

# Board of Directors Meeting

# Report

**Subject:** Board of Directors Annual Workplan

**Date:** 31<sup>st</sup> January 2014

**Author:** KERRY ROGERS, DIRECTOR OF CORPORATE SERVICES/COMPANY SECRETARY

**Lead Director:** KERRY ROGERS

## EXECUTIVE SUMMARY

It was agreed at the December Board meeting that as the Trust begins to be in a position to take back control of the structure and focus it wishes to adopt in order to deliver the requirements of its Improvement Plan, it was considered timely to identify and critically evaluate the corporate governance and assurance systems, controls and processes that deliver assurances to the Board and to recommend change to address any potential weaknesses as part of that evaluation.

Following the transitional period up to 1<sup>st</sup> April 14, the new Board and Trust Management Board Committees will be operational and new Draft Terms of Reference for Board Committees and TM Board were supported at the December meeting for onward transmission for additions and amendments at the first meeting of each Board/committee. a new Governance since the initial PWC Board and Quality Governance Review and appointments to

In advance of the new structure commencing on 1<sup>st</sup> April the Board of Directors needs to critically assess its focus and order of business and as such, a new draft workplan is presented to Board for comment, consistent with the annual business cycle as presented to Board last month. The Board needs to drive the right focus at its meetings and also be able to confidently rely upon the quality of information it considers such that it is appropriate and it is robust and that Board is also confident and competent in using information for the pursuit of quality improvement, the management of risk and the management of performance against objectives.

## ACTIONS REQUIRED BY BOARD

Board members are invited to:

- Note the content of the report and individually determine how the Trust might improve the information provided to Board to enhance decision making, focus and a forward looking orientation coupled with a deeper understanding of prospective risks, in order that Board can approve a comprehensive workplan for 13/14 to be implemented from 1<sup>st</sup> April. Fluidity will also be safeguarded in that dependent on circumstances and decisions, it is inevitable new Board items will need to be added to the plan.
- Approve the workplan subject to any comments or additions

<b>Relevant Strategic Objectives (please mark in bold)</b>	
<b>Achieve the best patient experience</b>	<b>Achieve financial sustainability</b>
<b>Improve patient safety and provide high quality care</b>	<b>Build successful relationships with external organisations and regulators</b>
<b>Attract, develop and motivate effective teams</b>	

<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
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<b>Details of additional risks</b>	The independence of NEDs is critical to the success of the governance structure which includes maintaining the right balance of operational detail with assurance such that NEDs are able to critically evaluate the information they receive. NEDs are fundamental in driving the focus of Board. EDs are fundamental in ensuring the quality of reporting
<b>Links to NHS Constitution</b>	Not directly linked
<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>	Executive Team Meetings has considered the accountability framework and the Committee structure over recent weeks and Board has considered and approved the new Governance structures

## BOARD ANNUAL PLANNER – SCHEDULE OF REPORTING (Rolling 12 Months)

REPORT		J	F	M	A	M	J	J	A	S	O	N	D
		<b>MANDATORY ITEMS</b>											
Annual Report	Co Sec					/							
Annual Accounts (? ISO260 & EA representation letter???)	DoF					/							
Annual Governance Statement (Audit in April)	Co Sec					/							
Quality Accounts (Quality Comm in April or ? + Audit)	DoN					/							
Monitor Compliance - Quarterly Returns #		/			/			/			/		
1. Governance	Co Sec												
2. Finance	DoF												
3. Quality quarterly report	DoN												
CQC Essential Standards – part of #	DoN	/			/			/			/		
CQC quality risk profile report – part of #	DoN	/			/			/			/		
Learning Disabilities Update – part of #	DoN	/			/			/			/		
Revalidation Update – in support of #	MD	/			/			/			/		
Quality Governance Framework – in support of #	Co Sec	/			/			/			/		
Annual Plan 2014/15 for submission to Monitor (? Finance C)	DSP&CD&FD			/									
Annual Plan quarterly updates-incl Corp obj				/			/			/			/
Workforce quarterly reports		/			/			/			/		
<b>‘other’ ANNUAL REPORTS</b>													
Infection Control Annual Report	MD						/						
Treasury Management Annual Report (to Audit ??)	DoF						/						
Safeguarding Children and Adults Annual Report	DoN						/						
Audit Committee Annual Report	Aud chair						/						
Organ Donation Committee Annual Report	MD						/						
Health & Safety Annual Report and Fire Report	DoS						/						
Training and Education Annual Report	DHR						/						
Medical Education Report (Deanery)	MD						/						
Whistleblowing Annual Report	DHR						/						
<b>STRATEGY and OTHER REVIEWS/Policy approvals</b>													
Nursing and Midwifery Strategy	DoN												
Risk Management Strategy (annual approval/review)	DoN												
OD/Workforce Strategy	DHR	/											
Whistleblowing policy	DHR			/									
IT Strategy	DoF	/											

