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Planning

The delivery of high quality, appropriate, effective and accessible health and social care services, that are efficient and represent value for money, is the core business of the Trust. It is vital therefore that all the resources of the Trust, including its staff, skills, finance, facilities and equipment are focused and aligned to this common goal and continually seek to improve our performance in all these areas.

Effective organisational planning and service modernisation is a vital component in pursuing continuous improvements. The Trust Planning Framework is made up of the following elements to ensure a comprehensive and integrated process is adopted by all parts of the organisation:

- A direction of travel for the modernisation and future delivery of services, in hospital and community settings, has been set out regionally and for the Northern Board area, focussing on supporting independent living, avoidance of hospitalised and institutional care, and the availability of accessible services. Individual programmes must consider the future provision of services in this context and set out plans that take account of those regional, area and local drivers. Programme Strategies such as those developing services for older people or those with disability as well as regional performance targets drive the Strategic Direction, nature, shape and focus of services looking to the years ahead.

- The Corporate Plan takes forward those objectives into aims and goals over a 3 year period and the Trust Delivery Plan sets steps and targeted outcomes on an annual basis taking cognisance of the HPSS Priorities for Action and Commissioners requirements.

- Directorates set out their contributions to those annual plans in their Directorate Plan and departments within the Directorate produce their annual Service Plan, which the whole team must be involved in developing and delivering.
• Individuals agree personal goals and objectives with their line manager through their individual **Work Plan** or **IPR Plan** (Individual Performance Review) directly linking to objectives set out in the Service Plan. In this way, all of the staff of the organisation can clearly contribute to organisational objectives and targets, and the opportunity for sustained progress and improvements is established.

• At all levels of planning, the principles of effective Personal and Public Involvement must be adopted ensuring that we create appropriate opportunities and processes to enable individuals and communities to have meaningful involvement.

**Performance Management**

The strategic and annual planning cycle, including the setting of measurable objectives and targets, will in itself not achieve progress without a means to ensure accountability for the delivery of those objectives and the use of effective tools to measure and pursue positive progress. The **Performance Management Framework**, coupled with the planning cycle, is the means to achieving a focus on continuous improvement and provide an open and transparent performance reporting system.

**Performance Management Framework**

|-----------------------------|-------|-----------------------------|---------------------------------|
| **Organisational**          | Corporate Plan and Trust Delivery Plan | Trust Board and Chief Executive | • Reviewed at Performance and Accountability Review meetings with DHSSPS & Commissioners.  
• Progress reports support monitoring and actions.  
• Corporate Balanced Scorecard  
• Appropriate and supported public and personal involvement. |
| **Directorate**             | Directorate Plan | Director and Senior Team | • Reviewed by Directorate at regular team meeting led by Director  
• Accountability meetings held with CE supported by Finance/Planning  
• Directorate Balanced Scorecard  
• Appropriate and supported public and personal involvement. |
| **Department/Service**      | Department/Service Plan | Head of Department or Service Manager | • Reviewed by Team regularly using Balanced Scorecard tailored to the service.  
• Objectives and progress reported on specific projects/initiatives  
• Appropriate and supported public and personal involvement. |
| **Individual**              | Work Plan or IPR Plan | Each Member of Staff | • Reviewed with line manager regularly through appraisal. |
2. Planning Framework

Strategic Direction

A number of strategic service and programme reviews influence the shape and delivery of services locally, including:

- Developing Better Services, plans for reform of acute hospital provision
- Outputs from regional strategic service reviews such as the Bamford Review (Mental Health Services)
- Regional and area direction to support independent living, avoidance of hospitalised and institutional care where possible
- A range of regional performance targets (Priorities for Action)
- The requirement to ensure adoption of best practice and achieve optimum outcomes
- Recognition of local needs, integration within regional services and development of clinical networks
- Valuing the role of people in delivering effective services
- The need to secure value for money and effective use of resources
- Promote and seek opportunities for partnership working

Duration: Looks 5 – 10 years ahead.
Production: Involves Trust Board representatives, Senior Management Team, Senior Managers, Professionals, Staff representatives and external stakeholders in local, regional and professional forums, as well as public and personal involvement processes.

