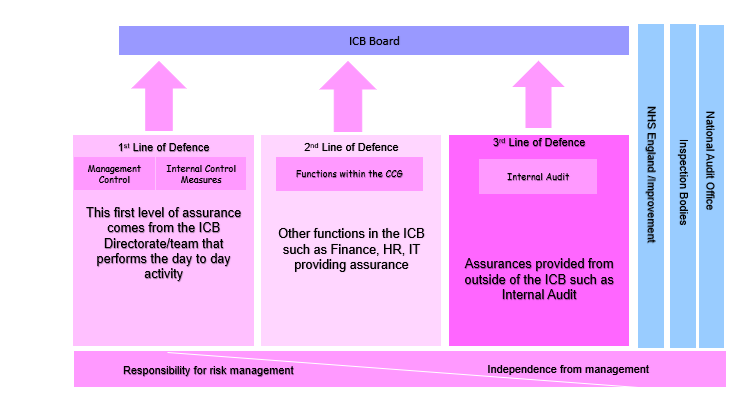
# Assurance Framework

The principal objectives for the ICB and their associated risks, as agreed by the ICB Board, are set out in the ICB Board Assurance Framework. The ICB Board Assurance Framework enables the ICB Board to satisfy itself that risk to achieving the ICB’s principal objectives are managed effectively. The ICB Board Assurance Framework identifies the controls in place to mitigate risks and the assurances available to the ICB Board that the risks are being managed. The ICB Board Assurance Framework indicates where there are potential gaps in controls and assurances and provides a summary of the actions in place to resolve these gaps. The target risk score for each risk is given on the ICB Board Assurance Framework.

The ICB Board committees: the Finance, Digital and Estates Committee, and the Outcomes, Quality and Performance Committee, have oversight of relevant risks on the ICB Board Assurance Framework. The committees review those risks on a monthly basis to gain assurance of progress to manage risks and close all identified gaps. The Audit and Risk Committee reviews the ICB Board Assurance Framework at each meeting as part of the maintenance of the system of integrated governance, risk management and internal control. The ICB Board receives the ICB Board Assurance Framework quarterly and seeks assurance regarding the effectiveness of controls and mitigations.

## Levels of Assurance

Assurance is the sufficient and appropriate evidence that a risk is well managed and being mitigated. Assurance may be either positive or negative and may be generated either internally or externally. Assurance provided by external bodies is considered to be stronger sources of assurance. The “three lines of defence” model (HM Government ‘The Orange Book’) describes how risk management responsibilities and assurances combine. The ICB Board is not a line of defence as it has responsibility and accountability for setting the ICB’s objectives, strategies to achieve these objectives and establishing roles, structures and process to manage risks in achieving objectives. The following diagram explains the relationship between the challenge and scrutiny function of the ICB Board and the three sources of assurance it receives.



(Adapted from HM Government “The Orange Book” 2020)

## Assurance Mapping

An Assurance Map provides clarity regarding the sources of assurance available:

* Providing a comparison of activities and types of assurance obtained
* Allowing for gaps in assurances to be identified
* Identifying where assurances are duplicated or repeated

The Audit and Risk Committee will receive an annual Assurance Map.

# Training requirements

To ensure the successful implementation of the Risk Management Framework employees will receive risk management training relevant to their roles and responsibilities. Additionally the ICB will ensure:

* Annual Risk Management Training for the ICB Board and Executive
* Risk management training as part of the Programme Management Office approach with support from the Corporate Services function
* Annual awareness sessions for Directorates provided by the Corporate Services function with support from the Directorate Risk Leads

# Equality Impact Assessment

A completed Equality Impact Assessment has been completed and is at appendix 1.

# Implementation and Monitoring Compliance and Effectiveness

The ICB will monitor compliance and the effectiveness of this Framework through the overview and scrutiny of the ICB Board and the Audit, Governance and Risk Committee and through the annual review of governance arrangements. An implementation plan is at appendix 2.

