

Corporate Governance Attestation Statement

Financial year ending 30 June 2020

Corporate Governance Attestation Statement

Bureau of Health Information

1 July 2019 to 30 June 2020



Table of Contents

Corporate Governance Attestation Statement	2
Bureau of Health Information	2
STANDARD 1: ESTABLISH ROBUST GOVERNANCE AND OVERSIGHT FRAMEWORKS.....	3
STANDARD 2: ENSURING CLINICAL AND CORPORATE GOVERNANCE RESPONSIBILITIES ARE CLEARLY ALLOCATED AND UNDERSTOOD	3
STANDARD 3: SETTING THE STRATEGIC DIRECTION FOR THE ORGANISATION AND ITS SERVICES	4
STANDARD 4: MONITORING FINANCIAL AND SERVICE DELIVERY PERFORMANCE.....	4
STANDARD 5: MAINTAINING HIGH STANDARDS OF PROFESSIONAL AND ETHICAL CONDUCT ..	5
STANDARD 6: INVOLVING STAKEHOLDERS IN DECISIONS THAT AFFECT THEM	6
STANDARD 7: ESTABLISHING SOUND AUDIT AND RISK MANAGEMENT PRACTICES.....	8

Corporate Governance Attestation Statement

Bureau of Health Information

1 July 2019 to 30 June 2020



Corporate Governance Attestation Statement

Bureau of Health Information

The following corporate governance attestation statement was endorsed by a resolution of the Bureau of Health Information Board at its meeting on 7 August 2020.

The Board is responsible for the corporate governance practices of the Organisation. This corporate governance attestation statement sets out the main corporate governance practices in operation within the organisation for the 2019-20 financial year.

A signed copy of this statement is provided to the Ministry of Health by 31 August 2020.

Signed

A handwritten signature in black ink, appearing to read "Carol Pollock".

Professor Carol Pollock

Chair

Date 7 August 2020

A handwritten signature in blue ink, appearing to read "Diane Watson".

Dr Diane Watson

Chief Executive

Date 7 August 2020

Corporate Governance Attestation Statement

Bureau of Health Information

1 July 2019 to 30 June 2020



STANDARD 1: ESTABLISH ROBUST GOVERNANCE AND OVERSIGHT FRAMEWORKS

Role and function of the Board

The Board carries out its functions, responsibilities and obligations in accordance with the *Health Services Act 1997*, *Government Sector Employment Act 2013*, and the determination of function for the organisation as approved by the Minister for Health.

Accordingly, it has an Audit and Risk Management Committee and a Finance and Performance Committee.

The Board has in place practices that ensure that the primary governing responsibilities of the Board are fulfilled in relation to the following standards:

- Setting the strategic direction for the organisation and its services
- Monitoring financial and service delivery performance
- Maintaining high standards of professional and ethical conduct
- Involving stakeholders in decisions that affect them
- Establishing sound audit and risk management practices.

Board Meetings

For the period 1 July 2019 until 30 April 2020 the Board consisted of the Chair and eight members, including the BHI Chief Executive as an ex-officio member who were all appointed by the Minister for Health. For the period 1 May 2020 until 30 June 2020 the Board consisted of the Chair and six members, including the BHI Chief Executive as an ex-officio member who were all appointed by the Minister for Health. During the 2019-20 financial year the Board met five times, reviewed Minutes of its committees at each meeting and met with the Chair of Audit and Risk Management Committee on 25 November 2019.

Authority and role of senior management

All financial and administrative authorities that have been delegated by a formal resolution of the Board are formally documented within BHI's Delegations Manual.

The roles and responsibilities of the Chief Executive and other senior management within BHI are also documented in written position descriptions.

Regulatory responsibilities and compliance

The Board is responsible for and has mechanisms in place to ensure that relevant legislation and regulations are adhered to within all facilities and units of the Organisation, including statutory reporting requirements.