<b>REPORT</b>													
		<b>J</b>	<b>F</b>	<b>M</b>	<b>A</b>	<b>M</b>	<b>J</b>	<b>J</b>	<b>A</b>	<b>S</b>	<b>O</b>	<b>N</b>	<b>D</b>
Standards of Business Conduct (annual approval/review)	<b>DHR/DCS</b>			/									
Estates Strategy	<b>DSP&amp;CD</b>	/											
Patient Experience Strategy	<b>DN</b>	/											
Patient Safety & Quality Strategy	<b>DN</b>	/											
SFIs	<b>DoF</b>			/									
Standing Orders and Scheme of Delegation	<b>Co Sec</b>			/									
Constitution Review			/										
Committee ToR, workplans and effectiveness reviews					/								
Service Improvement Strategy	<b>MD</b>												
Private Practice	<b>MD</b>												
Board Development Plan	<b>Chair</b>												
Council of Governors Development Plan	<b>Chair</b>												
Triannual Board Governance Review	<b>Chair</b>												
<b>ROUTINE REPORTS</b>													
Intro, apologies, declarations of interest	<b>Chair</b>	/	/	/	/	/	/	/	/	/	/	/	/
Minutes, matters arising, action update	<b>Chair</b>	/	/	/	/	/	/	/	/	/	/	/	/
CEO Report	<b>CEO</b>	/	/	/	/	/	/	/	/	/	/	/	/
Chairman's Report	<b>Chair</b>	/	/	/	/	/	/	/	/	/	/	/	/
Patient Story	<b>DoN</b>	/	/	/	/	/	/	/	/	/	/	/	/
Finance Report incl Financial Recovery Plan Updates	<b>DoF</b>	/	/	/	/	/	/	/	/	/	/	/	/
Integrated Performance Report/Board Scorecard	<b>DoO</b>	/	/	/	/	/	/	/	/	/	/	/	/
Quality & Safety Monthly Report	<b>DoN/MD</b>		/	/		/	/		/	/		/	/
Regulatory Escalations/action plans													
1. Governance Reviews (KPMG,PWC,Keogh) – progress/escalations	<b>CEO,DoF,DCS, MD</b>	/	/	/	/	/	/	/	/	/	/	/	/
2. CQC visit/warning notice – progress/escalations		/	/	/	/	/	/	/	/	/	/	/	/
Finance/Business Plan	<b>DoF</b>		/	/	/								
Exclusions/Restrictions on practice/Referrals – Medical,clinical, non clinical	<b>MD, DoN, DHR</b>	/	/	/	/	/	/	/	/	/	/	/	/
Board Assurance Statement (BAS) (link to Annual Gov Statement) (Audit BAF every meeting)	<b>Co Sec</b>			/					/				
• Board Assurance Framework (BAF) (CRR)													
Monitor Quarterly submission Feedback letters	<b>Co Sec</b>			/			/		/			/	

REPORT		J	F	M	A	M	J	J	A	S	O	N	D
		Serious Incidents new in month & trends/themes (Quality Committee every meeting)	DoN	/	/	/	/	/	/	/	/	/	/
Escalation of any issue from either TMB or Board Committees	CEO/NEDs	/	/	/	/	/	/	/	/	/	/	/	/
IG Report prior to submission/self assessment	SIRO/DF			/									/
Annual Sign Off of Declarations of Interest	Co Sec			/									
Quality Accounts ¼ update (link to Quality report)	DoN		/			/			/			/	
Quarterly Complaints Info (Integrated compl, claims, incid)	DoN	/	/	/	/	/	/	/	/	/	/	/	/
Use of Trust Seal	Co Sec	/			/			/			/		
Legal Services Update (quarterly) (link to safety & qual report)	Co Sec	/			/			/			/		
Inpatient Survey (action plan to link to quality ¼ report)	DoN					/							
Outpatient Survey(action plan to link to PS&E ¼ report)	DoN					/							
Staff Survey (action plan to link to Wforce ¼ update)	Dir HR	/											
Workforce Quarterly Update	Dir HR	/			/			/			/		
Equality & Diversity													
<b>LIBRARY INFORMATION ITEMS</b>													
Approved Audit Minutes	Co Sec	/	/	/	/	/	/	/	/	/	/	/	/
Approved Remuneration & Nomination Committee Minutes (ad hoc)	Co Sec												
Approved.....other Board sub committee minutes	Co Sec	/	/	/	/	/	/	/	/	/	/	/	/
Approved TMB Minutes	CEO	/	/	/	/	/	/	/	/	/	/	/	/
<b>Service/Div PRESENTATIONS ?</b>													
<b>OTHER ISSUES</b>													
Mid Nottinghamshire Review – update													
Newark Strategy - update													
Winter Plan													
? External Audit presenting ISA													
? Research and Development report													
? CSR – carbon / sustainability report													
? Data Quality report													
? Medicines Management report													
? Marketing and Business Development Strategy													
? Communications strategy (incl membership)													