







Board Assurance Framework



Agenda Item: 9
Reference: 12B.007










Board Meeting: 30 January 2012




Summary	<p>The BAF takes into account the key challenges facing NHS Direct in securing future 111 business and is linked to the Our Future Programme.</p> <p>In respect of the corporate objectives, twenty risks are currently on the BAF with related controls, assurances and actions.</p> <p>Current RAG status regarding assurance:</p> <ul style="list-style-type: none">o 20 risks are rated as green <p>Since the last presentation of the BAF, the status changes are:</p> <p><u>Amber to Green: 1</u> 1.1b High Level Design (HLD) has now been signed off but there remains one design issue to be resolved under change control.</p> <p><u>Risk Removed: 1</u> 2.2 This risk has been removed as we did not win the Phase 4 PDAs contract and TAL risks are minimal (contract is being finalised). Focus is on 111 at the moment.</p>
Issues to be considered by the Board	The Board is asked to consider that the BAF provides assurance, in that it correctly identifies the risks, controls and actions that allows for the likelihood of NHS Direct achieving its corporate objectives.
Action required by the Board	The Board is asked to note the contents of the BAF.
Accountable Executive Director	Nick Chapman, Chief Executive
Author of Paper	Keisha Aimiwu, Corporate Governance Manager
Date prepared	11/01/12




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 will not 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	Keith Gait	March 2012	Board and EMB minutes showing discussion about the performance scorecards. Operational Service Improvement Plan.	Board and EMB minutes showing discussion about the performance scorecards.	None	None	Regular monthly 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; careful scrutiny of design documentation to confirm fitness for purpose.	Alan Bentall	June 2012	Project Board meetings; status reports; monthly governance meeting with C&W Senior Management.	Project plan baselined, but with late delivery of Core System (March 2012); rollout will now proceed after Easter 2012.	None	High Level Design (HLD) has now been signed off but there remains one design issue to be resolved under change control.	Press C&W at all levels to resolve remaining design issue without impacting the delivery plan.		
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	Disaster recovery is under construction but not yet commissioned	None	Implementation of 100% disaster recovery is ongoing.		



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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, including 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	1% target of all calls reviewed consistently achieved. Moving forward: New target to review 3 call per member of staff. Further investigation of good, satisfactory scores.		
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	<p>If the market remains under-developed and commissioner landscape remains undecided then this might not grow as quickly as anticipated.</p> <p>If we do not have a compelling service offering to meet the emerging market then this service may not grow as quickly as anticipated.</p> <p>If the 111 bids demand more resources than currently required, then the LTC project may suffer.</p>	<p>Focused engagement of key commissioners on specific market areas.</p> <p>Clear product description in place with value proposition of services.</p> <p>Continue to monitor workload and priorities of LTC team members and escalate when needed.</p>	Ruth Rankine	<p>March 2012</p> <p>January 2012</p> <p>Ongoing</p>	Strategy and Business Development Board; LTC sales toolkit; Monthly LTC review; Our Future Programme Board status reports	Strategy and Business Development Board; LTC sales toolkit; Monthly LTC review; Our Future Programme Board status reports	None	None	On-going LTC reviews taking place. Major patch review took place in December 2012, outcome was to develop a business case for investment		


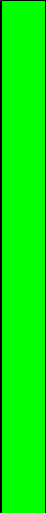
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2.2	Develop services to support patient choice	If we do not win the phase 4 PDA contract then we will need to review our approach to growing patient choice services.	Robust governance to support development pipeline and prioritisation of activities	Ruth Rankine	Dec 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	This risk has been removed as we didn't win the Phase 4 PDAs contract and TAL risks are minimal (contract is being finalised) – Focus on 111 at the moment		
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 being developed along with the benefits of value-add services accompanied by strong commissioner engagement	Ruth Rankine	March 2012	Strategy and Business Development Board; draft product descriptions; sales pipeline; Our Future Programme Board status reports.	Strategy and Business Development Board; draft product descriptions; sales pipeline; Our Future Programme Board status reports.	None	Commissioner knowledge of the 111 specification	Product managers to develop product descriptions for services (111 Digital, 111 Health and Medicines Information and 111 Nurse Advise) Strong commissioner engagement on the benefits of additional services 111 Digital pilot commissioned by the East of England SHA.		
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											

