



Bwrdd Iechyd Prifysgol
Bae Abertawe
Swansea Bay University
Health Board



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| Meeting Date | 13th July 2023 | Agenda Item | 2.4 |
| Report Title | Board Assurance Framework (BAF) | | |
| Report Author | Len Cozens, Head of Compliance | | |
| Report Sponsor | Hazel Lloyd, Director of Corporate Governance | | |
| Presented by | Hazel Lloyd, Director of Corporate Governance | | |
| 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 was last presented to the Audit Committee in March 2023.</p> <p>Relevant extracts from the document were circulated to Executive Directors and key contacts on 31st May 2023 for review and update. All responses received at the time of reporting have been included in the updated document at Appendix 1.</p> <p>The BAF was considered by the Management Board in July and recognised the development work undertaken and the Internal Audit assurance rating of reasonable from limited in 2022. The Management Board agreed an action for the Head of Compliance would meet with the Divisional Manager for CYP and Maternity Services to further develop the entry.</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; • NOTE the action to support further development of the entry for CYP and Maternity; • NOTE the Internal Audit Assurance rating of reasonable assurance from limited assurance for the BAF; and • 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:
- Establish the key controls in place which contribute to the Health Board achieving its strategic objectives.
 - Identify sources of assurance regarding the adequacy, suitability, completeness and operation of those controls.
 - 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 controls in place.
- 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 gaps 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 9th March 2023.
- 3.2 Responsibility for populating the content of the BAF rests with each Executive Director and his/her team. As such, relevant extracts from the document were circulated to Executive Directors and nominated leads on 31st May 2023 with a request that they be reviewed and updated. Prior to circulation, and in order to assist Executive colleagues, the Head of Compliance and Head of Corporate Governance pre-populated the extracts with some suggested updates and additions for scrutiny and approval.

- 3.3 All amendments received at the time of reporting have been included in the updated Board Assurance Framework document, which can be found at **Appendix 1**. All updates are highlighted in red text.
- 3.4 Actions marked as 'Complete' by the executive leads and their teams will remain in the Agreed Action column until the BAF is presented to the Board at the end of July 2023. Following that meeting, they will be removed and assessed for inclusion as either a key control or form of assurance.
- 3.5 The BAF was considered by the Management Board in July and recognised the development work undertaken and the Internal Audit assurance rating of reasonable from limited in 2022.
- 3.6 The Management Board agreed an action for the Head of Compliance would meet with the Divisional Manager for CYP and Maternity Services to further develop the entry for the Executive lead to consider.
- 3.7 It is intended that the BAF will be presented to the next meeting of the Board on 27th July 2023.

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;
 - **NOTE** the action to support further development of the entry for CYP and Maternity;
 - **NOTE** the Internal Audit Assurance rating of reasonable assurance from limited assurance for the BAF; and
 - **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 – 1 st March 2023 | |
| Appendices | Appendix 1 Board Assurance Framework (BAF) | |