

Meeting of BNSSG ICB Board

Date: Thursday 7th September 2023

Time: 12.15pm

Location: Vassall Centre, Gill Avenue, Bristol, BS16 2QQ

Agenda Number :	6.3	
Title:	BNSSG ICB and ICS Risk Registers	
Confidential Papers	Commercially Sensitive	No
	Legally Sensitive	No
	Contains Patient Identifiable data	No
	Financially Sensitive	No
	Time Sensitive – not for public release at this time	No
	Other (Please state)	N/A
Purpose: For discussion and decision		
Key Points for Discussion:		
Building on the discussion at ICB Board and the principles set out in the paper presented at the meeting on 06 July 2023 this paper proposes specific Risk Management principles in relation to ICB Corporate Risks and ICS Risks. Risk Registers are appended to this paper for consideration and approval.		
Recommendations:	<ul style="list-style-type: none"> To review and debate the content of this paper. To provide a response against each of the recommendations in the summary table in Section 7. 	
Previously Considered By and feedback :	<ul style="list-style-type: none"> BNSSG ICS Risk-Management Framework: Approved by the ICB Board in March 2023. BNSSG ICS Strategic Risk Register Development Paper: Reviewed by Audit & Risk Committee in April 2023 and the ICB Board in May 2023. Proposed Risk Appetite Statements presented in this paper reviewed by Audit & Risk Committee in June 2023. The principles of the Frameworks presented in this paper have been shared with Health & Care Improvement Groups and ICB Executives as they have been developed. 	
Management of Declared Interest:	There are no declared interests in the development of these risk management principles.	
Risk and Assurance:	The purpose of this paper is to establish the principles of the management and oversight of ICB Corporate and ICS risks.	
Financial / Resource Implications:	<p>There is limited financial implications of establishing and managing these Risk Registers. However, the robust and accurate population of these Risk Registers will require resource and input from:</p> <ul style="list-style-type: none"> - All ICS partner organisations, specifically Risk Managers. 	



	<ul style="list-style-type: none"> - ICS Groups in the (proposed) Operating & Decision-Making Framework and Oversight Framework. <p>There will also be benefit in resourcing a bespoke system for recording risks which can derive reports efficiently.</p>
Legal, Policy and Regulatory Requirements:	It is a regulatory requirement that ICBs have a robust plan for the management of operational and strategic risk. This paper proposes Risk Management Principles to address this requirement.
How does this reduce Health Inequalities:	The purpose of this paper is to propose mechanisms for shared awareness and management of risks that affect the ICS and its constituent partner organisations in delivering health and care services, these include the risk associated with not reducing health inequalities. However, it is noted that while the proposed ICS Groups to manage risks are being established, there is a risk that the ICS is not focussed on the risks to not reducing health inequalities, inadvertently causing them to widen. To reduce this risk, the recommendations presented in this paper should be acted on with pace.
How does this impact on Equality & diversity	The purpose of this paper is to propose mechanisms for shared awareness and management of risks that affect the ICS and its constituent partner organisations in delivering health and care services, these include the risk associated with impacting equality and diversity. However, it is noted that while the proposed ICS Groups to manage risks are being established, there is a risk that the ICS is not focussed on the risks that impact equality and diversity, inadvertently having a negative impact. To reduce this risk, the recommendations presented in this paper should be acted on with pace.
Patient and Public Involvement:	There has been no patient or public involvement in the development of these management principles.
Communications and Engagement:	Subject to the recommendations of this paper being approved, the ICB Risk Management Policy will be updated and shared widely. The ICB Communications Team is also planning a Resource Pack that explains 'how we do things around here'. This will include a section on Risk Management in accordance with the recommendations of this paper.
Author(s):	Ellie Wetz, ICS Development Programme Manager Rob Hayday, Chief of Staff
Sponsoring Director / Clinical Lead / Lay Member:	Sarah Truelove, Deputy Chief Executive and Director of Finance

Agenda item: 6.3

Report title: BNSSG ICB Corporate and ICS Risk Registers

1. Background

Further to the presentation of a [paper](#) at the 06 July 2023 ICB Board which set out proposed risk management principles, this paper formally requests approval from the ICB Board for the establishment and management of two Risk Registers in accordance with the recommendations of this paper.

