## Public Health Wales Board Assurance Framework

**Author:** Eleanor Higgins, Corporate Governance Manager  
**Date:** 13 July 2017  
**Version:** 0.1  
**Sponsoring Director:** Melanie Westlake, Board Secretary and Head of Corporate Governance  
**Who will present:** Eleanor Higgins, Corporate Governance Manager  
**Date of Committee meeting:** 20 July 2017  
**Committee/Groups that have received or considered this paper:** None.

### The Committee is asked to:
- **Approve** the recommendation(s) proposed in the paper
- **Discuss** and scrutinise the paper and provide feedback and comments
- **Receive** the paper for information only

### Link to Public Health Wales commitment and priorities for action:
(please tick which commitment(s) is/are relevant)
- [ ] [ ] [ ] [ ]
  -  

### Priorities for action
| Strategic Priority 7 – Developing the Organisation |  

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**Date:** 13 July 2017  
**Version:** v1  
**Page:** 1 of 3
1 Introduction

The Board received and approved the Board Assurance Framework (BAF) in June 2016. The purpose of this report is to provide an update to the People and Organisational Development Committee.

2 Background and purpose of the BAF

According to the Auditor General for Wales, the role of the Board is:

‘to govern their organisation effectively and in doing so build public and stakeholder confidence that their health and healthcare are in safe hands.’

In order for the Board to discharge its responsibilities, it needs to receive assurances that the organisation is effectively managing its risks to ensure delivery of its mission and objectives. One way that the Board receives assurance is via the BAF.

Further information regarding the development of the BAF can be found here (Paper Ref 08.300616).

All risks are scored according to the guidance in the Public Health Wales Risk Management Manual and a key to the scoring methodology is appended to the BAF.

The Strategic Risks for 2017/18 were agreed by the Board at its meeting on 23 March 2017, and transferred to the BAF thereafter. A review of the Key Controls, Current Risk Rating, Sources of Assurance, Gaps in assurance and Actions was undertaken as a consequence of revisions to the risks and risk descriptors to ensure that they were still current and accurate.

The revised risks and BAF were presented with the Corporate Risk Register to the Board at its meeting on 25 May 2017.

3 The Board Assurance Framework and Board Committees

The Board delegates responsibility for receiving and scrutinising assurances to its various committees. The BAF assigns particular strategic risks to specific committees, and generally the committee will only receive the elements of the BAF which apply to its particular risks.

There are three risks assigned to the People and Organisational Development Committee and these are as follows:
• **There is a risk that Public Health Wales will find itself without the workforce it requires to deliver on its strategic priorities.** This will be caused by lack of development / re-skilling of existing staff, the inability to attract the suitably qualified and experienced candidates for vacancies and inefficient or ineffective processes for recruitment and development. The impacts would include potential of harm to patients, impacts on the welfare of staff, poor quality service, a failure to achieve population health gains, potential litigation at both a corporate and personal level with financial and/or penal sanctions and/or significant reputational damage which could threaten the future of the organisation.

• **There is a risk that Public Health Wales will not comply with its statutory and regulatory obligations to such a degree that it fails to achieve its strategic priorities.** This will be caused by a lack of or ineffectiveness of suitable management systems to ensure compliance. The impacts would include potential of harm to patients, impacts on the welfare of staff, poor quality service, a failure to achieve population health gains, potential litigation at both a corporate and personal level with financial and/or penal sanctions and/or significant reputational damage which could threaten the future of the organisation.

The attached extract from the BAF contains a list of assurances for each strategic risk which the Committee may request, but this list should not be viewed as complete or exhaustive and the committee should seek other such assurances as it may from time to time feel appropriate.

The BAF is published monthly by the Chief Risk Officer and the version presented to the committees is up to date at the time of production of this report. All updates are shown in red. The RAG status for all risks assigned to the Committee show that all appear to be on target.

### 4 Next Steps

The ongoing review and updating of the BAF will continue in accordance with the Risk Management Manual.

