

Meeting Title	Board of Directors		
Date	7.3.19	Agenda item	Bo.3.19.41

Annual Report and Accounts 2018/19: Timetable for Production

Presented by	Tanya Claridge, Director of Governance and Corporate Affairs	
Author	Jacqui Maurice, Head of Corporate Governance Lisa Purvis, Interim Corporate Compliance Manager	
Lead Director	John Holden, Director of Strategy & Integration	
Purpose of the paper	To inform the Board of Directors of the timetable in place for the production of the Annual Report, Quality Report and Annual Accounts.	
Key control	To comply with regulatory requirements.	
Action required	To note	
Previously discussed at/ informed by	Executive Management (Operational) Team meeting – 20 November 2018 Audit and Assurance Committee – 4 December 2018 Audit and Assurance Committee – 5 February 2019	
Previously approved at:	Committee/Group	Date
	Audit and Assurance Committee	5 February 2019
Key Options, Issues and Risks		
<p>There is a requirement for Foundation Trusts to produce an Annual Report and Quality Report in line with the NHS Improvement compliance regime.</p> <p>NHS Improvement (NHSI) has published the Foundation Trust Annual Reporting Manual (FT ARM) for 2018/19 without issuing a consultation. The FT ARM is available at: https://improvement.nhs.uk/resources/nhs-foundation-trust-annual-reporting-manual/</p> <p>On 17 December 2018, NHS Improvement published the Quality Account Reporting Arrangements for 2018/19. Any changes or additional requirements have been communicated to key contributors.</p> <p>A guidance letter from NHS Improvement detailing the in-year monitoring and accounts submissions for the remainder of 2018/19 has been received and is available at: https://improvement.nhs.uk/documents/3480/Accounts_and_monthly_monitoring_timetable_letter_2018-19.pdf . As per last year, NHSI have confirmed they will publish an additional year end submissions checklist in May 2019.</p> <p>The Audit and Assurance Committee have received the attached document for review. It sets out the timetable for production of the Foundation Trust’s Annual Report and the Quality Report 2018/19 (which forms part of the full Annual Report and Accounts 2018/19). The timetable supports the effective review of the Annual Report and Quality Report by the Executive Directors, relevant Board Committees, Auditors, Board of Directors and Stakeholders which will take place during March, April and May 2019.</p> <p>At their Executive Management Team meeting on 20 November, Executive Directors recognised the oversight role they have in relation to reviewing and approving information provided by contributors by the key dates included within the timetable.</p>		
Analysis		
<p>Information provided for the Annual Report, Quality Report and Annual Accounts will be collated and formatted into separate documents for ease of review. These documents will then be merged to create one document for sign off and production of the final document.</p> <p>The deadline for the Board of Directors to sign off the Annual Report (including the Quality Report) and</p>		

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Accounts is 24 May 2019. The document will then be submitted to NHSI by the deadline of 29 May 2019.

The deadline for the Board of Directors approved full version of the Annual Report and Accounts 2018/19 to arrive at Parliamentary Office is Friday 21 June 2019.

Once confirmation has been received that Annual Report and Accounts 2018/19 has been laid with Parliament the:

- Quality Report will be uploaded to NHS Choices and Foundation Trust website - deadline 30 June 2019.
- Full Annual Report and Accounts will be uploaded to the Foundation Trust website.
- Board of Directors, External Stakeholders, Council of Governors and the wider organisation to be alerted once this has been done.

Recommendation

The Board of Directors is asked to:

- **Note** the requirement for Foundation Trusts to produce an Annual Report and Quality Report in line with the NHS Improvement compliance regime.
- **Note** publication of NHS Improvement Annual Reporting Manual (ARM) 2018/19, Quality Report 2018/19 guidance, Accounts and reporting timetable letter detailing in-year monitoring and accounts submissions for the remainder of 2018/19.
- **Receive** the timetable for the production of the Annual Report, Quality Report and Annual Accounts 2018/19.

