

Trust Board Meeting: Wednesday 11 September 2013
TB2013.104

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| Title | NHS Trust Oversight Self-Certification |
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| Status | For information and decision |
| History | Regular Board papers, most recently 12 February 2013, 13 March 2013, 8 May 2013 and 10 July 2013. |

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| Board Lead(s) | Mr Andrew Stevens, Director of Planning and Information | | | |
| Key purpose | Strategy | Assurance | Policy | Performance |

Summary

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| 1 | The Trust's NHS Trust Oversight Self-Certification return for June and July 2013 both showed a Green Governance Risk Rating (GRR) score of 0. |
| 2 | The Emergency Department 4 hour standard was not achieved for Q1 but has now been delivered on a monthly basis for both June and July. |
| 3 | The Trust's Financial Risk Rating remains Green with a score of 3. |
| 4 | Monitor has published a revised version of its new <i>Risk Assessment Framework</i> (RAF) and liaison will take place with the TDA to bring the current monthly self-certification mechanisms into line with this new regime. |

Recommendation

The Board is asked to review the latest self-certification and consider the briefing on the Risk Assessment Framework.

NHS Trust Oversight Self-Certification

Introduction

1. The Trust has submitted its self-certification templates for July 2013 to the Trust Development Authority (TDA) as required of all applicant NHS Foundation Trusts on a monthly basis. This most recent self-certification is attached in Appendix 1.
2. Since the most recent self-certification report to the Board at its June meeting, the return for June has also been submitted.

Current Status

3. In both June and July's submissions the Trust's Governance Risk Rating (GRR) scored 0, giving a Green rating. Lower GRR scores represent lower risk. These are OUH's first two entirely clear months for the GRR score.
4. The Emergency Department 4-hour wait standard was not met in April and May 2013, but was met in June and July, delivering figures of 96.40% and 97.41% respectively against the 95% target. The TDA has agreed not to apply the 'overriding rule' that a third quarterly failure after a year containing two such failures should create a red rating for a Trust. The Trust therefore began Quarter 2 with 'Green' overall performance and no 'carry forward' of a red rating from Quarter 1.
5. During July the Trust submitted its baseline assessment for the requirements of the Information Governance Toolkit, declaring Level 2 compliance. As a result OUH is now also noting compliance with all Board Statements within the self-certification return for the first time.
6. The Trust's Financial Risk Rating (FRR) score remained 3 for both months, corresponding to a Green rating. The FRR scale is 1 to 5 with higher scores representing lower risk.
7. Monitor published a revised version of its new *Risk Assessment Framework* (RAF) on 27 August and a briefing on this is included as *Appendix 2*. This includes a new Governance Rating and Continuity of Services Rating to replace the existing GRR and FRR.
8. The new Governance Rating is based on five categories of factors and indicators and has three levels:
 - Green rating – indicating no concerns;
 - Written description of concerns – where action is being considered but has not yet been taken; and
 - Red rating – when enforcement has commenced
9. The Continuity of Services Rating is a four point rating (4 being 'no concerns') which identifies the level of risk to the on-going availability of services. The new system is based on a narrower definition than the FRR, emphasising short/medium term financial risk and solvency over 12-18 months.
10. It had been agreed by the Foundation Trust Programme Board that liaison should take place with the TDA to seek to bring the current monthly self-certification mechanisms into line with Monitor's new regime.

Conclusion

11. During both June and July, OUH obtained a Green GRR score of 0.
12. The Trust's Financial Risk Rating remains Green with a score of 3.
13. Monitor has published a revised version of its new *Risk Assessment Framework* (RAF) and liaison will take place with the TDA to bring the current monthly self-certification mechanisms into line with this new regime.

Recommendation

14. The Board is asked to note the content of the self-certification return for July.

Andrew Stevens**Director of Planning and Information****Neil Scotchmer****Programme Manager****September 2013**