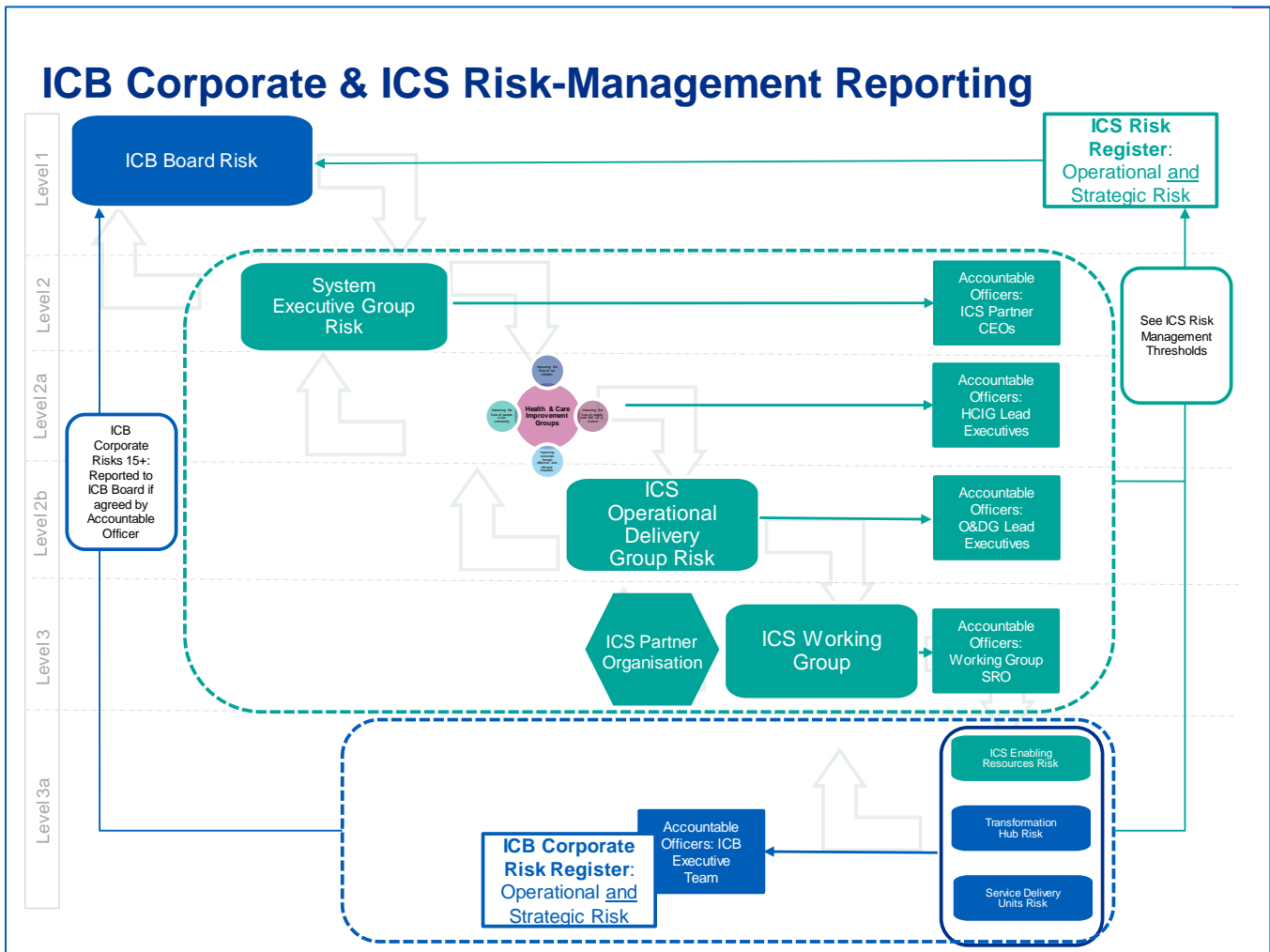
ICB Corporate Risk Register	Operational	See Section 3.1
	Strategic	See Section 3.2
ICS Risk Register	Operational	See Section 4.1
	Strategic	See Section 4.2

2. ICB Corporate and ICS Risk Management Principles

The [paper](#) presented at the 06 July 2023 ICB Board proposed the following principles for ICB Corporate and ICS Risk Management:

An ICS risk is a risk **held in common** between health and/or care partner organisations which cannot be controlled or mitigated by sovereign partners in isolation.