Corporate Plan – 3 Year Plan

Key objectives of the Corporate Plan:

- to provide common aims and measurable goals for the organisation in keeping with strategic direction and local service needs
- to identify Trust priorities and harness collective efforts to achieve them

Duration: 3 year timescale, reviewed annually
Production: Lead by Planning Department engaging Trust Board, Senior Management Team, Senior Managers, Professionals, Staff representatives and external stakeholders, through appropriate and supported public and personal involvement processes.

Appendix 1 sets out the key objectives of the Corporate Plan.
Trust Delivery Plan – Annual Plan

Key objectives of the Trust Delivery Plan:

- produced to directly respond to the DHSSPS Priorities for Action targets
- to respond to Commissioner requirements in light of local needs and budget allocations
- to measure contribution and progress towards the achievement of regional objectives

Duration: Annual Plan with three year view: Detail for year 1 and indications for years 2 and 3, with quarterly progress reporting.
Production: Lead by Planning Department engaging with Directorates and Commissioners and appropriate involvement of other stakeholders.

Annual Planning Cycle

Other planning processes and outputs, led by appropriate Directorates, support the development of underpinning strategies and arrangements throughout an Annual Planning Cycle. These include:

- Governance Plan - effective corporate Clinical and Social Care Governance
- Learning and Development Plan - developing and supporting the staff of the Trust through training and development
- Communications Action Plan - securing effective communications arrangements within the organisation and with external stakeholders

Duration: Annual cycle, regular progress reporting.
Production: Lead by appropriate Directorates (Governance, Human Resources, Corporate Communications) engaging with Directorates and involving stakeholders appropriately.

Figure 1 outlines the elements of the annual planning cycle.
Figure 1 – Annual Planning Cycle

Corporate Plan

Annual Review Workshop
(February)

Directorate Annual Review Workshop
(February/early March)

Feedback from Directorates to Planning
(early March)

Produce Draft Corporate Plan
(mid March)

Launch/Publish Corporate Plan
(April)

Production of final Directorate Plans
(late March)

Trust Board Review/Approval of Draft Corporate Plan
(late March)

Monthly Monitoring

Trust Board Performance Reporting
Monthly

Accountability Reviews against objectives/targets
Monthly

Annual Planning Cycle
3. Service Pressures & Development Proposals

Service and Financial Pressures

Where the Trust experiences service and financial pressures, it is vital to alert appropriate Commissioners in a timely fashion. Monthly meetings with the Commissioner provide an opportunity to do so, and Directorates must document such pressures on an ongoing basis with the aid of Planning and Finance Departments. A standing item on the Commissioner/Trust Review meeting agenda allows an opportunity to raise the issues and agree a way forward.

Service Developments

Where there is a need for additional investment to meet presenting demands or new demands as a result of legislation for example, the appropriate Directorate must complete a Financial Evaluation Proforma (FE) setting out the options and costs. The Directorate Business Manager (or equivalent) will take the lead role, supported by the Planning Department and with Finance Department involvement. The FE protocol sets out the mechanism for consideration/approval of proposals and a corporate database is maintained of all proposals and outcomes after submission to the Commissioner.

Business Cases

Service development proposals must be set out as a Business Case adhering to ‘Green Book’ standards. The appropriate Directorate, with the Director and Business Manager as key leads, supported by the Planning, Information, Human Resources and Finance Directorates will develop the business case. For corporate projects, Planning, Information, Human Resources and Finance Directorates will take the lead where it is a corporate or cross cutting Directorate business case. A corporate database records all business cases submitted/ current status/outcomes.

