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Bwrdd Iechyd Prifysgol
Bae Abertawe
Swansea Bay University
Health Board



Meeting Date	17th November 2022	Agenda Item	2.1
Report Title	Board Assurance Framework (BAF)		
Report Author	Len Cozens, Head of Compliance		
Report Sponsor	Hazel Lloyd, Acting 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 BAF format and content has been further reviewed and updated since it was last presented to the Audit Committee. The revised document was presented to the September 2022 meeting of the board, and positive feedback was received.</p> <p>The BAF now reports under six main headings, aligned to the Health Board Recovery & Sustainability Plan. A further section on Estates Infrastructure is currently with the Director of Finance and Performance for review.</p> <p>Duplication with the content of the Health Board Risk Register, including mitigating actions, has been removed.</p> <p>Relevant extracts from the document were circulated to Executive Directors on 17th October 2022 for review and update. All updates received at the time of reporting have been incorporated into the BAF, which is included at Appendix 1 for information.</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 and DISCUSS the Board Assurance Framework (BAF), acknowledging that it is an iterative document which will be continually updated • AGREE any specific areas where further assurance is required, in order that these may be addressed with the relevant Lead Executive(s). 		

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 its principle risks
 - 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, appropriate action is being taken.
 - Provide an overall assessment of assurance regarding the adequacy and operation of the controls in place to address the principle risks.
- 2.2 In summary, the BAF provides a framework for identifying which of the Health Board's 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 Board Assurance Framework was last presented to the Audit Committee at its meeting on 14th July 2022. Since that meeting, the Head of Compliance and Director of Corporate Governance have met with each Executive Director individually in order to develop the document further.
- 3.2 Changes made as a result of the above, as well as further update and amendment resulting from the findings of a review by NWSSP Audit & Assurance colleagues (report **SB-2122-001** refers), are summarised as follows:
- The document now reports under six main headings, aligned to the Health Board Recovery & Sustainability Plan. A further section on Estates Infrastructure is currently with the Director of Finance and Performance for review. This will continue to evolve with the plan.

- Each heading is fully cross-referenced to a principle risk, and to relevant corporate risks as detailed within the Health Board Risk Register, including the most up-to-date risk scores. The Head of Compliance will continue to work with the Deputy Head of Risk & Assurance to ensure that this key link is maintained and updated on an ongoing basis.
 - Duplication with the content of the Health Board Risk Register, including mitigating actions, has been removed.
- 3.3 Following the above changes, an updated version of the BAF was presented to the September 2022 meeting of the Board, where it was well received.
- 3.4 Responsibility for populating the content of the BAF, including an assessment of trend/direction of travel and level of assurance, rests with each Executive Director and his/her team. As such, relevant extracts from the document were subsequently circulated to the Executive Directors on 17th October 2022 with a request that they be reviewed and updated, with particular reference to the Trend and Assurance Rating.
- 3.5 The updated BAF was subsequently presented to the 2nd November 2022 Management Board meeting, where the Chief Executive requested that Directors complete a further review of their BAF objectives, and provide any further updates by 14th November 2022.
- 3.6 All updates received by the reporting deadline for this meeting (7th November 2022) have been included in the version of the BAF found at **Appendix 1**. Any further updates received during the intervening period will be included in the version reported to the Board on 24th November 2022
- 3.7 In addition to the revision of the document itself, the Head of Compliance has put in place a timetable for the ongoing review and update of the BAF by the Executive Directors and their teams, which is linked to the Management Board, Audit Committee and Health Board reporting cycles.

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** and **DISCUSS** the Board Assurance Framework (BAF), acknowledging that it is an iterative document which will be continually updated
 - **AGREE** any specific areas where further assurance is required, in order that these may be addressed with the relevant Lead Executive(s).

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 checked="" 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 checked="" type="checkbox"/>
	Excellent Staff	<input checked="" type="checkbox"/>
	Digitally Enabled Care	<input checked="" 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 – 2 nd November 2022	
Appendices	Appendix 1 Board Assurance Framework (BAF)	