

#5 Assure

How we assure ourselves that we are delivering our Vision ...





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Introduction

It's one thing to say what we want to do or what we want to be, it's another to know!

This Assurance Framework shows how we test whether we are achieving the principles detailed in our 'Vision'.

Assure looks at each section of our Vision and describes what we need to know and the activities we need to do, to test we are doing the right things.

We will incorporate

These activities will create a coordinated awareness of the organisations assurance standing to allow the Board to discharge its governance obligations.

The word assurance is defined as...

●● A positive declaration intended to give confidence; a promise. ●●

and has a business definition of...

Part of corporate governance in which a management provides accurate and current information to the stakeholders about the efficiency and effectiveness of its policies and operations, and the status of its compliance with the statutory obligations.

Our Vision document set out the Boards future state for ateb i.e. what good should look. Most of the Vision will be work in progress with the exception of Section 5 – Assure, that refers to the 'red lines' within which we must operate at all times e.g. Welsh Government Regulatory Framework and Performance standards.

#5 Assure seeks to create the confidence to assure all vested interests that ateb is delivering its organisational purpose and all related obligations set out in our Vision by establishing the following knowledge:

- 1/ Our Vision represents 'what good looks like' for ateb and we understand the risks and controls to delivering that Vision.
- 2/ Test we are collecting the right data to understand whether the Vision is being achieved.

3/ Test the data we collect is 100% accurate.

4/ Test the analysis and decision making using the data is correct.

In summary, ateb will embed a range of assurance processes to establish whether we are delivering our Vision outcomes through the identifying and controlling of risks and evidencing data assurance with records of cross referenced testing.

We will report our understanding of the above through a variety of Board reporting tools such as:

- > Board Meeting Reporting
- > Assurance Committee Reporting
- > Annual Purpose Review
- > DNA Barometer
- > Service Delivery Reports
- > Annual Strategic Review
- > Annual Review & Self Evaluation
- > Annual Statement of Assurance
- > Financial Statements
- > Corporate & Assurance Review



#5 Assure

ateb exists to serve its **customers**, we must always be **assured** that this is being achieved in accordance with our **Vision ...**

Our shared commitment...

We will always aim to deliver...
the right **service outcomes**,
efficiently with **great customer experience...**
for the people and
communities of West Wales.



Delivering Assurance - Assuring We Are Good

The Board has overall responsibility for ensuring we deliver compliant outcomes.

The Assurance Committee has been established by the Board to test the organisation (and the Board) against this outcome through a process of testing that collectively will give assurance to a third party observer. #5 Assure is the framework that the Assurance Committee will use to deliver this outcome.

...Everyone at ateb has a responsibility to embed assurance in all our work.

Step 1: What are we trying to achieve?

The Vision describes what our good looks like; we need to question whether we are doing what it says on our tin!

Step 2: What we need to do to answer Step 1

There will be many different risks, controls and tests that we will need to apply to fully understand whether we are delivering our Vision. Step 2 will involve developing and implementing a risk, control and testing framework for each section of the Vision. This framework needs to be sufficiently transparent to give a third party observer (in our case the Assurance Committee) the assurance that... what they see is, what they would find.

Step 3: Reporting test outcomes

Once we have undertaken step 2 we will report our performance against our Vision in a series of interconnected reporting publications, The Assurance Committee will oversee the publications and report to Board appropriately.



#5 Assure - the basics

This is how we will structure our #5 Assure framework to assure all what we are reporting is giving the right picture.

The Assurance Committee and Board will use #5 Assure to establish their reports on assurance.

The Assurance Committee on behalf of the Board will monitor and manage the #5 Assure process with the wider teams.

...The assure framework principles that we will apply to each section of the Vision - #5 ASSURE

1> VISION

What we want to be assured we are doing?

2> RISKS

What are the risks preventing us from achieving our Vision?

3> CONTROLS

What controls do we need to either:

1. Control the risk
2. Influence the risk
3. Mitigate the risk where we have no control or influence

4> TESTS

What tests do we need to carry out to ensure our controls are working as designed?

5> EVIDENCE

How do we record the outcome of our test to demonstrate the tests are being carried out as planned and with the right outcomes?



Step 1

Step 2

Step 3

Key Steps

The vision we have for our ...

We must assuredly answer ...

We will report our answer in ...

>1

Purpose

Are we delivering our corporate purpose?

Annual Purpose Review

>2

DNA

Are we displaying the ateb DNA and leadership style?

DNA Barometer

>3

Plan

Are we Increasing corporate strength; improving service delivery; developing new business growth?

Strategic priority Spotlights, Annual Strategic Review, Annual Review & Self Evaluation

>4

Deliver

Are we delivering our service outcomes, efficiently with great customer experience?

