BOARD ASSURANCE FRAMEWORK 2015/16 January 2016

RISK 7	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	4	4

Risk likely to impact Strategic Objectives:				
1. Safe Services	2. Patient and Staff Experience	3. Effective Outcomes	4. Workforce	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

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Management Structure	Structure reported to Board and Committees	Corporate	All Exec Director posts substantive . Substantive appointment to Director of Operations and Service Support from January 2016. Appointment to some key senior positions to be resolved. Medical Director structure, Divisional Structure, HR Structure reviewed. Board / VSM / Interim guidance to be recommended for approval at Nomination and Remuneration Committee meeting in Jan 2016.	Flexible 'acting up' and interim arrangements in place where appropriate and recruitment activities ongoing to explore networks for high calibre candidates.	Jan 2016
Board capacity and succession planning	Reports to Board and Governors' Council	Corporate	All Exec Director posts substantive . Substantive appointment to Director of Operations and Service Support from January 2016. NED recruitment - 2 new NEDs (1 quality and 1 finance specialist) from 03 August 2015. NED (Clinical Education expertise) from January 2016 Comprehensive Board development programme in place.		

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	Board Assessment	Corporate and Independent	Good progress being made in the delivery of the Quality Governance Improvements following KPMG review. Outstanding work being monitored through CQC compliance monitoring. CQC (August 2015 report) assessed Trust as 'green' in the 'well-led' domain Board development programme, in place from December 2014. Board self-assessment process in place following each Board meeting.		
Clinical leadership structure	Periodic reports to Workforce Committee and BoD	Corporate	TEC structure and ToR revisited to strengthen tactical leadership and accountability. Revised CD Job description agreed - drives leadership, accountability and governance engagement. Monthly RO meeting for consultants in place Associate MD for Education responsible for development of educational and clinical supervisors Divisional Management Structure re-designed to align triumvirate on Medicine, Surgery and Core Services. Supporting Senior Nurse structure published in August 2015 Clinical Leadership Development programme agreed - to be rolled out in 2016.	Medical Director structure currently under review	