

Cwm Taf Morgannwg University Health Board (CTMUHB)

Annual Assessment of Board Effectiveness

2021-2022

The Board is required to undertake an annual self-assessment of its effectiveness. The purpose of this report is to bring together the sources of assurance that support this assessment process.

1. BACKGROUND

During the year the Health Board has undertaken and/or engaged in a number of assessments that would provide internal and external sources of assurances to support the Board in undertaking its annual effectiveness assessment, these are outlined below:

Internal Sources of Assurance

- An assessment against the **Corporate Governance in Central Governance Departments: Code of Good Practice 2017**, has been completed using the “Comply” or “Explain” approach. The Self-Assessment against the code of good practice is attached at Appendix 2.
- A training programme for **Board and Committee Report Writing and Awareness** commenced in June 2021, delivering training to staff to support the improvement in quality of Board & Committee reports.
- Introduction of **reflective practice** following all Committee and Board meetings to aide continuous improvement of the management of meetings and Board business.
- **Board Committee Effectiveness** – There is a programme in place to ensure Committees of the Board review the following activity on an annual basis.
 - Terms of Reference and Operating Arrangements
 - Committee Effectiveness Annual Surveys
 - Committee Cycle of Business
 - Annual Committee Reports on Activity to the Board

Themes identified from the self-assessment of Board and Committees is attached at Appendix 3.

- **Independent Member Scrutiny Toolkit** launched. This toolkit is designed to support Independent Members (IMs) to provide constructive challenge in their role as Board Members. It may also be of use to Executive Directors to provide constructive challenge to their peers as papers progress through Committees to the Board.

The Health Board is linked in on the development of an All Wales Independent Member Scrutiny Toolkit led by the Board Secretary Networks which is expected imminently, the All Wales tool is aligned to the toolkit developed by the Health Board as good practice has been shared across organisations.

- **Good Governance Institute (GGI)** engaged and working with the Health Board to review and develop a new **Board Assurance Framework** for implementation in early 2022. The framework will support the Board in the triangulation of risks, performance and assurance.
- **Good Governance Institute (GGI)** – the Health Board has engaged GGI to support the delivery of an agreed Board Development Programme, which should include high calibre masterclasses in strategic leadership. The diagnostic undertaken with the Board in November 2021 provided insight into the expectations of the members and informed GGI’s proposals. Sessions are being planned for early in 2022, however, the pace of which is likely to be impacted by the Health Board’s continuing response to the pressures faced by the Covid-19 pandemic and the decision to stand down non-essential meetings.

External Sources of Assurance & Review

- **Internal Audit (Shared Services Partnership – Audit & Assurance Services)** – Governance Arrangements during Covid-19 Pandemic Follow Up – Advisory Review Report.
- **Audit Wales Structured Assessment** – was undertaken during 2021 and the full report and management response is available upon request. The recommendations are monitored via the Audit & Risk Committee through to completion.
- **Joint Escalation and Intervention Arrangements status** - Joint Escalation and Intervention Arrangements, the Welsh Government (WG) meets with Audit Wales and Healthcare Inspectorate Wales twice a year to discuss the overall assessment of each Health Board and Trust in relation to the arrangements.

The current escalation status of the Health Board remains unchanged at ‘targeted intervention’ with maternity services remaining in ‘special measures’.

Correspondence from Andrew Goodall, Director General Health and Social Services/NHS Wales Chief Executive dated 21st October 2021 following the Health Board’s Escalation Meeting on the 26th August 2021, stated:

"In terms of the wider targeted intervention picture, I am pleased to hear that the self-assessment process is working effectively with full independent member engagement and scrutiny. It is a credit to your teams that all three domains are now sitting within the results phase of the maturity matrices. We agreed that a movement to four monthly assessment was appropriate going forward to provide opportunity to reflect and consolidate improvements. The transition from results to maturity is a significant

step and one where it will be important to demonstrate the difference that actions the organisation has taken are realising sustainable improvement. We are clearly not looking for you to be achieving exemplar before moving out of escalation but is something that I would expect you to be aspiring to as part of a journey of continuous improvement.”

2. ASSESSMENT

Following due consideration of section two and revisit of the supporting appendices, the Board are asked to consider what it considers the overall level of maturity to be for the Health Board in respect of governance and board effectiveness for 2021-2022, based on the following criteria:

Assessment Matrix level	Level 1	Level 2	Level 3	Level 4	Level 5
Tick the matrix box that most accurately reflects how your service is doing with this standard	In terms of Board effectiveness and Board Governance: We do not yet have a clear, agreed understanding of where we are (or how we are doing) and what / where we need to improve.	In terms of Board effectiveness and Board Governance: We are aware of the improvements that need to be made and have prioritised them, but are not yet able to demonstrate meaningful action.	In terms of Board effectiveness and Board Governance: We are developing plans and processes and can demonstrate progress with some of our key areas for improvement.	In terms of Board effectiveness and Board Governance: We have well developed plans and processes and can demonstrate sustainable improvement throughout the service.	In terms of Board effectiveness and Board Governance: We can demonstrate sustained good practice and innovation that is shared throughout the organisation and which others can learn from
				✓	

3. RECOMENDATIONS

The Board has concluded its maturity rating in respect of Board Effectiveness / Governance, Leadership and Accountability to be **“Level 4”** and increase from Level 3 in 2020-2021.

The above assessment will be reported in the Accountability Report.

In concluding this process and in demonstrating continued self-reflection and an appetite for continuous improvement, the Board Members are asked to identify any areas of activity or improvement in relation to the questions below:

<p>IN THE BOARD'S OPINION WHAT ARE WE DOING WELL?</p>	<ul style="list-style-type: none"> • The Board is becoming increasingly mature in our assessment of risk and its reporting at Board level. • The Board structure and that of its committees is clear and we constantly review which issues are discussed where to ensure appropriate transparency and governance. The meetings are supported well in terms of agenda setting and supporting papers and the cycle of business for each ensures we do not overlook any matters. • The consent agenda works well in ensuring discussion time is targeted effectively. The review process at the end of meetings is helpful. The appraisal process is very helpful. • An enormous amount of work has been done and is continuing into risk assessment to ensure consistency and appropriate escalation and this is reassuring.
<p>IN THE BOARD'S OPINION WHAT COULD WE BE DOING BETTER?</p>	<ul style="list-style-type: none"> • The Board still needs more focused reports coming to Board so members can more easily get the important information up front. • The Board is seeing improved papers and quality of reporting; this is helping to focus discussion and ensure it has relevant information. There is further room for improvement and it is good to see this progressing. Technology can be challenging at times and it would be good to see further digital development and training to further improve this. The Board needs to constantly challenge itself to remain strategic.
<p>IS THERE ANY BOARD TRAINING/DEVELOPMENT NEEDS?</p>	<ul style="list-style-type: none"> • The Board needs a better understanding of digital and all its implications for the whole organisation, something that the new Director for Digital will be leading. • Digital training would be helpful in some areas. • Development sessions in person for the Board to include sharing particular expertise and areas of interest would be helpful particularly for newer members and to ensure we do not have skills gaps on the Board.

- The All-Wales training has been excellent - further sessions for this group including at a later stage developing into the role of Vice Chair/ Chair would be welcomed.