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Health Board



<b>Meeting Date</b>	<b>22 August 2019</b>	<b>Agenda Item</b>	<b>4.5</b>
<b>Report Title</b>	<b>Health and Care Standards Self-Assessment 2019-2020</b>		
<b>Report Author</b>	Jacqui Maunder, Interim Head of Compliance		
<b>Report Sponsor</b>	Cathy Dowling, Deputy Director of Nursing and Patient Experience		
<b>Presented by</b>	Cathy Dowling, Deputy Director of Nursing and Patient Experience		
<b>Freedom of Information</b>	Open		
<b>Purpose of the Report</b>	The purpose of this report is to update the Committee on plans to undertake the annual self-assessment against the Health and Care Standards Framework in 2019-2020, and to outline plans to undertake the self-assessment using available data and a scoring/assessment matrix.		
<b>Key Issues</b>	<ul style="list-style-type: none"> <li>SBUHB's self-assessment methodology for 2019-2020 will be based on the supporting guidance and toolkit issued by Welsh Government to support the Health and Care Standards framework.</li> <li>A Health and Care Standards Group (HCSG) will be introduced to lead and drive forward the self-assessment process which will report to the Quality and Safety Forum. Assurance reports will also be provided to the Quality &amp; Safety Committee and the final self-assessment report will be presented to the Committee in April 2020.</li> <li>SBUHB's approach to planning and undertaking the required annual self-assessment against the standards will be subject to an internal audit assessment in September/October 2019.</li> </ul>		
<b>Specific Action Required (please choose one only)</b>	<b>Information</b>	<b>Discussion</b>	<b>Assurance</b>
	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<b>Recommendations</b>	Members are asked to : <ul style="list-style-type: none"> <li><b>NOTE</b> the report</li> <li><b>DISCUSS</b> the proposed approach to undertaking the annual self-assessment against the Health and Care standards framework for 2019-2020.</li> <li><b>APPROVE</b> the proposed approach to undertaking the annual self-assessment against the Health and Care standards framework for 2019-2020.</li> </ul>		



## HEALTH AND CARE STANDARDS SELF-ASSESSMENT 2019-2020

### 1. INTRODUCTION

The purpose of this report is to update the Committee on plans to undertake the annual self-assessment against the Health and Care Standards Framework in 2019-2020, and to outline plans to undertake the self-assessment using available data and a scoring/assessment matrix.

### 2. BACKGROUND

The [Health and Care Standards framework](#) set out the Welsh Government's common framework of standards to support the NHS and partner organisations in providing effective, timely and quality services across all healthcare settings. They set out what the people of Wales can expect when they access health services and what part they themselves can play in promoting their own health and wellbeing. They set out the expectations for services and organisations, whether they provide or commission services for their local citizens.

The Health and Care Standards came into force from 1 April 2015 and incorporate a revision of the 'Doing Well, Doing Better: Standards for Health Services in Wales (2010)' and the 'Fundamentals of Care Standards (2003)'.

The Health and Care Standards with supporting guidance is structured along seven themes developed through engagement with patients, clinicians, stakeholders and identified as the priority areas for the NHS to be measured against. This aligns the Health and Care Standards to the NHS Outcomes and NHS Delivery frameworks also centred on the seven themes. Their

interconnections and shared measures will be used to support partnership working and to deliver improvements in both health and wellbeing.

The seven themes illustrated above as a wheel diagram, collectively describe how a service provides high quality, safe and reliable care, centred on the person. Person centred care is positioned in the centre of illustration and the dependence on good governance, leadership and accountability is illustrated by placing them around the seven themes.

The Standards provide a consistent framework that enables health services to look across the range of their services in an integrated way to ensure that all that they do is of the



highest quality and that they are doing the right thing, in the right way, in the right place at the right time and with the right staff.

SBUHB used the Welsh Governments' Health and Care Standards Framework as one of the tools to help drive improvement in the standards of services for which we are responsible. The self-assessment process has enabled local improvement to be progressed as well as identifying areas that need to be strengthened locally, or on an all Wales basis.

### 3. SELF-ASSESSMENT METHODOLOGY

#### 3.1 Self-Assessment Process

The Health and Care Standards framework is underpinned by supporting guidance<sup>1</sup> for individual standards and "How to Guides" on how to self-assess against and implement the Health and Care Standards within NHS Teams have been developed. It is recognised that services may achieve many of the standards through their professional standards and regulation. SBUHB's self-assessment methodology for 2019-2020 will be based on the guidance.