Quarterly Service Delivery Report, Annual Review & Self Evaluation

>5

Assure

Are we abiding by our Operating Boundaries?

Assurance Committee, Annual Statement of Assurance

>6

Improve

Are we improving?

Annual Review & Self Evaluation



Assurance Test >1

>1 Purpose

At least once a year the Board, teams, customers and partners will review whether we are meeting the purpose of the group. This will be achieved as follows:

- 1/ ANNUAL PARTNER EVENT** – This event will be held once a year where we will discuss whether we are missing opportunities to maximise our purpose. The event will also be used to update our supply chain on our strategic plan and discuss improvement ideas.
- 2/ ENGAGE INITIATIVE/BIG DAY OUT** – Using the engage initiative process we will assess whether our customers believe we are doing enough to meet our purpose of creating better living solutions.
- 3/ THE BIG EVENT** – Once a year at our team conference we will ask whether we are achieving our purpose and what more could we do.
- 4/ THE BOARD AWAY DAY** – The Board will review the information from the above sources, undertake their appraisal and detail their findings in an Annual Purpose Review document that will be published.

The Annual Purpose Review will explain what we are currently doing and what more we need to do to ensure we are creating better living solutions for the people and communities of West Wales. The review will consider the opportunities and risks facing the organisation and the ongoing plans we have to improve what we do.

better living solutions





Assurance Test >2

>2 DNA

We are striving for a DNA that trusts, creates togetherness and empowers all to deliver more. To understand whether we are developing this culture, we will undertake the following activities:

Team barometer – the i2i team will take regular soundings from the term on whether we are achieving our stated DNA. Concentrating on the teams perceptions they will establish:

1/ Using the #InYouWeTrust definition

- > Are we generally a trusting organisation?
- > Do you think we are trying to improve our basis of trust?
- > Could we do more to improve trust in the organisation?

2/ Using the #AccessAllAreas definition

- > Do we work together as an organisation?
- > Do we include everyone?
- > Are we open to all?

3/ Using the #GetThingsDone definition

- > Do we get things done?
- > Do our systems stop us doing more?
- > Do our resources stop us doing more?

4/ Using the leadership style framework

- > Do we all demonstrate our leadership style?
- > Are we getting better at leadership?
- > Could we do more to improve our leadership framework?

We will develop additional checks to verify our barometer readings including:

- > Independent verification e.g. OD consultant or Internal audit, peer organisation review or workplace award schemes – best companies
- > Partner verification e.g. asking our partners whether we display our DNA/leadership style
- > Customer verification e.g. asking our customers whether we display our DNA/leadership style

The Board and Senior Management team will review i2i's DNA Barometer feedback, undertake their own appraisal and report annually on whether we are displaying the ateb DNA and leadership style. Improvement actions will be passed into our strategic planning process.



Assurance Test >2

Step 1



DNA

Step 2



Are we:

> Displaying the ateb DNA and leadership style?

Step 3



Where we will report:

1/ DNA Barometer

1>VISION | 2>RISKS | 3>CONROLS | 4>TESTS | 5>EVIDENCE



Assurance Test >3

>3 Plan

We will monitor our 3 year strategic plan on a regular basis by adopting the following activities:

1/ STRATEGIC WORKSHOPS

Annual team workshops to discuss progress against the strategic plan and emerging strategic priorities.

2/ STRATEGIC AWAY DAYS

Annual Board, EMT and senior team away days to assess our progress against the strategic plan priorities and emerging issues.

3/ STRATEGIC SPOTLIGHT SESSIONS

The Board review each strategic priority from inception to feedback. The Board use a range of interactive approaches to establish and make sure that the priorities are being delivered.

4/ CORPORATE REVIEW

The Board produce an annual review of the strategic plan that shows the following:

- > Financial performance in the last 12 months against the base line Business Plan assumptions and targets contained within the Strategic Plan – gap analysis and with actions addressing variations to the plan.
- > Progress of strategic priorities in the last 12 months.
- > Statement on whether we have:
 - Increased our corporate strength
 - Improved service delivery
 - Developed new business growth

- > Big Picture Review of the operating environment detailing the impact of the changing environment on our strategic base line assumptions.
- > New Strategic Priorities – following our reviews, identify any new or emerging priorities.

5/ INTERNAL AUDIT REVIEWS

To test the effectiveness of our strategic planning and delivery we will commit Internal Audit resources every years to increase the effectiveness of the strategic process.

The Association will need assurance that it has and is delivering the right long term strategic vision to meets its purpose, the Strategic Plan and Corporate Review will show this assurance.



Assurance Test >3

Step 1



Plan

Step 2



Are we:

- > Increasing Corporate Strength?
- > Improving Service Delivery?
- > Developing New Business Growth?

