

NHS Lancashire and South Cumbria Integrated Care Board

DRAFT Board Assurance Framework 2022/23

Strategic Aims	Emerging Vision: To become a world class community, health and care system with great health outcomes and narrowing health inequalities.
SA1	Improve population health and healthcare
SA2	Tackle inequalities in outcomes, experience and access
SA3	Enhance productivity and value for money
SA4	Help the NHS support broader social and economic development

Strategic Aims	Strategic Objectives 2022/23		Current Risk Score	Risk Movement
SA1, SA2	2022_01	Improve quality, including safety, clinical outcomes and patient experience		↔
SA1, SA2,	2022_02	To equalise opportunities and clinical outcomes across the area		↔
SA3, SA4	2022_03	Make working in Lancashire and South Cumbria an attractive and desirable option for existing and potential employees		↔
SA3, SA4	2022_04	Meet financial targets and deliver improved productivity		↔
SA1, SA2, SA4	2022_05	Meet national and locally determined performance standards and targets		↔
SA1, SA2, SA3, SA4	2022_06	To develop and implement ambitious, deliverable strategies		↔

Tiers of responsibility	Description
Level 1	The responsibilities of the ICB as a statutory body
Level 2	The role of the ICB for NHS system oversight
Level 3	The role of the ICB as a system partner to support integration

ICB_2022/01	Risk Lead:	Date Added: 07/12/22
	Executive Lead: Sarah O'Brien	Date Last Reviewed: 07/12/22
	Assuring Committee: Quality Committee	Target Risk Date:
	Programme Area Quality	

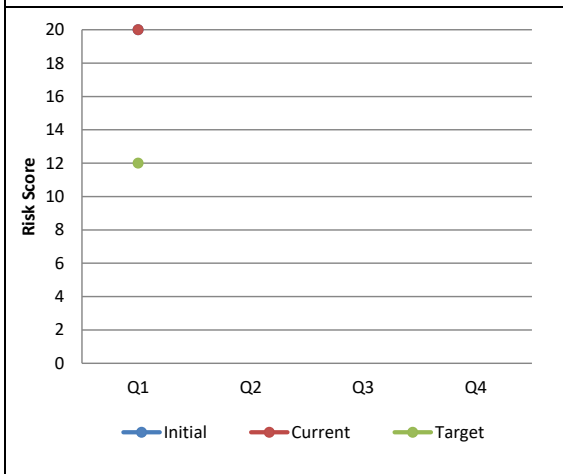
Strategic aims: SA1, SA2 New

Strategic objective: Improve quality, including safety, clinical outcomes and patient experience

System Diagnostic Phase Recovery (1-3 years)

Level 1-3 Level 1

Key risks	Risk appetite	Impact	Likelihood	Score
Inadequate capacity (major backlog of waiters) Cancer performance well below target and deteriorating Primary Care Access Delivery against CHC key performance indicators Delivery against statutory safeguarding duties Maternity services Learning Disability and Autism inpatient services CTRs	Initial Risk Rating			
	Current Risk Rating			
	Target Risk			



Key risks

Inadequate capacity (major backlog of waiters)
 Cancer performance well below target and deteriorating
 Primary Care Access
 Delivery against CHC key performance indicators
 Delivery against statutory safeguarding duties
 Maternity services
 Learning Disability and Autism inpatient services
 CTRs

Areas for opportunities

Streamlining clinical/care networks delivery programme
 To standardise best practice (GIRFT)
 Options being appraised for a single delivery model for Continuing Healthcare in LSC

Controls to Mitigate Risk

ICB Quality Committee oversight
 ICB Delivery Board oversight
 Improvement Hub
 Elective Care Recovery Programme is in delivery phase with clearly defined trajectory
 Streamlining clinical/care networks programme in delivery phase with clearly defined trajectory

Assurances on Controls

System Quality Group
 Assurance from Quality Committee Reports/System Quality Group minutes
 Findings from deep dive reviews
 Updates from ICB Delivery Board
 Safeguarding Assurance Board
 SEND Partnership Board

Gaps in Controls Measures

Workforce pressures
 Variation
 Operational pressures in urgent and emergency care; ambulance performance well below target;
 Trajectories for all delivery programmes still to be defined

Gaps in Assurance

ICB Integrated Performance Report is still being developed

Actions Planned

Defined trajectories to be set for all priority delivery programmes

ICB_2022/03	Risk Lead:	Date Added:	07/12/22
	Executive Lead: James Fleet	Date Last Reviewed:	07/12/22
	Assuring Committee: People Board	Target Risk Date:	
	Programme Area Workforce		

