

Meeting Title	Board of Directors		
Date	20 May 2021	Agenda item	Bo.5.21.18

Compliance with the NHS Foundation Trust Code of Governance

Presented by	John Holden, Director of Strategy and Integration		
Author	Laura Parsons, Associate Director of Corporate Governance / Board Secretary and Jacqui Maurice, Head of Corporate Governance		
Lead Director	John Holden, Director of Strategy and Integration		
Purpose of the paper	To provide the Board of Directors with the review of compliance with the NHS FT Code of Governance.		
Key control	This paper is a key control for the governance associated with each strategic objective		
Action required	For approval		
Previously discussed at/ informed by	Executive Team Meeting		
Previously approved at:	Committee/Group	Date	
	Executive Team Meeting	10 May 2021	
Key Options, Issues and Risks			
<p>The NHS Foundation Trust Code of Governance (the Code) was first published in 2006, revised in 2010, and further updated in 2014 as a result of the Health and Social Care Act 2012.</p> <p>The Code contains a relatively small number of statutory requirements, which the Foundation Trust must comply with. These are highlighted as such in the attached document. However, in general, the Code provides non-mandatory best practice advice. If the Foundation Trust is non-compliant then this does not constitute a breach of the provider licence and, for the majority of provisions, the Foundation Trust is simply required to explain any deviation from the Code within the Annual Report.</p> <p>A review of compliance with each provision has been undertaken by the Corporate Governance Team, and a summary of the findings is attached in Appendix 1. There are no areas of non-compliance being reported.</p> <p>The Executives have determined have discussed and confirmed the findings with regard to each provision and approved the document.</p> <p>The Annual Report will be used to set out the prescribed information and confirm compliance with the provisions as appropriate.</p>			
Recommendation			
<p>The Board of Directors is asked to confirm its approval of the compliance statements with regard to each provision within the Code.</p>			

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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)						

Benchmarking implications (see section 4 for details)	Yes	No	N/A
Is there Model Hospital data relevant to the content of this paper?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Is there any other national benchmarking data relevant to the content of this paper?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Is the Trust an outlier (positive or negative) for any benchmarking data relevant to the content of this paper?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>

Risk Implications (see section 5 for details)	Yes	No
Corporate Risk register and/or Board Assurance Framework Amendments	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Quality implications	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Resource implications	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Legal/regulatory implications	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Diversity and Inclusion implications	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Performance Implications	<input type="checkbox"/>	<input checked="" type="checkbox"/>

Regulation, Legislation and Compliance relevance
NHS Improvement: (please tick those that are relevant)
<input type="checkbox"/> Risk Assessment Framework <input type="checkbox"/> Quality Governance Framework <input checked="" type="checkbox"/> Code of Governance <input type="checkbox"/> Annual Reporting Manual
Care Quality Commission Domain: Well Led
Care Quality Commission Fundamental Standard: Good Governance
NHS Improvement Effective Use of Resources: N/A
Other (please state):

Relevance to other Board of Director's academies: (please select all that apply)			
People	Quality	Finance & Performance	Other
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>