The self-assessment process will be undertaken using a variety of sources currently available in addition to the data from the Health and Care Standards Monitoring Tool.

Data sources will include:

- Integrated quality and performance report;
- Specific committee reports;
- Self-assessment by certain areas against the standards;
- SBUHB Improvement priorities for 2019-2020;
- Information provided for the Annual Quality Statement.

All of the above data sources will be collated, reviewed and cross referenced to the Health and Care Standards scoring matrix which is outlined below for information:

Figure 1 – Self Assessment Scoring Matrix for Health and Care Standards Framework

Self-Assessment Rating					
Assessment Level	1 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	2 We are aware of the improvements that need to be made and have prioritised them, but are not yet able to demonstrate	3 We are developing plans and processes and can demonstrate progress with some of our key areas for improvement	4 We have well developed plans and processes can demonstrate sustainable improvement throughout the	5 We can demonstrate sustained good practice and innovation that is shared throughout the organisations / business,

<sup>1</sup> <http://www.wales.nhs.uk/sitesplus/documents/1064/How%20to%20Guide%20for%20NHS%20-%20Health%20and%20Care%20Standards%202015%20FINAL.pdf>



The monitoring arrangements are summarised at **Appendix 1**. An executive lead Director has been assigned to each Theme and will be responsible for agreeing the final self-assessment rating for the relevant theme.

### 3.2 Self-Assessment Guidance

To support the self-assessment a specific guidance document for SBUHB is in the process of being developed which will include core metrics to:

- Achieves standardisation in approach to undertaking self-assessments
- Avoid duplication of effort in assessing performance
- Avoid variation of interpretation and approach to undertaking self-assessments at unit/directorate level

The guidance will align to the new Quality and Safety Assurance framework and to the outcomes of the Annual Plan 2019-2020 (which focuses on meeting the immediate pressures of financial stability and performance delivery, which is in place instead of an Integrated Medium Term plan (IMTP)).

### 3.3 Health and Care Standards Group (HCSG)

A Health and Care Standards Group (HCSG) will be set up to lead and drive forward the self-assessment process which will report to the Quality and Safety Forum. Assurance reports will also be provided to the Quality & Safety Committee and the final self-assessment report will be presented to the Committee in April 2020. The full timeline is outlined in Table 1 below:

Table 1 - Timeline for the Health and Care Standards Self- Assessment 2019-2020

Date	Forum	Required Action
<b>14 August 2019</b>	Executive Team	Report providing a proposal for the self-assessment methodology for 2019-2020.
<b>22 August 2019</b>	Quality & Safety Committee	Report providing a proposal for the self-assessment methodology for 2019-2020.
<b>27 September 2019</b>	Quality & Safety Forum	Report providing an update of the self-assessment methodology for 2019-2020 and launch of the Quality Improvement team who will

<b>Date</b>	<b>Forum</b>	<b>Required Action</b>
		lead the Health and Care Standards self-assessment process.
<b>1<sup>st</sup> Meeting September/October</b>	Health and Care Standards Group (HCSG)	First meeting to outline terms of reference for the work of the group and to agree timescales and tasks to be completed by April 2020.
<b>24 October 2019</b>	Quality & Safety Committee	-
<b>2<sup>nd</sup> Meeting November</b>	Health and Care Standards Group (HCSG)	Second meeting, to monitor progress.
<b>11 December 2019</b>	Executive Team	Report providing a progress update on the self-assessment data analysis for 2019-2020
<b>12 December 2019</b>	Quality & Safety Committee	Report providing a progress update on the self-assessment data analysis for 2019-2020
<b>3<sup>rd</sup> Meeting December 2019</b>	Health and Care Standards Group (HCSG)	Third meeting, to monitor progress, review evidence and complete the self-assessment evidence log
<b>4<sup>th</sup> Meeting January 2020</b>	Health and Care Standards Group (HCSG)	Fourth meeting, to monitor progress, review evidence and complete the self-assessment evidence log
<b>5<sup>th</sup> Meeting February 2020</b>	Health and Care Standards Group (HCSG)	Fifth meeting, to monitor progress, review evidence and complete the self-assessment evidence log.
<b>X February 2020</b>	Quality & Safety Committee	Report providing a progress update on the self-assessment data analysis for 2019-2020.
<b>6<sup>th</sup> Meeting March 2020</b>	Health and Care Standards Group (HCSG)	Sixth meeting, to finalise the self-assessment evidence logs, complete the compliance dashboard and attribute assessment ratings.
<b>X March 2020 (tbc)</b>	Meetings with Individual Lead Executive Directors	Meetings with Individual Lead Executive Directors to formally sign off the individual themes.
<b>X March 2020 (tbc)</b>	Executive Team	Draft Health and Care Standards Annual Self-Assessment Report 2019-2020 to be presented for approval.

