

Source	Area ID	Area	Rating	Category	Principal factor(s) for actions to be taken on	Action Plan ID	Action plan	Who	By when	Status	Resource	Review Body
ACR	R3	Agenda and papers	Red	Board Development and practice	Scenario planning could be used to support strategic decision making	ACR7a	Executive Team and Board of Directors continue review of scenarios and downsides as part of LTFM and IBP update Review through operational performance meetings	Andrew Stevens Chris Hurst Andrew McLaughlin	Ongoing	Green on track	ORH	FT SG
ACR	R1	Subcommittee performance and structure Dynamics and size	Red	Board Development and practice	All sub committees should have a clear purpose and updated terms of reference Executive led committees terms of reference to be reviewed and confirmed The performance of sub committees against their terms of reference and objectives should be assessed annually by the Board following self assessment Consider few attendees to improve efficiency and effectiveness Consider additional executive-led group to cover governance and risk issues prior to Governance Committee Review sub committee membership in light of retirements	ACR2 ACR3 ACR4 ACR5 ACR21 E&Y7 E&Y8	Board sub committee terms of reference included in review of Standing Orders for the Board (approved by January 2009 Board via Audit Committee) and further review through Committees to be completed and approved by the Board of Directors by end July 2009 Commercial Group terms of reference agreed by Executive Board Workforce Committee terms of reference agreed by EB January 2009 Agree programme for self assessment and review by Board - link to annual review of Standing Orders Sub Committee membership to be reviewed and agreed by end March 2009 Self assessment already in place for Audit Committee Governance Committee to self assess following June meeting using protocol New membership identified for Audit and Governance Committees See also HDD-021 re review process New operational management committee in place from May 2009 - including Operational performance meeting, cost improvement monitoring meeting, care quality board and clinical strategy group	Jerry Park Committee Chairs Chris Hurst Sue Donaldson	Ongoing	Green on track	ORH	BoD
ACR	R3	Challenge	Red	Board Development and practice	Each NED should ensure they provide appropriate level of challenge and engagement at sub committee and at the Board meetings	ACR15	Chair to monitor through appraisal and feedback Board development programme has been scoped and is now underway	Chair	31/05/2009	Green on track	ORH	BoD
ACR	R1	Dynamics and size	Red	Board Development and practice	The annual cycle of business should be updated and should include standing items and a calendar Ensure that a forward Board programme is in place (e.g. with a 12 month focus) which includes pre-programmed strategic items for discussion Only final papers should be presented All papers should be circulated in sufficient time prior to the meeting to enable attendees to be fully prepared Develop a Board paper timetable which builds in deadlines for production of draft and final versions, and sign-off / review	ACR6 ACR8 ACR11 SHA-R2 SHA-R17 SHA-R18 E&Y15	Annual programme prepared as part of FT work – review to ensure that meets purpose and covers all requirements including quarterly/biannual review of strategic objectives and key assurance documents (BAF). external support to develop governance arrangements Enforce rules and disallow late papers	Jerry Park	Ongoing	Green on track	ORH/other	BoD
ALE	5.4	Value for money	Amber	Finance	The trust has established arrangements for managing its financial and other resources which demonstrate value for money is being managed and achieved	ALE-21	CIPs include targets for back office efficiencies KPMG commissioned to review back room services and review underway to take programme forward	Sue Donaldson Andrew McLaughlin	12/06/2009	Amber	ORH	EB

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ALE						ALE-	NOTE Completion date for ALE actions given as the final date for accounts – should know ALE position at this point		12/06/2009	Amber		
ALE	5.1	Value for money	Amber	External	Proper arrangements in place to secure strategic and operational objectives	ALE-14	Stakeholder analysis to be prepared and mapped to Trust objectives and plans - evidence presented to Audit commission as part of ALE work Audit on partnership arrangements underway Paper prepared to bring together all aspects of patient and public engagement, work with stakeholders and the membership strategy. Communication Strategy to May Board	Helen Peggs Susan Brown Jerry Park	12/06/2009	Done	ORH	ALE
