

Trust Board Meeting: Wednesday 13 November 2013

TB2013.133

Title	Annual Review of Assurance Strategy and Implementation Plan
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Status	For approval
History	The Trust Board formally approved the existing Assurance Strategy on 31 July 2012.

Board Lead(s)	Eileen Walsh Director of Assurance			
Key purpose	Strategy	Assurance	Policy	Performance

Executive Summary

1. This paper provides the results of the annual review of the Assurance Strategy Implementation Plan for consideration by the Board.
2. The Assurance Strategy has been fully reviewed and no changes are required to the strategy.
3. Good progress has been made in the delivery of the Implementation Plan.

4. **Recommendation**

The Trust Board is asked to;

- Note that no amendments to the Assurance Strategy are required; and
- Note the progress made in relation to the development of the Trust's Assurance Strategy.

Assurance Strategy Review

1. Purpose

- 1.1. This paper provides the results of the annual review of the Assurance Strategy for consideration by the Board.

2. Background

- 2.1. The Trust Board reviewed the existing Assurance Strategy on 5 July 2012 and delegated formal approval of the final document to the Chief Executive and Chairman of the Trust. The strategy was formally approved on 31 July 2012. The review section of the strategy sets out the requirement for a formal evaluation of the implementation of the Assurance Strategy annually.

3. Review Results

- 3.1. The development of robust risk management process is one of the key elements of a good assurance system. The review of the Assurance Strategy was linked to that of the Risk Management Strategy.
- 3.2. The results of the annual review of the Risk Management Strategy were reported to the Board at its last meeting in September. This showed a positive impact on the Trust's risk maturity over the course of the year. This was in part due to actions linked to the Assurance Strategy. These included:
 - 3.2.1. The development of the reporting of the Board Assurance Framework to the Board and its sub-committees.
 - 3.2.2. The development, training and use of the CQC Assure and the Risk Assure systems.
- 3.3. An initial detailed Implementation Plan was developed to cover the first year of the implementation of the Assurance Strategy. This plan has been reviewed as part of the annual review of the strategy and a summary of the delivery against plan is included in Appendix 1 to this report.
- 3.4. While this shows that good progress has been made in relation to the majority of actions there are some that have not been fully progressed due to lack of availability of staffing due to vacancies in year.
- 3.5. The main focus of activity in the first year was on ensuring that the Trust's processes for compliance with the CQC Outcomes were developed. The Trust Management Executive and the Quality Committee have received compliance reports in relation to this activity. This has provided a robust picture of the level of evidence currently held across the Trust. This has enabled the Assurance Directorate to add value by identifying areas of duplication of effort and reducing the burden of bureaucracy.
- 3.6. The current Assurance Strategy was reviewed and remained valid. No amendments were required.

3.7. The Implementation Plan has been updated to cover the next year of implementation.

4. Recommendation

4.1 The Trust Board is asked to;

- Note that no amendments to the Assurance Strategy are required; and
- Note the progress made in relation to the development of the Trust's Assurance Strategy.

Eileen Walsh, Director of Assurance
Clare Winch, Deputy Director of Assurance
November 2013