ICS risks will be managed through the collective identification, assessment and mitigation of risks where improved outcomes can be achieved by ICS partners working together through shared accountability arrangements.



3. ICB Corporate Risk Register

3.1 ICB Corporate Risk Register: Operational

Appendix 1 presents the proposed ICB Corporate Risk register. This is an assimilation of all risks identified through the ICB Executive Team structures scoring 15+.

ICB Executives are the delegated accountable officers for maintaining this risk register and all necessary controls or mitigations of these risks.

Recommendation:

1. The ICB Board approves the presentation of the ICB Corporate Risk Register (Operational).
2. The ICB Board reviews the risks identified and associated controls and mitigations on the ICB Corporate Risk Register (Operational) and accepts they are fit for purpose.

3.2 ICB Corporate Risk Register: Strategic

The ICB, as a sovereign ICS partner organisations is a contributor to the delivery of the BNSSG Integrated Care Strategy (published June 2023), developed by the BNSSG Integrated Care Partnership. There are risks associated with the ICBs contribution to the delivery of the strategy, as well as strategic risks of failing to deliver the requirements of the ICBs regulators (NHS England and the Care Quality Commission).

The ICB Strategic Risks and management plans are not yet defined. The accountable officers for these ICB Strategic Risks are the ICB Executive Team.

Recommendation:

3. **The ICB Executive Team identify the ICB Strategic Risks, escalating those with a residual score of 15+ to the ICB Board at the meeting in December 2023.**

4. ICS Risk Register

4.1 ICS Risk Register: Operational

Appendix 2 presents an ICS Risk Register illustratively populated with risks identified by ICB directorates.

Recommendation:

4. **The ICB Board reviews and agrees the format of the ICS Risk Register (Operational).**

4.1.1 ICS Partner Risk Managers Network

To support the collaborative approach to the oversight, identification, management and control of ICS Risks, this paper proposes establishing an ICS Partner Risk Managers Network.

The purpose of this network is to:

- Share collective responsibility for the identification, controls and mitigations of ICS Risks and the maintenance of an ICS Risk Register.
- Share insights and learning.
- Moderate and standardise ICS Risk assessments.

The network will be coordinated and supported by the ICBs Chief of Staff (meeting rhythm to be determined but recommended at least quarterly; to be considered bi-monthly as the Network is established). It will report to the System Executive Group and seek scrutiny/assurance from the ICBs Audit & Risk Committee.

Recommendation:

5. **ICB Board delegates responsibility to System Executive Group to:**
 - a. **Identify and resource an ICS Risk Managers Network¹ with collective responsibility for the management and moderation of the ICS Risk Register (Operational).**

¹ A meeting of ICS Partner Risk Managers has been arranged for September 2023. The recommendations of this paper would provide this group with a mandate and work programme.

- b. Allocate appropriate resource from their organisations to actively contribute to the identification of ICS risks and management of an ICS Risk Register (Operational).**

4.1.2 ICS Groups

ICS Groups: System Executive Group, Health & Care Improvement Groups (HCIGs) and their supporting Operating & Decision-Making Groups, are currently forming and defining their work programmes at varying paces across the ICS. This paper proposes that each of these groups identifies the risks associated with the delivery of their agreed work programmes and reviews these on a quarterly basis, escalating to the ICB Board in accordance with the thresholds proposed in **Appendix 3**.

ICS Oversight Groups will not have Accountable Officers. However, they will provide valuable intelligence on the risks to the ICS achieving its strategic objectives, commitments set out in the joint forward plan or new and emerging risks. Any ICS Risks identified by ICS Oversight Groups should be escalated directly to the appropriate group within the ICS Operating & Delivery Framework.

Risks identified for escalation to the ICB Board by the ICS Groups will be included on the ICS Risk Register (Operational), moderated by the ICS Risk Managers Network.

