

BOARD ASSURANCE FRAMEWORK: OVERVIEW

Definitions:

Risk: this shows the current risk status as agreed with the Executive lead. Where there is more than one risk this is aggregated to form one score.

Performance: This information has been provided by the Executive Lead and has been fed into the overall performance against the sub-objectives and more detail is provided in Appendix 4

Assurance: This has been assessed by the Trust Secretary in terms of whether the remaining controls and assurances will impact significantly on both reducing the risk but more importantly provide assurance to the Board that it is receiving all necessary information about the management of the risk. The levels of assurance are as follows:

Green: Either good internal assurances or some internal assurances and some external assurances; negative elements that have been addressed:

Yellow: Moderate internal assurances may have a number of negative elements that are not critical or are being addressed in the mitigation:

Amber: Only a small number of weaker assurances; may have some negatives that have not been addressed.

Red: Negative assurances outweigh the positive assurances.

It does not necessarily link to the “action status” reported in the Board Assurance Framework as this merely highlights where there are outstanding gaps in assurance / control, it does not moderate the information.

OBJECTIVE	OVERVIEW OF RISK, PERFORMANCE AND ASSURANCE		
AO 1: Implement the delivery plan in response to Francis Inquiry Recommendations.	RISK	PERFORMANCE	ASSURANCE
Risk: Risk has not materialised and the management through Executive leads has been effective. Performance: Objective met as per Appendix 4 Assurance: Assurance is strong through both internal and external scrutiny.			
OBJECTIVE	OVERVIEW OF RISK, PERFORMANCE AND ASSURANCE		
AO 2: Implement the second part of the Trust's Quality Strategy demonstrating improvements in Patient Safety, Clinical Outcomes and Patient Experience/Person Centred Care.	RISK	PERFORMANCE	ASSURANCE
Risk: The risk is medium due to the impact of the HCAI risk which materialised. Performance: Not all sub-objectives met as per Appendix 4 Assurance: Assurance is achieved through internal reporting at all levels but there are a couple of negatives			
OBJECTIVE	OVERVIEW OF RISK, PERFORMANCE AND ASSURANCE		
AO 3: Deliver the CQUIN programmes commissioned by CCGs demonstrating improvements and financial benefit.	RISK	PERFORMANCE	ASSURANCE
Risk: The risk has not materialised and is well managed. Performance: Objective met as per Appendix 4 Assurance: Assurance is through internal reporting mechanisms and agreed with the Commissioners but some negative assurance.			
OBJECTIVE	OVERVIEW OF RISK, PERFORMANCE AND ASSURANCE		
AO 4: Plan and Implement PAS up-grade to enable more efficient and productive approach to managing 18 week pathway for elective care from referral to treatment and follow-up.	RISK	PERFORMANCE	ASSURANCE
Risk: Due to the impact that the risk of not delivering being high this risk remains medium but is well managed.			

Performance: Not all sub-objectives met as per Appendix 4 Assurance: The assurance is through internal sources, negatives have been addressed.			
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OBJECTIVE	OVERVIEW OF RISK, PERFORMANCE AND ASSURANCE		
AO 5: Reduce the number of unplanned readmissions within 30 days of discharge following an elective and non-elective episode of care, where there is a direct link to the index admission.	RISK	PERFORMANCE	ASSURANCE
Risk: Due to the impact if the risk were to materialise this risk remains medium but is well managed through a Project Manager. Performance: Objective not met as per Appendix 4 Assurance: Assurance is through internal reporting but this has been weakened as the Re-admissions Committee has not met but will be put in place for 14/15			

OBJECTIVE	OVERVIEW OF RISK, PERFORMANCE AND ASSURANCE		
AO 6: Emergency Planning and Business Continuity achieve upper quartile performance against mandatory DH, EP&BC Indicators.	RISK	PERFORMANCE	ASSURANCE
Risk: The risk is well managed and has reduced due to the work undertaken. Performance: Objective met as per Appendix 4 Assurance: There is strong external assurance as well as internal assurance.			