Extract from Assurance Strategy Implementation Plan – Year 1

No	Action	Outcome	Actions Required	Completion Date	Current Status
1	Communicate the Assurance Strategy to internal stakeholders	Aiming for a minimum of 75% of internal stakeholders to be aware of the strategy Assurance Strategy embedded into key Committees	Communication of the Strategy using multiple methods e.g. <ul style="list-style-type: none"> Formal launch of the strategy via CEO briefing and Trust newsletter Cascade via the Divisional structure line managers from Board to floor 	Focused campaign August – October 2012	Completed on time
			Presentation by Director of Assurance Strategy at Board.	Board Seminar 19 July 2012	Completed on time
			Work with Communications and Media to ensure key messages from the Assurance Strategy are included in all relevant communications sent out from August 2012 onwards.	31 August 2012	Completed on time
			Add the Assurance Strategy to Trust intranet (internal & external)	31 August 2012	Completed on time
			Consider how we demonstrate awareness <ul style="list-style-type: none"> early benchmark / follow-up review to show progress KPIs re Health Assure use of assurance indicators 	30 Sept 2012 30 Nov 2012	Completed timescales slipped due to vacancies in the Directorate
2	Communicate the Assurance Strategy to external stakeholders	External stakeholders aware and supportive of the assurance vision.	Communication of the Strategy using multiple methods <ul style="list-style-type: none"> Strategy shared with external stakeholders – via meetings and presentations. 	Focused campaign August – October 2012	Completed timescales slipped due to vacancies in the Directorate
3	Strengthen workforce skills, knowledge and capabilities in relation to assurance, what this means in the context of the Trust and how it applies to their roles, responsibilities and accountabilities	Aiming for a minimum of 95% of relevant members of staff to have attended an awareness session on assurance	Define relevant staff and relative levels of awareness re specific training re assurance / Health Assure. (NB understand linkages with H&S, CG risk)	31 August 2012	Completed timescales slipped due to vacancies in the Directorate
			Formulate Training Needs Analysis - liaise with Training & Development Department for training records, where required (to record attendance / monitor DNA rates).	31 August 2012	
			Initial awareness training to be undertaken across the Divisions and at various levels to include: <ul style="list-style-type: none"> Definitions of assurance and assurance processes Explanation of types, sources, levels and values of assurance 	August – 31 Jan 2013	Completed on time

No	Action	Outcome	Actions Required	Completion Date	Current Status
			<ul style="list-style-type: none"> Explanation of the Trust's definition of 'good evidence' 		
			<ul style="list-style-type: none"> Consider how we demonstrate awareness Training evaluation / feedback reviews Access to the Team / helpdesk function Evidence review function 	August 2012 – on-going process	Completed on time
4	Strengthen workforce skills, knowledge and capabilities in relation to assurance tools in operation across the Trust	Aiming for a minimum of 95% of relevant members of staff to be utilising software product in support of regulation and accreditation, risk registers and Board Assurance Framework	<p>Training to be undertaken across the Divisions and at various levels on software.</p> <p>HealthAssure Roll Out Phase 1 Roll- Out 6 Outcomes</p> <p>HealthAssure Roll Out Phase 2 – 5 Outcomes</p> <p>HealthAssure Roll Out Phase 2 – 5 Outcomes</p> <p>Review of working practices in relation to software product in relation to effectiveness – demonstrate awareness:</p> <ul style="list-style-type: none"> Board & Audit Committee use of BAF / assurance reporting. 	<p>July – December 2012</p> <p>31 December 2012</p> <p>15 Feb 2013</p> <p>31 March 2013</p> <p>To report to AC March 2013.</p>	Completed timescales slipped due to vacancies in the Directorate and Divisional resources to implement locally
5	Evaluation of assurances	Assurance Directory populated	<p>Building on the work from the 'Policy on External Accreditation and Inspection', in liaison with Divisions,</p> <ul style="list-style-type: none"> Independent review process will be designed. External Reviews Process for handling recommendations and monitoring actions will be designed. assurances available to and across the Trust will be assessed and added to the Assurance Directory. 	<p>30 Sept 2012</p> <p>30 Sept 2012</p> <p>From Sept onwards</p>	Still outstanding due to lack of staffing resources. Moved to implementation plan for year two
6	Creation of Assurance Maps	Assurance Maps designed	<p>Ascertain who wants assurance maps and why (the exact purpose).</p> <p>Design a suite of assurance maps and set up systems to allow these to be populated</p> <p>Pilot Assurance Map process and evaluate process</p>	<p>30 Sept 2012</p> <p>30 Nov 2012</p> <p>30 Nov 2012</p>	Still outstanding due to lack of staffing resources. Moved to implementation plan for year two
7	Annual Review of Strategy	Annual review of Assurance Strategy	Review of actions undertaken and progress achieving the vision outlined in the Assurance Strategy.	Report to Board Nov 13	Completed on time