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Bwrdd Iechyd Prifysgol
Bae Abertawe
Swansea Bay University
Health Board



Meeting Date	31st March 2022	Agenda Item	2.2
Report Title	Board Assurance Framework (BAF)		
Report Author	Len Cozens, Head of Compliance		
Report Sponsor	Hazel Lloyd, Acting Director of Corporate Governance		
Presented by	Hazel Lloyd, Acting Director of Corporate Governance		
Freedom of Information	Open		
Purpose of the Report	The purpose of this report is to request that the Board 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> <p>The BAF was considered at the February 2022 meeting of the Risk Management Group, and the March 2022 meetings of both the Management Board and Audit Committee.</p> <p>During the Management Board meeting the next steps in developing the BAF were considered and agreed that the Director of Corporate Governance and Director of Nursing & Patient Experience would re visit the process and consider the principle risks and their links to the Health Board objectives. Levels of assurance and key controls would also be considered with key Executive Director leads to produce a revised BAF in Q1 of 2022/23.</p>		
Specific Action Required <i>(please choose one only)</i>	Information	Discussion	Assurance
	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>		<input type="checkbox"/>

Recommendations	Members are asked to: <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;• NOTE the work to develop the BAF further during Q1 of 2022/23 and;• AGREE any specific areas which will require further assurance in order that these can be reviewed by the relevant Board Committee.
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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.

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 Health Board last reviewed the BAF at its November 2021 meeting.
- 3.2 Following that meeting, the Head of Compliance undertook a detailed review and update process to ensure that:
- There is clear alignment between the BAF and the Health Board Risk Register
 - The content of the BAF reflects assurance received and agreed action stemming from NWSSP Audit & Assurance and Audit Wales reports

Where necessary, additional elements have been included within the body of the BAF in order to ensure that the above has been achieved.

- 3.3 Relevant extracts from the BAF were then circulated to each Executive lead and/or their nominated single point of contact in order to facilitate its further review and update. In addition to updating the control, assurance and agreed action elements of the BAF, relevant Executives and/or their teams were also asked to review and update the trajectory of travel and assurance indicators for those Enabling Objects for which they are the allocated lead.
- 3.4 Returns were received from all Executive Directors and/or their teams, and all updates have been included in the BAF which accompanies this report at **Appendix 1**.
- 3.5 As part of the above process, and following discussion with the Chief Operating Officer, the following two sections have been removed from the BAF:
- Primary, Community & Therapy Services
 - Mental Health & Learning Disabilities

It was agreed that these specific/bespoke sections would be removed in order to provide an opportunity for detailed review and update of the content by the relevant Service Group triumvirates and leads. It should be noted that elements of both of the above are still covered elsewhere within the BAF (e.g. CAMHS and Vaccination & Immunisation),

- 3.6 The revised BAF was considered at March 2022 meetings of both the Management Board and Audit Committee.
- 3.7 During the Management Board meeting the next steps in developing the BAF were considered and agreed that the Director of Corporate Governance and Director of Nursing & Patient Experience would re visit the process and consider the principle risks and their links to the Health Board objectives. Levels of assurance and key controls would also be considered with key Executive Director leads to produce a revised BAF in Q1 of 2022/23.

4. FINANCIAL IMPLICATIONS

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;
 - **NOTE** the work to develop the BAF further during Q1 of 2022/23 and;
 - **AGREE** any specific areas which will require further assurance in order that these can be reviewed by the relevant Board Committee

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	Risk Management Group – February 2022 Management Board – March 2022 Audit Committee – March 2022	
Appendices	Appendix 1 Board Assurance Framework (BAF)	