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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	Work on Values to be reviewed as part of preparation for phases 3 & 4 of OFP		
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	Message out to organisation through November cascade on importance of completion and recording. Done Final message for 2011/12 out in Jan 2012		
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	Review of SMD following 2 days SMF in November in light of next phases of OFP. Now part of preparation ofr support for all levels of staff during transition		
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	Response to awards extremely positive.	None	none	Decision on nature of recognition ofr 2012/12 will be part of Phase 2 work of OFP		

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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.	Response to "Energise for Excellence extremely positive from nurse community.	None	Too early to document	Will continue into 2012/13		
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.	None	None	Much improved take up flu vaccination this year. Launch of work related stress campaign in January 2012		
4.7	Communications & Involvement	It is lost within a plethora of change	An integral part of the Our Future Programme 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	Cascade and senior manager brief launched in November. Decisions for communication and engagement through transition, to be worked up as part of Phase 2 of OFP		
5	Take advantage of new opportunities and plan effectively for the future											

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5.1a	To maximise share of 111	<p>If we do not have strong local engagement activity then we will be unable to influence our position.</p> <p>If we do not establish effective partnerships with other providers then we will not meet our deliver targets</p> <p>If we don't come within the cost envelope on a particular bid then we will not be able to submit a compliant ITT.</p>	<p>Regional team capacity and capability in each SHA; Sales toolkit</p> <p>Partnering framework, Patch reviews; partnering strategies signed off by Executives</p> <p>Monitor bids as they come in; Executive steer on pricing</p>	Ruth Rankine	<p>March 2012</p> <p>30/06/12</p> <p>January 2012</p>	<p>Strategy and Business Development Board; Sales toolkit reports; organisational chart identifying vacancies in team; Our Future Programme status reports.</p>	<p>Strategy and Business Development Board; Sales toolkit reports; organisational chart identifying vacancies in team; Our Future Programme status reports.</p>	None	Two Regional Heads of Service Development to be recruited	Since last BAF (Nov) – ITT for Norfolk submitted and PQQs in South West and SHP		
5.1b	As above	If the technical developments for 111 are late we may delay the go-live of pilot services.	Establishment of end to end implementation plan.	Alan Bentall	28/11/11	Adherence to implementation plan; Weekly exec level management calls with supplier; Status reports showing on target.	Status reports showing on target.	None	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 therefore will not be able to compete and win sufficient NHS 111 business/	The Operational Programme board; regular review and challenge at the Our Future Programme Board and Finance Committee.	Keith Gait	March 2012	<p>Minutes of The Operational Programme Board, Our Future Programme Board; and Finance Committee.</p> <p>Review at Our Future Programme Steering Group.</p>	<p>Minutes of The Operational Programme Board, Our Future Programme Board; and Finance Committee.</p> <p>Review at Our Future Programme Steering Group.</p>	None	None	<p>Board agreement in principle at the October Strategy Days of the design for the future operational model.</p> <p>Subject to review throughout Phase 1 to ensure fitness for purpose.</p>		

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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.	Regular review and challenge at the Our Future Programme Board and Finance Committee. Formation of "Transition & Change" work stream	Roger Rawlinson	March 2012	The Our Future Programme Board minutes; Finance Committee minutes. Review at Our Future Programme Steering Group. Transition & Change" work stream board and project minutes	The Our Future Programme Board minutes; Finance Committee minutes. Review at Our Future Programme Steering Group.	None	None	Transition programme to be approved with associated business cases where relevant. All nine projects of the Transition & Change work stream are on track to deliver at the end of Phase 2.		
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 fit 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	March 2012	Minutes of the Corporate Development Programme Board; the Our Future Programme Board and Finance Committee.	The design and implementation is on time monitored through progress reports to the Our Future Programme Board.	None	None	Design completed. Under review throughout Phase 2 to ensure fitness for purpose. Alternative options being further explored.		

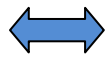
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6.2	To develop the financial framework for cost reduction and coordinate identification and delivery of opportunities across all functions for 2011/12-2013/14	<p>If the pace of change is too fast or the programme is not appropriately resourced there could be a loss of financial control and potential inability to deliver the cost reduction required</p> <p>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.</p>	Centrally resource key individuals to staff the work-stream	Trevor Smith	Ongoing	Minutes of the Corporate Development Programme Board; the Our Future Programme Board and Finance Committee.	Functional programme teams in place to monitor delivery of the framework	None	None	<p>Plans completed for end of Phase 1.</p> <p>Budget setting timetable established, agreed at Finance Committee and underway</p> <p>Contract negotiations with Lead Commissioner well progressed and key Heads of Terms agreed.</p>		

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