Step 3



Where we will report:

- 1/ Strategic Priority Spotlights
- 2/ Corporate Review
- 3/ Self Evaluation & Annual Review



Assurance Test >4

>4 Deliver

The Service Delivery Plan (SDP) shows how we will ensure the delivery of the right service outcomes, efficiently with a greater customer experience: this is what we will do to test this is happening:

1/ SERVICE DELIVERY GROUP

will meet once a month to review the SDP's effectiveness, monitor key performance indicators and review improvement actions.

2/ TEAM MEETINGS

The teams will discuss service area performance and highlight any actions that need to be added to the improvement action register for that service area.

3/ ACHIEVE FRAMEWORK

We will review service performance with each team member as part of the ongoing achievement framework process.

4/ SERVICE DELIVER REPORT

service delivery group will produce a Quarterly Service Delivery Report detailing the key performance issues for each service and commenting on trends, risks and impact of improvement actions to measures.

5/ BUSINESS REVIEW

EMT & Managers Group will meet once a quarter to review the Quarterly Service Delivery Report before issuing to Board.

6/ BOARD

Will receive the Quarterly Service Delivery report, review the information and highlight any areas of concern in service performance.

7/ PERFORMANCE MONITORING REPORT

Where Board or the Team have identified areas of performance concern or reasons to pay closer attention to a particular trend (exceptions), the measure will be reported in the decision section of the Board Meeting in the 'Performance Monitoring Report'.

Board will need to approve that they have reviewed the report and taken any action required. Where the identified exception is no longer of specific interest or concern, it will be dropped back to the standard Quarterly Service Deliver Report. All exception items will be reported monthly to CDG & SDG.

8/ KEEP IN TOUCH

CE office walkabout with the teams will test whether the effectiveness of the SDP in achieving our outcomes.

9/ STRATEGIC AWAY DAYS

Strategic Away Days and conferences will use the SDP reporting to make any strategic changes required to improve service performance.

10/ INTERNAL AUDIT REVIEWS

To test the effectiveness of our Service Delivery Plan, we will commit Internal Audit resources in priority of service area impact to the Association. The reviews will address service area process and consider whether we are achieving the right outcomes, efficiently with great customer experience.

Assurance that we are delivering the right outcomes, efficiently with a great customer experience is essential to the effective governance of the Association, this will be reported through the self-evaluation and annual review reports.



Assurance Test >4

Step 1



Deliver

Step 2



Are we:

> Delivering our service outcomes, efficiently with great customer experience?

Step 3



Where we will report:

- 1/ Quarterly Service Delivery Report
- 2/ Annual Strategic Review
- 3/ Self Evaluation & Annual Review
- 4/ Corporate Review



Assurance Test >5

>5 Assure

The Association must clearly operate within the laws, rules and regulations applicable to its operations and those set by its governance structure.

We need to be able to demonstrate that we are aware of our operating boundaries and that we are abiding by them, this will be achieved as follows:

1/ Setting a Risk Appetite for the organisation through the measures and targets in the Strategic Plan and related Business and Financial plans.

2/ The Assurance Committee reporting to the Board will undertake a range of activities to test our operating framework (independent verification where deemed appropriate):

a. Test that the following governance documents are appropriate to the risk appetite of the Association and that they are being adhered to:

- Company Rules
- Code of Governance
- Financial Regs & Delegated Authority
- Board, Committee & Working Group Terms of Reference
- Policies

- Key Contractual Obligations
- Statutory Obligations - Regulation & legal

b. Test whether we are adequately gaining assurance from our :

- Internal Audit Programme
- External Audit Programme

c. Annually set, monitor and report on the development of:

- WG Annual Compliance Return
- WG Self Evaluation

d. Set, manage and report on the Associations:

- Asset & Liability Register
- Risk Register
- Lender Covenant Matrix
- Compliance Register
- H&S reporting

4/ Review that the governance of the Association is achieving the desired outcomes of our Vision

The Board (with support from the Assurance Committee) will use the following documents to state its level of operating boundaries assurance and where there are areas for further development.

- Annual Statement of Compliance return
- Corporate Review
- Annual Review and Self Evaluation
- Assurance Committee Statements





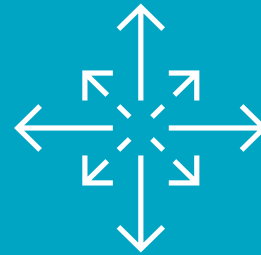
Assurance Test >5

Step 1



Assure

Step 2



Are we:

- > Abiding by our operating boundary parameters?