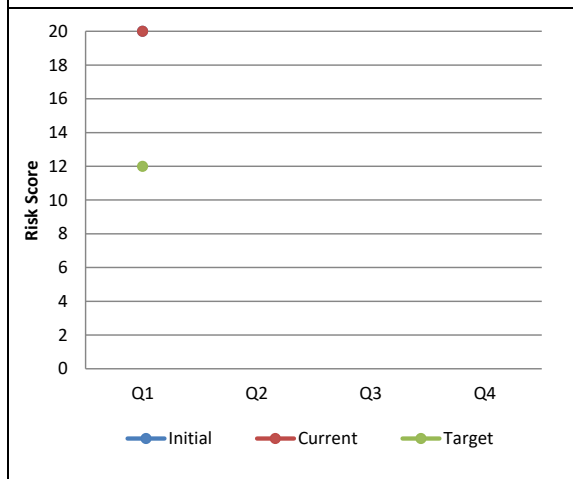
Strategic aims: SA3, SA4 **New** 

Strategic objective: Make working in Lancashire and South Cumbria an attractive and desirable option for existing and potential employees

System Diagnostic Phases
 Stabilise (12-18 months)
 Transformation phase (4-7 years)

Level 1-3
 Level 1 and Level 2

Key risks	Risk appetite: seek	Impact	Likelihood	Score
Vacancy rates Capacity and timescales to train new staff Identifying and enhancing LSC's employment offer Developing a greater sense of ownership Introducing new ways of working	Initial Risk Rating			
	Current Risk Rating			
	Target Risk			



Key risks

Vacancy rates
 Capacity and timescales to train new staff
 Identifying and enhancing LSC's employment offer
 Developing a greater sense of ownership
 Introducing new ways of working

Areas for opportunity

Partnership working between individual organisations and provider collaboratives
 Temporary Workforce Optimisation Delivery programme is in mobilisation phase
 System transformation workforce programme

Controls to Mitigate Risk

People Board oversight

Workforce transformation is one of the ICB's five priority areas/portfolios during this transitional year to support delivery of major efficiency benefits, improving quality and reducing costs

Assurances on Controls

System partners have agreed to establish a sustainable workforce model for the system "One L&SC Workforce"
 Assurance from People Board Reports
 Balanced Scorecard Metrics "Workforce"
 ICS Workforce Insight Report
 Market testing exercise conducted in Oct 22 with full market procurement planned (Nov)
 Updates from Delivery Board

Gaps in Controls Measures

Operational pressures in urgent and emergency care; ambulance performance well below target;
 Trajectories for delivery programmes still to be defined

Gaps in Assurance

ICB Integrated Performance Report is still being developed

Actions Planned

Defined trajectories to be set for all priority delivery programmes
 Development of the One LSC Workforce initiative (temporary workforce optimisation)
 Establish workforce transformation programme
 Establish future workforce model
 Create new ways of working
 Enhance and expand multidisciplinary roles, create hybrid roles
 Offer flexible career pathways and employment models

ICB_2022/04	Risk Lead:		Date Added:	07/12/22
	Executive Lead:	Sam Proffitt	Date Last Reviewed:	07/12/22
	Assuring Committee:	Finance and Performance Committee	Target Risk Date:	
	Programme area	Financial Sustainability		

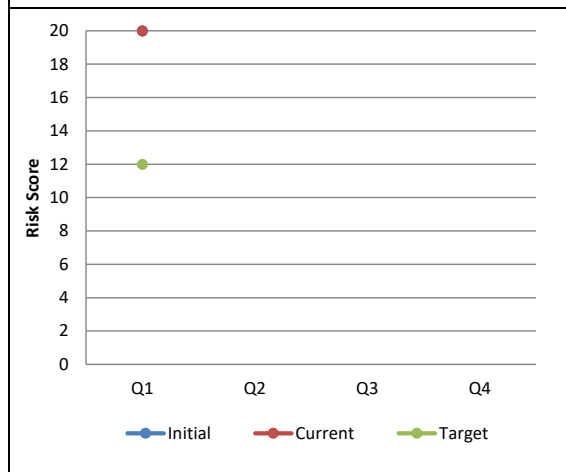
Strategic aims: SA3, SA4 New

Strategic objective: Meet financial targets and deliver improved productivity

System diagnostic phase Stabilise (12-18 months)

Level 1-3 Level 1

Key risks	Risk appetite: cautious	Impact	Likelihood	Score
Current in year financial performance and major financial challenge faced as a system Absence of an agreed accountability framework Variations in comparative productivity Delays in the identification and delivery of recurrent savings plans Increasing financial pressures associated with CHC, Mental Health and Learning Disability IPC, discharge to assess schemes incurred (funding for hospital discharge reduced but schemes continuing) Higher levels of Covid activity	Initial Risk Rating	4	5	20
	Current Risk Rating	4	5	20
	Target Risk	4	3	12