The Board also has a mechanism in place to gain reasonable assurance that the Organisation complies with the requirements of all relevant government policies and NSW Health policy directives and policy and procedure manuals as issued by the Ministry of Health.

STANDARD 2: ENSURING CLINICAL AND CORPORATE GOVERNANCE RESPONSIBILITIES ARE CLEARLY ALLOCATED AND UNDERSTOOD

The Board has in place frameworks and systems for measuring and routinely reporting on Corporate Governance and the safety and quality of care provided to the community.

It is noted that BHI does not deliver patient care nor employ staff in a clinical role therefore there is no Clinical Governance function. Accordingly, BHI does not require a Medical and Dental Appointments Advisory Committee or a Credentials Sub Committee.

Corporate Governance Attestation Statement

Bureau of Health Information

1 July 2019 to 30 June 2020



The Chief Executive has mechanisms in place to ensure that the relevant authority is informed where there are reasonable grounds to suspect professional misconduct or unsatisfactory professional conduct by any BHI employee, including those contracted to the organisation.

STANDARD 3: SETTING THE STRATEGIC DIRECTION FOR THE ORGANISATION AND ITS SERVICES

The Board has in place strategic plans for the effective planning and delivery of its services to the communities and individuals served by the Organisation. This process includes setting a strategic direction for both the Organisation and the services it provides within the overarching goals and priorities of the NSW State Health Plan. These processes are set out in the *Strategic Plan: 2019-22* and *NSW Patient Survey Program Plan: 2019-22*. In addition, the Chief Executive sits on numerous international and NSW committees to ensure that BHI's strategy and services continually learn from or align with other relevant health organisations. BHI undertakes an annual stakeholder survey to monitor and inform its strategic direction and services.

Organisational-wide planning processes and documentation are also in place, with a 3 to 5-year horizon, covering:

- Asset management – Designing and building future-focussed infrastructure
- Information management and technology –in partnership with eHealth
- Research and teaching – supporting and harnessing research and innovation
- Workforce Action Plan – supporting and developing our workforce
- Aboriginal Workforce Action Plan – establishment of an Aboriginal identified position.

STANDARD 4: MONITORING FINANCIAL AND SERVICE DELIVERY PERFORMANCE

Role of the Board in relation to financial management and service delivery

The Board is responsible for ensuring compliance with the NSW Health Accounts and Audit Determination and the annual Ministry of Health budget allocation advice.

The Board is also responsible for ensuring that the financial and performance reports it receives and those submitted to its Audit and Risk Management Committee, Finance and Performance Committee and the Ministry of Health are accurate and that relevant internal controls for the organisation are in place.

To this end, the Board certifies that:

- The financial reports submitted to the Audit and Risk Management Committee, Finance & Performance Committee and the Ministry of Health represent a true and fair view, in all material respects, of BHI's financial condition and the operational results are in accordance with the relevant accounting standards
- The recurrent budget allocations in the Ministry of Health's financial year advice reconcile to those allocations distributed to organisation units and cost centres
- Overall financial performance is monitored and reported to the Audit and Risk Management Committee and the Finance and Performance Committee
- Information reported in the Ministry of Health monthly reports reconciles to and is consistent with reports to the Finance and Performance Committee
- All relevant financial controls are in place
- Write-offs of debtors have been approved by duly authorised delegated officers.

Corporate Governance Attestation Statement

Bureau of Health Information

1 July 2019 to 30 June 2020



Service and Performance

A *Performance Agreement: 2019-20* approved by the Board and signed by the Chair, Chief Executive and Secretary, NSW Health that sets out the service and performance expectations for the funding and other support provided to BHI. The Agreement articulates direction, responsibility and accountability across the NSW Health system for the delivery of NSW Government and NSW Health priorities. Additionally, it specifies the service delivery and performance requirements expected of BHI that will be monitored throughout the year.

The Board receives progress reports against strategic deliverables in the Agreement at all meetings.