ALE	1.2	Financial reporting	Amber	External	The trust promotes external accountability - e.g. with annual report preparation and widespread engagement	ALE-02	Plans underway to ensure feedback from and engagement with public and other stakeholders through use of internet and ORH news Build on FT membership activities - successful series of Members events on Members' Council	Helen Peggs Susan Brown Jerry Park	12/06/2009	Green on track	ORH	ALE
ALE	5.2	Value for money	Amber	External	The trust has put in place proper arrangements to ensure that services meet the needs of patients and taxpayers, and for engaging with the wider community	ALE-17 ALE-18 FT2	Show that consultation from FT has impacted on Trust's proposals and plans - full updated proposals and consultation outcome to BoD in due course following discussions with BoD and FTSG. Options papers for review by FTSG Continue with membership events with programme as above	Jerry Park Susan Brown	12/06/2009	Green on track	ORH	FT SG
ALE	5.2	Value for money	Amber	External	The trust has put in place proper arrangements to ensure that services meet the needs of patients and taxpayers, and for engaging with the wider community	ALE-19	Membership database reports to show engagement with 'hard to reach' groups - review to include review of patient engagement strategy. Attention to be paid to significant ethnic groups, including Chinese. Review to focus on Oxfordshire membership Programme of events for members designed - full review of programme in June 2009	Susan Brown Jerry Park	12/06/2009	Green on track	ORH	FT SG
ALE	5.4	Value for money	Amber	Finance	The trust has established arrangements for managing its financial and other resources which demonstrate value for money is being managed and achieved	ALE-22	Analysis of outcome of Reference Costs 2007 reported to Finance & Performance Committee with action plan	Chris Hurst	12/06/2009	Green on track	ORH/other	BoD/other
ALE	3.1	Financial standing	Amber	Finance	Trust manages its spending within available resources	ALE-06	Break-even to be achieved during 08/09 and on target to achieve planned surplus of £2.4m Final Accounts process now underway and sign off expected early June 2009 with review by BoD and Audit Committee	Chris Hurst	12/06/2009	Green on track	ORH	BoD
ALE	3.1	Financial standing	Amber	Finance	Trust manages its spending within available resources	ALE-07	Ensure CRL met in 2008/09 – Final Accounts process now underway and sign off expected early June 2009 with review by BoD and Audit Committee	Chris Hurst	12/06/2009	Green on track	ORH	Audit
ALE	5.4	Value for money	Amber	Finance	The trust has established arrangements for managing its financial and other resources which demonstrate value for money is being managed and achieved	ALE-20	Evidence collated and submitted to Audit Commission Monthly updates by ALE Project Group	Don West Fiona Barnes	12/06/2009	Green on track	ORH/other	EB

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E&Y		Risks Embedding understanding on risks NHSLA	Amber	Risk	Top risks to be reviewed quarterly by Board of Directors Top risks to be updated for FT Board to Board Update divisions and directorates post Board review Directorate risk registers to be reviewed	E&Y10 E&Y17 E&Y18 E&Y19 FT1	Trust Key Risks document updated following review by Divisions and corporate directorates Trust Risk Register presented to each public Board meeting and reviewed and updated for next Board meeting - next review May 2009 Risk section of IBP to be updated prior to Board to Board meeting FT Project risk register in place and reviewed by AFT Steering Group next review June 2009 Divisions and directorates to review all risk registers prior to Executive Board review Trust Risk Register in February for	Andrew Stevens Megan Turmezei Jerry Park Elaine Strachan-Hall	ongoing	Green on track	ORH/other	FT SG
E&Y		Impact of demand management	Amber	Risk	Consider contingency plans for high risk specialties	E&Y24	EAG/EB/F&PC - regular updates to Board and to F&PC - monthly Operational Performance and Cost Improvement meeting structure now in place	Andrew McLaughlin	ongoing	Green on track	ORH/other	EB
FT		FT Project - IBP updates	Amber	Finance	Chapters of IBP to be reviewed	FT4	Finance, risk and LTFM updates required LTFM group to oversee LTFM update end April and IBP to be reviewed Revised FT/IBP timetable to be agreed with SHA	Chris Hurst Andrew Stevens	ongoing	Amber	ORH/other	EB
