NHS DIRECT BOARD ASSURANCE FRAMEWORK 2011/12: September 2011

No	Corporate Objective	Key Risks	Key Controls	Lead	Target Date	Potential sources of assurance	Assurances received (+/-)	Gaps in control	Gaps in assurance	Action planned /update	Status Change since last report	Status
1	**Raise the quality and productivity of our services**											
1.1a	Continue to drive up efficiency and productivity in our core service delivery and enhance our future prospects by doing this	If we are unable to mobilise sufficient resources then we won't be able to maintain delivery of the 0845 4647 service at our targeted level.	- Board and EMB scorecards to monitor performance against KPIs for the 0845 4647 service - Capacity plan	Ronnette Lucraft	March 2012	Board and EMB minutes showing discussion about the performance scorecards	Board and EMB minutes showing discussion about the performance scorecards	None	None	Regular quarterly review of the capacity plan assumptions and service improvement plan		
1.1b	As above	If the new telephony system implementation is further delayed, it will delay our ability to manage front-line staff schedule adherence in real-time.	Management of supplier to the agreed plan.	Alan Bentall	March 2012	- Project Board meetings - Status reports	- Agreed plan - On time delivery of core systems	None	Core system scheduled for delivery by 25/11/11			
1.1c	As above	If there are major system outages, front-line staff will be less productive.	-Effective & proactive supplier management - Disaster recovery	Alan Bentall	Ongoing	- Mitigation of identified risks – risk register - Monthly service operations report from suppliers	Risk Register	Do not have 100% disaster recovery in place	None	Implementation of 100% disaster recovery on completion of Hedge End refurbishment.		
1.2	Improve the quality of our services	If we are unable to mobilise sufficient resources then we won't be able to improve the quality of the 0845 4647 service to our targeted level.	- Call review process, incl. Expert Call Review Team - IWP process	Tricia Hamilton	30/11/11	- Call review outcome data - Patient experience measures	- Call review outcome data - Patient experience measures	None	None	Monthly review of call review and patient experience monitoring outputs – September 2011		

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2	**Increase the value we create for patients, public, the NHS and social care**											
2.1	To position ourselves as a key provider of services for long-term conditions	If the market remains under-developed and commissioner landscape remains undecided then this might not grow as quickly as anticipated. Not having a compelling service offering to meet emerging market.	- Focused engagement of key commissioners on specific market areas - Clear product description in place with value proposition of services	Ruth Rankine	March 2012	- LTC sales toolkit - Monthly LTC review	- LTC sales toolkit - Monthly LTC review	None	None	Monthly LTC review in September 2011		
2.2	Develop services to support patient choice	If we have insufficient internal capacity to focus on services other than 111, we will not be able to tender for or deliver the service successfully ie respond to PDA procurement and delivery specification.	Robust governance to support development pipeline and prioritisation of activities	Ruth Rankine	End October 2011	- PDA programme reports - PDA delivery board meetings - Bid board meetings and bid register - Strategy and Business Development board	- PDA programme reports - PDA delivery board meetings - Bid board meetings and bid register - Strategy and Business Development board	None	None	Work to develop the ITT for phase 4 PDAs – submission September 2011		
2.3	Develop value-add 111 service offerings which can be an option for commissioners	If commissioners do not want to commission value-add services then there will not be a market for this and we will not gain additional income	Clear product descriptions and benefits of value-add services accompanied by strong commissioner engagement	Ruth Rankine	31/12/11	- Strategy and Business Development board - Draft product descriptions - Sales pipeline	- Strategy and Business Development board - Draft product descriptions - Sales pipeline	None	Commissioner knowledge of the 111 specification	- Product managers to develop product descriptions for services - Strong commissioner engagement on the benefits of additional services		

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2.4	Develop new measures of patient experience across services	If we do not use consistent measures of patient experience across our range of services we will be unable to undertake benchmarking activity to contribute to improvement	Net Promoter Score implementation project. In-house satisfaction monitoring project	Tricia Hamilton	**31/01/12**	- Monthly patient experience monitoring - Quarterly Clinical Governance reports	- Monthly patient experience monitoring - Quarterly Clinical Governance reports	None	None	Progress to completion the project to bring core service satisfaction monitoring in-house. Continue to completion NPS project.		
3	**Incorporate our values in everything we do**											
3.1	Embed the agreed Values into the day to day work of the organisation	Events, KPI pressures and the burdens of change will deflect our focus and need to neglect of this area of work	Values Implementation Group, Values Ambassadors Group, regular reports to Effective Organisation Board, review by Board in January 2012. The linking of recognition awards to demonstration of values	Roger Rawlinson	31/03/12	VIG minutes, Effective Organisation Board minutes, Board Minutes, staff survey	VIG minutes, Effective Organisation Board minutes, Board Minutes,	None	None			
4	**Be a great place to work and an employer of choice**											
4.1	Complete Appraisals for 95% of employees	Pressures of work prevent the completion of appraisals, particularly for front line staff	Launch and re-launch of the "60 Minute Appraisal" programme.	Roger Rawlinson	31/03/12	Monthly scorecard for teams, directorates and organisation against trajectory	Monthly scorecard for teams, directorates and organisation against trajectory	None	None			
4..2	Senior Management Development	Pressure of work will lead to senior manager events to be cancelled	Executive and Board support. Desire by Senior managers to continue development following 2010/11 programme	Roger Rawlinson	31/02/12	Low attrition rate and high level of satisfaction amongst senior managers. Growing capability to undertake major change and develop skills needed in new business	Good feed back from Senior Management Development Programme, and clear desire to continue to development programme	None	None			