# Countering Fraud

The ICB is committed to reducing fraud in the NHS to a minimum, keeping it at that level and putting funds stolen through fraud back into patient care.  Therefore, Counter Fraud risks in all relevant Directorates have been created by the Local Counter Fraud Specialist and assessed by Risk Leads.

# References, acknowledgements and associated documents

ICB Constitution, Standing Orders and Scheme of Reservation and Delegation

Standing Financial Instructions

Conflicts of Interest Policy

Gifts and Hospitality Policy

Health and Safety Policy

Incident Report Policy

Serious Incident Reporting Policy

Freedom to Speak Up Policy

Management of Compliments, General Enquiries and Complaints Policy

# Appendices

Appendix 1 Equality Impact Assessment

Appendix 2 Implementation Plan

Appendix 3 Risk Assessment Scoring Guidelines

Appendix 4 Corporate and Directorate Risk Register Template

Appendix 5 Governance Structure

## Equality Impact Assessment

|  |  |  |
| --- | --- | --- |
| Equality Impact Assessment Screening | | |
| Query | Response | |
| What is the aim of the document? | To set out the ICB ’s Risk Management Framework, process and procedures and detail the governance arrangements and staff responsibilities | |
| Who is the target audience of the  document (which staff groups)? | All staff | |
| Who is it likely to impact on and  how? | Staff | yes in that it describes the way in which staff are required to declare all interests as set out in the policy. It does not have an impact on staff in terms of Equalities and Human Rights (see below) |
| Patients | no |
| Visitors | no |
| Carers | no |
| Other – governors, volunteers etc | yes – all those defined as staff in the policy are mandated to follow the framework. It does not have an impact in terms of Equalities and Human Rights (see below) |
| Does the document affect one group more or less favourably than another based on the ‘protected characteristics’ in the Equality Act  2010: | Age (younger and older people) | no |
| Disability (includes physical and sensory impairments, learning disabilities, mental health) | no |
| Gender (men or women) | no |
| Pregnancy and maternity | no |
| Race (includes ethnicity as well as gypsy travellers) | no |
| Sexual Orientation (lesbian, gay and bisexual people) | no |
| Transgender people | no |
| Groups at risk of stigma or social exclusion (e.g. offenders, homeless people) | no |
| Human Rights (particularly rights to privacy, dignity, liberty and non-degrading treatment) | no – the ICB has in place to ensure that rights to privacy are protected |

## Implementation Plan

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Target Group** | **Implementation or Training objective** | **Method** | **Lead** | **Target start date** | **Target End date** | **Resources Required** |
| ICB Board | Ensure GB is aware of ICB’s responsibilities for risk management and provide assurance that appropriate process is established to ensure legal compliance  A risk appetite statement is agreed by the ICB Board and clearly communicated across the organisation | Board training on Risk Management provided  Cover paper to the policy to be presented to the ICB Board  Board session in December to focus in Risk Appetite | CFO  Corp Sec  CFO/ Corp Sec |  |  | ICB Board /staff time  ICB Board /staff time  ICB Board ICB Board /staff time |
| AGR Committee | Ensure ARC is aware of ICB’s responsibilities for risk management and provide assurance that appropriate process is established to ensure legal compliance | Policy reviewed by ARC | corp sec |  |  | Committee /staff time |
| Executive Directors | Ensure awareness of responsibilities of   * ICB process to ensure compliance * Individual Executive Director responsibilities * Directorate Responsibilities | Risk Management training  ongoing support in 1:1 with corp sec | RSM  corp sec |  |  | staff time |
| Risk Leads | ensure risk leads aware of requirements of role including supporting directorates with risk management process and risk management training | updates through risk leads meetings | corp sec |  |  |  |
| All Staff | Ensure awareness of ICB processes and procedures | Training offered by PMO Team available to all staff  Framework to be placed on website  Information about the policy and ICB process to be communicated through internal newsletter  Awareness raising with directorates at appropriate team meetings | PMO  Corp sec  corp sec/Risk Leads |  |  |  |