Recommendation:

- 6. The ICB Board delegates responsibility to ICS Group Chairs to identify ICS risks to the delivery of their work programmes, escalating them in accordance with the defined thresholds.**
- 7. ICB Board delegates responsibility to the ICS Partner Risk Managers Network to moderate the risks identified by the ICS Groups for inclusion on the ICS Risk Register (Operational).**
- 8. The ICS Partner Risk Managers Network presents a populated ICS Risk Register to the ICBs Audit & Risk Committee in November 2023, and the ICB Board in December 2023.**

4.2 ICS Risk Register: Strategic

In January 2023, the ICB Board members attended a seminar exploring the principles of ICS strategic risks using the Bow Tie Method for Risk Management. At that time, the BNSSG Integrated Care Strategy had not been developed so the risks identified were based on an assessment of not achieving the four purposes of the ICS².

The ICS Strategic Risks identified at that time were summarised as:

- i. Complexity of regulatory environment complicates ability to achieve outcomes.
- ii. Inability to recruit and retain skilled workforce.

² Purpose of the ICS: improve outcomes in population health and healthcare; tackle inequalities in outcomes, experience and access; enhance productivity and value for money; help the NHS support broader social and economic development.

- iii. Operational pressures
- iv. Insufficient connection to the community
- v. Funding constraints
- vi. Lack of visible data across all system partners
- vii. Insufficient understanding of wider system and relative impacts and options
- viii. Cultural barriers between organisations / Ineffective and non-collaborative system relationships.
- ix. Procurement, employment and contractual restrictions
- x. Resistance/reluctance to seek/exploit innovations.
- xi. National trend of decreasing economic activity
- xii. Social determinants of poor health

This paper requests that the ICB Board assess whether these are an appropriate articulation of the risks of not achieving the objectives of the BNSSG Integrated Care Strategy (see **Appendix 4** for the Strategy on a Page). If they are, then the next step will be to allocate accountability to ICB Board members/ICB Executives for each of these risks and risk management plans, including a summary of the controls, gaps in assurance and mitigating action. It is proposed that this information is collated and reviewed by the ICB Board on a quarterly basis (start December 2023).

Recommendation:

- 9. The ICB Board reviews the ICS Strategic Risks and takes a view on whether they are an appropriate articulation of the risks of not achieving the objectives of the BNSSG Integrated Care Strategy.**
- 10. The ICB Board allocates accountable ICB Board members/ICB Executives for each of the ICS Strategic Risks.**
- 11. Accountable ICB Board members/ICB Executives for ICS Strategic Risks commit to developing Risk Management Plans for the December 2023 ICB Board meeting.**

5. ICB Risk Management Policy

Subject to the recommendations of this paper being approved, the current [ICB Risk Management Policy](#) will require updating in accordance with the ICBs Corporate Policy review process. This paper proposes that this revised policy is agreed in principle by the ICS Risk Manager Network prior to ICB Board approval.

Recommendation:

- 12. The ICB Risk Management Policy is updated in accordance with the recommendations of this paper and agreed in principle by the ICS Partner Risk Manager Network prior to ICB Board approval.**

6. Limitations

This paper does not include a recommendation for a shared IT platform to record and monitor system risks i.e., Datix. Any future requirements for such a platform will need to be considered with system partners. It is proposed that the ICB Corporate and ICS Risk Registers are recorded

on excel spreadsheets noting the resource requirement to keep these accurately updated and the potential risk of version control.

