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Bwrdd Iechyd Prifysgol
Bae Abertawe
Swansea Bay University
Health Board



Meeting Date	9th March 2021		Agenda Item	2.2
Report Title	Board Assurance Framework (BAF)			
Report Author	Len Cozens, Head of Compliance			
Report Sponsor	Pam Wenger, Director of Corporate Governance			
Presented by	Len Cozens, Head of Compliance			
Freedom of Information	Open			
Purpose of the Report	The purpose of this report is to request that the Audit Committee review and discuss the Health Board's updated Board Assurance Framework (BAF) document.			
Key Issues	<p>The development of the Board Assurance Framework (BAF) has been agreed by the Board, and it is owned by the Accountable Officer and the Board.</p> <p>The Director of Corporate Governance is the lead Executive with responsibility for the delivery of the BAF</p> <p>The Audit Committee has a key role in overseeing the development and implementation of the BAF</p> <p>The BAF has been through a process of review and reset in light of COVID-19, in order to consider the current position and strategic priorities of the Health Board as described in the operational plan.</p>			
Specific Action Required <i>(please choose one only)</i>	Information	Discussion	Assurance	Approval
	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Recommendations	<p>Members are asked to:</p> <ul style="list-style-type: none"> • NOTE the progress on the development of the Board Assurance Framework. • DISCUSS the updated content • APPROVE the draft version of the BAF for use within SBUHB, acknowledging that it is an iterative document and will be continually reviewed and updated. 			

BOARD ASSURANCE FRAMEWORK (BAF)

1. INTRODUCTION

- 1.1 The purpose of this report is to request that the Audit Committee review and discuss the Health Board's updated Board Assurance Framework (BAF) document.

2. BACKGROUND AND CONTEXT

- 2.1 The decision to develop a Board Assurance Framework was made following a Board Development Session on risk management which took place in December 2017, with a presentation on the approach to its development being received and discussed at a further Board Development Session in February 2018.
- 2.2 The process of gaining assurance is fundamentally about taking all of the relevant evidence together and arriving at informed conclusions. With this in mind, the BAF is intended to enable the Board to:
- Identify and understand the principle risks to achieving its strategic objectives
 - Establish the sources of, and receive assurance (both positive and negative) in respect of the adequacy, suitability, completeness and operation of the controls in place to manage those risks.
 - Receive assurance that, where gaps in control or assurance are identified or the need for improvement has been highlighted, action plans are in place and being delivered.
 - Provide an overall assessment of the risk to achieving the objectives based on the strength (or otherwise) of the controls and assurance in place.
- 2.3 In summary, the BAF provides a framework for identifying which of the Health Board's strategic objectives are at risk because of inadequacies in controls or insufficient assurance about them. At the same time it provides structured assurance about risks which are being managed effectively, and objectives that are being delivered.
- 2.4 The most objective assurance comes from independent external review sources. These are supplemented by internal sources such as clinical audit, internal management, performance management and self-assessment reports.

3. STATUS UPDATE

- 3.1 The update paper presented to the Audit Committee in November 2020 highlighted the need to fundamentally review and reset the BAF document in place at that time in order to reflect the impact of the COVID-19 pandemic on the Health Board and the resulting shift in its strategic and operational priorities.
- 3.2 Work has been undertaken by the Head of Patient Experience, Risk & Legal Services and the Risk Management Group to view the Health Board Risk

Register in order to update the mapping of risks to the Health Board's enabling objectives in order to ensure that they remain up-to-date and relevant.

3.3 Work undertaken to further strengthen and develop the BAF includes:

- Cross-referencing the content to the updated iteration of the Health Board Risk Register (December 2020).
- Review and update to reflect the findings of the all relevant NWSSP Audit & Assurance reviews, with particular emphasis on action in respect of recommendations that remain outstanding.
- Reference to external inspection reports (where known) and Audit Wales Structured Assessment findings
- Cross-referenced to the 2020/21 Q3/4 Operational Plan
- Review of relevant Board and Committee meeting minutes and papers
- Review of high-level themes emerging as part of the 2021/22 Operational planning process. The BAF will be further refined as the plan develops.

3.4 In order to avoid duplication, the enabling objectives of 'Digitally Enabled Health and Well-being' and 'Digitally Enabled Care' are now reported together under the title 'Digitally Enabled Care, Health and Well-being'.

