Appendix 2

SOURCES OF ASSURANCE - HEAT MAP

August 2012

The Queen Elizabeth Hospital NHS
King's Lynn
NHS Foundation Trust

SOURCE OF ASSURANCE	TYPE OF ASSURANCE								STRENGTH RAG
	INTERNAL REVIEW	WEIGHTED	BENCHMARKED	WEIGHTED	EXTERNAL REVIEW	WEIGHTED	INDEPENDENT REVIEW	WEIGHTED	
Risk 1a i									
Management Checks - Nursing Indicators (DoH Safety Express methodology)	1	1	1	2		0		0	3
CQC / NHSLA Assessments	1	1	1	2		0	1	4	7
Risk 1a i									
Clinical Audit	1	1	1	2		0		0	3
Specialty Reviews	1	1	1	2	1	3		0	6
Specialty Review Internal Audit 2011 / 12	1	1	1	2	1	3		0	6
Peer Reviews	1	1	1	2	1	3		0	6
Risk 1a i									
SI and Never Event reporting - including PCT Review	1	1		0	1	3		0	4
External reporting and benchmarking - NPSA		0	1	2		0	1	4	6
Risk 1a i									
CLIP Report	1	1	1	2		0		0	3
Benchmarking	1	1	1	2		0		0	3
Risk 1ai									
Quality Strategy Implementation Monitoring (monitored by Joint Quality Meeting - PCT)	1	1	1	2	1	3		0	6
Annual Quality Report	1	1	1	2	1	3		0	6
Risk 1a i									
Internal CQC Audits	1	1		0	1	3		0	4
Compliance Monitoring	1	1		0		0		0	1
CQC Visits		0	1	2	1	3	1	4	9
CQC Compliance Monitoring Internal Audit 2011/ 12		0	1	2	1	3		0	5
Risk 1a i									
NHSLA Action Plan	1	1		0		0		0	1
Compliance Monitoring	1	1		0		0		0	1
NHSLA & CNST Assessments		0	1	2	1	3	1	4	9
Risk 1a i									

Clinical Outcomes Group review - informed by CHKS re patient safety outlier status)	1	1	1	2	1	3		0	6
CANS Group Activity	1	1	1	2		0		0	3
National Audits		0	1	2	1	3	1	4	9
Risk 1a i									
Weekly / Monthly Monitoring	1	1	1	2		0		0	3
Dr Foster and CHKS reviews and Infection Control benchmarking		0	1	2	1	3	1	4	9
Risk 1a ii									
Periodic Monitoring	1	1		0		0		0	1
Delivery Monitoring	1	1		0		0		0	1
Monitoring	1	1		0		0		0	1
Monitoring	1	1		0		0		0	1
6 Facet Survey		0	1	2	1	3	1	4	9
External checks e.g. roof		0		0	1	3	1	4	7
Risk 1a ii									
Monitoring	1	1		0		0	1	4	5
MDA Alerts		0	1	2	1	3	1	4	9
Risk 1a iii									
Management Checks	1	1		0		0		0	1
Compliance Monitoring	1	1		0		0		0	1
Monitoring - weekly reports to BoD & Monthly Performance Report	1	1	1	2		0		0	3
Compliance Framework		0	1	2	1	3	1	4	9
Silver Command Activity reports		0	1	2	1	3	1	4	9
Risk 1a iv									
Management Checks	1	1		0		0		0	1
Medical Outlier monitoring	1	1		0		0		0	1
Contract activity delivery	1	1		0	1	3		0	4
Risk 1a v									
RCAs and KPI monitoring	1	1		0	1	3		0	4
Antibiotic Audits	1	1		0	1	3		0	4
Benchmarking	1	1	1	2		0		0	3
PCT & SHA review		0	1	2	1	3	1	4	9
Risk 1a vi									
Patent Experience Steering Group reports to TEC	1	1	1	2		0		0	3
CLIP Report	1	1	1	2	1	3		0	6
Internal Satisfaction Survey results and trends	1	1	1	2	1	3		0	6
PEC reports to GC	1	1		0	1	3		0	4
Patient Stories at Board	1	1		0	1	3		0	4
LINks Assessments		0	1	2	1	3	1	4	9
External Satisfaction Survey results, benchmarking and trends		0	1	2	1	3	1	4	9
Risk 1a vii									
BSPG report to TEC & Q&R	1	1		0	1	3		0	4
Risk 1b i									
SPRG meetings		0	1	2	1	3		0	5
Risk 1b ii									
Strategic Intelligence, discussed at BoD's Strategy workshops	1	1	1	2	1	3		0	6