### 5 Recommendation

The Committee is asked to:

- **NOTE** the completed actions,
- **NOTE** amendments to the Board Assurance Framework, and
- **CONSIDER** whether any further assurance or information is required regarding the ongoing mitigation of the risks.
### Workforce

<table>
<thead>
<tr>
<th>Risk Identifier</th>
<th>Risk Description</th>
<th>Inherent Risk</th>
<th>Risk Scoring</th>
<th>Current Risk</th>
<th>Assurance</th>
<th>Target Risk</th>
<th>Risk Action Plan</th>
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<td>Qualified staff available</td>
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<td>8</td>
<td>Key Controls</td>
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<td>4</td>
<td>4</td>
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<td>8</td>
<td>Key Controls</td>
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<td>8</td>
<td>Key Controls</td>
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<tr>
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<td>4</td>
<td>4</td>
<td>4</td>
<td>8</td>
<td>Key Controls</td>
</tr>
</tbody>
</table>

### Operational

<table>
<thead>
<tr>
<th>Risk Identifier</th>
<th>Risk Description</th>
<th>Inherent Risk</th>
<th>Risk Scoring</th>
<th>Current Risk</th>
<th>Assurance</th>
<th>Target Risk</th>
<th>Risk Action Plan</th>
</tr>
</thead>
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<tr>
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<td>Qualified staff available</td>
<td>4</td>
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<td>4</td>
<td>4</td>
<td>8</td>
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<td>4</td>
<td>4</td>
<td>4</td>
<td>4</td>
<td>8</td>
<td>Key Controls</td>
</tr>
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<td>Staff survey engagement plan</td>
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<td>4</td>
<td>4</td>
<td>4</td>
<td>8</td>
<td>Key Controls</td>
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<tr>
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<td>Staff survey engagement plan</td>
<td>4</td>
<td>4</td>
<td>4</td>
<td>4</td>
<td>8</td>
<td>Key Controls</td>
</tr>
</tbody>
</table>

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**New Board Assurance Framework - July 2017**

**Strategy**

- **Ongoing**: 31/12/2017
- **Target Risk**: 31/03/2018
- **Action due date**: 31/03/2018

**Risk Identifier**

- **Inherent Risk**: 4
- **Risk Scoring**: 5
- **Current Risk**: 4
- **Assurance**: 4
- **Target Risk**: 5
- **Action Plan**: 5

**Risk Description**

- **Operational**
  - Qualified staff available
  - Staff survey engagement plan

**Inherent Risk**

- **Operational**: 4
- **Operational**: 5
- **Operational**: 6
- **Operational**: 7

**Risk Scoring**

- **Operational**: 4
- **Operational**: 4
- **Operational**: 4
- **Operational**: 4

**Current Risk**

- **Operational**: 4
- **Operational**: 4
- **Operational**: 4
- **Operational**: 4

**Assurance**

- **Operational**: 4
- **Operational**: 4
- **Operational**: 4
- **Operational**: 4

**Target Risk**

- **Operational**: 5
- **Operational**: 5
- **Operational**: 5
- **Operational**: 5

**Action Plan**

- **Operational**: 5
- **Operational**: 5
- **Operational**: 5
- **Operational**: 5
## Public Health Wales

Board Assurance Framework incorporating updates provided up to and including 12 July 2017

### Risks by Severity

<table>
<thead>
<tr>
<th>Severity</th>
<th>Count</th>
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<tbody>
<tr>
<td>Extreme</td>
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<tr>
<td>High</td>
<td>1</td>
</tr>
<tr>
<td>Moderate</td>
<td>0</td>
</tr>
<tr>
<td>Low</td>
<td>0</td>
</tr>
</tbody>
</table>

* Risks by severity are based on the current risk score

### Risk Trends

<table>
<thead>
<tr>
<th>Trend</th>
<th>Count</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total Risks</td>
<td>2</td>
</tr>
<tr>
<td>New Risks</td>
<td>2</td>
</tr>
<tr>
<td>Risk Increasing</td>
<td>0</td>
</tr>
<tr>
<td>No Change</td>
<td>2</td>
</tr>
<tr>
<td>Risk Reducing</td>
<td>0</td>
</tr>
<tr>
<td>De-escalated / Removed</td>
<td></td>
</tr>
</tbody>
</table>

