

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	Assumptions underpinning the LTFM were revised and a revised top level summary were taken to the F&PC in May09. These assumptions included revised growth guidance from Monitor and DH public spending forecasts. These produced a forecast which was not financially viable for the long run and a recommendation that the BoD needed to review the LT strategic direction of the Trust to enable a viable position to be modelled through the LTFM and IBP.	Andrew Stevens Chris Hurst Jo Farrar Andrew McLaughlin	Ongoing	Green on track	ORH	FTSG
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 ARC21 E&V7 E&V8	Terms of reference of Board's Audit Committee, Governance Committee, Finance and Performance Committee, and Remuneration and Appointments Committee updated within review of Standing Orders by Audit Committee and approved by Board in January 2009. Further review to take place within each Committee, for approval at public Board meeting on 5 November 2009. Terms of reference of Workforce Committee approved by Executive Board in January 2009. Terms of reference of Commercial Group approved by Executive Board. Revised membership of Audit and Governance Committees approved at public Board meeting on 16 July 2009. Self-assessment programme to be approved for and by Board. Self-assessment to be repeated in Audit Committee, and introduced to Governance Committee. Work programmes for each Board Committee in 2010/11 to be approved by Board at its public meeting on 4 March 2010. Audit Committee recommendations from annual review of Standing Orders to be approved at public Board meeting on 7 January 2010. See also HDD-021 re review process	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 of systematic review of objectives and risks revised to include recovery measures. Presentation and dispatch of Board papers now meet standards in Standing Orders, but less detail and clearer context and connectivities are needed.	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 Further actions proposed for later on in 2009/10	Andrew McLaughlin	31/12/2009	Amber on track	ORH	CRPB
ALE	11.2	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 ALE outcome anticipated as good Full update on membership programme to be considered post SHA ORH Executive Board to Board in September	Andrew Stevens Susan Brown Jerry Park	30/09/2009	Green on track	ORH	ALE

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
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 ALE-19 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. 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 Sept. 2009 Update to be provided post SHA Executive Board to Board in September 2009	Jerry Park Susan Brown	12/06/2009	Green on track	ORH	FTSG
ALE	5.1	Value for money	Amber	Governance	Proper arrangements in place to secure strategic and operational objectives	ALE-13	Combined Action Plan CAP in place covering all outstanding areas, and reviewed by EB and BoD. Next review by BoD September 2009 BAF in place and reviewed by BoD – next full review Jan 2010 Regular updates to Board of Directors – update September 2009	Andrew Stevens Julia Clarke Megan Turmezel	30/09/2009	Green on track	ORH/other	FTSG
E&Y		NHSLA	Amber	Governance	Review NHSLA action plans ratings routinely	E&Y16	Staffing in place to review readiness for level assessment and plans in place for review for Level 2 in April 2010 Policies review underway and group established to ensure consistency. Board of Directors to consider key documents in September 2009	Elaine Strachan-Hall	30/09/2009	Green on track	ORH	COB
E&Y		Impact of demand management	Amber	Risk	Consider contingency plans for high risk specialities	E&Y24	EAG/ORB/CRPB - regular updates to Board and to F&PC - monthly Operational Performance and Cost Reduction Programme Boards - structure now in place Regular discussions with PCT on demand and activity management	Andrew McLaughlin	ongoing	Green on track	ORH/other	OPB
FT		FT Project - IBP updates	Amber	Finance	Trust is reviewing and updating its strategy to respond to changed external environment. IBP and LTFM will be updated as part of this exercise	FT4	Revised FT/IBP timetable to be agreed with SHA Executive Board to Board with SHA to be held in September IBP to be reviewed prior to meeting to determine actions to be taken	Chris Hurst Jo Farrar Andrew Stevens	ongoing	Amber on track	ORH/other	Exec Team
FT		FT Project - Membership Strategy	Green	Governance	Membership documents	FT2 ALE-18	Review Membership strategy as an appendix of the integrated business plan, following Board agreement of the outcomes of public consultation. Maintain events for, and formal communications media with, FT Members (see analysis of outcome for 2008/09 now underway)	Andrew Stevens Jerry Park	30/09/2009	Amber on track	ORH/other	FTSG
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		Andrew McLaughlin	ongoing	Amber on track	Other	OPB
HDD	4	Achievement of CIPs	Amber	Finance	Trust is reviewing and updating its strategy to respond to changed external environment. IBP and LTFM will be updated as part of this exercise	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 and monitored regularly The CIP plans have been independently assessed by KPMG prior to further HDD. Cost Reduction Programme Board meeting now in place to monitor delivery chaired by COO	Andrew McLaughlin Chris Hurst Jo Farrar	ongoing	Amber on track	ORH/other	BoD/other
HDD	5	Early indications from forecasts	Amber	Finance	Five year assumptions not agreed by PCT. Trust is reviewing and updating its strategy to respond to changed external environment. IBP and LTFM will be updated as part of this exercise The Trust's FRR is projected to stay at 3 until 2010/1. Note – this is due to the FTE of the Cancer Centre investment in 2009/10. Trust is reviewing and updating its strategy to respond to changed external environment. IBP and LTFM will be updated as part of this exercise	HDD-010 HDD-011	The potential to increase the FRR to 4 in 2009/10 was assessed after the financial plans had been drafted and modelled through the LTFM. Based on current forecasts a FRR of 4 is unlikely. Refresh of LTFM will include target FRR of 4. FT timetable to be agreed with BoD and SHA Income and activity assumptions to be agreed with commissioner's as part of IBP/LTFM update Executive Board to Board with SHA in	Chris Hurst Jo Farrar Andrew Stevens	Ongoing	Amber on track	ORH	Exec Team

