

CTMUHB REFLECTIONS / SELF ASSESSMENT – Audit Wales – Board Effectiveness Review into BCUHB - ‘Building a more cohesive and effective Board and Executive Team’

Audit Wales Board Effectiveness Review Findings – BCUHB	CTMUHB Internal Self-Assessment Reflections	CTMUHB External Assurance Reflections	CTMUHB Triangulation of Information	CTMUHB Areas of Potential Learning & Improvement
<p>Repairing / addressing the working relationships within the Executive Team.</p>	<p>Focus on Board Effectiveness and relationships over the last 2 years through:</p> <ul style="list-style-type: none"> <li>Board Development Sessions with Deloitte working with the Board on <b>Scrutiny and Assurance</b> – March 2021</li> <li>Board Development Session led by Boyden in relation to <b>Board Leadership</b> – focussing on how we perform better together to deliver our strategic aims and ensure that we are maximising our effectiveness and collective knowledge and skills – February 2023.</li> <li><b>Compassionate Leadership</b> Board Development Session planned for August 2023.</li> </ul> <p>Through <b>Formal Board Meetings, Board Development Sessions, Board Briefings</b> and Informal Independent Member Fortnightly Catch-Ups with the Chair and the Chief Executive, this ensures that Independent Members remain fully briefed on topical matters to support them in discharging their responsibilities. Board Meetings to be held face-to-face at least twice a year and Board Development sessions to be held in person moving forward and this commenced in February 2023.</p> <p><b>IM Walkarounds</b> are undertaken with an <b>Executive ‘Buddy’</b>.</p> <p><b>Executive Leads</b> for Committees meet regularly with the <b>Committee IM Chairs</b> and <b>Vice Chairs</b> in terms of agenda planning.</p> <p><b>Cycle of Board Committee Self-Assessments</b> of Effectiveness which captures questions in relation to environment, ability to constructively challenge, atmosphere and conduct of meetings.</p> <p><b>Annual Board Effectiveness Self-Assessment</b> - In undertaking the Annual Board Effectiveness Assessment in February 2023, the Board has concluded its maturity rating in respect of Board Effectiveness / Governance, Leadership and Accountability to be “Level 4”, which provides assurance that the Health Board has well developed plans and processes and can demonstrate sustainable improvement throughout the service in terms of Board effectiveness and governance. This will be reported through the Board in March 2023 and captured within the Governance Statement which is included in the Accountability section of the Health Boards Annual Report.</p> <p><b>“How did we do”</b> captured at the end of each Board and Committee meeting to allow the Chair to pause and allow for reflections.</p> <p>The <b>People &amp; Culture Committee</b> continues to play a pivotal role in supporting the Board in monitoring how the Health Board is embedding its Values and Behaviours and sustaining its Leadership and Culture Improvement activity.</p> <p><b>Tour of Prince Charles Hospital on 2.3.2023</b> – was a collaborative and joint approach by IMs and the Executive Team to reflect on the improvements on site– with fantastic engagement by all Board Members which was welcomed by staff and contractors.</p>	<p><b>Audit Wales Structured Assessment 2022:</b></p> <p><i>“The Health Board has a stable, skilled, and experienced cadre of Independent Members. We found that Independent and Executive Board members have a healthy relationship, which in turn facilitates informal and formal flows of information. We have also observed Independent Members offering a good balance of challenge and support in Board and committee meetings.”</i></p> <p><i>“The Health Board is led by a relatively stable Executive Team, and positive changes have been made to the role of the Board Secretary to allow them to focus exclusively on the Health Board’s governance arrangements”</i></p> <p>Escalation Status: Governance now in the ‘maturity’ level of the TI matrices.</p>	<p>IM Walkarounds/Visits recommencing.</p> <p>Committee Self-Assessment Outcomes</p> <p>Annual Board Effectiveness Self Assessments</p> <p>Annual Accountability Report Board and Committee minutes.</p> <p>Live recording of Board meetings.</p> <p>Board Development Programme – Past, Present and Future topics</p>	<ul style="list-style-type: none"> <li>Purpose, Form and Function of IM Walkaround Visits and the development of a clear framework is in development and will be crucial to supporting the intelligence that can be gathered.</li> <li>Increase opportunities for face to face meetings to support relationship building which can be challenging in a virtual setting.</li> <li>Consider these findings when setting Board Development Programmes to ensure Board Effectiveness and Relationships are captured.</li> </ul>

