

Board of Directors Meeting

Report

Subject: Monitor Compliance Report

Date: 24th September 2015

Author: Shirley A Clarke, Deputy Director Corporate Services

Lead Director: Shirley A Clarke, Deputy Director Corporate Services

Executive Summary

Monitor write to the Trust quarterly regarding their assessment of the trusts ratings for Continuity of services and Governance, this assessment is based on an analysis of the Trusts Q1 Submissions

The trusts current ratings based the trusts Q1 submissions are:

- Continuity of services risk rating: 1
- Governance rating: Red

Continuity of Services rating:

An assessment under Monitors continuity of services framework aims to identify whether the financial situation of a provider of commissioner requested services (CRS) could place these key NHS services at risk. The requirements of the continuity of services license conditions require CRS providers to:

- Be financially viable
- Co-operate with Monitor
- Provide assurance on commitment and capability to provide CRS
- Maintain CRS provision

There are 5 levels of ratings 4, 3, 2*, 2 and 1

A risk rating of 1 is described by Monitor as a significant risk which requires monitoring monthly or greater and could lead to a potential investigation/potential appointment of Contingency planning team

Governance rating:

The status of NHS foundation trusts is reflected in additional conditions in their licence. Condition 4 (the governance condition) sets out the overall standards set by Monitor for different aspects of the trusts governance. Monitor generate the rating by considering the following information and whether it is indicative of a potential breach of the governance condition:

- Performance against selected national access and outcomes standard
- Outcomes of CQC inspections and assessments relating to the quality of care provided
- Relevant information from third parties
- A selection of information chosen to reflect organisational health at the organisation

<ul style="list-style-type: none"> The degree of risk to continuity of services and other aspects of risk relating to financial governance Any other relevant information <p>Governance risk rating are assigned as follows:</p> <ul style="list-style-type: none"> Green – if no governance concern is evident or where Monitor are not currently undertaking a formal investigation If Monitor identify potential material causes for concern with governance in one or more of the categories the green rating is replace with ‘under review’ A red rating is assigned if Monitor are taking regulatory action 	
Recommendations:	
Board are asked to note the letter and the definitions of the ratings	
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	

How has organisational learning been disseminated	N/A
Links to the BAF and Corporate Risk Register	Links to all principal risks with regard to achievement of strategic priorities
Details of additional risks associated with this paper <i>(may include CQC Essential Standards, NHSLA, NHS Constitution)</i>	N/A
Links to NHS Constitution	N/A
Financial Implications/Impact	N/A
Legal Implications/Impact	Further license conditions and enforcement action
Partnership working & Public Engagement Implications/Impact	N/A
Committees/groups where this item has been presented before	N/A
Monitoring and Review	Quarterly
Is a QIA required/been completed? If yes provide brief details	N/A