A professional development and review agreement for 2019-20 was in place between the Board Chair and the Chief Executive. The Secretary of NSW Health was consulted about the agreement before it was signed.

The Finance and Performance Committee

The Board has established a Finance and Performance Committee to assist the Board and the Chief Executive to ensure that the operating funds, capital works funds, resource utilisation and service outputs required of the organisation are being managed in an appropriate and efficient manner.

The Finance and Performance Committee receives monthly reports that include:

- Financial performance of each major cost centre
- Subsidy availability
- The position of Special Purpose and Trust Funds
- Activity performance against indicators and targets in the performance agreement for the organisation
- Advice on the achievement of strategic priorities identified in the performance agreement for the organisation
- Year to date and end of year projections on capital works and private sector initiatives.

Letters to management from the Auditor-General, Minister for Health, and the NSW Ministry of Health relating to significant financial and performance matters, are also tabled at the Finance and Performance Committee.

During the 2019-20 financial year, the Finance and Performance Committee was chaired by Ian Gillespie, a Board member and comprised of:

- Professor Louisa Jorm, Board member
- Associate Professor Megan Passey, Board member
- Dr Diane Watson, ex officio as Chief Executive

The Chief Executive attends all meetings of the Finance and Performance Committee unless on approved leave.

STANDARD 5: MAINTAINING HIGH STANDARDS OF PROFESSIONAL AND ETHICAL CONDUCT

BHI has adopted the NSW Health Code of Conduct to guide all staff and contractors in professional conduct and ethical behaviour.

The Code of Conduct is distributed to, and signed by, all new staff and is included on the agenda of all staff induction programs. The Board has systems and processes in place to ensure the Code is periodically

Corporate Governance Attestation Statement

Bureau of Health Information

1 July 2019 to 30 June 2020



reinforced for all existing staff. Ethics education is also part of the organisation's learning and development strategy.

The Chief Executive, as the Principal Officer, reports all instances of corruption to the Independent Commission Against Corruption where there is a reasonable suspicion that corrupt conduct had, or may have, occurred, and provides a copy of those reports to the Ministry of Health.

During the 2019-20 financial year, the Chief Executive reported nil cases to the Independent Commission Against Corruption.

Policies and procedures are in place to facilitate the reporting and management of public interest disclosures within the organisation in accordance with state policy and legislation, including establishing reporting channels and evaluating the management of disclosures.

During the 2019-20 financial year, BHI reported nil public interest disclosures.

STANDARD 6: INVOLVING STAKEHOLDERS IN DECISIONS THAT AFFECT THEM

The Board is responsible for ensuring that the rights and interests of BHI's key stakeholders are incorporated into the plans of the organisation and that they are provided access to balanced and understandable information about BHI and its proposals.

BHI's *Strategic Plan: 2019-22* identifies 'alignment and responsiveness' as a strategic priority, stating that:

- We will strengthen engagement processes and relationships to ensure our reports and interactive information products respond to need and better align with the priorities of consumer, healthcare and policy audiences.

Our strategy also commits us to '*strengthen engagement, marketing and communications for the NSW Patient Survey Program*', stating that:

- We will make effective use of engagement, marketing and communications to encourage survey participation, ensure we measure what matters to each of our audiences and promote the use of our survey results.

Information on the key policies, plans and initiatives of the organisation are available to staff and to the public at www.bhi.nsw.gov.au

In 2019-20 our stakeholder engagement and collaborative activities included, for example:

Strategic and scientific guidance

- In 2019, BHI established a new strategy advisory committee for the NSW Patient Survey Program, involving consumers, LHD representatives and policy leads. The committee is co-chaired with the NSW Chief eXperience Officer.
- BHI's Scientific Advisory Committee met once. Members include international experts in healthcare performance measurement and reporting from five countries who offer insights to guide and challenge our plans, priorities and approaches.
- The Chief Executive, senior directors and directors sit on peak NSW committees that relate to BHI functions.
- BHI also commissions an annual external stakeholder survey.