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<p>Ensuring the Executive Team understand the concerns held by Independent Members over performance and assurances received, including issues relating to the quality of papers presented to the board and its committees.</p>	<p>Significant focus and improvement on the quality of reports received by the Board and its Committees over the last three years which has been recognised by Independent Members.</p> <p><b>IM Scrutiny Toolkit</b> shared with all Board Members supporting the IMs and Executives in understanding their roles. IMs in terms of their focus “Oversight, Insight and Foresight”. This is shared regularly. The toolkit focusses on papers, report presenters and the need for Executive Collaboration.</p> <p><b>Committee Effectiveness Surveys</b> ask for feedback on the quality, timing and level of information provided in the papers presented to Board and Committees.</p> <p>The Health Board continues to work to <b>improve the Integrated Performance Reporting to the Board</b>. The lay out, content and specifically the narrative throughout the report to Board is constantly being refined and updated to ensure the Board has the right information at the right time. In addition steps have been taken to ensure that the Board Committees receive the performance information relevant to their remit. However the Health Board recognises that given the nature of its business and its complexities that this remains a very large report and it can be challenging to identify the most significant issues.</p> <p><b>The Health Board is holding a workshop with Board Members in Spring 2023</b> to develop an approach that enables a greater visibility of the most important indicators whilst still presenting all other metrics in a timely fashion for openness and accountability.</p>	<p>Audit Wales and Health Inspectorate Wales (HIW) are currently carrying out a <b>joint follow-up review of Quality Governance Arrangements within CTMUHB (original review in 2019)</b>. (Fieldwork in progress – March 2023).</p> <p>The <b>Quality &amp; Safety Committee receives regular reports following HIW inspections</b> and quarterly updates on action plan delivery are shared with HIW.</p> <p>Board Committees <b>regularly receive Audit Wales Reports</b> on CTMUHB services.</p> <p><b>Audit Wales Structured Assessment 2022:</b></p> <p><i>“We found that the Board and its committee are generally effective, with evidence of good scrutiny, challenge, and self-reflection.”</i></p> <p><i>“The Health Board has made positive progress in developing a new Board Assurance Framework, which it must now use to shape Board and committee business.”</i></p>	<p>IM Walkarounds/Visits recommencing.</p> <p>Committee Self-Assessment Outcomes</p> <p>Annual Board Effectiveness Self-Assessments</p> <p>Annual Accountability Report Board and Committee minutes.</p> <p>Live recording of Board meetings.</p> <p>Board Development Programme – Past, Present and Future topics</p> <p>IM Scrutiny Toolkit.</p>	<ul style="list-style-type: none"> <li>• Recommence Board &amp; Committee report writing and presentation educational training to support Health Board officers in the quality of reports.</li> <li>• Review of the Integrated Performance Dashboard in conjunction with Board Members.</li> <li>• Continue to reflect on the cycle of business and the amount of information flowing through Board and Committees to manage the time and ensure focus on key matters.</li> <li>• The Health Board is in the process of strengthening the internal governance of all HIW open action plans by developing a central tracker system where any exceptions will be reported to the weekly clinical executive patient safety catch-up. Local governance of HIW actions will take place through our new Care Group quality and safety committees. The system will allow for the Care Group leads to have a dashboard of all their HIW Inspection activity and continuous monitoring of the improvement plans.</li> </ul>

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<p>Ensuring that Independent Members understand Executive team concerns about the impact of overly robust challenge, with the aim of moving to a 'high support and high challenge' leadership approach.</p>	<p>Focus on Board Effectiveness and relationships over the last 2 years through:</p> <ul style="list-style-type: none"> <li>Board Development Sessions with Deloitte working with the Board on <b>Scrutiny and Assurance</b> – March 2021</li> <li>Board Development Session led by Boyden in relation to <b>Board Leadership</b> – focussing on how we perform better together to deliver our strategic aims and ensure that we are maximising our effectiveness and collective knowledge and skills – February 2023.</li> <li><b>Compassionate Leadership</b> Board Development Session planned for August 2023.</li> </ul> <p><b>IM Scrutiny Toolkit</b> shared with all Board Members supporting the IMs and Executives in understanding their roles. IMs in terms of their focus "Oversight, Insight and Foresight". This is shared regularly. The toolkit focusses on papers, report presenters and the need for Executive Collaboration.</p> <p><b>Committee Effectiveness Surveys</b> ask questions specifically around scrutiny and challenge.</p>	<p><b>Audit Wales Structured Assessment 2022:</b></p> <p><i>"We found that the Board and its committee are generally effective, with evidence of good scrutiny, challenge, and self-reflection."</i></p>	<p>Live recording of Board meetings.</p> <p>Board Development Programme – Past, Present and Future topics</p> <p>Committee Self-Assessment Outcomes</p> <p>IM Scrutiny Toolkit.</p>	<ul style="list-style-type: none"> <li>Increase opportunities for face to face meetings to support relationship building which can be challenging in a virtual setting.</li> </ul>
<p>Establishing an agreed level of risk appetite and tolerance between Executives and Independent Members.</p>	<p>The Health Board undertook a detailed review of its <b>Risk Management Strategy</b> and <b>Risk Appetite in May 2022</b> and this is planned for review in May 2023.</p> <p>The <b>Board Assurance Framework</b> received at every Board meetings highlighting the principal risks facing the Health Board are aligned to the Risk Appetite Statement of the Health Board.</p> <p>The Board Assurance Framework and Organisational Risk Register are considered in <b>Board and Committee agenda planning sessions</b> to ensure that they inform Board Business and direction of travel.</p> <p>The Board Assurance Framework aims to <b>triangulate risk, assurance and performance</b> and although still relatively new will continue to evolve and embed into the organisation.</p>	<p><b>Audit Wales Structured Assessment 2022:</b></p> <p><i>"there is an effective Board Assurance Framework (BAF) in place, which is actively reviewed and owned by the Board; the BAF is underpinned by appropriate systems for managing risks and performance, and handling information in a secure manner; and effective action is taken to address audit and review findings and recommendations"</i></p> <p><b>Internal Audit Review</b> of the Board Assurance Framework – assessment <b>pending</b></p> <p><b>Escalation Status:</b> Governance &amp; Risk now in the 'maturity' level of the TI matrices.</p>	<p>Board Assurance Framework</p> <p>Integrated Performance Dashboard</p> <p>Risk Management Strategy</p>	<ul style="list-style-type: none"> <li>The Health Board has made positive progress in developing a new Board Assurance Framework, which it must now use to shape Board and committee business.</li> </ul>

