BOARD ASSURANCE FRAMEWORK 2016/17 July 2016

RISK 6	Unable to retain and/or build and embed leadership capability at all levels within the Trust
Risk Register (≥15) Cross Ref.	
Causes:	Frequent changes in senior team / key individuals / key staff
	Instability at Board level - interim posts and vacancies
	Lack of succession planning and talent management / investment in leadership development
	Reputational damage makes it difficult to attract and retain high calibre leaders
	Operational failures / 'fire fighting' has negative impact on leadership development
Effects:	Trust does not secure return on investment in leadership
	Demoralisation and resistance to change
	Lack of innovation and vision
	Lack of accountability and ownership / inability to embed clinical leadership model
	Deterioration in service quality

OVERALL RISK RATING	Target Risk	Previous Residual Risk	Current Residual Risk
	4	9	9
Likelihood	1	3	3
Consequence	4	3	3

Risk likely to impact Strategic Objectives:				
1. Safe Services	2. Patient and Staff Experience	3. Effective Outcomes	4. Work-force	5. Efficiency and use of resources
	✓		✓	

Executive Lead	Monitoring Committee
CEO	Board and TEC

Controls Gaps in Control	Sources of Assurance Gaps in Assurance	Divisional/ Corporate /Independent	Positive Assurances Negative Assurances	Actions	Target date - Board month
Management Structure	Structure reported to Board and Committees	Corporate	Appointment to some key senior positions to be resolved. Board / VSM / Interim guidance approved at Nomination and Remuneration Committee meeting in Jan 2016. Revised ToR for Board approval in March 2016. Revised Operational Management Structure in place.	Flexible 'acting up' and interim arrangements in place where appropriate and recruitment activities ongoing to explore networks for high calibre candidates.	July 2016 update

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Board capacity and succession planning	Reports to Board and Governors' Council	Corporate	NED recruitment - 2 NEDs (1 quality and 1 finance specialist) from 03 August 2015. NED (Clinical Education expertise) from January 2016. Comprehensive Board development programme in place.		
	Board Assessment Well-led Framework Review	Corporate and Independent	CQC (August 2015 report) assessed Trust as 'green' in the 'well-led' domain. Quality Governance assimilated into the QIG work plan. Board development programme, in place. Board self-assessment process in place following each Board meeting. Annual Corporate Governance Statement submission agreed by BoD - June 2016	Board to consider timing of 'Well-Led Framework' review in line with Risk Assessment Framework (every 3 years). Trust Secretary has met with Framework Review provider in June for early discussion.	Sept 2016

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Clinical leadership structure	Periodic reports to Workforce Committee and BoD	Corporate	Consultant Leadership Development Programme agreed - to be rolled out in 2016. Revised Operational Structure in place from the end of May 2016. Recruitment to posts underway. MD structure currently under review.		