

## Board of Directors

## Report

**Subject:** Corporate Governance Statement – Self Certification

**Date:** 25<sup>TH</sup> June 2015

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### Executive Summary

The Risk Assessment Framework (RAF) requires Foundation Trusts to submit both a 2-year Operational Plan and a 5-year Strategic Plan to Monitor, as part of the annual planning process. For 2015/16 Monitor required Foundation Trusts to submit a 1 year annual plan. Monitor uses the information provided in these documents primarily to assess the risk that an NHS Foundation Trust may breach its licence in relation to finance and governance. Monitor will also assess the quality of the underlying planning processes.

Part of this annual planning process is the Board Statements, which were changed in 2014/15 to reflect both Monitor's new licencing regime and the two-part planning submissions. The Statements require the Board's consideration and certification. The first part of the self-certification process was considered by Board at its May meeting when declarations were made regarding availability of resources and systems of compliance with the Trust's Licence.

In accordance with Monitor's Risk Assessment Framework, to comply with the governance conditions of their licence, NHS foundation trusts are required to provide a statement (the corporate governance statement) setting out:

- any risks to compliance with the governance condition; and
- actions taken or being taken to maintain future compliance.

Where facts come to light that could call into question information in the corporate governance statement, or indicate that an NHS foundation trust may not have carried out planned actions, Monitor is likely to seek additional information from the NHS foundation trust to understand the underlying situation. Depending on the trust's response, Monitor may decide to investigate further to establish whether there is a material governance concern that merits further action. The Trust is expected to submit its declarations on 30 June 2015.

### Recommendation

Members are invited to:

- Consider and certify each Statement and if unable to do so, agree what supporting commentary Board wishes to submit
- Approve (including any amendments agreed) the Corporate Governance Statement for submission to Monitor
- Consider how the work of the Committees might better support assurances concerning this annual declaration for the future and ensure the agendas and work of the committees are driven accordingly.

Relevant Strategic Priorities (please mark in bold)	
To consistently deliver a high quality patient experience safely and effectively	To develop extended clinical networks that benefit the patients we serve
To eliminate the variability of access to and outcomes from our acute services	To provide efficient and cost-effective services and deliver better value healthcare
To reduce demand on hospital services and deliver care closer to home	

<b>How has organisational learning been disseminated</b>	N/A
<b>Links to the BAF and Corporate Risk Register</b>	Board and its Committees are responsible for the systematic review of the trust's control environment to ensure delivery of objectives and standards of quality
<b>Details of additional risks associated with this paper</b> ( <i>may include CQC Essential Standards, NHSLA, NHS Constitution</i> )	N/A
<b>Links to NHS Constitution</b>	N/A
<b>Financial Implications/Impact</b>	N/A
<b>Legal Implications/Impact</b>	N/A
<b>Partnership working &amp; Public Engagement Implications/Impact</b>	N/A
<b>Committees/groups where this item has been presented before</b>	N/A
<b>Monitoring and Review</b>	N/A
<b>Is a QIA required/been completed? If yes provide brief details</b>	N/A