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
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. New Equality committee to be established in May to feed into Governance Committee. Agree review process and timetable.	Board and Committee chairs	30/09/2009	Amber on track	ORH/other	BoD
HDD	12	Financial controls and reporting	Red	Finance	Preparation for HDD, documents etc: improve preparedness	HDD-040a	Feasibility reviews have been carried for all Oracle interlocking arrangements and implementation is under consideration pending a review of 2009/10 priorities.	Philip Bonnier	Ongoing	Green on track	ORH/other	tbc
HDD	12	Financial controls and reporting	Red	Finance	Preparation for HDD, documents etc: improve preparedness	HDD-044 E&V22	Implement PLICS User group has been established and access given to staff accordingly. Roll out is being progressed as a high priority and anticipated to be before Dec2009.	Jo Farrar	31/12/2009	Green on track	ORH/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. Changes to be reviewed post appointment of interim DoF and substantive DoF following appointment of CH to new post.	Jo Farrar	30/09/2009	Green on track	ORH/other	Audit
HDD	12	Financial controls and reporting	Red	Finance	Preparation for HDD, documents etc: improve preparedness	HDD-038	Timetable for further actions to be confirmed post SHA Executive Board to Board September 2009.	Jo Farrar	30/09/2009	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 GP 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 Score of Good confirmed for quality of financial management due to be published October 2009.	Jo Farrar	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. Over performance/demand management risk still high. LTFM updated income assumptions will be developed with commissioners.	Jo Farrar 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.	Jo Farrar	ongoing	Green on track	ORH/other	F&PC
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.	Jo Farrar	12/06/2009 but ongoing work	Green on track	ORH	BoD/other
HDD	8	Corporate governance and management	Red	Governance/HR	Current number of executive team vacancies/ changes – I.e. Medical Director.	HDD-014 HDD-013 E&V1 E&V5	Chief Operating Officer in post from 1 April 2009. Link into overall Board review and assessment processes. Link into R&A reviews of performance and appraisal. Process for appointment of key Executives to be agreed.	Chairman	Ongoing	Green on track	ORH/other	BoD/other

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
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. On track for IFRS accounts deadline of 24th August.	Simon Lazarus	ongoing	Green on track	ORH	Audit
HDD	8	Corporate governance and management	Red	Risk	AHSC developments - updates to Monitor	HDD-022	Chairman has discussed AHSC and FT issues with Monitor - further contact to be maintained. AHSC Implementation Steering Group reformed and met July project leadership arrangements agreed - next meeting September 2009 to finalise project support and project plan for reapplication process - www.nhs.uk/ahsc/steeringgroup	Chairman Andrew Stevens	Ongoing	Green on track	ORH/other	BoD/other
HDD	10	Risk management	Amber	Risk	Governance arrangements for major capital projects and PFI schemes not provided. Provide audit trail to support investment decisions. Updated policy for monitoring large capital projects to audit committee	HDD-026 HDD-03a E&V20 E&V21	Further review underway. There is a need to consolidate the processes around the approval and monitoring of the various categories of capital schemes and to summarise these along with risks and governance arrangements. The Board report includes a finance report on capital each month including forecast but could do with more detail.	Jo Farrar Ian Humphries	31/05/2009	Green on track	ORH	BoD/other
HDD SHA		Constructive Challenge Corporate Governance and Management	Amber	Board Development and practice	A more commercial focus required when ORH becomes FT Review and update Board skills matrix Board Skills and Development Trust should consider additional training and support where necessary Ensure robust appraisal processes are in place for Non-Executive Directors so that development needs are identified and addressed	ACR18a HDD-016 HDD-017 HDD-023 E&V2 SHA-R6 SHA-R7 FT5	Review formal composition of Board. Board development programme scoped and in hand e.g. KPMG involvement, and away day on 8 June 2009. Appraisal programme in place for NEDs. Two replacement NEDs appointed, and induction organised. Undertake skills analysis pending retirement of one NED and wider needs of succession planning. Maintain, develop and circulate 'library' of governance materials for NEDs. FT Steering group to review relevant sections of workforce chapter in integrated business plan.	Chairman Sue Donaldson Jerry Park	ongoing	Green on track	ORH	BoD
SHA		Constructive Challenge	Amber	Board Development and practice	Ensure that sufficient time is given to formal and informal Board development, designed to engender and foster trust and candour between members Consider asking individual Non-Executive Directors to lead on specific, high risk areas to help facilitate effective challenge	SHA - R8 SHA-R11	Programme of Board development continuing with full event in June and further work in September Meet the people sessions held January and May 2009 and planned for Sept 2009 together with Leaders' Briefings Refresh NED portfolio leads - areas to cover could include patient and staff safety, safeguarding, diversity, and information, privacy and dignity. SHA to review progress against these action points by attendance at Board meeting - date to be confirmed.	Chairman Jerry Park Sue Donaldson	ongoing	Green on track	ORH	BoD/other
				Key	ACR = Audit Commission review of governance E&Y = Ernst and Young pre-HDD exercise FT = Foundation Trust Action Plan HDD = Historical Due Diligence (PWC) SHA = Garside review action plan	Categories	External Finance Governance Risk Standards Other Governance/HR Board Development and practice	Resources	ORH Clarke Walsh McKinsey KPMG Other ORH/other	Review Body	BoD BoD/other EB FT SG ALE Audit F&PC Other/lbc	