3.5 Draft extracts from the BAF have been shared with Executive Director colleagues for their review and comment. All feedback received has been incorporated into the revised document.

3.6 All of the above has been undertaken within the context of the Health Board's enabling objectives. Whilst not directly link to the Health Board's enabling objectives, the previous iteration of the BAF has included reference to assurances in respect of the embedding of effective governance. To that end, work has already commenced on reviewing and updating these entries, which will be reinstated to the document prior to 1st April 2021.

4. OPERATIONALISATION OF THE BAF

4.1 As has already been recognised, the BAF is intended to be a dynamic living document, evolving as our Health Board evolves in order to meet the needs of the population it serves. As such, the following is the suggested process by which the BAF will be embedded within our organisational risk and assurance processes:

- Following approval by the Audit Committee, the BAF will be brought to the Executive Board for review and final agreement in terms of its content. Any further required changes highlighted as a result of that process will be incorporated.
- Going forward, the BAF will be monitored by the Risk Management Group, in tandem with the Health Board Risk Register
- Every six months, sections of the BAF will be monitored by the relevant Board Committees and Management Groups in order to ensure risk management of the delivery of the strategic objectives

- Every quarter, the Executive Team will review the BAF in full, prior to its presentation to the Audit Committee.
- Every 6 months, the BAF will be presented to the Board for Assurance.

5. FINANCIAL IMPLICATIONS

- 5.1 There are no direct financial implications arising from the recommendations in this report.

6. RECOMMENDATIONS

- 6.1 Members are asked to:

- **NOTE** the progress on the development of the Board Assurance Framework.
- **DISCUSS** the updated content
- **APPROVE** the draft version of the BAF for use within SBUHB, acknowledging that it is an iterative document and will be continually reviewed and updated.

Governance and Assurance		
Link to Enabling Objectives (please choose)	Supporting better health and wellbeing by actively promoting and empowering people to live well in resilient communities	
	Partnerships for Improving Health and Wellbeing	<input checked="" type="checkbox"/>
	Co-Production and Health Literacy	<input type="checkbox"/>
	Digitally Enabled Health and Wellbeing	<input type="checkbox"/>
	Deliver better care through excellent health and care services achieving the outcomes that matter most to people	
	Best Value Outcomes and High Quality Care	<input checked="" type="checkbox"/>
	Partnerships for Care	<input type="checkbox"/>
	Excellent Staff	<input type="checkbox"/>
	Digitally Enabled Care	<input type="checkbox"/>
	Outstanding Research, Innovation, Education and Learning	<input type="checkbox"/>
Health and Care Standards		
(please choose)	Staying Healthy	<input type="checkbox"/>
	Safe Care	<input checked="" type="checkbox"/>
	Effective Care	<input checked="" type="checkbox"/>
	Dignified Care	<input checked="" type="checkbox"/>
	Timely Care	<input checked="" type="checkbox"/>
	Individual Care	<input checked="" type="checkbox"/>
	Staff and Resources	<input checked="" type="checkbox"/>
Quality, Safety and Patient Experience		
Ensuring that the Board and its Sub-Committees make fully informed decisions is dependent on the quality and accuracy of the information presented and considered by those making the decisions. Informed decisions are most likely to impact favourably on the quality, safety and experience of patients and staff.		
Financial Implications		
There are no direct financial implications arising from this paper		
Legal Implications (including equality and diversity assessment)		
Ensuring that the organisation has an effective and evolving Board Assurance Framework (BAF) that supports the Board in delivering its plans and achieving its objectives, is an essential component of the Health Board's governance arrangements going forward.		
Staffing Implications		
The further development and embedding of the BAF will require a significant amount of work on the part of Executive colleagues and their teams.		
Long Term Implications (including the impact of the Well-being of Future Generations (Wales) Act 2015)		
The development of the BAF will assist the Board in assessing risk and gathering assurance across all corporate objectives, which span the five ways of working, and the wellbeing goals identified in the Act.		
Report History	Executive Board – 14 October 2020 Risk Management Group – 21 October 2020 Audit Committee – 12 th November 2020	
Appendices	Appendix 1 Draft Board Assurance Framework (BAF)	

