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Swansea Bay University  
Health Board



<b>Meeting Date</b>	<b>25<sup>th</sup> November 2021</b>	<b>Agenda Item</b>	<b>2.2</b>
<b>Report Title</b>	<b>Board Assurance Framework (BAF)</b>		
<b>Report Author</b>	Len Cozens, Head of Compliance		
<b>Report Sponsor</b>	Pam Wenger, Director of Corporate Governance		
<b>Presented by</b>	Pam Wenger, Director of Corporate Governance		
<b>Freedom of Information</b>	Open		
<b>Purpose of the Report</b>	The purpose of this report is to provide the Health Board with an update on work to review and update the Health Board's Board Assurance Framework (BAF) document.		
<b>Key Issues</b>	<p>The development of the BAF has been agreed by the Board, and it is owned by the Accountable Officer and the Board.</p> <p>The Audit Committee has a key role in overseeing the development and implementation of the BAF.</p> <p>The Director of Corporate Governance is the lead Executive with responsibility for the delivery of the BAF.</p> <p>The Head of Compliance is responsible for facilitating and coordinating the maintenance/review and update of the BAF by the Executive and their teams.</p> <p>The BAF was considered at the October 2021 meeting of the Management Board, and November 2021 meeting of the Audit Committee.</p>		
<b>Specific Action Required</b> <i>(please choose one only)</i>	<b>Information</b>	<b>Discussion</b>	<b>Assurance</b>
	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<b>Recommendations</b>	<p>Members are asked to:</p> <ul style="list-style-type: none"> <li>• <b>NOTE</b> the progress on the development of the Board Assurance Framework (BAF), acknowledging that it is an iterative document which will be continually updated</li> <li>• <b>AGREE</b> any specific areas which will require further assurance in order that these can be reviewed by the relevant Board Committee</li> </ul>		

# **BOARD ASSURANCE FRAMEWORK (BAF)**

## **1. INTRODUCTION**

- 1.1 The purpose of this report is to provide the Health Board with an update on the work to review and update the Health Board's Board Assurance Framework (BAF) document.
- 1.2 The Audit Committee has reviewed previous iterations of this emerging document and it was been agreed by the Board to ensure implementation of the Board Assurance Framework during 2021/22.

## **2. BACKGROUND AND CONTEXT**

- 2.1 The Audit Committee is responsible for overseeing the overall operation of the Board Assurance Framework and providing assurance to the Board in that respect. While this is the case, individual sections have been assigned to other Board committees for more detailed scrutiny and assurance, with the intention that committee work programmes be aligned so that progress made to address key risks is reviewed in depth.
- 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 sources of assurance 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 Audit Committee approved the BAF for use within the Health Board at its March 2021 meeting, noting that it was an iterative document and would be continually reviewed and updated. The BAF was last considered by the Audit Committee at its meeting of 9<sup>th</sup> November 2021.
- 3.2 On 27<sup>th</sup> September 2021, an email was sent by the Chief Executive Officer to executive colleagues requesting that they review and update their respective BAF areas. Specific reference was made to the following areas, where further detail had previously been requested by the board:
- Population Health
  - Unscheduled Emergency Care
  - Planned Care
- 3.3 On 30<sup>th</sup> September 2021, the Head of Compliance circulated the relevant extracts of the BAF to each Executive lead in order to facilitate their review/update. As part of that email, executive colleagues were reminded that as well as the priority areas referred to above, Independent Members had also highlighted a desire to see more detail regarding coproduction and partnerships.
- 3.4 Following the issue of the email referred to above, the Head of Compliance received contact from a number of Executive colleagues (or members of their teams), and provided support and assistance wherever requested. All updates received up to the 18<sup>th</sup> November 2021 have been incorporated into the revised BAF appended to this report.
- 3.5 Going forward, overall development of the BAF will continue to be reported to and overseen via the following:
- Risk Management Group
  - Management Board
  - Audit Committee

### 4. FINANCIAL IMPLICATIONS

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

### 5. RECOMMENDATIONS

- 5.1 Members are asked to:
- **NOTE** the progress on the development of the Board Assurance Framework (BAF), acknowledging that it is an iterative document which will be continually updated
  - **AGREE** any specific areas which will require further assurance in order that these can be reviewed by the relevant Board Committee

<b>Governance and Assurance</b>		
<b>Link to Enabling Objectives</b>  (please choose)	<b>Supporting better health and wellbeing by actively promoting and empowering people to live well in resilient communities</b>	
	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"/>
	<b>Deliver better care through excellent health and care services achieving the outcomes that matter most to people</b>	
	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"/>
<b>Health and Care Standards</b>		
(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"/>
<b>Quality, Safety and Patient Experience</b>		
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.		
<b>Financial Implications</b>		
There are no direct financial implications arising from this paper		
<b>Legal Implications (including equality and diversity assessment)</b>		
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.		
<b>Staffing Implications</b>		
The further development and embedding of the BAF will require a significant amount of work on the part of Executive colleagues and their teams.		
<b>Long Term Implications (including the impact of the Well-being of Future Generations (Wales) Act 2015)</b>		
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.		
<b>Report History</b>	Management Board – October 2021 Risk Management Group – November 2021 Audit Committee November 2021	
<b>Appendices</b>	Appendix 1 Board Assurance Framework (BAF)	