Figure 2 sets out the Planning Framework and how the different elements fit together. Figure 3 shows the timescale for the production of plans and associated progress reports/reviews.
Figure 2 – Planning and Performance Management Framework

Corporate Plan
(3 year direction and 1 year action plan)

Trust Delivery Plan Including PfA

Programme Strategies eg Strategy for services for older people

Communication Action Plan

Learning And Development Plan

Governance Plan

Directorate Plans

Service Plans including Quality improvements

Individual Objectives

Commissioner & DHSSPS Accountability Review

Corporate Review - SMT / Chief Executive

Service Accountability / Review

Appraisal

PERFORMANCE

MANAGEMENT
Figure 3 – Planning Framework: Timetable and Products

- **January**
  - Review/Update
  - Programme Strategies/Performance improvement
  - TDP/End of year Report

- **February**
  - Negotiate/Discuss with Commissioners
  - Corporate Plan
  - Trust Delivery Plan

- **March**
  - Directorate Plans
  - Service/Department Plans

- **April**
  - Progress/Review
  - IRP Plans incl Training Dev Plans

- **May**
  - Progress/Review
  - Programme Strategies/Performance improvement
  - Monitoring / Balanced Score Card

- **June**
  - Review Cycle
  - Programmes Strategies/Performance improvement
  - TDP/Progress Report
  - Review Cycle

- **July**
  - Progress/Review
  - TDP/Progress Report

- **August**
  - Progress/Review
  - TDP/Progress Report

- **September**
  - Progress/Review
  - TDP/Progress Report

- **October**
  - Progress/Review
  - TDP/Progress Report

- **November**
  - Progress/Review
  - TDP/Progress Report

- **December**
  - Progress/Review
  - TDP/Progress Report

Legend:
- **Product/Document**
- **Review/Report**
Trust Corporate and Delivery Plans: Organisational Accountability

The Trust Corporate and Delivery Plans directly respond to DHSSPS priorities and targets and to the specific requirement of our Commissioners. The Trust Board is held to account on the achievement of the objectives through Accountability meetings held between senior Trust staff and DHSSPS senior representatives, and through the regional Service Delivery Unit. Regular meetings are held with Commissioners to review progress in relation to both these regional objectives and achievements against Commissioner required levels of service, set out in Service Budget Agreements (SBA).

Directorate Plan: Objectives, Targets and Accountability

The Trust is made up of Directorates focused on delivering specific health and social care or support services. There are four Service Delivery Directorates:

- Mental Health and Disability Services
- Elective and Acute Services
- Women and Children’s Services
- Primary Care & Older Peoples’ Services

There are four Support Services Directorates:

- Strategic Planning & Performance Management
- Human Resources
- Finance
- Medical and Governance

To ensure achievement of the Trust objectives and targets within the Corporate Plan,
each Directorate develops a directorate plan. This sets out the objectives and targets that will be pursued by the Directorate with tasks and activities assigned to accountable departments/individuals, with identified timescales and risks. (See Appendix II for the template used to develop Directorate Plans). Progress towards objectives is monitored through monthly Directorate meetings and corporately through the Senior Management Team.

Individual Directorate Accountability Review meetings are held with the Chief Executive, supported by Finance and Planning Departments. The use of a standard agenda format covering corporate goals, and the production of a monthly Directorate Balanced Scorecard, supports the review of performance outcomes consistently across the organisation.

**Department/Service Performance: Involving the Team**

Directorate Plans are broken down into individual department or service areas to provide direction and specific objectives at service delivery level. Tasks are assigned to accountable officers and department risks identified. Regular review within the Team, and through the Directorate, charts progress and directs actions.

**Individual/Personal Accountability**

Department/Service Plans commit individuals to specific tasks and activities. These and other personal goals and tasks associated with the individual role/job profile, are set out in an annual Work Plan or Individual Performance Review (IPR) plan. This is set out early in the year, subject to approval of the line manager, and forms the basis of individual appraisal throughout the course of the year. This personal plan also allows for the individual and manager to identify training and development needs to ensure the individual has the skills and knowledge to achieve the objectives set.
Professional Accountability

As the Trust employ a wide range of health and social care professionals there is a need to ensure that each are adopting and maintaining appropriate expertise and practice in their specific roles.

