

**TRUST BOARD**  
**28 January 2016**

<b>Agenda item number</b>		
<b>Title of paper</b>	<b>Annual Report and Accounts 2015/16</b>	
Confidential		
Suitable for public access		
<b>Papers which this particular paper relates to?</b>	Annual Report and Accounts	
<b>Strategic objective(s):</b>		
Best outcomes	✓	
Excellent experience	✓	
Skilled & motivated teams	✓	
Top productivity	✓	
<b>ASPH value(s):</b>		
Patients first	✓	
Personal responsibility	✓	
Passion for excellence	✓	
Pride in our team	✓	
<b>Executive summary</b>	The paper brings to the attention of the Board the timetable for agreeing the Annual Report and Accounts for 2015/16 which was approved at Audit Committee on 21 <sup>st</sup> January 2016.	
<b>Recommendation:</b>	Receive and note the timetable for approval of the Annual Report and Accounts	
<b>Specific issues checklist:</b>		
Quality and safety issues	✓	
Patient impact issues?	✓	
Employee issues?	✓	
Other stakeholder issues?	✓	The Annual Report and Accounts are a means by which the Trust is held accountable to its local community and stakeholders. The Annual Report includes the Quality Account/Report which is a means of demonstrating the Trust's approach to quality improvement to the local population.  Stakeholder engagement in the production of the Annual Report and Accounts is a requirement.
Equality & diversity issues?	✓	The Annual Report and Accounts will be available in a range of formats

Finance issues?	✓	
Legal issues?	✓	Formal requirement to submit to Parliament.
Risk issues? Link to relevant BAF item number if so		The production of the Annual Report and Accounts is a statutory process and must conform with guidance issued by the Regulator
<b>Author</b>	Liz Davies, Acting Company Secretary	
<b>Presented</b>		
<b>Date</b>	22 January 2016	
<b>Board action</b>	Receive	

## Annual Report and Accounts 2015/16

### 1 National timetable

The national timetable for production of the Annual Report and Accounts has remained along the same timelines as 2014/15.

The Monitor *2015/16 Annual Reporting Manual* was published on 30<sup>th</sup> November 2015 which includes the following deadlines for submission:

**Friday 22 April** (9 am): Monitor portal folder

- Draft Annual Accounts and draft FT consolidated schedules (FTCs) to Monitor.

**Thursday 5 May** (by noon): Monitor portal folder

1. FTC resubmissions for agreement of balances

**Friday 27 May** (by noon): Submit to Monitor:

- Audited accounts
- Audited FTCs
- -Final text of the Annual Report (including original signed statement of accounting officer's responsibilities)
- Original, signed copy of the signed audit opinion on the accounts
- Original, signed copy of the auditor's report on the FTCs
- Copy of the auditor's final ISA 260 report
- Original, signed Annual Governance Statement
- Original, signed CEO and FD's certificate on the FTCs.

**Friday 27 May** (by 5pm): Submit to Monitor:

- Copy of the limited assurance report on the content of the Quality Report and the mandated performance indicators requiring a limited assurance report
- Copy of the Auditors' private report to the Governors on the outcome of the external work performed on the content of the Quality Report, the mandated indicators and any local indicators

**By Wednesday 22 June:**

- Annual Report and Accounts to Parliamentary Clerk for approval before printing

**Friday 24 June:**

- Lay annual reports and accounts before Parliament:

**Monday 11 July**

- Send laid reports to Monitor

### 2 Quality Report

A Quality Account is required by statute from all NHS organisations. Monitor also requires a

Quality Report from foundation trusts to be included within the Annual Report.

The content of the Quality Account and Quality Report are broadly the same (Monitor's Quality Report has some additions) but have different timetables. The Quality Account has a formal 30 day consultation period with stakeholders with a requirement to publish by 28<sup>th</sup> June. The Quality Report, including limited assurance report, must be completed by 27<sup>th</sup> May for inclusion within the Annual Report.

Therefore the Trust must work to the earliest timetable i.e. Monitor's, and bring forward the Quality Account consultation timeline.

The 2015/16 Annual Reporting Manual notes that:

**“Monitor will issue a pro forma for the Quality Report which incorporates the requirements of the *Quality Account Regulations* later in the financial year. Quality Reports prepared by NHS Foundation Trusts must follow this format. This update has not yet been received.**

### 3 Suggested timetable

Month	Action	Lead
January – February	Engagement period  Ensure all statutory consultees (and other key stakeholders) are aware of timetable and offered opportunities to engage.  <u>Quality Account</u> - to include Healthwatch, CCG, PEG and Patient Panel  <u>Annual Report</u> - to be agreed	Chief Nurse  Head of Comms
February	Preliminary testing of data for Quality Report.	External Auditors as part of Interim visit (and/or internal auditors if agreed)
February (18 <sup>th</sup> Feb – QAPC) (25 <sup>th</sup> Feb – Board)	Proposed indicators for testing within the Quality Report. The Board may need to select which indicators are tested. Detailed guidance not yet published by Monitor and therefore this may need to be agreed by QAPC in February and the Board in either February or March.	Chief Nurse via Trust Board Quality report
(11 <sup>h</sup> Feb – PEG)	In 2014/15 the Governors were required to select one indicator for testing. If this requirement remains we will use the Council of Governors meeting on 9 March to agree this to agree this indicator.	
By end February	Agree structure and scope of Annual Report (within Monitor framework)	Chairman and Head of Comms.
March	Draft the Annual Governance Statement.  Include Quality section on Annual Governance Statement	Director of Finance  Chief Nurse

