



AGENDA ITEM

5.3

CTM BOARD

BOARD ASSURANCE FRAMEWORK REPORT

Date of meeting	25 th May 2023
FOI Status	Open/Public
If closed please indicate reason	Not Applicable Public Meeting
Prepared by	Wendy Penrhyn-Jones, Head of Corporate Governance & Board Business Philippa Peake-Jones, Interim Head of Corporate Governance & Risk
Presented by	Cally Hamblyn, Assistant Director of Governance & Assurance
Approving Executive Sponsor	Chief Executive
Report purpose	FOR APPROVAL

Engagement (internal/external) undertaken to date (including receipt/consideration at Committee/group)

Committee/Group/Individuals	Date	Outcome
Strategic Risk Owner updates	May 2023	Reviewed and signed Off
Executive Leadership Group	9 th May 2023	Endorsed for Board Approval

ACRONYMS

BAF	Board Assurance Framework
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1. SITUATION/BACKGROUND

1.1 It is good practice for the Health Board to have a Board Assurance Framework (BAF) that clearly sets out the risks, actions and relevant sources of internal and external assurances to provide a clear picture of

the 'health' of the organisation and the high level risks threatening delivery of the Board's strategic goals.

2. SPECIFIC MATTERS FOR CONSIDERATION BY THIS MEETING (ASSESSMENT)

- 2.1 The BAF has been developed to ensure it appropriately reflects;
- the four strategic goals of the Health Board;
 - assurance reporting that supports a streamlined and effective committee and reporting structure;
 - a robust mechanism that reaches into each of the Care Groups and central functions to provide assurance on performance, quality and resources across the breadth of the integrated Health Board;
 - international best practice; and
 - the management of Board meetings and agendas to be focussed equally on Oversight, Insight and Foresight i.e. balancing the governance of immediate operational priorities with the need to focus on long-term strategic planning.
- 2.2 The Organisational Risk Register is received in its entirety by the Audit & Risk Committee and the assigned risks to the other Board Committees as appropriate.
- 2.3 The latest Organisational Risk Register will be uploaded to the meeting date "document folder" in Admincontrol so although not published it is fully accessible to Board Members should they wish to view the detail behind the linked risks noted in the BAF.

3. KEY RISKS/MATTERS FOR ESCALATION TO BOARD/COMMITTEE

- 3.1 During April 2023 the Strategic Risk Owners have reviewed and updated the BAF to ensure it robustly reflects the latest position.
- 3.2 Please refer to Appendix 1 which outlines the key risks for discussion and review. Amendments for May 2023 have been highlighted in red.
- 3.3 There has been no new or closed risks this period.
- 3.4 Current risk score trajectories have remained stagnant. The initial risk score for Finance Revenue Resource - (Risk No.3) has been reviewed in light of the 2023-2024 position and has changed from a score of 25 to 20.
- 3.5 NWSSP recently reported the outcome of their review of the BAF at the April 2023 meeting of the Audit & Risk Committee that was assigned a 'substantial' assurance rating. As is usual practice a management response has been submitted setting out the areas identified for improvement and key to this was the need to align any gaps and corresponding mitigations as well as timings and identification of those

holding responsibility for any outstanding actions along with timings for these to be implemented. The updated BAF at Appendix 1 therefore reflects various updates in this regard.

- 3.6 The Annual Review of the Risk Management Framework has been undertaken and is on the agenda of the May 2023 meeting of the Board for approval at item 5.6. This review included the annual review of the BAF process and the Principal Risks, all of which remained unchanged.

4. IMPACT ASSESSMENT

Quality/Safety/Patient Experience implications	Yes (Please see detail below)
	The BAF will provide a robust mechanism that reaches into each of the localities and central functions to provide assurance on performance, quality and resources across the breadth of the integrated Health Board; international best practice; and
Related Health and Care standard(s)	Governance, Leadership and Accountability
	If more than one Healthcare Standard applies please list below:
Equality Impact Assessment (EIA) completed - Please note EIAs are required for <u>all</u> new, changed or withdrawn policies and services.	No (Include further detail below) If no, please provide reasons why an EIA was not considered to be required in the box below.
	Not applicable
Legal implications / impact	There are no specific legal implications related to the activity outlined in this report.
Resource (Capital/Revenue £/Workforce) implications / Impact	There is no direct impact on resources as a result of the activity outlined in this report.
Link to Strategic Goals	Improving Care

5. RECOMMENDATION

- 5.1 The Health Board is asked to **APPROVE** the BAF as follows:
- The updates to the Board Assurance Framework Report for May 2023.