Date	Forum	Required Action
X April 2020 (tbc)	Quality & Safety Committee	Final Health and Care Standards Annual Self-Assessment Report 2019-2020 to be presented for approval.

The HCSG will review the individual criteria for each theme and provide a detailed assessment of evidence to provide a clear and realistic picture of how SBUHB is meeting the standards.

#### 4. GOVERNANCE AND RISK ISSUES

Health services are expected to understand and actively assure themselves on how well they comply with the Health and Care standards on an ongoing basis, and are required to undertake annual self-assessments to provide assurance to the Board and Welsh Government to demonstrate a continuous commitment to improving the health and wellbeing of the population of Wales and the quality of the healthcare provided.

Governance, Leadership and accountability features as an overarching theme of the standards and SBUHB is also required to undertake an annual self-assessment against how it meets the criteria.<sup>2</sup>

The Annual Quality Statement and the Annual Accountability report include reference to compliance with the Health and Care Standards.

SBUHB's approach to planning and undertaking the required annual self-assessment against the standards will be subject to an internal audit assessment in September/October 2019.

#### 4 FINANCIAL IMPLICATIONS

There are no direct financial implications arising from this report.

#### 5 RECOMMENDATION

Members are asked to:

- **NOTE** the report
- **DISCUSS** the proposed approach to undertaking the annual self-assessment against the Health and Care standards framework for 2019-2020.
- **APPROVE** the proposed approach to undertaking the annual self-assessment against the Health and Care standards framework for 2019-2020.

<sup>2</sup> <http://www.wales.nhs.uk/governance-emanual/governance-leadership-and-accountability-1>



Governance and Assurance		
Link to Enabling Objectives (please choose)	Supporting better health and wellbeing by actively promoting and empowering people to live well in resilient communities	
	Partnerships for Improving Health and Wellbeing	<input checked="" type="checkbox"/>
	Co-Production and Health Literacy	<input checked="" type="checkbox"/>
	Digitally Enabled Health and Wellbeing	<input checked="" type="checkbox"/>
	Deliver better care through excellent health and care services achieving the outcomes that matter most to people	
	Best Value Outcomes and High Quality Care	<input checked="" type="checkbox"/>
	Partnerships for Care	<input checked="" type="checkbox"/>
	Excellent Staff	<input checked="" type="checkbox"/>
	Digitally Enabled Care	<input checked="" type="checkbox"/>
	Outstanding Research, Innovation, Education and Learning	<input checked="" type="checkbox"/>
Health and Care Standards		
(please choose)	Staying Healthy	<input checked="" type="checkbox"/>
	Safe Care	<input checked="" type="checkbox"/>
	Effective Care	<input checked="" type="checkbox"/>
	Dignified Care	<input checked="" type="checkbox"/>
	Timely Care	<input checked="" type="checkbox"/>
	Individual Care	<input checked="" type="checkbox"/>
	Staff and Resources	<input checked="" type="checkbox"/>
Quality, Safety and Patient Experience		
This report outlines SBUHB's approach to complying with the Welsh Government's Health and Care Standards Framework to support the NHS and partner organisations in providing effective, timely and quality services across all healthcare settings.		
Financial Implications		
There are no direct financial implications arising from this report.		
Legal Implications (including equality and diversity assessment)		
<p>The Health and Care Standards came into force from 1 April 2015 and incorporate a revision of the 'Doing Well, Doing Better: Standards for Health Services in Wales (2010)' and the 'Fundamentals of Care Standards (2003)'.</p> <p>Health services are expected to understand and actively assure themselves on how well they comply with the Health and Care standards on an ongoing basis, and are required to undertake annual self-assessments to provide assurance to the Board and Welsh Government to demonstrate a continuous commitment to improving the health and wellbeing of the population of Wales and the quality of the healthcare provided.</p> <p>The Annual Quality Statement and the Annual Accountability report include reference to compliance with the Health and Care Standards.</p>		
Staffing Implications		
The Health and Care Standards Group (HCSG) will lead and drive forward the self-assessment process which will report to the Quality and Safety Forum. There are no direct staffing implications, however there will be a need to identify suitable staff to be involved in local self-assessment processes where appropriate.		
Long Term Implications (including the impact of the Well-being of Future Generations (Wales) Act 2015)		