Risk assessment						
Strategic Objective	Appetite (G)					
	Avoid	Minimal	Cautious	Open	Seek	Mature
To provide outstanding care for patients			g			
To deliver our financial plan and key performance targets			g			
To be in the top 20% of NHS employers			g			
To be a continually learning organisation				g		
To collaborate effectively with local and regional partners					g	
The level of risk against each objective should be indicated. Where more than one option is available the level of risk of each option against each element should be indicated by numbering each option and showing numbers in the boxes.	Low		Moderate	High	Significant	
	Risk (*)					
Explanation of variance from Board of Directors Agreed General risk appetite (G)						

Risk Implications (see section 4 for details)	Yes	No
Corporate Risk register and/or Board Assurance Framework Amendments	<input type="checkbox"/>	<input type="checkbox"/>
Quality implications	<input type="checkbox"/>	<input type="checkbox"/>
Resource implications	<input type="checkbox"/>	<input type="checkbox"/>
Legal/regulatory implications	<input type="checkbox"/>	<input type="checkbox"/>
Diversity and Inclusion implications	<input type="checkbox"/>	<input type="checkbox"/>

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Regulation, Legislation and Compliance relevance

NHS Improvement: (please select those that are relevant)

- ☐ Risk Assessment Framework
 ☐ Quality Governance Framework
☐ Code of Governance
 ☐ Annual Reporting Manual

Care Quality Commission Domain:

Care Quality Commission Fundamental Standard:

Other (please state):

Relevance to other Board of Director's Committee: (please select all that apply)

Workforce	Quality	Finance & Performance	Partnerships	Major Projects	Other (please state) AAC
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>

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Annual Report and Quality Report 2018/19: Timetable for Production

Date	Action	Lead
Nov 2018	Weds 14 Nov: NHS Foundation Trust Annual Reporting Manual (ARM) 2018/19 published 14 November 2018.	Corporate Compliance Manager
	Weds 14 Nov: Received guidance letter from NHS Improvement detailing submission dates to NHS Improvement, Department of Health and the Parliamentary Office.	Corporate Compliance Manager
	Tues 20 Nov: Executive Management review of timetable for report production	Executive Directors
	W/c 26 Nov: Initial meetings with Executive Directors for discussion on requirements and confirm key contributors.	Corporate Compliance Manager
Dec 2018	Tues 4 Dec: Audit and Assurance Committee meeting - receive the timetable for report production for assurance of the process. <i>(deferred to AAC 5 February as review of final sign off dates by Board required)</i>	Audit & Assurance Committee
	W/c 10 Dec: Meetings between Corporate Compliance Manager and confirmed key contributors commence to obtain feedback from last year, what worked, what could be done better for 2018/19.	Corporate Compliance Manager
Jan 2019	W/c 7 Jan: Key contributors to Quality Report and Annual Report notified of work commencing and requirements.	Corporate Compliance Manager
	Thurs 10 Jan: Board of Directors meeting – Non-Executive Directors informed of timetable for their review. <i>(deferred to 7 March 2019 following AAC Review on 5 February)</i>	Audit & Assurance Committee Chair Council of Governors

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	Thurs 17 Jan: Council of Governors to confirm, in line with NHS Improvement guidance, the 'Locally Selected Indicator for Audit'. Wed 30 Jan: Contributions requested from key contributors.	Corporate Compliance Manager
Feb 2019	Tues 5 Feb: Audit and Assurance Committee meeting - receive the timetable for report production for assurance of the process. Fri 8 Feb: External Stakeholders and Council of Governors alerted to when the Quality Report will be issued for their review. Fri 15 Feb: Contributions sent by contributors to relevant Executive Director for review and sign-off. Wed 20 Feb: Contributions returned to Corporate Compliance Manager, following Executive Director review and sign-off. Ongoing: Weekly discussions between Corporate Compliance Manager and contributors on progress.	Audit & Assurance Committee Corporate Compliance Manager Report Contributors / Executive Directors Executive Directors / Corporate Compliance Manager Corporate Compliance Manager / Contributors
Mar 2019	Thurs 7 March: Board of Directors meeting – Non-Executive Directors informed of timetable for their review. (<i>deferred to 7 March 2019 following AAC Review on 5 February</i>) Mon 11 Mar: Draft sent to Executive Directors for comment. Mon 18 Mar: Deadline for comments from Executive Directors. Weds 27 Mar: Quality Committee meeting – discussion of Quality Report	Director of Governance & Corporate Affairs Corporate Compliance Manager Executive Directors Director of Governance & Corporate Affairs