Areas for opportunity
 Transformation and priority delivery areas identified to support delivering efficiency savings,
 Dedicated resources and a clear programme plan for delivery:
 unfunded capacity, elective care recovery, streamlining clinical/care networks, corporate collaboration, temporary workforce optimisation/medicines optimisations and CHC


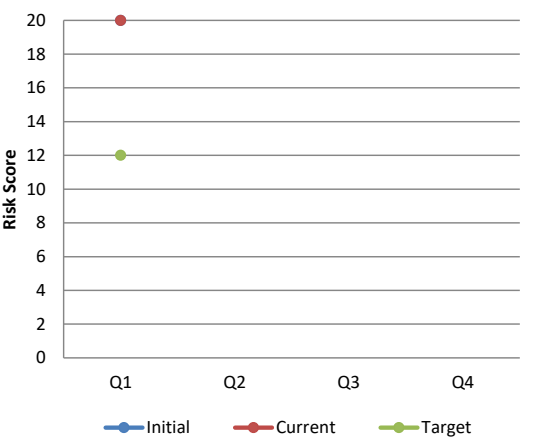
Controls to Mitigate Risk
 ICB Standing Financial Instructions/Scheme of Reservation and Delegation
 Finance and Performance Committee established
 A financial budget for 2022-23 has been agreed
 A single LSC system plan has been submitted to NHSE detailing all commissioning and provider plans agreed by individual organisations within the system
 Additional financial controls have been implemented across the system (with peer review in place)
 Delegation to place partnerships delayed whilst financial stability is achieved
 System wide vacancy control panel
 Formal grip on control and agency processes

Assurances on Controls
 Monthly CFO finance report to the board on progress against plans and key risks
 Balanced scorecard metrics "Recover financial position"
 Audit Committee reports
 Report to board on Transformation and Delivery Schemes
 5 priority delivery programmes agreed (P1- P5) to help mitigate the risks to in-year financial performance
 Finance and Performance Committee established
 Transformation team in place
 MIAA Review of Financial Performance - "Improving Financial Sustainability:are you getting the basics right" Exercise"

Gaps in Controls Measures
 Operational pressures in urgent and emergency care; ambulance performance well below target;
 Trajectories for delivery programmes still to be defined

Gaps in Assurance
 ICB Integrated Performance Report is still being developed
 Limited external assurance due to ICB only being established in July 2022

Actions Planned
 Full review of all investment plans; delivery of savings plans for medicines, CHC; MARS and running cost reduction; transformation reserves
 ICB technical review
 Bringing discharge to assess expenditure in line with available funding
 Defined trajectories to be set for all priority delivery programmes
 Full review of CHC, Mental Health and LD packages of care is underway; options being reviewed for a single CHC model to improve quality, and ensure that appropriate case reviews are carried out.
 To move P1 Unfunded Capacity, P4 Corporate Collaboration, P5a Temporary Workforce Optimisation to mobilisation phase within 2-3 weeks.

ICB_2022/05	Risk Lead:		Date Added:	07/12/22	
	Executive Lead:	Maggie Oldham	Date Last Reviewed:	07/12/22	
	Assuring Committee:	Quality Committee	Target Risk Date:		
	Programme Area	Performance			
Strategic aims: SA1, SA2, SA4			New		
Strategic objective	Meet national and locally determined performance standards and targets				
System Diagnostic Phase	Stabilise (12-18 months)				
Level 1-3	Level 2				
Key risks:	<p>Variable trust performance in LSC against national standards (A&E performance, cancer and general waiting times)</p> <p>LSC system is rated overall as SOF3 (requires improvement)</p> <p>Gaps in community and social care</p> <p>Availability of support to assist underperforming trusts</p> <p>Operational challenges remain and create volatility</p> <p>Winter pressures could adversely impact on system recovery</p> <p>Rates of DTOC across LSC are variable (ranging from 5-22%)</p>	Risk appetite	Impact	Likelihood	Score
		Initial Risk Rating	4	5	20
		Current Risk Rating	4	5	20
		Target Risk	4	3	12
Areas for opportunity	<p>Unfunded capacity delivery programme</p> <p>Elective Care Recovery delivery programme</p> <p>Board to board meetings have enabled positive dialogue with challenged trusts</p> <p>Partnership working between individual organisations and provider collaboratives</p> <p>Making Data Count Workshop in January 2023 to support development of integrated performance report</p>				
Controls to Mitigate Risks	<p>Finance and Performance Committee established</p> <p>NHS England and LSC ICB are working with SOF 4 and SOF 3 trusts develop recovery action plans</p> <p>Lancashire and South Cumbria NHS FT have appointed an Improvement Director</p> <p>Unfunded Capacity Delivery Programme: steering group established, Programme Director in post and plan is mobilisation phase</p> <p>Elective Care Recovery Programme in delivery phase</p> <p>AEDB oversight</p>				
	<p>Assurances on Controls</p> <p>Chief Executive's Report to board</p> <p>ICB Performance Report monthly to board</p> <p>Balanced scorecard metrics "Improve and Sustain NHS Trust Performance"</p> <p>Assurance from Quality Committee Reports</p> <p>Updates from Delivery Board</p>				
Gaps in Controls Measures	<p>Operational pressures</p> <p>Trajectories for all delivery programmes still to be defined</p>				
	<p>Gaps in Assurance</p> <p>ICB Integrated Performance Report is still being developed</p>				
Actions Planned					
<p>Defined trajectories to be set for all priority delivery programmes</p> <p>A comprehensive and tailored package of support and accountability requirements to support UHMB achieve SOF status 3 by April/May 2023 and SOF 2 within 18-24 months</p> <p>Planned discussions with LSCFT, BTH and LTH to develop similar support packages</p> <p>Making Data Count workshop planned for January 2023 and new Integrated Performance Report will be presented at the February 2023 board meeting</p>					