The Act requires the Health Board to think more about the long term, how we work better with people and communities and each other, look to prevent problems and take a more joined up approach with partners. There will be long term risks that will affect both the delivery of services, therefore, it is important that you use these five ways of working (Long Term Thinking, Prevention, Integration, Collaboration and Involvement) and the wellbeing goals identified in the Act in order to frame what risks the Health Board may be subject to in the short, medium and long term. This will enable The Health Board to take the necessary steps to ensure risks are well managed now and in the future.

<b>Report History</b>	-
<b>Appendices</b>	<b>Appendix 1</b> - Health and Care Standards – Monitoring Dashboard 2019-2020

## Health and Care Standards – Monitoring Dashboard 2019-2020

Theme	Standard	Method of Assessment	Assurance Score
<b>Governance, Leadership &amp; Accountability</b>  <u>Executive Lead:</u> Director of Corporate Governance	In 2017-2018 the Health Board undertook the assessment against the Health and Care Standards Governance and Accountability Module and agreed areas of priority for inclusion in the Governance Work Programme for 2018-2019. The Board also agreed to take a more robust approach in terms of the assessment of the governance arrangements in 2018-2019 and this was undertaken through the board effectiveness self-assessment and the 'governance maturity matrix'. This was the first year of using the maturity matrix, and it will be used to identify areas for improvement and development for 2019-2020.		
<b>Staying Healthy</b>  <u>Executive Lead:</u> Director of Public Health	1.1 Health Promotion, protection and improvement	Integrated Quality and Performance Report, Annual Quality Statement	Example score
<b>Safe Care</b>  <u>Executive Lead:</u> Director of Nursing & Patient Experience	2.1 Managing Risk and Promoting Health and Safety	Health and Safety Paper, risk Register paper, Quality and Safety Audit Tool	Example score
	2.2 Preventing Pressure and Tissue Damage	Integrated Quality and Performance Report, Quality and Safety Audit Tool, Annual Quality Statement	Example score
	2.3 Falls Prevention	Annual Quality Statement, Quality and Safety Audit Tool	Example score
	2.4 Infection Prevention and Control and Decontamination	Integrated Quality and Performance Report, Annual Quality Statement, IPC committee paper, Quality and Safety Audit Tool	
	2.5 Nutrition and Hydration	Quality and Safety Audit Tool, Annual Quality Statement	
	2.6 Medicines Management		
	2.7 Safeguarding Children and Safeguarding Adults as risk		

	2.8 Blood Management		
	2.9 Medical Devices, Equipment and Diagnostic Systems		
<b>Effective Care</b>  <u>Executive Lead:</u> Executive Medical Director	3.1 Safe and Clinically Effective Care	Annual Quality Statement, Quality and Safety Audit Tool	
	3.2 Communicating Effectively	Annual Quality Statement, Quality and Safety Audit Tool, I want great care, Listening and Learning report	
	3.3 Quality Improvement, Research and Innovation	Annual Quality Statement, Quality and Safety Audit Tool, Integrated Quality and Performance Report	
	3.4 Information governance and communications technology	Quality and Safety Audit Tool	
	3.5 Record Keeping	Quality and Safety Audit Tool	
<b>Dignified Care</b>  <u>Executive Lead:</u> Director of Nursing & Patient Experience	4.1 Dignified Care	Quality and Safety Audit Tool	
	4.2 Patient Information	Quality and Safety Audit Tool, Annual Quality Statement, Consent Self-Assessment	
<b>Timely Care</b>  <u>Executive Lead:</u> Director of Nursing & Patient Experience	5.1 Timely Access	Quality and Safety Audit Tool, Annual Quality Statement, Integrated Quality and Performance Report	
<b>Individual Care</b>  <u>Executive Lead:</u> Director of Nursing & Patient Experience	6.1 Planning Care to Promote Independence	Quality and Safety Audit Tool, Annual Quality Statement,	
	6.2 People's Rights	Quality and Safety Audit Tool, Annual Quality Statement,	
	6.3 Listening and Learning from Feedback	Quarterly Listening and Learning from feedback report	

<b>Workforce</b>  <u>Executive Lead:</u> Director of Workforce & OD	7.1 Workforce	Quality and Safety Audit Tool, Annual Quality Statement, Staff survey	