



**AGENDA ITEM**

5.2

**CTM BOARD**

**BOARD ASSURANCE FRAMEWORK REPORT**

<b>Date of meeting</b>	24 <sup>th</sup> November 2022
<b>FOI Status</b>	Open/Public
<b>If closed please indicate reason</b>	Not Applicable Public Meeting
<b>Prepared by</b>	Cally Hamblyn, Assistant Director of Governance & Risk Wendy Penrhyn-Jones, Head of Corporate Governance & Board Business
<b>Presented by</b>	Cally Hamblyn, Assistant Director of Governance & Risk
<b>Approving Executive Sponsor</b>	Chief Executive
<b>Report purpose</b>	FOR APPROVAL

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

<b>Committee/Group/Individuals</b>	<b>Date</b>	<b>Outcome</b>
Strategic Risk Owner updates	Oct/Nov 22	Reviewed and signed Off
Executive Leadership Group	7.11.2022	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. The concept for the revised BAF was approved at the Board on the 31<sup>st</sup> March 2022.

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

- 2.1 The BAF has been developed to ensure it appropriately reflects;
- the four new 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 localities 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 As agreed at the Health Board meeting in July 2022, the Organisational Risk Register will no longer be received formally by the Board. The Organisational Risk Register will continue to be 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 October / November 2022 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 have been highlighted in red.
- 3.3 The Board are asked to endorse the following significant changes:

Risk Score:

- **Strategic Risk 3 – Finance Revenue Resource** – risk score remains unchanged however, the order of the Consequence and Likelihood scoring has been changed around as it is considered a 4 for consequence and a 5 for likelihood is a more appropriate assessment of this risk score. The reference to Estates and Premises have been removed from this risk narrative as not appropriate to be

considered within this risk assessment. As indicated in 3.4 below a strategic risk in relation to Capital is being developed. The risk was reframed to clearly articulate that it relates to revenue resources.

- **Strategic Risk 5 – Community & Partner Engagement** risk score reduced from a 16 to a 12 this period. The rationale for a reduction in the likelihood risk score is based on the completion of the Population Needs Assessments and Wellbeing Assessments that have been shared and embraced in the community with resulting activity now underway by Health Board and key partners. The Target Score has also been reevaluated during this period with a new likelihood score of 2 assessed.

#### 3.4 Emerging Strategic Risks:

- The Executive Director of Finance is currently developing a Strategic Risk in terms of Capital Resources.

## 4. IMPACT ASSESSMENT

<b>Quality/Safety/Patient Experience implications</b>	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
<b>Related Health and Care standard(s)</b>	Governance, Leadership and Accountability If more than one Healthcare Standard applies please list below:
<b>Equality Impact Assessment (EIA) completed - Please note EIAs are required for <u>all</u> new, changed or withdrawn policies and services.</b>	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
<b>Legal implications / impact</b>	There are no specific legal implications related to the activity outlined in this report.
<b>Resource (Capital/Revenue £/Workforce) implications / Impact</b>	There is no direct impact on resources as a result of the activity outlined in this report.
<b>Link to Strategic Goals</b>	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 November 2022.
- The changes in risk score highlighted in section 3.3.