FT		FT Project - Membership Strategy	Green	Governance	Membership documents	FT2 ALE-18	Membership strategy to be refreshed as appendix for IBP Show that consultation from FT has impacted on Trust's proposals and plans - full updated proposals and consultation outcome to BoD in July 2009 following discussions with BoD and FTSG. Options papers for review by FTSG Current membership events (Members' Council) now completed and series of events for established members underway Appointment of Membership Officer in hand	Andrew Stevens Jerry Park	31/07/2009	Green on track	ORH/other	FT SG
HDD	4	Achievement of CIPs	Amber	Finance	Future CIPs in place but detailed plans (particularly for 2009/10) are not yet available.	HDD-003 HDD-004 HDD-005 HDD-006 HDD-007	Two rounds for directorate workshops held and target savings increased for 2009/2010 in light of HRG4, IFRS and other factors. Augmented CIP programme signed off by Board of Directors March 2009 The CIP plans have been independently assessed by KPMG prior to further HDD. CIP meeting now in place to monitor delivery chaired by COO	Andrew McLaughlin Chris Hurst	ongoing	amber	ORH/other	BoD/other
HDD	5	Early indications from forecasts	Amber	Finance	Five year assumptions not agreed by PCT.	HDD-010	The potential to increase the FRR to 4 in 2009/10 will be assessed once the financial plans for that year are known and have been modelled through the LTFM.	Chris Hurst Andrew Stevens	Ongoing	Amber	ORH	EB

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HDD	5	Early indications from forecasts	Amber	Finance	The Trust's FRR is projected to stay at 3 until 2010/1. Note – this is due to the FYE of the Cancer Centre investment in 2009/10.	HDD-011	Further revisions to the LTFM are planned for HRG4, SLA changes, IFRS and other factors (e.g. AHSC). IBP to be refreshed by the end of April to be consistent with the LTFM. Refresh of LTFM will include target FRR of 4 FT Timetable to be agreed with BoD and SHA	Chris Hurst Andrew Stevens	Ongoing	Amber	ORH/other	EB
HDD	3	Outcome of FT Diagnostic process - partnership working - local health economy	Amber	External	Work with partners to resolve delayed transfers of care.	HDD-002	Analysis of outcome for 2008/098 now underway	Andrew McLaughlin	ongoing	Amber on track	Other	EB
HDD	11	Management reporting framework	Amber	Finance	Reporting to the Board does not include performance against Monitor risk ratings or financial forecasts beyond the current financial year.	HDD-030	Monitor progress on IFRS through Audit Committee and seek support of Audit Committee. Consider outcome from DH working group when available An IFRS compliant LTFM has been issued by Monitor and is being used for April refresh of ORH LTFM - this includes FRR Target FRR of 4 will inform April refresh of LTFM and IBP	Nuala Donnelly	00/08/2009	Amber on track	ORH	BoD
HDD	12	Financial controls and reporting	Red	Finance	Preparation for HDD, documents etc; improve preparedness Improve preparedness for due diligence aspects of FT process (i.e.. the Working Capital review), in terms of; project management, working papers and capacity to respond to questions	HDD-040	Oracle Portal is now live, and working. Operational roll out is to be undertaken in May	Philip Bonnier	Ongoing	Amber on track	ORH/other	Audit
HDD	12	Financial controls and reporting	Red	Finance	Preparation for HDD, documents etc; improve preparedness	HDD-040a	Work in progress - on track for feasibility review to be completed by target date.	Philip Bonnier	Ongoing	Amber on track	ORH/other	Other/tbc
HDD	12	Financial controls and reporting	Red	Finance	Preparation for HDD, documents etc; improve preparedness	HDD-045	Improve sophistication of budget profiles for 2009/10 WIP - on track to be completed by target date as will be built into the current round of budget setting (2009/10).	Nuala Donnelly	Ongoing	Amber on track	ORH	Other/tbc
HDD	12	Financial controls and reporting	Red	Finance	Preparation for HDD, documents etc; improve preparedness	HDD-046	An audit trail for each month is available but needs to be refined so that movements between months can be documented and explained. This will be built into month end procedures for 2009/10. Consideration will be given to incorporating the movements into the Board report.	Nuala Donnelly	Ongoing	Amber on track	ORH	Other/tbc
HDD	12	Financial controls and reporting	Red	Finance	Preparation for HDD, documents etc; improve preparedness	HDD-042	Concept system - project with Estates Note: improving links with the 4th system (Resus) has already been reviewed and is not being pursued. Work in progress and on track to be completed by target date	Philip Bonnier	30/09/2009	Amber on track	ORH	Other/tbc