OBJECTIVE	OVERVIEW OF RISK, PERFORMANCE AND ASSURANCE		
AO 7: Engage with the new local Healthwatch and Wellbeing Boards while further developing relationships with vulnerable patient groups and local and voluntary community organisations (VCOs), through a structured programme of meetings and other communication channels. The overall aim is to develop and strengthen relationships and understanding between the Trust and key stakeholders.	RISK	PERFORMANCE	ASSURANCE
Risk: The risk is medium due to the impact that no engaging with vulnerable patient groups would have but is well mitigated. Performance: Objective met as per Appendix 4 Assurance: Internal assurance only but lots of it.			

OBJECTIVE	OVERVIEW OF RISK, PERFORMANCE AND ASSURANCE		
AO 8: Implement of the Research and Innovation (R&I) Strategy to increase “homegrown” R&I whilst continuing to support other R&I by putting in place the right people, processes and facilities to support these goals, and through effective engagement with R&I stakeholders.	RISK	PERFORMANCE	ASSURANCE
Risk: The controls to manage this risk are in place. Performance: Objective met as per Appendix 4 Assurance: A small amount of internal assurance only with some negatives.			
OBJECTIVE	OVERVIEW OF RISK, PERFORMANCE AND ASSURANCE		
AO 9: Implement the marketing strategy to meet repatriation and market share targets for inpatient and day case procedures	RISK	PERFORMANCE	ASSURANCE
Risk: The risk is high due to the fact that there are new entrants to the market and so it is likely that the Trust will see some impact from this. Performance: Objective partially met as per Appendix 4 Assurance: A small amount of internal assurance with a negative.			
OBJECTIVE	OVERVIEW OF RISK, PERFORMANCE AND ASSURANCE		
AO 10: Support increased efficiency and effectiveness across the Trust via the implementation of major infrastructure projects.	RISK	PERFORMANCE	ASSURANCE
Risk: The risk is well managed with low impact if it were to materialise. Performance: Objective met as per Appendix 4 Assurance: Lots of internal assurances with a minor negative.			
OBJECTIVE	OVERVIEW OF RISK, PERFORMANCE AND ASSURANCE		
AO 11: Drive increased efficiency and effectiveness of Trust corporate led services and activities.	RISK	PERFORMANCE	ASSURANCE
Risk: The risk has not materialised and has a very low impact. Performance: Objective met as per Appendix 4 Assurance: Lots on internal assurance and no negatives.			

OBJECTIVE	OVERVIEW OF RISK, PERFORMANCE AND ASSURANCE		
AO 12: Agree with commissioners and consult with the public to implement a sustainable clinical strategy which will in particular meet the standards of emergency surgery; ensure the availability of an appropriately skilled workforce; provide safe sustainable services with consideration of access for patients and their families and visitors.	RISK	PERFORMANCE	ASSURANCE
Risk: Risk of reputational risk has materialised although has been well handled. Performance: Objective met as per Appendix 4 Assurance: Lots of internal assurance with external assurance to be provided by Kent University. The negative relates to the performance element.			

OBJECTIVE	OVERVIEW OF RISK, PERFORMANCE AND ASSURANCE		
AO 13: Develop and deploy analytical approaches to support strategic and evidence based decision making and provide clinicians with real time business intelligence.	RISK	PERFORMANCE	ASSURANCE
Risk: Risk is high as it is an on-going piece of work. Performance: Objective met as per Appendix 4 Assurance: Both internal and external assurances, no negatives reported.			

OBJECTIVE	OVERVIEW OF RISK, PERFORMANCE AND ASSURANCE		
AO 14: Ensure strong financial governance, agree contracts with commissioners that deliver sufficient activity and finance and support a comprehensive internal cost improvement programme where all Divisions deliver cash releasing savings schemes to deliver Trust QIPP targets.	RISK	PERFORMANCE	ASSURANCE
Risk: Risk is extreme due to the impact and likelihood, the risk has materialised against the original annual plan. Performance: Objective met as per Appendix 4 Assurance: Assurance against the original objective is negative and this outweighs the positive assurance. An IA has been undertaken on Financial Governance Review but the outcome will not be reported in the 2013/14 FY.			