



GIG
CYMRU
NHS
WALES

Bwrdd Iechyd Prifysgol
Bae Abertawe
Swansea Bay University
Health Board



Meeting Date	9th November 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 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 Audit Committee has a key role in overseeing the development and implementation of the BAF.</p>		
Specific Action Required <i>(please choose one only)</i>	Information	Discussion	Assurance
	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Recommendations	<p>Members are asked to:</p> <ul style="list-style-type: none"> NOTE the updated Board Assurance Framework 		

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 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 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.
- 2.2 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.
- 2.3 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 on 13th July 2021.
- 3.2 On 21st July 2021 the BAF was considered by the Management Board. As part of that meeting, the Chief Executive Officer requested positive reporting from Executive leads confirming that all outstanding areas had been reviewed, and that mitigating actions had been put in place to reduce gaps in control and/or assurance identified.

- 3.3 The BAF was also considered by the Health Board at its July 2021 meeting, during which further detail was requested on the following areas:
- Population Health
 - Unscheduled Emergency Care
 - Planned Care
- 3.4 On 27th September 2021, an email was sent by the Chief Executive Officer to executive colleagues requesting that they review and update their respective BAF areas, with specific reference being made to the above.
- 3.5 On 30th September 2021, the Head of Compliance circulated the relevant extracts of the BAF to each Executive lead in order to facilitate its review/update. As part of that email, executive colleagues were reminded that as well as the priority areas highlighted by the Chief Executive Officer, Independent Members had also previously highlighted a desire to see more detail regarding coproduction and partnerships.
- 3.6 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 21st October 2021 have been incorporated into the revised BAF appended to this report.
- 3.7 The above notwithstanding, a number of updates remain outstanding, notably those relating to the following executive portfolios:
- Executive Director of Nursing and Patient Experience, including:
 - Infection Control Targets (4.2)
 - Misrepresentation of CTG Readings (4.10)
 - Chief Operating Officer, including:
 - Unscheduled Care Services (4.1)
 - Access to Planned Care (4.3)
 - Primary, Community & Therapy Services (4.12)
 - Mental Health & Learning Disabilities (4.16)
- 3.8 The Chief Executive Officer has instructed that all gaps and outstanding actions within the BAF are to be reviewed, with positive reports to him by 31st October 2021 from Executive leads confirming that these have been reviewed and updated.
- 3.9 It is intended that the Board Assurance Framework will be presented to the November 2021 meeting of the Health Board.

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 updated Board Assurance Framework

Governance and Assurance		
Link to Enabling Objectives <i>(please choose)</i>	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		
<i>(please choose)</i>	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	Management Board – 20 th October 2021	
Appendices	Appendix 1 Board Assurance Framework (BAF)	