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4.3	Recognition	It will be undermined by events, particularly in the front line It will be considered with cynicism during a period of profound change	Ensure that recognition events are successful, train managers to undertake "soft" recognition	Roger Rawlinson	31/12/11	Staff survey	Too early	None	Await response to awards			
4.5	Improving the way we work	The morale of nurses remains low as they don't see a place for them in the new 111 world.	Engage brilliantly through the "Energise for Excellence Programme"	Roger Rawlinson	31/03/12	- Staff survey - Attrition - Sickness -Improved efficiency	Too early	None	Too early to document			
4.6	Health & Well Being	It is lost within a plethora of change	Use all communication means possible to get message across:- newsshot; core brief, noticeboards, screen savers, Intranet, message of the day	Roger Rawlinson	31/03/12	Improved take up of flu vaccinations Reduced sickness absence, reduced work related stress, reduced musculo-skeletal problems	Good feed Back hitherto	None	None			
4.7	Communications & Involvement	It is lost within a plethora of change	An integral part of the Our Future Proqramme as well as Effective Organisation.	Roger Rawlinson	31/03/12	Our future programme board reports and minutes, our future programme steering group minutes, Effective Organisation board minutes	Good progress on engagement so far through the Our Future documentation. And senior manager feed back, but too early to judge effect on wider organisation	None	None			
5	**Take advantage of new opportunities and plan effectively for the future**											
5.1a	To maximise share of 111	If we do not have strong local engagement activity then we will be unable to influence our position	- Regional team capacity and capability in each SHA - Sales toolkit	Ruth Rankine	March 2012	- Sales toolkit reports - Organisational chart identifying vacancies in team	- Sales toolkit reports - Organisation chart identifying vacancies in team	None	3 Regional Heads of Service Development to be recruited	Recruit three Regional Heads of Service Development		

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5.1b	As above	If the technical developments for 111 are late we many delay the go-live of pilot services	Establishment of end to end implementation plan.	Alan Bentall	25/10/11	- Adherence to implementation to plan. - Weekly exec level management calls with supplier. - Status reports showing on target.	- Status reports showing on target	End to End Plan under construction with all parties	None	Regular weekly status update calls		
5.2	Create a responsive operational delivery model which gives us confidence to tender for NHS 111 contracts	If we have insufficient internal capability and challenge we will be unable to create a cost effective delivery model and so won't be able to compete and win sufficient NHS 111 business	- The Operational Programme board, which is a sub-committee of the Our Future Programme Board - Regular review and challenge at the Our Future Programme Board and Finance Committee	Ronnette Lucraft	24th-25th October (Board Strategy Days)	- The Our Future Programme Board minutes - Finance Committee minutes	- The Our Future Programme Board minutes - Finance Committee minutes	None	None	Agreement of the design for the future operational model by the Board in their Strategy Days, end October		
5.3	Clear transition plan to deliver the future organisation	If we have insufficient funding, capability, or operational capacity then we will be unable to move effectively to the new operational model in the time frame required	The Operational Programme board, which is a sub committee of the Our Future Programme Board - Regular review and challenge at the Our Future Programme Board and Finance Committee	Ronnette Lucraft	24th-25th October (Board Strategy Days)	- The Our Future Programme Board minutes - Finance Committee minutes	- The Our Future Programme Board minutes - Finance Committee minutes	None	None	Business cases for the transition to be approved		

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6	**Improve our corporate effectiveness and efficiency**											
6.1	To coordinate the design and implementation of appropriate corporate centre functions to support the front line and cost to service elements of the business model	If the corporate centre model does not deliver on time, is not fits for purpose or does not make the savings required to sustain the organisation then it will not be appropriate to support the frontline	There is a design plan and implementation plan in place and appropriate governance from the Corporate Development work stream and oversight from the Our Future Programme Board	Trevor Smith	24th-25th October (Board Strategy Days)	The Corporate Development Programme Board meetings and minutes -The Our Future Programme Board minutes - Finance Committee minutes	The design and implementation is on time monitored through progress reports to the Our Future Programme Board	None	None	Design to be completed for discussion at Exec Days on 15th and 16th September and Trust Board in October 11		
6.2	To develop the financial framework for cost reduction and coordinate identification and delivery of opportunities across all functions for 2011/12-2013/14	If the pace of change is too fast or the programme is not appropriately resourced then we might lose financial control. If we lose this then we will be unable to deliver the cost reduction required If we do not have the capacity/capability to deliver, whether functional expertise or specialist advice, then we will be unable to deliver the cost reduction required	Centrally resource key individuals to staff the work-stream	Trevor Smith	July to Sept 2011	- The Corporate Development Programme Board meetings and - The Our Future Programme Board minutes - Finance Committee minutes Corporate Development Board	Functional programme teams in place to monitor delivery of the framework	None	None	Plans to be completed for end of Phase 1 for Trust Board in October 11		

Status assurance levels:

Green: Effective controls definitely in place and Board satisfied that appropriate assurances are available (green controls / assurances to be regularly reviewed

Amber: Effective controls thought to be in place but assurances are uncertain and / or possibly insufficient

Red: Effective controls may not be in place and / or appropriate assurances are not available to the Board

No status change since last report

Positive status change since last report

Adverse status change since last report