DoH leadership Academy Diagnostic	1	1	1	2	1	3	1	4	10
Risk 1b iii									
Chair's reports to BoD	1	1		0	1	3		0	4
Attendance at HA meetings	1	1		0	1	3		0	4
Responses to HA Documents	1	1		0	1	3		0	4
Paediatric Rheumatology network response Burns facility submission Stroke review submission Senior staff registered on SHA leadership programmes Responses to AQP tenders Responses to external consultations	1	1		0	1	3		0	4
Outcomes of external / network evaluation of QE proposals, submissions, representations		0	1	2	1	3	1	4	9
Risk 1c i									
BoD Strategy workshops	1	1		0	1	3		0	4
Business Development reports to BoD	1	1	1	2	1	3		0	6
Network arrangements and contracts	1	1	1	2	1	3		0	6
Network arrangements and contracts	1	1	1	2	1	3		0	6
Risk 1c ii									
Monitoring of emergency admissions, readmissions, LoS & delayed discharge	1	1		0	1	3		0	4
BoD reports	1	1		0	1	3		0	4
Contract activity delivery reports	1	1		0	1	3		0	4
1% CQUIN Agreement	1	1		0	1	3		0	4
Risk 2a i									
Mandatory Training target delivery - Workforce report to BoD	1	1	1	2		0		0	3
Uptake monitoring	1	1	1	2		0		0	3
Workforce Development and Mandatory Training Internal Audit 2011 /12		0	1	2	1	3		0	5
Risk 2a ii									
Appraisal Target delivery - Workforce report to BoD	1	1		0		0		0	1
Staff Satisfaction Survey outcomes - reported to BoD		0	1	2	1	3	1	4	9
Benchmarking	1	1	1	2		0		0	3
Appraisal Internal Audit 2011 - 12	1	1	1	2	1	3		0	6
Risk 2a iii									
Management Checks	1	1		0		0		0	1
Pay Costs variance - report to BoD	1	1		0		0		0	1
Sickness absence monitoring - report to BoD	1	1	1	2		0		0	3
Benchmarking	1	1	1	2		0		0	3
Risk 2b i									
Regular variance monitoring and mitigation - report to BoD	1	1		0		0		0	1
Risk 2b ii									
Strategic Options - considered by BoD at Strategic Workshops	1	1	1	2	1	3		0	6
Risk 2b iii									
Transformational Change report to Board	1	1	1	2	1	3		0	6
DH Leadership Academy - Leadership Programme diagnostic	1	1	1	2	1	3	1	4	10
Risk 2b iv									