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	Thurs 28 Mar: Revised draft Quality Report and Annual Report sent to Audit and Assurance Committee and to all Directors incorporating Executive Director comments; A summary of Executive Director changes will be included so it will not be necessary for Executive Directors to read the document again at this point.	Corporate Compliance Manager
April 2019	<p>Tues 2 Apr: Audit and Assurance Committee – discussion of report. TBC</p> <p>Mon 8 Apr: Deadline for comments.</p> <p>Thurs 11 Apr: Draft of Quality Report submitted to External Stakeholders and Council of Governors for review.</p> <p>Thurs 18 Apr: Council of Governors pre-meeting - discussion of Quality Report.</p> <p>Mon 22 Apr: Deadline for comments from External Stakeholders and Council of Governors on the Quality Report.</p> <p>Wed 24 Apr: Quality Committee meeting – Quality Report update, tabled.</p> <p>Wed 24 Apr: Draft Quality Report and Annual Report submitted to External Auditor (Deloitte LLP) for review.</p> <p>Thurs 25 Apr: Draft submitted to all Directors <u>for final comments.</u></p> <p>Tues 30 Apr: Deadline for final comments from all Directors.</p>	<p>Audit & Assurance Committee</p> <p>All Directors</p> <p>Corporate Compliance Manager</p> <p>Council of Governors</p> <p>External Stakeholders and Council of Governors</p> <p>Director of Governance and Corporate Affairs</p> <p>Corporate Compliance Manager</p> <p>Corporate Compliance Manager</p> <p>Board of Directors</p>
May 2019	Fri 3 May: Draft incorporating all comments, and initial view of External Auditor (Deloitte LLP), send to Chief Executive for final review by close of play Tues 7	Corporate Compliance Manager / Chief Executive / Director of

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	<p>May.</p> <p>Thurs 9 May: Board of Directors meeting – discussion of report. Summary of comments from Directors, including Chief Executive, tabled.</p> <p>Thurs 9 May: External Audit Report sent to Audit and Assurance committee.</p> <p>Mon 13 May: Final report sent to External Auditor (Deloitte LLP).</p> <p>Mon 20 May: Audit and Assurance Committee meeting - External Audit Report reviewed. Final draft report tabled, with accompanying summary of changes. Following review by AAC report circulated to Board members.</p> <p>Thurs 23 May: Audit and Assurance Committee meeting: <u>final version reviewed.</u></p> <p>Thurs 23 May: Confirmed report circulated to the Board of Directors - to support sign off on Friday 24 May.</p> <p>Fri 24 May: Board of Directors meeting: <u>final version approved and signed.</u></p> <p>Fri 24 May: Submission to NHSI by electronic portal and by 1st class tracked post in time for submission deadline of Weds 29 May 2019.</p> <p>Tues 28 May: Document sent to Medical Illustration for production of full Annual Report, separate version of Quality Report and, Quality Summary Report.</p>	<p>Governance and Corporate Affairs</p> <p>Board of Directors</p> <p>Corporate Compliance Manager</p> <p>Corporate Compliance Manager</p> <p>Audit & Assurance Committee Board of Directors</p> <p>Audit & Assurance Committee</p> <p>Corporate Compliance Manager</p> <p>Board of Directors</p> <p>Corporate Compliance Manager</p> <p>Corporate Compliance Manager / Medical Illustration</p>
June 2019	<p>Mon 17 Jun: Deadline for Annual Report and Accounts 2018/19 to be emailed to Department of Health.</p> <p>Fri 21 Jun: Deadline for Annual Report and Accounts 2018/19 to arrive at Parliamentary Office.</p>	<p>Corporate Compliance Manager</p> <p>Corporate Compliance Manager</p>

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	<p>W/C 24 Jun: Following confirmation receipt that the Annual Report and Accounts 2018/19 has been laid with Parliament the:</p> <ul style="list-style-type: none"> - Quality Report uploaded to NHS Choices and Trust websites - deadline 30 June 2019. - Full Annual Report and Accounts uploaded to Trust website. - Board of Directors, External Stakeholders, Council of Governors and the wider organisation to be alerted once this has been done. 	Corporate Compliance Manager
July 2019	Mon 8 Jul: Deadline for laid Annual Report and Accounts 2018/19 to be submitted to NHS Improvement.	Corporate Compliance Manager
July to Sept 2019	<p>Thurs 18 Jul: Council of Governors presentation from the External Auditor on the Annual Accounts and the Quality Report including a report on the 'locally selected indicator for audit'.</p> <p>TBC: Annual General Meeting / Annual Members meeting: The Annual Accounts; Report of the Auditor on the Annual Accounts; and the Annual Report are presented to the Governors, the members and the public.</p>	<p>External Auditor</p> <p>Chairman / Chief Executive / Director of Finance / Vice-Chair Council of Governors</p>