<b>31<sup>st</sup> March</b>	Final draft wording of Quality Report (some data may be missing)	Chief Nurse
<b>March-13<sup>th</sup> May</b>	Draft Annual Report	Head of Comms / Acting Company Secretary
<b>Date TBC</b>	Update Patient Experience Group re Quality Report	Chief Nurse
<b>April</b>	Final testing and assurance on Quality Report and Indicators.  All formal evidence as per schedule in Guidance to be provided to auditors (Board minutes/reports /complaints report etc.	Auditors  Chief Nurse
<b>Mid April</b>	Strong draft of the Annual Complaints Report available for Auditors purposes. (NB data will not be complete due to the national timetable of 20 day closure)	Chief Nurse
<b>11<sup>th</sup> April – 6<sup>th</sup> May</b>	Formally seek HealthWatch, CCG etc. comments on Quality Account.	Chief Nurse
<b>22 April (9 am)</b>	Draft unaudited Annual Accounts and unaudited FTCs submitted to Monitor.	Director of Finance & Information
<b>21<sup>st</sup> April</b>	Progress Report to QAPC on the Quality Report including draft Quality Report which has been reviewed by appropriate Executive Directors.	Chief Nurse
<b>28 April</b>	Board approval of Annual Complaints report (to be scheduled to Complaints Monitoring Group beforehand)	Chief Nurse
<b>c.2<sup>nd</sup> May</b>	Audit commences	KPMG
<b>9<sup>th</sup> May</b>	Provide commentary from HealthWatch, CCG etc... on Quality Account to Auditors for their Assurance Report	Chief Nurse
<b>9<sup>th</sup> May</b>	All data to be available for Annual Report (TBC)	Quality Informatics Finance HR
<b>13<sup>th</sup> May</b>	Annual Report finalised for submission to Audit Committee.	Head of Comms
<b>c.16<sup>th</sup> May (tbc)</b>	Draft Audit Opinion and Limited Assurance reports from Auditors available for management to draft responses	Auditors
<b>19<sup>th</sup> May</b>	Quality Report to be reviewed by QAPC.	Chief Nurse AD of Quality
<b>19<sup>th</sup> May</b>	Finance Committee to review draft Annual Report	Director of Finance &

	and Accounts.	Information
<b>19<sup>th</sup> May</b>	Annual Report and Accounts to be reviewed by the Audit Committee.  To include:-Quality Report; Audit Opinion; Assurance report; Annual Governance Statement, Governors Report etc...	Director of Finance & Information
<b>26<sup>th</sup> May</b>	Board meeting to approve the Annual Report and Accounts.	Director of Finance & Information
<b>27<sup>th</sup> May (by noon)</b>	<ul style="list-style-type: none"> <li>• Audited accounts</li> <li>• Audited FTCs</li> <li>• -Final text of the Annual Report (including original signed statement of accounting officer's responsibilities)</li> <li>• Original, signed copy of the signed audit opinion on the accounts</li> <li>• Original, signed copy of the auditor's report on the FTCs</li> <li>• Copy of the auditor's final ISA 260 report</li> <li>• Original, signed Annual Governance Statement</li> <li>• Original, signed CEO and FD's certificate on the FTCs.</li> <li>• Copy of the limited assurance report on the content of the Quality Report and the mandated performance indicators requiring a limited assurance report <b>(by 5 pm)</b></li> <li>• Copy of auditors' private report to the governors on the quality report <b>(by 5pm)</b></li> </ul>	Director of Finance & Information
<b>By 22<sup>nd</sup> June</b>	Annual Report and Accounts to Parliamentary Clerk for approval before printing	Director of Finance & Information
<b>24<sup>th</sup> June</b>	Lay Annual Report and Accounts before Parliament (5 copies to be posted, one PDF)	Head of Comms.
<b>11<sup>th</sup> July</b>	Send laid reports to Monitor	Director of Finance & Information
<b>June - July</b>	Produce Annual Review.	Chief Executive /Chairman/Head of Comms
<b>June</b>	Post balance sheet movements- be able to confirm position via Auditors	Director of Finance & Information
<b>Mid July</b>	Council of Governors seminar to receive the Annual Report and Accounts.	Acting Company Secretary/ Membership Manager
<b>Late July</b>	AGM/Annual Members meeting	Head of Comms/ Membership Manager

#### **4 Points to note**

- As with the previous year it is proposed that the draft Annual Report is presented to the Audit Committee and Finance Committee on 19<sup>th</sup> May for review prior to the full Board. All NEDs will be invited to the Finance Committee to enable sufficient opportunity for NED input.
- The Trust Board meeting is currently scheduled for 26<sup>th</sup> May which is the day prior to submission to Monitor (by noon) of the Annual Report. As in 2015 it is proposed to schedule the signing of the Accounts and Annual Report at the start of Closed Board on 26<sup>th</sup> May to allow as much preparation time as possible prior to sending to Monitor, the following day at noon.

#### **Approval**

- 5** The Board is asked to note the timetable for submission of the Annual Reports and Accounts.