

## Organisational response

**Report title:** Structured Assessment 2022

**Completion date:** May 2023

**Document reference:** 3562A2023

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| R1  | <p><b>Describing the strategic planning process</b></p> <p>We identified opportunities for the Trust to articulate the process more explicitly for developing its IMTP to the Board. The Trust should share its process for developing the IMTP for scrutiny and challenge at Board, and discussion around when in the process, the Board should engage in the draft versions.</p> | <p>We will bring together into a formal paper the process for development, scrutiny and approval of the IMTP from the current discussions in Board Development sessions.</p> | December 2023  | <p>Deputy Chief Executive / Executive Director of Operations and Finance and Head of Strategy, Planning and Corporate Affairs</p> |

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| R2  | <p><b>Improving systems of assurance</b></p> <p>The Trust currently lacks a comprehensive Board Assurance Framework and there are currently several gaps in the Trust's sources of assurance. As part of the review of its long-term strategy, the Trust should develop a clear Board Assurance Framework. The Board Assurance Framework should:</p> <ul style="list-style-type: none"> <li>• address current gaps by including assurances relating to the Trust's approach to enabling better population health through preventative and sustainable measures, partnership working, and estates and other physical assets;</li> <li>• include all relevant controls and sources of assurance for Board and committees;</li> <li>• be regularly reviewed by the Board; and</li> <li>• be used to inform Board and committee workplans.</li> </ul> | <p>We have all of the components of a Board Assurance Framework (BAF) which is clear in our Board agendas and our Board workplan. Each Board meeting has an agenda item dedicated to the Board Assurance Framework, including a number of components: the Chief Executive's report; the Integrated Performance Report; Managing Risk; and Reports from the Chairs of Committees of the Board.</p> <p>The Board assurance is summarised in the Board Workplan, which is reviewed by the Board at each meeting, and used as the basis for the Board and Committee work. The Terms of reference for the each of the Committee clearly outline the assurance that each are providing, and this is the basis for the workplans.</p> <p>We agree that bringing all of this information and component that make up the BAF into a summary document would be helpful.</p> <p>The Board is content that there are no gaps in the assurance and it content with the information it considered as part of the Board Assurance Framework.</p> <ul style="list-style-type: none"> <li>- Estates and other physical assets is considered at Board level as part of the Budget Strategy.</li> </ul> | September 2023   | Board Secretary and Head of Board Business Unit / Executive Director of Quality, Nursing and Allied Health Professionals |

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|     |  | <ul style="list-style-type: none"> <li>- Population Health is considered at the QSIC Board Committee and at Board level through the Public Health Dashboard and IPR,</li> <li>- Strategic Partners forms part of the BAF.</li> </ul> <p>We will ensure that these elements are mapped within the summary BAF.</p>  |  |  |
| R3  | <p>There is duplication in the terms of reference for the Audit and Corporate Governance Committee (ACGC) and the Knowledge, Research, and Information Committee (KRIC) with respect to information governance and security. The Trust should consider which is the most appropriate committee to maintain oversight of information governance and security and update terms of reference accordingly. The Trust should factor in the heavy workload of the ACGC into its considerations. More broadly, the Trust's review of its long-term strategy presents opportunities to review the current committee structure to ensure that workloads are balanced.</p> | <p>Information Governance and cyber security compliance sit with the ACGC, this has been the case since April 2020, and ACGC has fulfilled that role since then, receiving regular updates on both since then and providing assurance to the Board. There has been no confusion in practice of where IG Compliance is considered. Due to the compliance requirement for IG reporting, the Board considers ACGC the most appropriate place for IG within the Committee Structure.</p> <p>The Terms of Reference for all Committees have been revised, approved by the Board in May 2023, the changes included clarity on IG and Cyber to remove any reference to either in the other Committee TOR.</p> | May 2023 (Action completed)  | Board Secretary and Head of Board Business Unit / Executive Director of Quality, Nursing and Allied Health Professionals |

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| R4  | There are opportunities to include staff and user feedback more routinely in committee meetings, incorporating feedback from broader users of the Trust's services, such as NHS and local government bodies. In developing its approach to seeking, and providing assurance on, feedback, the Trust should incorporate capturing a broader perspective of views on how its services are received. | <p>We partly accept this recommendation.</p> <p>External stakeholders are regularly invited to attend and take part in Board and Committee meetings. Feedback following such meetings is invited and is incorporated into overall Board development.</p> <p>We will take an action to formalise our feedback process into our BAF and look into other opportunities to gather feedback (via our website for example) so we can ensure everyone has the opportunity to offer their feedback whether they are viewing Board via the live stream or otherwise.</p> <p>We will also look to operate a clearer feedback process for our partnership and stakeholder working relationships to ensure all learning is captured. This will be taken forward through the refresh and delivery of the Our Approach to Engagement Plan, with a focus on amplifying the voice of people we want to work with and for through the development of a User Experience Framework informed by data generated through the Civica platform and third sector collaboration</p> | March 2024   | Board Secretary and Head of Board Business Unit / Executive Director of Quality, Nursing and Allied Health Professionals |
| R5  | <b>Improving oversight of progress addressing audit recommendations</b>   | ACGC has always had oversight of progress in relation to the Audit recommendations, the   | March 2023 (Action complete)   | Board Secretary and Head of  |