HDD	12	Financial controls and reporting	Red	Finance	The Trust does not have a fully qualified accountant as its Head of Treasury.	HDD-036	Review composition of finance function to ensure it has sufficient staff with skills required to operate as FT, particularly treasury management. A strategic review of the finance functions 'fitness for purpose' is being carried out by the DoF with external help.	Chris Hurst	ongoing	Amber on track	ORH/other	Audit

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HDD	8	Corporate governance and management	Red	Governance	New sub-committee structure is not yet tested.	HDD-021	Review effectiveness of the new sub-committee arrangements after 6 months of full operation of new structures, Both Audit Committee and Governance Committee have/are establishing self assessment protocol. Report planned for March Board of Directors New Equality committee to be established in May to feed into Governance Committee	Board and Committee chairs Trevor Campbell Davis	30/06/2009	Amber on track	ORH/other	BoD
HDD	15	Adoption of IFRS	Amber	Risk	A draft Project Initiation Document has been prepared and approved by the Project Board but the assessment of the work required and support required from directorates is still in progress.	HDD-054a	PID has been produced. DH deadline for re-stating the Balance Sheet (IFRS) has been met (December 2008) Reports have been put before the F&PC and will now be reported to the Audit Committee and Board in due course.	Simon Lazarus	ongoing	Amber on track	ORH	Audit
HDD	3	Outcome of FT Diagnostic process Board Skills	Amber	Board Development and practice	Board's commercial expertise need to be strengthened Set out NED terms of office and specify skills Chair and Chief Executive to finalise skills and ensure recruitment	HDD-001 E&Y3 E&Y4	Advertised for two Independent Directors (Designate) with commercial experience, with objective of making appointments by end March 2009 Associate Director in post since May 08 with commercial/business expertise	Chair	31/03/2009	Done	ORH	BoD/other
HDD	14	IT arrangements	Amber	Risk	The Trust needs to continue the work it is undertaking to maintain OxPAS and develop an alternative approach if CRS cannot be implemented.	HDD-053a	Key tests have been completed for core network equipment, PAS and the clinical intranet. In addition enhanced DR arrangements for email and web PACs are in the process of being commissioned. The Disaster recovery plan has been updated and finalised.	John Skinner	Ongoing	Done	ORH/other	Other/tbc
HDD	12	Financial controls and reporting	Red	Finance	Preparation for HDD, documents etc; improve preparedness	HDD-044 E&Y22	Implement PLICS WIP - on track for completion by due date. A full inputs/outputs based systems test is planned for the end of February.	Chris Hurst	01/04/2009	Green on track	ORH/other	Other/tbc
HDD	12	Financial controls and reporting	Red	Finance	Preparation for HDD, documents etc; improve preparedness	HDD-041	Has been delayed by problems with the Pharmacy software system. Problems now appear to be resolved and will be implemented in May	Philip Bonnier	31/05/2009	Green on track	Other	Other/tbc
HDD	12	Financial controls and reporting	Red	Finance	The effectiveness of the recent top-team finance team changes have yet to be tested/ proven.	HDD-035	Review effectiveness of changes to Finance top team after 6 months. Review to be completed following six month time lapse	Chris Hurst	30/04/2009	Green on track	ORH/other	Audit
HDD	12	Financial controls and reporting	Red	Finance	Preparation for HDD, documents etc; improve preparedness	HDD-043	Review treasury and cash policies and procedures with Audit Committee and with NEDs in December 2008 and present to Board of Directors May 2009 through minutes of Audit meeting held in March. Discussions held between Finance and FT Secretary on timings for March Audit Committee and consideration of Trust specific Treasury Policy	Philip Bonnier Jerry Park	31/05/2009	Green on track	ORH	Audit

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HDD	11	Management reporting framework	Amber	Finance	Reporting to the Board does not include performance against Monitor risk ratings or financial forecasts beyond the current financial year. Review Monitor's compliance framework to ensure that Board report covers all requirements, e.g. on KPIs Reporting to the Board does not include performance against Monitor risk ratings or financial forecasts beyond the current financial year.	HDD-027 HDD-028 HDD-029a HDD-034 E&Y14	The Board report now includes a summary of forward year's projections and the Monitor Risk Rating, from the month 7 report. Impact of current year performance on future year projections will be included from Month 8 Reports to be reviewed each month. Formal year-end outturn report will be reviewed by the Board, comparing outturn with budget and forecast Integrate the intelligence from Dr. Foster's systems within plans and reports	Chris Hurst Simon Lazarus Andrew Stevens	31/12/2008 Year-end report wef 31/03/09	Green on track	ORH	BoD