### Risk Action Plan Status

<table>
<thead>
<tr>
<th>Business Area</th>
<th>Actions Outstanding</th>
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</thead>
<tbody>
<tr>
<td>Workforce</td>
<td></td>
</tr>
<tr>
<td>Policy and Strategy</td>
<td></td>
</tr>
<tr>
<td>Operational</td>
<td></td>
</tr>
<tr>
<td>Partnership</td>
<td></td>
</tr>
</tbody>
</table>

### Strategic Priorities

- **Strategic Priority 1**: Adopting and implementing a multiagency systems approach to achieving significant improvements in our population's health
- **Strategic Priority 2**: Working across sectors to improve the future health and wellbeing of our children
- **Strategic Priority 3**: Developing and supporting primary community care services to improve the public's health
- **Strategic Priority 4**: Supporting the NHS to improve outcomes for people using services
- **Strategic Priority 5**: Influencing policy to protect and improve health and reduce inequalities
- **Strategic Priority 6**: Protecting the public and continuously improving the quality, safety and effectiveness of the services we deliver
- **Strategic Priority 7**: Developing the organisation
### Key to Public Health Wales Risk Scoring methodology

#### Impact Scoring

<table>
<thead>
<tr>
<th>Consequence score (severity level) and examples of descriptors</th>
<th>1</th>
<th>2</th>
<th>3</th>
<th>4</th>
<th>5</th>
</tr>
</thead>
<tbody>
<tr>
<td>Minor injury affecting minor intervention or treatment</td>
<td>Minor injury affecting minor intervention or treatment</td>
<td>Minor injury affecting minor intervention or treatment</td>
<td>Minor injury affecting minor intervention or treatment</td>
<td>Minor injury affecting minor intervention or treatment</td>
<td>Minor injury affecting minor intervention or treatment</td>
</tr>
<tr>
<td>Catastrophic impact on service</td>
<td>Catastrophic impact on service</td>
<td>Catastrophic impact on service</td>
<td>Catastrophic impact on service</td>
<td>Catastrophic impact on service</td>
<td>Catastrophic impact on service</td>
</tr>
</tbody>
</table>

#### Likelihood scoring

<table>
<thead>
<tr>
<th>1</th>
<th>2</th>
<th>3</th>
<th>4</th>
<th>5</th>
<th>6</th>
</tr>
</thead>
<tbody>
<tr>
<td>Rare</td>
<td>Unlikely</td>
<td>Possible</td>
<td>Likely</td>
<td>Almost certain</td>
<td></td>
</tr>
</tbody>
</table>

#### Definitions

- **Likelihood score**
  - Rare: This is the risk score when the risk controls are taken into account.
  - Unlikely: This is the risk score when the risk has been identified but controls are expected to prevent the occurrence.
  - Possible: This is the risk score when the risk has been identified and the risk is likely to occur.
  - Likely: This is the risk score when the risk has been identified as an area where risk controls may be needed.
  - Almost certain: This is the risk score when the risk has been identified as an area where risk controls are required.

- **Consequence score**
  - Minor: This is the risk score when the risk control is over $10,000.
  - Moderate: This is the risk score when the risk control is over $100,000.
  - Major: This is the risk score when the risk control is over $1 million.
  - Catastrophic: This is the risk score when the risk control is over $10 million.

#### Risk Map

<table>
<thead>
<tr>
<th>Score</th>
<th>Low Risk</th>
<th>Moderate Risk</th>
<th>High Risk</th>
<th>Extreme Risk</th>
</tr>
</thead>
<tbody>
<tr>
<td>1-2</td>
<td>Low Risk</td>
<td>Moderate Risk</td>
<td>High Risk</td>
<td>Extreme Risk</td>
</tr>
<tr>
<td>3-4</td>
<td>Low Risk</td>
<td>Moderate Risk</td>
<td>High Risk</td>
<td>Extreme Risk</td>
</tr>
<tr>
<td>5-7</td>
<td>Low Risk</td>
<td>Moderate Risk</td>
<td>High Risk</td>
<td>Extreme Risk</td>
</tr>
<tr>
<td>8-10</td>
<td>Low Risk</td>
<td>Moderate Risk</td>
<td>High Risk</td>
<td>Extreme Risk</td>
</tr>
<tr>
<td>11+</td>
<td>Low Risk</td>
<td>Moderate Risk</td>
<td>High Risk</td>
<td>Extreme Risk</td>
</tr>
</tbody>
</table>