ICB_2022/06	Risk Lead:		Date Added:	07/12/22
	Executive Lead:	Kevin Lavery	Date Last Reviewed:	07/12/22
	Assuring Committee:	The Integrated Care Board	Target Risk Date:	
	Programme Area	Strategic direction		

Strategic aims: SA1, SA2, SA3, SA4 New

Strategic objective: To develop and implement ambitious, deliverable strategies

System Diagnostic Phase: Stabilise, Recover and Transform

Level 1-3: Level 3

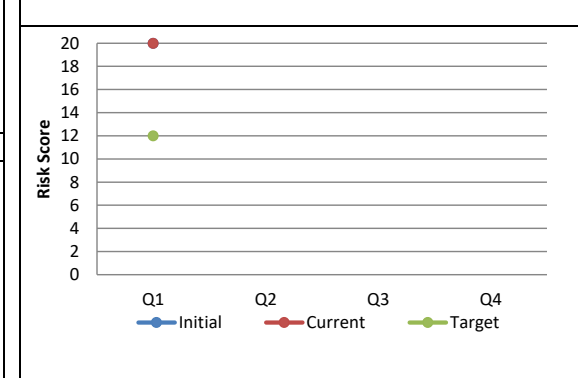
Key risks

- Availability of capital monies
- Determinants of health including poverty/cost of living crisis
- Quality and delivery of care is not always good
- Workforce challenges
- Finance and productivity - limited resources
- Population and communities disengaged

Risk appetite: seek	Impact	Likelihood	Score
Initial Risk Rating			
Current Risk Rating			
Target Risk			

Areas for opportunities

- Development of a "whole system plan" for Lancashire and South Cumbria; a ten year vision and roadmap (2023 - 2032) setting out ambitions of LSC system partners
- An Integrated Care Strategy (via the Integrated Care Partnership) aligned to population health needs
- The Joint ICB/Trust 5 Year Forward Plan setting out how the ten year vision and integrated care strategy will be delivered
- Aligned to three year ICB financial framework



Controls to Mitigate Risk

- A clearly defined approach to delivery, improvement and transformation to address the immediate, short and medium-term improvement and transformation priorities for the LSC system
- System Programme Management Office to oversee programme management/delivery
- Financial framework to ensure greatest benefit from allocation of resources (3 year budget)
- Assurance and accountability framework
- Balanced scorecard to monitor progress
- ICB Public Involvement and Advisory Committee established

Assurances on Controls

- The "whole system plan framework" has been designed to meet the expectations of Joint Forward Plan guidance and inform the ICB initial intentions for implementation at system, place and provider levels
- Board workplan outlines clear timescales for key strategies to be presented to board
- System diagnostics report
- Updates from Delivery Board
- Updates from Public Involvement and Engagement Advisory Committee

Gaps in Controls Measures

2022-23 is a transitional year therefore initial system plans will be limited in breadth and depth but will mature and develop over time and will be refreshed annually

Gaps in Assurance

ICB Integrated Performance Report is still being developed

Actions Planned

- The development of a LSC "whole system plan" to inform a series of underpinning strategies and plans; the whole system plan will also inform the development and agreement of system and provider operational activity, performance, workforce and financial plans for 2023/24
- Quality team undertaking EIA and QIA for system delivery and transformation programmes
- Consultation and engagement with primary care providers, local authorities and health and wellbeing boards, people and communities that will be affected by specific parts of the proposed plan or are likely to have significant interest in any of its objectives
- An assurance and accountability framework will provide clear responsibilities for delivery against ICB directorate and cross organisational plans (and will inform accountability agreements with provider collaboration board)