The arrangements for professional accountability are central to the Trust’s governance arrangements. Three Executive Directors lead on professional standards and development:

Nursing: Executive Director of Nursing
Medical: Medical Director and Governance
Social Work: Executive Director of Social Work

The following table summarises how individual effort contributes to organisational objectives and the associated accountability arrangements.

<table>
<thead>
<tr>
<th>Objectives and Targets Level</th>
<th>Who? (Accountable Officers)</th>
<th>How? (Mechanism for Monitoring)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Organisational</td>
<td>Trust Board and Chief Executive • Reviewed at Performance and Accountability Review meetings with DHSSPS &amp; Commissioners. • Progress reports support monitoring and actions. • Corporate Balanced Scorecard • Appropriate and supported public and personal involvement.</td>
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<tr>
<td>Directorate</td>
<td>Director and Senior Team • Reviewed by Directorate at regular team meeting led by Director • Accountability meetings held with CE supported by Finance/Planning • Directorate Balanced Scorecard • Appropriate and supported public and personal involvement.</td>
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<tr>
<td>Department/Service Plan</td>
<td>Head of Department or Service Manager • Reviewed by Team regularly using Balanced Scorecard tailored to the service. • Objectives and progress reported on specific projects/initiatives • Appropriate and supported public and personal involvement.</td>
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</tr>
<tr>
<td>Individual Work Plan or IPR Plan</td>
<td>Each Member of Staff • Reviewed with line manager regularly through appraisal.</td>
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5. Measuring Progress – Balanced Scorecard

The Balanced Scorecard is a widely recognised tool to support performance management processes. The Scorecard represents a range of views on the performance of the organisation and, within these areas, sets out key measurable indicators that provide a view of progress or achievement.

The range of areas or views selected by an organisation will differ depending on the nature of the organisation and its priorities. Outcomes in performance terms are represented together, so that the impact of one area on another can be seen. For example, positive achievement in terms of targets for reducing waiting times must be assessed against spend to determine if the achievement of the target is at the expense of overspending. The objective in using the Scorecard is to focus on overall organisational performance without detriment to one or more specific areas. Hence a ‘balanced’ view is represented.

The Trust as a health and social care provider has tailored the areas of the scorecard suitable to a health and care environment and in keeping with the key goals of our corporate plan.

Both at a corporate and directorate level the following areas of performance are measured and monitored:

- Service Delivery and the experience of Service Users
- Financial Performance
- Governance Performance
- Levels of activity sought by Commissioners and performance targets achieved
- Performance associated with staffing

Appendix 3 sets out a sample template for the adopted Balanced Scorecard.
A monthly performance Report informs Trust Board on progress and outcomes in the key corporate goals. Balanced Scorecards tailored to the role, functions and goals of the Service Delivery and Support Directorates, aid the collective pursuit of those goals and a focus on continuous improvement.

The Scorecard is critical in supporting the Directorate to prepare in advance of their monthly, or regular, accountability review with the Chief Executive. That review meeting is kept short, aided by a focused agenda, emphasis on progress and problem areas, ending with agreeing actions to be taken to advance positive outcomes.
Principal Corporate Goals

1. **Service Delivery**
   To deliver efficient and effective health and social care services to meet the needs of our population as defined by our local commissioners.

2. **Performance Management**
   To track performance against targets and identify opportunities for improvement.

3. **Resource Management** [finance/estates/equipment/technology/info]
   To secure, deploy and manage resources to achieve best outcomes.

4. **Integrated Governance**
   To have systems and processes in place to lead, direct and control our functions in order to achieve organisational objectives, and to relate to our partners and the wider community.

5. **People**
   To recruit, retain and develop staff and provide effective leadership throughout the Trust.

6. **Personal and Public Involvement**
   To work with local communities and service users and carers to improve the quality, safety and effectiveness of services in the Trust.

7. **Modernisation and Reform of services**
   To develop policies, service plans and strategies to modernise and reform services.