7. Summary of Recommendations

1.	The ICB Board approves the presentation of the ICB Corporate Risk Register (Operational).
2.	The ICB Board reviews the risks identified and associated controls and mitigations on the ICB Corporate Risk Register (Operational) and accepts they are fit for purpose.
3.	The ICB Executive Team identify the ICB Strategic Risks, escalating those with a residual score of 15+ to the ICB Board at the meeting in December 2023
4.	The ICB Board reviews and agrees the format of the ICS Risk Register (Operational).
5.	ICB Board delegates responsibility to System Executive Group to: <ul style="list-style-type: none"> a. Identify and resource an ICS Risk Managers Network³ with collective responsibility for the management and moderation of the ICS Risk Register (Operational). b. Allocate appropriate resource from their organisations to actively contribute to the identification of ICS risks and management of an ICS Risk Register (Operational).
6.	The ICB Board delegates responsibility to ICS Group Chairs to identify ICS risks to the delivery of their work programmes, escalating them in accordance with the defined thresholds.
7.	ICB Board delegates responsibility to the ICS Partner Risk Managers Network to moderate the risks identified by the ICS Groups for inclusion on the ICS Risk Register (Operational).
8.	The ICS Partner Risk Managers Network presents a populated ICS Risk Register to the ICBs Audit & Risk Committee in November 2023, and the ICB Board in December 2023.
9.	The ICB Board reviews the ICS Strategic Risks and takes a view on whether they are an appropriate articulation of the risks of not achieving the objectives of the BNSSG Integrated Care Strategy.
10.	The ICB Board allocates accountable ICB Board members/ICB Executives for each of the ICS Strategic Risks.
11.	Accountable ICB Board members/ICB Executives for ICS Strategic Risks commit to developing Risk Management Plans for the December 2023 ICB Board meeting.
12.	The ICB Risk Management Policy is updated in accordance with the recommendations of this paper and agreed in principle by the ICS Partner Risk Manager Network prior to ICB Board approval.

³ A meeting of ICS Partner Risk Managers has been arranged for September 2023. The recommendations of this paper would provide this group with a mandate and work programme.

8. Financial resource implications

There is limited financial implications of establishing and managing these Risk Registers. However, the robust and accurate population of these Risk Registers will require resource and input from:

- All ICS partner organisations, specifically Risk Managers.
- ICS Groups in the (proposed) Operating & Decision-Making Framework and Oversight Framework.
- ICB Corporate Governance Teams

9. Legal implications

It is a regulatory requirement that ICBs have a robust plan for the management of operational and strategic risk. This paper proposes Risk Management Principles to address this requirement.

10. Risk implications

The purpose of this paper is to establish the principles of the management and oversight of ICB Corporate and ICS risks.

11. How does this reduce health inequalities?

The purpose of this paper is to propose mechanisms for shared awareness and management of risks that affect the ICS and its constituent partner organisations in delivering health and care services, these include the risk associated with not reducing health inequalities. However, it is noted that while the proposed ICS Groups to manage risks are being established, there is a risk that the ICS is not focussed on the risks to not reducing health inequalities, inadvertently causing them to widen. To reduce this risk, the recommendations presented in this paper should be acted on with pace.

12. How does this impact on Equality and Diversity?

The purpose of this paper is to propose mechanisms for shared awareness and management of risks that affect the ICS and its constituent partner organisations in delivering health and care services, these include the risk associated with impacting equality and diversity. However, it is noted that while the proposed ICS Groups to manage risks are being established, there is a risk that the ICS is not focussed on the risks that impact equality and diversity, inadvertently having a negative impact. To reduce this risk, the recommendations presented in this paper should be acted on with pace.

13. Consultation and Communication including Public Involvement

There has been no patient or public involvement in the development of these management principles.

