

Independent Review of Governance and Leadership – Trust Board update to report recommendations

Recommendation	Trust Board response	Key Actions	Action Lead/s	Progress to date	
R1	<p>The CEO should further reflect on his personal style and in particular the potential impact his strength of character and impulsive and honest style may have on internal and external stakeholders.</p>	<p>The Chief Executive, executive team and Board as a whole have spent time over the last couple of years exploring personal communication styles and how they impact on the functioning of the Board and support the Trust in delivering safe and effective services for patients. This work has supported different approaches to delivering the Trust strategy including how the Board explores and agrees on opportunities and approaches. The Chief Executive has reflected on his personal style, and as with all Board members participates in a broad approach for annual appraisal which includes 360 questionnaire.</p> <p>Both the CEO and chair have personal annual appraisal objectives, fully aligned with current NHSI strategy for Trusts, which are then circulated for review and consultation with NEDs before final implementation in a transparent way. The chair sustains a proactive schedule of periodic consultation meetings with key internal and external stakeholders to receive soundings and perceptions of the Trust, its strategy and key relationships, including the CEO.</p>	<ul style="list-style-type: none"> • The Trust continues to deliver against its objectives, makes good progress in delivering its strategic intentions and is seen as a strong partner within the wider health and social care economy • Evaluation of Board effectiveness to be implemented in Q3 2017/18 	<ul style="list-style-type: none"> • Head of Corporate Affairs 	<ul style="list-style-type: none"> • Continual Professional Development of board members through appraisal and regular board development sessions and away days. • This will be agreed once the permanent position is filled.
R2	<p>The Trust should consider a more formal approach to the Medical Director's role in relation to the performance management of senior clinicians and ensure regular medical representation in performance review meetings and Board and Committee meetings.</p>	<p>The Medical Director meets regularly with the senior clinicians; the current arrangement is through short notice appointments which recognise their clinical commitments. These arrangements will move to a more formal planned schedule of meetings.</p>	<ul style="list-style-type: none"> • Schedule of 1:1 meetings with DMDs • Diary attendance for MD at least 1 Divisional Accountability meeting per division per year • Minutes of sub committees/meetings evidence MD or deputy attendance 	<ul style="list-style-type: none"> • Medical Director 	<ul style="list-style-type: none"> • Completed • DAA (now DPR) structure and approach reviewed and accepted then dates will be circulated for all ED diaries.
R3	<p>The Trust should consider the appointment of a Deputy</p>	<p>The Medical Director Intends to appoint 2 Deputy Medical Directors with corporate portfolios who</p>	<ul style="list-style-type: none"> • 2 Deputy Medical Directors with corporate portfolios are in post 	<ul style="list-style-type: none"> • Medical Director 	<ul style="list-style-type: none"> • Job description agreed and due for recruitment imminently

	Medical Director.	will also support him in ensuring senior medical presence at all key meetings/committees.	<ul style="list-style-type: none"> Minutes of sub committees/meetings evidence MD or deputy attendance 		
R4	The Board should reflect on the respective roles of EDs and NEDs and consider whether the current balance between support and challenge is optimal.	The Chair and Chief Executive intend to visit 2-3 Trusts who are deemed to have achieved the optimal level of challenge and support to understand how this looks and operates in practice. The learning will be incorporated within the current Board Development programme. Progress in this area will be reflected in the Trust's Annual Governance Statement and Annual Report	<ul style="list-style-type: none"> Facilitated Board Development session to explore "next level" questioning/challenge to ensure it is relevant and adds value to debate and decision making (December 2016) External consultant to undertake a Board observation in April 2017 to determine progress in this area 	<ul style="list-style-type: none"> Chairman Chairman 	<ul style="list-style-type: none"> Board Development session Sept 16 (facilitated workshop) and Board Development session March 17. Outstanding
R5	The Chair and NHSI should consider the need to appoint two new NEDs over the next 6-9 months to help bring a refreshed perspective to the Board. The skill set of new appointees should reflect the challenges the Trust faces over the next few years, particularly skills in partnership working as it moves towards the ACO.	The Chairman has formulated a proposal for discussion with NHSI for the recruitment of new non executives which is aligned to the Trust's evolving plan to operate within the ACO model. It is anticipated that advertisements will be placed mid-December. Progress in this area will be reflected in the Trust's Annual Governance Statement and Annual Report	<ul style="list-style-type: none"> Recruitment process completed as close to end of January 2017 as possible Induction of new appointees during February/ March 	<ul style="list-style-type: none"> Chairman 	<ul style="list-style-type: none"> NED x 1 appointed by Jan 17 however post holder now unable to continue I role therefore further consideration to recruitment required NED interview 16th June 2017
R6	The Board should consider further mechanisms for enhancing Non-Executive visibility over activities at the divisional and directorate level, for example activities such as greater divisional representation at Board level or buddying arrangements with divisions or directorates.	The Board intends to spend time at its next development session reviewing options for how the non-executive directors can best spend their time to ensure they have a raised profile across the organisation whilst maintaining the very positive contribution to sub committees and key groups as well as their commitment to Trust Board matters. Proposed changes and ongoing monitoring will be reported to the Board at regular intervals to coincide with staff survey results and action plans. Progress in this area will be reflected in the Trust's Annual Governance Statement, Annual Report and Quality Account	<ul style="list-style-type: none"> NED attendance at sub committees revised to release NED time "back to the floor" programme for NEDs and Executives in the form of "leadership Walkabouts" Drop in programme similar to ED monthly sessions Communication to promote the role of the NED with a "focus on" individual NEDs and their role via the staff bulletin and intranet Review questions within the Chat back survey to test effectiveness of revised arrangements 	<ul style="list-style-type: none"> Chairman 	<ul style="list-style-type: none"> Completed Completed Not completed Not completed Not currently reviewed in 2017 Chat back questions – to consider in next round of question review