HDD	12	Financial controls and reporting	Red	Finance	Preparation for HDD, documents etc; improve preparedness	HDD-038	Meeting with KPMG 23 January 2009 to review progress on actions for HDD Meeting with SHA 30 January 2009 to set timetable for AFT process, including further HDD	Chris Hurst	dates to be agreed with SHA	Green on track	ORH/other	FT SG
HDD	9	High level controls	Amber	Finance	Annual Health Check rating for 2006/07 below normal standard for FT applicant – "FAIR" for quality of services and weak for use of resources.	HDD-024 HDD-031	The content of the CIP Board reporting is now more developed and does contain greater detail than at the time of HDD review. Score of Excellent in 2007/08 Annual Health	Chris Hurst	monthly	Green on track	ORH/other	BoD
HDD	5	Early indications from forecasts local health economy	Red	Finance	Current Oxfordshire SLA is over-heating (including 10% increase in GP referrals) which puts at risk the Trust's forward activity and income assumptions. PCT is £2m overspent at M3. Five year assumptions not agreed by PCT.	HDD-008 HDD-009	2009/10 Oxon SLA signed off by 31/03/09. Other SLAs being signed off. Risk sharing arrangements agreed with Oxon PCT. Overperformance/demand management risk still high. LTFM updated income assumptions will be developed with commissioners	Chris Hurst Andrew Stevens	ongoing	Green on track	ORH	BoD/other
HDD	11	Management reporting framework	Amber	Finance	Reporting to the Board does not include performance against Monitor risk ratings or financial forecasts beyond the current financial year.	HDD-031 HDD-024	A review of the financial information and risk ratings presented to the Board considered by F&PC	Chris Hurst	ongoing	Green on track	ORH/other	F&PC
HDD	8	Corporate governance and management	Red	Governance	Trust does not have up to date Estates Strategy. Management of asset base - Sustain at 3 performance – not yet able to achieve Level 4	HDD-020 ALE-05	Estates Strategy in final draft form awaiting internal discussions prior to presentation to Commercial Committee Jan 2009 following by BoD in February and March 2009	Ian Humphries	22/03/2009	Green on track	ORH	BoD
HDD	13	Audit arrangements	Red	Governance	The Trust's 2007/08 ALE score of 2 ("fair") is low for an FT applicant. Note – it is capped at 2 until we achieve the Break-even duty.	HDD-048	Overall score of 3 being targeted in separate ALE action plan. Work in progress for completion by target dates	Chris Hurst	12/06/2009 but ongoing work	Green on track	ORH	BoD/other
HDD	11	Management reporting framework	Amber	Governance	Reporting to the Board does not include performance against Monitor risk ratings or financial forecasts beyond the current financial year.	HDD-033	Risk ratings now included in finance reports to the Board. Efficiency of reporting arrangements will be tested at F&PC Feb/March 2009	Chris Hurst Andrew Stevens	Ongoing	Green on track	ORH/other	FT SG
HDD	8	Corporate governance and management	Red	Governance/HR	Current number of executive team vacancies/ changes – i.e. Medical Director,	HDD-014 E&Y5	Recruitment of Medical Director underway Chief Operating Officer in post from 1 April 2009	Trevor Campbell Davis	to be confirmed	Green on track	ORH/other	BoD/other
HDD	8	Corporate governance and management	Red	Governance/HR	Current number of executive team vacancies/ changes	HDD-015 HDD-013 E&Y1	Executive appointments almost complete – recruitment of Medical Director underway Link into overall Board review and assessment processes Link into R&A reviews of performance and appraisal COO in post from 1 April 2009	Trevor Campbell Davis Chair	Ongoing	Green on track	ORH/other	BoD/other

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				Key	ACR = Audit Commission review of governance ALE = Audit Local Evaluation E&Y = Ernst and Young pre-HDD exercise	Categories	External	Resources	ORH		Review Body	
							Finance		Clarke		BoD	
							Governance		Walsh		BoD/other	
					FT = Foundation Trust Action Plan HDD = Historical Due Diligence (PWC) SHA = Garside review action plan		Risk		McKinsey		EB	
							Standards		KPMG		FT SG	
							Other		Other		ALE	
							Governance/HR		ORH/other		Audit	
							Board Development and practice				F&PC	
											Other/tbc	