Corporate Governance Attestation Statement

Bureau of Health Information

1 July 2019 to 30 June 2020



Expert input and advice in the development of reports and surveys

- The Aboriginal Patient Survey Program Advisory Committee, which is co-chaired with the Centre for Aboriginal Health, continued to offer advice regarding surveys of Aboriginal and Torres Strait Islander people and their experiences of hospital care.
- The Mortality and Returns to Acute Care Advisory Group continued to offer clinical advice regarding reports on these topics due for release in 2019-20.
- Stakeholder interviews and consumer focus groups were convened to inform the development of patient surveys.

Stakeholder involvement in pre-release processes

- Every report is subject to a formal peer review process, involving selected experts and Ministry staff. BHI incorporates the feedback that it deems useful to improve the relevance, accuracy, comparability and interpretability of its reports
- Briefings and embargoed materials are also provided to key stakeholders within and outside NSW Health to prepare for media coverage. BHI also engages with the media in advance of release to support fair and accurate coverage.

Encouraging and equipping stakeholders to make use of BHI information

- BHI created an analytics masterclass event in 2019 aimed at NSW Health staff from across the Ministry, pillars and LHD. This was well-attended and well-received.
- BHI offered Chief Executives additional advance briefings on key releases, such as returns to acute care and trends in patient experience, with a view to supporting awareness and improvement action.
- BHI briefed Directors of Clinical Governance on key releases.
- Working with the Cancer Institute of NSW, we have supported them to use patient survey information and engaged with managers of cancer services across the system.

Corporate Governance Attestation Statement

Bureau of Health Information

1 July 2019 to 30 June 2020



STANDARD 7: ESTABLISHING SOUND AUDIT AND RISK MANAGEMENT PRACTICES

Role of the Board in relation to audit and risk management

The Board is responsible for supervising and monitoring risk management by the organisation and its facilities and units, including BHI's system of internal control. The Board receives and considers all reports of the External and Internal Auditors, and through the Audit and Risk Management Committee ensures that audit recommendations and recommendations from related external review bodies are implemented.

BHI has a current *Risk Management Plan* that is routinely monitored and maintained by the Senior Management Team Committee and identifies how the organisation manages, records, monitors and addresses risk. It includes processes to escalate and report on risk to the Chief Executive, Audit and Risk Committee and Board.

The Plan covers all known risk areas including:

- Leadership and management
- Finance (including fraud prevention)
- Communication and information
- Workforce
- Legal
- Work health and safety
- Environmental
- Security
- Facilities and assets
- Emergency management
- Community expectations

Audit and Risk Management Committee

The Board has established an Audit and Risk Management Committee, with the following core responsibilities:

- to assess and enhance the organisation's corporate governance, including its systems of internal control, ethical conduct and probity, risk management, management information and internal audit;
- to ensure that appropriate procedures and controls are in place to provide reliability in BHI's financial reporting, safeguarding of assets, and compliance with the organisation's responsibilities, regulatory requirements, policies and procedures;
- to oversee and enhance the quality and effectiveness of the organisation's internal audit function, providing a structured reporting line for the Internal Auditor and facilitating the maintenance of their independence;
- through the internal audit function, to assist the Board to deliver the Organisation's outputs efficiently, effectively and economically, to obtain best value for money and to optimise organisational performance in terms of quality, quantity and timeliness; and
- to maintain a strong and candid relationship with external auditors, facilitating to the extent practicable, an integrated internal/external audit process that optimises benefits to the organisation.

BHI completed and submitted an Internal Audit and Risk Management Attestation Statement for the 12-month period ending 30 June 2020 to the Ministry without exception.

The Audit and Risk Management Committee comprises of two independent members and a Board representation. Both independent members are appointed from the NSW Government's Prequalification Scheme for Audit and Risk Committee Independent Chairs and Members.