R7	The Trust and NHSI should consider a succession plan to manage the transition in Chairmanship over the medium term.	The Trust will work with NHSI as required on the succession plan.	<ul style="list-style-type: none"> NHSI to advise 	<ul style="list-style-type: none"> CEO, Chairman 	<ul style="list-style-type: none"> Completed - Chairman post extended for 2 years
R8	The Trust should ensure that there are more clearly defined succession plans in place to manage the transition in key ED posts over the medium to long term.	As described in the report the executive team have spent time individually and as a group reviewing success plans. Recognising the national position regarding recruitment to a number of these roles the executive team are ensuring that there are plans in place to cover short to medium term requirements. The recruitment of substantive appointments in the majority of roles is untested and as such the executive team and Board will take steps to ensure the Trust is well placed to secure high calibre leaders when posts are advertised	<ul style="list-style-type: none"> Regularly refreshed plan for short to medium term requirements – skills / gap analysis to be undertaken in the next 3 months Profiles developed for each role to determine the qualities required and support early identification of potential candidates High quality recruitment material developed to attract the best people 	<ul style="list-style-type: none"> Executive Directors Director of Workforce Director of Workforce 	<ul style="list-style-type: none"> Outstanding Outstanding Partial
R9	The Board should reflect on the Trust's approach to partnership working in situations where developments are not necessarily fully aligned with the Trust agenda.	The Board recognises the importance of strong, effective and mutually beneficial partnership working. Key examples are the approach the Trust took during the transfer of services from Mid Staffordshire Foundation Trust, short term transfer of services from neighbouring acute providers and the progress for Vertical Integration with GP practices in Wolverhampton. With all new partnerships the Board takes a considered view of the implications on other relationships and contractual arrangements in determining its level of engagement and continues to review this as the partnership evolves. Areas of relevance will be reflected in the Trust's Annual Report	<ul style="list-style-type: none"> Board stakeholder map refreshed to support easy identification of those impacted by proposed changes/developments Business case/development proforma to include a section to capture views of stakeholders (where appropriate) and the extent of their involvement/impact Board minutes reflect discussions about impact on stakeholders of developments Internal communications to ensure staff have easy access to updates on the Trust performance and progress with plans and test effectiveness through Chat back survey 	<ul style="list-style-type: none"> Director of Strategic Planning and Performance 	<ul style="list-style-type: none"> Executive participation on STP. CEO participation in National discussions re NHS Strategic direction. Executive leadership re ACO/ ACS development with Wolverhampton CCG and wider partners. Monthly Senior Managers Briefing provides headline updates on Trust performance and plans.
R10	The Board should consider the	The Board will review the structure of reports	<ul style="list-style-type: none"> Mapping exercise to show flow of 	<ul style="list-style-type: none"> Head of 	<ul style="list-style-type: none"> Review TB reporting schedule