Step 3



Where we will report:

- 1/ Assurance Committee Meetings
- 2/ Annual Statement of Compliance
- 3/ Corporate Review
- 4/ Statutory Reports
- 5/ Annual Review & Self Evaluation



Assurance Test >6

>6 Improve

The Association must gain assurance that it is improving and growing its services to meet existing and future customer demands, it will gain this assurance by:

1/ Regularly reviewing that it has set the right vision, culture and strategic and operational parameters for improvement and growth to occur, i.e. it has the right:

- > Purpose
- > DNA & Leadership Style
- > Strategic Aims & Priorities
- > Service Delivery Plan Structure & Targets

2/ Testing the effectiveness of the Service Review process and Individual /Team improvement action ownership.

3/ Testing the Associations performance reporting and performance challenge approach.

4/ Making sure that the Associations Communication Network is effectively reporting and analysing improvement and growth.

The Board will issue its improvement and growth findings in its Annual Self-Evaluation and Review.

1>VISION | 2>RISKS | 3>CONROLS | 4>TESTS | 5>EVIDENCE





Data Testing

Our assurance testing framework must show we have the knowledge that:

- 1/ The Vision represents 'what good looks like' for ateb
- 2/ It is collecting the right data to understand whether the Vision is being achieved and the risks are controlled.
- 3/ The data it collects is 100% accurate
- 4/ The analysis and decision making using the data is delivering The Vision

THE DATA TESTS

Challenge The Vision!

The Board will establish whether its Vision is fit for purpose by:

- > Review the outcomes of #5 Assure process at least once year to challenge whether the Vision still represents what good looks like for ateb, where it doesn't it should be updated and communicated to all.

Test A – Data validity: We will establish whether we are collecting the right data by:

- 1/ **DATA VALIDATION**
Internal and external checks to test we are collecting the right data.
- 2/ **SERVICE GROUP**
Monthly Service Group reviews to ensure data collected demonstrates Service Delivery Plan outcomes.
- 3/ **BUSINESS REVIEW**
Quarterly SMT group review to ensure data collected demonstrates Service Delivery Plan outcomes and that outcomes are correct.
- 4/ **CORPORATE GROUP**
Monthly review to ensure data collected demonstrates our delivery of the strategic plan, operating framework and improvement process.
- 5/ **e2i**
Engagement process test whether our service delivery plan outcomes captures the outcomes our customers want from the services they access.

- 6/ **i2i**
Teams to test DNA & service outcomes
- 7/ **ASSURANCE COMMITTEE**
Over site of test A, Risks and Controls
- 8/ **BOARD**
Ongoing appraisal of test A.

Test B – Data accuracy:

We will establish whether data is 100% accurate by:

- 1/ **CROSS REFERENCING TESTS**
Where possible create cross referencing tests to ensure accuracy of data.
- 2/ **ACCURACY TESTING**
Internal and external checks to test whether data being produced is accurate.
- 3/ **DATA DEFINITIONS**
Data sources, data analysis (formulas, systems used etc.) need to be clearly defined.
- 4/ **ASSURANCE COMMITTEE**
Over site of test B.



Data Testing cont'd

Test C – Data analysis/ decision making:

We will establish whether we are using the data to make the right decisions to deliver our outcomes by undertaking the following activities:

1/ POLICY MANAGEMENT

Internal and external review of our policy management framework to ensure they set the right decision making controls and that they are being used and Risk is controlled.

2/ PROCESS/PROCEDURE MANAGEMENT

Internal and external review of our process and procedures to ensure they are delivering the right decision making outcomes and that they are being used.

3/ TEAM MEETINGS

Monthly meetings to ensure that we identifying the right service delivery improvement actions/Risks through the right use of data analysis.

4/ BUSINESS REVIEW

Quarterly meetings to ensure we are making the right Business/Risk decisions relating to our service delivery.

5/ CORPORATE & SERVICE GROUPS

Monthly review to ensure data collected demonstrates our delivery of the strategic plan, operating framework / risk and improvement process.

6/ ASSURANCE COMMITTEE

Over site of test C.

7/ BOARD

Ongoing appraisal of test C.

ASSURANCE REPORTING

The Board will regularly review progress with the assurance testing framework. The Assurance Committee will have delegated responsibility for managing the assurance testing framework and providing update reports on our assurance position.

The Assurance Committee will meet a minimum of 4 times a year, report quarterly on progress of rest assured and produce an Annual Assurance report to demonstrate the activities that ateb are undertaking are delivering the outcomes of the Vision through the controlling of Risks



Data Testing

Test A

Data Validity

Is this the right data to tell us what we need to know...

i.e. are we controlling Risk and are we delivering our Vision?

Test B

Data Accuracy

Is the data we are using to form our assurance opinions 100% accurate?

Test C

Data Analysis

Are we using the data to make the right decisions about the control of Risks and delivering more of the Vision?



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