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Bwrdd Iechyd Prifysgol
Bae Abertawe
Swansea Bay University
Health Board



Meeting Date	13th July 2021		Agenda Item	2.3
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	Approval
	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Recommendations	Members are asked to: <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, 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.
- 2.2 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 BAF was previously presented to, and considered by the Audit Committee in March 2021. At this meeting, the Committee approved the BAF for use within the Health Board, noting that it was an iterative document, and as such would be continually reviewed and updated.
- 3.2 Since that meeting, the Head of Compliance has further updated the document to reflect:
- The content of final versions of recently issued NWSSP Audit & Assurance Reports

- The inclusion of target dates for agreed action where these have been available/communicated.
- Key elements of the revised draft 2021/22 Annual Plan

3.3 In addition to the above, in May 2021, the Head of Compliance shared the document with Executive colleagues with a request that they and their teams provide further updates in terms of:

- Key controls in place
- Further perceived gaps in control and/or assurance, and proposed action(s) to address them.
- Target dates for the completion of agreed action
- Relevant progress/update in respect of action already taken.

Any and all updates received have been incorporated into the document before the Committee.

3.4 Following further review, and feedback received from the Chief Executive Officer, the Head of Compliance has again circulated the BAF to Executive colleagues with a request that it is further reviewed and updated, with particular emphasis on the identification of gaps in control and/or assurance. It is intended that the updated document will go to the Management Board on 21st July 2021, and subsequently to the Board meeting on 29th July 2021 for assurance.

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 (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	Audit Committee – March 2021	
Appendices	Appendix 1 Board Assurance Framework (BAF)	