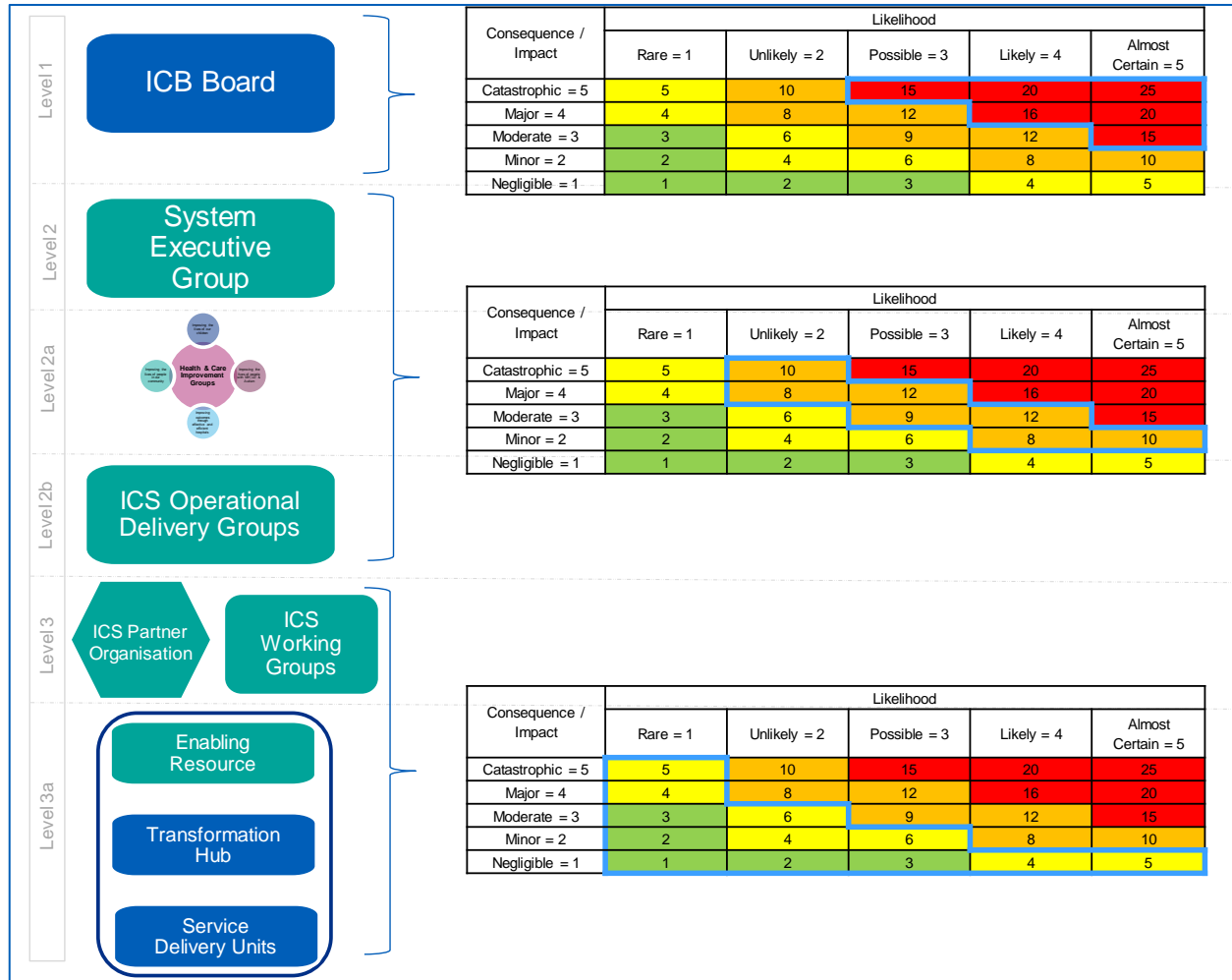
Subject to the recommendations of this paper being approved, the ICB Risk Management Policy will be updated and shared widely. The ICB Communications Team is also planning a Resource Pack that explains 'how we do things around here'. This will include a section on Risk Management in accordance with the recommendations of this paper.

Appendix 1: See separate document

Appendix 2: See separate document



Appendix 3: Proposed ICS Risk Management Thresholds:



Appendix 4: Integrate Care Strategy on a Page

Healthier Together
Improving health and care in Bristol, North Somerset and South Gloucestershire

Integrated Care Strategy on a page

5 Opportunities

- 1 We need to **tackle inequalities**
- 2 We can **strengthen the building blocks** of good health and wellbeing
- 3 Wherever possible, we need to **prevent illness and treat people earlier**
- 4 We need to work alongside communities to support **healthy behaviours**
- 5 And once people are ill, there are **conditions** that we could manage better

Our Commitments

Key things that will benefit people across the life course:

- Invest in the first 1,001 days of life
- Early identification and support for people experiencing anxiety and depression
- Support people to be a healthy weight
- Reducing harm from tobacco
- Reduce harm from drugs and alcohol
- Improved prevention, detection and treatment of cancer
- Tackle cardiovascular disease
- Better support for people with painful conditions
- Support for older people towards end of life

How we will deliver

- Faster access to care and support for vulnerable groups
- Use VCSE expertise to identify and support people most at risk
- Increase our financial commitment to prevention
- Change our decision making to actively reduce health inequality
- Recognise and rectify historical injustices
- Build a workforce who are supported, skilled and healthy
- Embed trauma informed practice
- Create a network of volunteer and staff prevention champions
- Develop community strengths and assets that support everyday health and wellbeing
- Use purchasing and employment to support better health and wellbeing