8. **Developing the Northern Trust**
   To further develop integrated systems and structures to enable the Trust to deliver patient/client centred services.
1. Service Delivery
   To deliver efficient and effective health and social care services to meet the needs of our population as defined by our local commissioners.

<table>
<thead>
<tr>
<th>Directorate Objectives</th>
<th>Link to Corporate Strategic Plan/other (why)</th>
<th>Actions</th>
<th>Timescales</th>
<th>Lead</th>
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<tbody>
<tr>
<td>1. Service Delivery</td>
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<tr>
<td>Directorate Objectives</td>
<td>Link to Corporate Strategic Plan/other (why)</td>
<td>Actions</td>
<td>Timescales</td>
<td>Lead</td>
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<td><strong>2. Performance Management</strong></td>
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<tr>
<td>To track performance against targets and identify opportunities for improvement.</td>
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<tr>
<td>Directorate Objectives</td>
<td>Timescales</td>
<td>Actions</td>
<td>Link to Corporate Strategic Plan/other (why)</td>
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<tr>
<td>3 Resource Management (finance/estates/equipment/technology/info)</td>
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<td>To secure, deploy and manage resources to achieve best outcomes.</td>
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<td>Directorate Objectives</td>
<td>Link to Corporate Strategic Plan/other (why)</td>
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<td><strong>4. Integrated Governance</strong></td>
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<td>To have systems and processes in place to lead, direct and control our functions in order to achieve organisational objectives, and to relate to our partners and the wider community.</td>
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<td>Directorate Objectives</td>
<td>Link to Corporate Strategic Plan/other (why)</td>
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<td>5. People</td>
<td>To recruit, retain and develop staff and provide effective leadership throughout the Trust.</td>
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<tr>
<td>Link to Corporate Strategic Plan/other (why)</td>
<td>Actions</td>
<td>Timescales</td>
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<tr>
<td>6. Personal and Public Involvement</td>
<td>To work with local communities and service users and carers to improve the quality, safety and effectiveness of services in the Trust.</td>
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<tr>
<td>Directorate Objectives</td>
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<tr>
<td>7. Modernisation and Reform of Services</td>
<td>To develop policies, service plans and strategies to modernise and reform services.</td>
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<tr>
<td>Directorate Objectives</td>
<td>Link to Corporate Strategic Plan/other (why)</td>
<td>Actions</td>
<td>Timescales</td>
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<tr>
<td>8. Developing the Northern Trust</td>
<td>To further develop integrated systems and structures to enable the Trust to deliver patient/client centred services.</td>
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## Appendix III: Monthly Performance Scorecard - Sample

**Directorate:**  
**Month End/Year:**

<table>
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<tr>
<th>Performance Perspective</th>
<th>Sample Indicators</th>
<th>Out-turn</th>
<th>Traffic Light</th>
<th>Trend</th>
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<tr>
<td>Resource Management</td>
<td>Salaries/Wages spend against budget</td>
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<td>Goods &amp; Services spend against budget</td>
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<td></td>
<td>Overall spend against budget</td>
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<tr>
<td>Service Delivery and Performance Targets</td>
<td>Activity Levels against HWIP targets</td>
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<tr>
<td></td>
<td>PFA targets (specify)</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>People</td>
<td>Number temporary contracts</td>
<td></td>
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<td></td>
<td>Absence rate</td>
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<td>Locum/Agency levels</td>
<td></td>
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<tr>
<td>User Perspective</td>
<td>Waiting times for key services (specify)</td>
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<tr>
<td></td>
<td>Number of formal complaints received</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td></td>
<td>Response achieved to formal complaints</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Number of compliments received</td>
<td></td>
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<tr>
<td>Integrated Governance</td>
<td>Number incidents reported</td>
<td></td>
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<tr>
<td></td>
<td>Number serious adverse incidents</td>
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</table>

**Traffic lights Key:**

- Red = Target met
- Amber = Target nearing achievement or within reach
- Green = Target achieved or exceeded
For further information on Planning and Performance Management please contact:

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