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|     | <p>The audit log does not include the recommendations arising from our audit of the Trust's financial statements for 2021-22. The Trust should update its audit log accordingly to ensure that the ACGC can oversee progress in addressing these recommendations.</p>   | <p><b>action for this recommendation relates to a clarity on the process by which we ensure assurance, which is best placed within the combined external and internal Audit Tracker.</b></p> <p>This has been amended, the actions were incorporated within the Audit Tracker and considered by the Committee in March 2023. The ACGC agreed that the actions were complete and closed the actions on this basis. The <a href="#">Audit Tracker update</a> is attached</p>  |  | Board Business Unit                             |
| R6  | <p><b>Improving transparency of Board and committee business</b></p> <p>We identified opportunities for the Trust to improve its administration of Board and committee business. The Trust should:</p> <ul style="list-style-type: none"> <li>a) ensure that all key governance, financial, policy and strategic documents are updated and published in a timely manner on its website;</li> <li>b) ensure that arrangements are in place to note in public where items set out in Board and committee workplans are not considered;</li> <li>c) ensure that cover sheets are used for all Board and committee papers to summarise key issues and explain what</li> </ul> | <ul style="list-style-type: none"> <li>a) The Board is only able to amend Standing Orders when updated Model Standing Orders are issued by Welsh Government. This was last issued in 2021 and the copy of our SOs on the website are this version.</li> </ul> <p>The elements of our standing orders that we are able to amend (such as the TORs) are reviewed and updated on an annual basis.</p> <p>The Model Standing Orders have been produced by WG, and we will be updating in line within this in Sept 23.</p> | September 2023   | Board Secretary and Head of Board Business Unit |

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|     | <p>Board members are being asked to do; and</p> <p>d) ensure that briefings provided outside of the formal Board meetings are put in the public domain.</p> | <p>As part of the annual review of TORs, we will include any changes that are proposed to the SOs / confirm no changes.</p> <p>The register for gifts and hospitality has been updated and the current version is on our website. In addition to existing publication on our Board page, the IMTP will also be uploaded to the 'Our Priorities' section of the website.</p> <p>b) We publish our work plans at the beginning of the year, noting that these are subject to change and the final agenda for each meeting will be agreed by the Chair and the Chief Executive. As of May 2023, should an item not be considered as scheduled, we have updated the Forward Plans presented to Board to explain the rescheduling of the item. All changes are tracked for ease of review.</p> <p>c) Partially accept this recommendation. We have been flexible with the reporting presentation to allow for agile and timely reporting to the Board, and we will continue to do this as needed. We will be updating the Cover report template and our guidance on the content of reports to the Board and Committees. We are also planning, as part of our Board development, to improve the</p> | <p>May 2023 (Action completed)</p> <p>September 2023</p>                              |                                    |

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|     |  | <p>commissioning of reports and presentations.</p> <p>d) The Board takes transparency and openness very seriously and limits the amount of meetings / information considered outside of the public domain. There will be times where this is necessary and is appropriate. We produce a Private Chairs report at each meeting to summarise for the public what was discussed at the previous private session.</p> <p>From November, this Private Chair's Report has also included a summary of communication items circulated to Board members electronically (via e-mail) since the last Board meeting. This development has taken place since the Audit Wales review took place, and already covers the recommendation</p> | Complete  |  |
| R7  | <b>Improving oversight of asset management</b><br>The Trust has not set out its strategic approach to managing its buildings (both owned and leased) and other physical assets. As part of the long-term strategy review, the Trust should set out its strategic approach to ensuring that its buildings and | We have a limited amount of Strategic Capital, within this context. The Board considers matters relating to estates as part of the IMTP.<br><br>We will consolidate all estates and asset considerations that the Board considered as part of the budget strategy, IMTP and estate   | September 2023  | Deputy Chief Executive/<br>Director of Operations and Finance, Deputy Director of Finance and Head |

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|     | assets support delivery of its strategic priorities, maximising efficiency, and effective use. | updates, into a single Capital and Asset Strategic plan.  |   | of Estates and Health & Safety     |