Regular Reports to Board	1	1		0		0		0	1
Risk 2b v									
IM&T Strategy Implementation monitoring	1	1		0		0		0	1
Internal Audit - IT Developments 2011 / 12	1	1	1	2	1	3		0	6
Risk 2b vi									
Review outcome - TEC and BoD - revised structure	1	1	1	2	1	3		0	6
Risk 2c i									
BSP delivery - reports to BoD	1	1		0	1	3		0	4
Activity Plan Monthly Monitoring	1	1		0		0		0	1
Income Monthly Monitoring	1	1		0		0		0	1
Contract	1	1	1	2	1	3		0	6
Risk 2c ii									
Strategic Intelligence, discussed at BoD's Strategy workshops	1	1	1	2	1	3		0	6
Business Plan 2012/13	1	1	1	2	1	3		0	6
Attendance rates and engagement themes	1	1		0		0		0	1
Team Brief	1	1		0		0		0	1
Management Checks and analysis of engagement themes	1	1	1	2		0		0	3
Leadership Programme diagnostic	1	1	1	2	1	3	1	4	10
Risk 2c ii									
BSPG monitoring - All NEDs assigned to specific PODs and BoD reporting	1	1		0	1	3		0	4
Monitor assessment of Trust position in respect of breach in Terms of Authorisation		0		0	1	3	1	4	7
Risk 3a i									
Business Plan delivery 2012/13	1	1	1	2	1	3		0	6
Risk 3a ii									
Annual / Business Plan delivery monitoring - reports to BoD	1	1		0	1	3		0	4
Review outcomes and monitoring of plans to address identified issues	1	1		0	1	3		0	4
Workforce Report	1	1	1	2		0		0	3
Risk 3a iii									
Review outcomes and monitoring of plans to address identified issues	1	1	1	2		0		0	3
Vacancy monitoring and locum / agency spend	1	1	1	2		0		0	3
Review outcome - TEC and BoD - revised structure	1	1		0	1	3		0	4
Risk 3a iv									
Financial Governance Review - Action Plan monitoring - F&I Committee	1	1		0	1	3		0	4
Reports to BoD re. BSP Governance	1	1		0	1	3		0	4
Monitor assessment of Trust progress in addressing Financial Governance issues		0		0	1	3	1	4	7
External Review of Action Plan	1	1	1	2	1	3	1	4	10
Risk 3a iv									
Leadership Programme diagnostic	1	1	1	2	1	3	1	4	10
Risk 3a iv									
Review of outcome	1	1	1	2	1	3		0	6
Risk 3a iv									
Programme delivery evidence	1	1		0	1	3	1	4	8
Risk 3a iv									
NED Recruitment - Person Spec.	1	1		0		0	1	4	5

Risk 3a v									
SLR Reports	1	1	1	2		0		0	3
Risk 3b i									
Review outcome - TEC and BoD - revised structure	1	1	1	2	1	3		0	6
BSP delivery - reports to BoD	1	1		0	1	3		0	4
BSPG monitoring - All NEDs assigned to specific PODs	1	1		0	1	3		0	4
Risk 3b ii									
Strategic Intelligence, discussed at BoD's Strategy workshops	1	1	1	2	1	3		0	6
Risk 3b ii									
Business Plan delivery monitoring	1	1	1	2	1	3		0	6
Risk 3b iii									
Tender Alert System	1	1	1	2	1	3		0	6
Risk 3b iv									
Strategic Intelligence - BoD Strategic workshops	1	1	1	2	1	3		0	6
Contracts, Partnerships and agreements - reported to BoD	1	1	1	2	1	3		0	6
Risk 3b v									
Membership and attendance of relevant fora	1	1		0	1	3		0	4
Risk 3b v									
Chair's reports to BoD	1	1		0	1	3		0	4
Risk 3b v									
Attendance at HA meetings	1	1		0	1	3		0	4
Responses to HA Documents	1	1		0	1	3		0	4
Risk 3b v									
Engagement in NHS Confed and FTN events - Lobbying and Netwroking	1	1	1	2	1	3	1	4	10
Risk 3b v									
BoD Strategy workshops	1	1	1	2	1	3		0	6
Network arrangements and contracts	1	1	1	2	1	3		0	6
Risk 3b v									
Business Development reports to BoD	1	1	1	2	1	3		0	6
Network arrangements and contracts	1	1	1	2	1	3		0	6
Risk 3c i									
Monthly BoD and F&I reports	1	1	1	2		0		0	3
Internal Audit and External Audits	1	1	1	2	1	3		0	6
Risk 3cii									
BSPG - monitoring of BSP delivery - reports to BoD	1	1		0	1	3		0	4
Risk 3ciii									
Transformational Change report to Board	1	1	1	2	1	3		0	6
DoH Leadership Programme diagnostic	1	1	1	2	1	3	1	4	10

METHODOLOGY	1	2-3	4-6	7-10