	<p>various observations made throughout section B.1 in relation to potential refinements to the operation of committees.</p>	<p>and the presentation at sub committees and at the Board and make refinements to ensure there is a more streamlined approach with the most effective levels of debate and assurance. Where relevant the changes will be included for review in the internal audit plan for future years. Actions taken will be reported to the Board via the monthly subcommittee reports and minutes and will be formally noted in the joint meeting between the Audit Committee and Quality Governance Assurance Committee with relevant references being made in the Annual Governance Statement, Annual Report and Quality Account. In addition amendments to the Integrated Quality Performance Report will be detailed in the report to the Board outlining changes to reporting for the year 2017/18</p>	<p>reports through sub committees to the Board</p> <ul style="list-style-type: none"> • Reporting process to committees and exception report to the Board refined to remove duplication of debate • Report structure/content refined to support robust exception reporting • Review options to refine contents of key reports for implementation from April 2017 and reported to the Board in its public meeting • Roll out quality markers such as data kite marking to provide greater assurance on the robustness and validity of individual indicators to support more focussed debate in meetings. • Each sub Board Committee will review its effectiveness for contributions, presentation and decision making. 	<p>Corporate Affairs</p> <ul style="list-style-type: none"> • Board Sub-Committee Chairs 	<ul style="list-style-type: none"> • Review reporting content to TB • Appointment in progress to Head of Corporate Affairs <p>Section B.1 observations to be taken for reflection/evaluation/discussion at respective meetings.</p>
R11	<p>The Board should consider the various observations made throughout section B.3 in relation to potential refinements to risk management tools.</p>	<p>The Trust’s approach to risk management has evolved significantly over the last couple of years and has been subject to review through the internal audit programme as well as through external processes such as CQC inspections. As part of the ongoing review of risk management the Board will ensure that the processes outlined in its Risk Management Strategy are complied with at all levels across the Trust and will continue the work already underway (and referenced in the report) to embed accountability at a divisional and directorate level. Actions taken will be reported to the Board via the monthly subcommittee reports and minutes and will be formally noted in the joint</p>	<ul style="list-style-type: none"> • Work to give divisions/directorates accountability for risk management is completed • Refine the mechanism to assess compliance with policy as part of Accountability meetings 	<ul style="list-style-type: none"> • All Executive Directors 	<ul style="list-style-type: none"> • Completed • DPR meetings dates in diary • Finance Confirm and Challenge meetings in place

		<p>meeting between the Audit Committee and Quality Governance Assurance Committee with relevant references being made in the Annual Governance Statement, Annual Report and Quality Account</p> <p>Observations in section B.3 ~ We recommend the introduction of a kite-marking tool, in order to clearly identify the level of assurance that can be placed on particular figures. ~ Trust to consider the impact of the current portfolio of integrated governance in light of its growing scope and size. ~ Strengthen accountability and ownership from Divisions and Directorates to ensure that application in practice is aligned with the strategic theory. ~ Board meeting observations highlighted various risk based discussions although the distinction between the BAF and the Risk Register was not always clear.</p>	<ul style="list-style-type: none"> Data Kite marking to be considered by the Trust <p>Review of the current Portfolio for Integrated Governance in the context of Vertical Integration.</p> <p>Links between the BAF and TRR to be considered on review of the BAF format.</p>	<p>Finance Director</p> <p>Chief Nurse and Executive Directors</p> <p>Chief Operating Officer</p> <p>Executive Directors</p>	<ul style="list-style-type: none"> Scoping exercise to be completed by the end of June 2017 to decide the feasibility and resource requirements of this initiative. Head of Corporate Affairs role includes some of this work e.g. legal services/BAF/Policies in the new job description DPR reviewed and restructured and timetabled. BAF format amended – to be agreed through QGAC and Audit committee – May 2017
R12	<p>The Board should consider the appropriateness of the current number of divisions as the Trust is currently an outlier relative to similar organisations.</p>	<p>The current divisional structure evolved over a number of years with a decision to move from a larger number of divisions to 2 to support synergy of cross specialty working. As the Trust determines its plans to move to an ACO model the executive team will review the structure required to support effective and safe service delivery.</p>	<ul style="list-style-type: none"> Any revisions to the structure will be reported through the Board as part of progress reports on delivering the next phase of VI and the move to an ACO model 	<ul style="list-style-type: none"> Executive Directors 	<ul style="list-style-type: none"> Being reviewed currently in the context of Vertical Integration