

EFM Compliance- case study

CAAS has helped us really focus on relevant compliance factors to improve our performance. I recommend its use to other Trusts and organisations

*David Evans, Associate Director of EFM, WWL
FT*

Wrightington, Wigan and Leigh NHS Foundation Trust (WWL) is a high performing Acute Hospitals Trust. It serves a population of 300,000 across 3 hospital sites, has 703 beds & delivers general and specialist hospital services for an annual income of some £267million.

The Trust's Estate & Facilities Division has used the CAAS system to manage and improve its performance ratings for estate related compliance so and associated risks for the last 2-3 years

This has seen a significant shift from a frequently ad hoc response to a controlled and structured system and assessed ratings improve from 64% to over 94% over the same period

Brief Case Study details

The Director of EFM was aware of the challenges of managing EFM compliance across multiple sites, staff changes and restructures and the experience of the odd 'near miss'

The Director was introduced to CAAS as a means of providing an integrated answer to these problems to provide a structured and comprehensive solution for standards of delivery of the built environment & its associated risk and governance.

A small senior EFM management team initially worked through the self assessment questions for each topic (Asbestos, Electrical Systems, Health & Safety, Fire, Medical Gases etc.)

It was remarked that although the process is self assessed the range of questions are searching and designed to cover not just standard compliance but their risk and governance arrangements.

WWL users found the design of the system provided a focus for them to concentrate on the key elements of compliance as well as being easy to use.

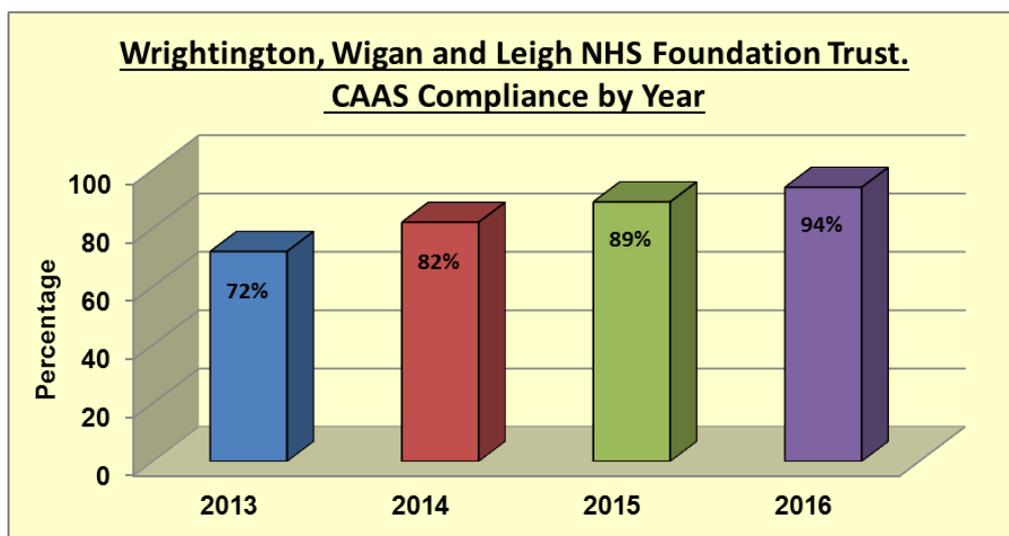
Gaps in compliance were identified and a remedial action plan using the systems built in actions function.

An early work through provided an initial rating or baseline which identified strengths and weaknesses.

The results are easily viewed in the systems dashboard which 'RAG' rates each topic and provides an overall assessment. The dashboard has proved to be a highly effective monitoring tool and performance communication aid to Board and other non EFM managers as well as within the Division.

WWL Board receive the dashboard report on a regular 3-6 monthly period.

This enables the Associate Director to demonstrate the Divisions performance on behalf of the Board for compliance against often critical infrastructure standards and the Board to monitor improvements made.



CAAS is evidenced based and users are encouraged to back up their assessment by providing relevant evidence of their compliance.

Evidence can be held within the CAAS system but WWL created their own evidence file structure on the Trust's intranet. This is linked to from within CAAS but can also stand alone and therefore be used for other things. The evidence files contain such things as task templates, log sheets, defect logs, actions, policies, committee structures. CAAS provides the focus of what evidence is required and Operational staff now keep these files maintained and updated.

The Divisions Senior Management team maintain CAAS and each topic now has a lead manager. Progress is collectively reviewed and assessments agreed on a monthly basis at the Divisions Quality team. This, in turn, is reviewed by the Trusts Senior Management Quality Group and ultimately the Board.

'Compliance across key areas such as legionella, asbestos, fire, & medical gases, is critical to the continuing safety of our patients and staff. Use of the CAAS system enables our estate team to report our level of compliance on a regular basis which gives me and the Trust Board the assurance that our systems are being managed safely & effectively.'

Andrew Foster, CEO, WWL FT

Lessons learnt

The importance of operational buy-in

Staff need to be encouraged to see that the use of the system is something to help and protect them, not something to hit them over the head with..

Board awareness of compliance complexity

CAAS helps raise members awareness of compliance and the assurance that these matters are effectively managed.

Evidence collation

Initial baseline assessments can be reasonably quick to complete but designing appropriate processes to collate, maintain and update the evidence prompted by CAAS takes more time.

WWL now has a comprehensive system in place that is understood by the team, but this has been progressive over a period of some 12 months.

Results

CAAS has helped focus the Trust on the tasks required to achieve sustainable compliance which has led to an overall improvement from 64 to some 94% rating over a period of a little over 2 years.

This assessment is backed up by relevant evidence, all of which is reviewed and updated on a regular basis through the organisations governance structures.

This means that the Trust is well placed to meet any inspectoral requirements regarding built environment compliance and internally the Board receives the assurance that this is effectively managed within the organisation.

‘Place provides an assessment of front of house standards for our hospital environments..

CAAS provides an assessment of our ‘back of house’ standards which are equally important and often critical in providing the wellbeing of our buildings users and effectiveness of our staff.’

**David Evans- Associate Director, EFM, WWL
Foundation Trust**