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<p>Establishing a working environment and culture at board and its committees that promotes transparency and maintains the correct balance between scrutiny, challenge and support, reflecting the organisation's expected values and behaviours.</p>	<p>Leadership and Culture journey, particularly in sharing lessons from the Maternity and Neonates Improvement Activity, has focussed on how we can embed our values as a Health Board and support staff to feel safe to raise concerns. The Board has an identified Independent Member Champion for Raising Staff Concerns. The People &amp; Culture Committee continues to play a pivotal role in supporting the Board in monitoring how the Health Board is embedding its Values and Behaviours and sustaining its Leadership and Culture Improvement activity.</p> <p>The Board is committed to sustaining the changes it has made over the last three years in conducting <b>business with openness and transparency</b> with a view to opening the organisation up to our patients and wider stakeholders, involving them in development of strategy and holding all key Board business meetings in public. <b>Private meetings are held only be exception.</b></p> <p><b>IM Scrutiny Toolkit</b> shared with all Board Members supporting the IMs and Executives in understanding their roles. IMs in terms of their focus "Oversight, Insight and Foresight". This is shared regularly. The toolkit focusses on papers, report presenters and the need for Executive Collaboration.</p> <p>The Executive Nurse Director is the Senior Responsible Officer both for maternity and neonatal improvement work (both whilst CTMUHB was under '<b>Special Measures</b>' from April 2019 and since the decision in November 2022 to de-escalate to '<b>Targeted Intervention</b>') for these issues. The Vice-Chair (who is also the Quality &amp; Safety Committee Chair) is the Independent Member lead. There is an <b>Assurance Framework in place</b> which sets out the monitoring and reporting arrangements for delivering improvement recommendations, this commences at service level. The Executive Nurse Director Chairs the Maternity and Neonatal Improvement Board (MNIB), which reports directly into the Q&amp;S committee and then up to the Board when it meets in public.</p>	<p><b>Audit Wales Structured Assessment 2022:</b></p> <p><i>"The Health Board has a stable, skilled, and experienced cadre of Independent Members. We found that Independent and Executive Board members have a healthy relationship, which in turn facilitates informal and formal flows of information. We have also observed Independent Members offering a good balance of challenge and support in Board and committee meetings."</i></p> <p>Escalation Status: Improvements in Leadership and Culture.</p>	<p>IM Scrutiny Toolkit</p> <p>Board and Committee Business Standards.</p> <p>People and Culture Committee cycle of business.</p>	<ul style="list-style-type: none"> <li>• Recommence Board &amp; Committee report writing and presentation educational training to support Health Board officers in the quality of reports.</li> </ul>
<p>Aligning Independent Member portfolios to Executive Director portfolios to support information and knowledge sharing.</p>	<p>There are joint leads between Executive and Independent Members in terms of <b>Board Champion roles.</b></p> <p>Executive Leads and IM Committee and Vice Chairs meet regularly for <b>agenda planning sessions.</b></p> <p>Informal meetings with IMs and Executive Leads occur <b>organically.</b></p> <p><b>Informal Fortnightly IM Meetings</b> with all IMs, the Chair and CEO. Executive Directors invited on portfolio matters.</p>	<p><b>Audit Wales Structured Assessment 2022:</b></p> <p><i>"The Health Board has a stable, skilled, and experienced cadre of Independent Members. We found that Independent and Executive Board members have a healthy relationship, which in turn facilitates informal and formal flows of information."</i></p>	<p>Agenda planning. Board Champion Roles</p>	<ul style="list-style-type: none"> <li>• Consider if there is an opportunity to formally align portfolios and establish regular touch point sessions on shared portfolios balancing strategic vs operational.</li> </ul>