

# **FT Assessment – Stage 1**

## **Information deliverables request**

We will require the following information in order to undertake our review. In some cases it may be appropriate to obtain the information through discussion with relevant individuals rather than receiving a written document. Our preference is for soft copy documents where possible.

	Provided (✓)	Contact
<b>General</b>		
1. Latest Integrated Business Plan (IBP)		
2. Latest Long term financial model (LTFM)		
3. Feedback from SHA on IBP and LTFM		
4. FT authorisation action plan		
5. Board Governance Assurance Framework self assessment		
6. Board Governance Assurance Framework independent review		
7. Quality Governance Assurance Framework self assessment		
8. Governance Assurance Framework independent review		
9. Any other independent assessments relevant to the FT assessment scope (particularly finance and governance)		
10. Table providing details of membership by constituency (actual versus target)		
11. Details of current status (and any evidence of) commissioner support for FT status		
<b>Corporate Governance &amp; Management</b>		
12. CVs of each of the Trust Board Members to include: <ul style="list-style-type: none"> <li>• Date of appointment</li> <li>• Qualifications and experience</li> <li>• Membership of Committees</li> </ul>		
13. A diagram showing all the committees and their relationship to the Board		
14. Terms of reference of committees		
15. Minutes and papers for all Board and committee meetings for the the previous financial year and current YTD		
16. Timetable of Board and committee meetings for the current year including any plans of business to be undertaken at each meeting		
17. Scheme of Delegation		
18. Standing Orders		
<b>High level controls</b>		
19. Board Assurance Framework		
20. Statement on Internal Control for the last two years		

	Provided (✓)	Contact
21. Key Cost Category Controls (i.e. details of the key controls you have in place over income, payroll, non-pay costs, capital)		
22. Standing Financial Instructions and evidence of distribution		
23. Policy, procedures and training provided for budget managers		
24. Evidence of formal approval limits and signing authorities for committing expenditure		
25. Details of controls in specific high risk cost categories (for example agency staff usage)		
26. Head of Internal Audit's Opinion for the last two years		
<b>Risk management</b>		
27. Statement of accountabilities for the risk management processes		
28. Policy and procedures for risk management		
29. Corporate Risk Register		
30. Reports and/or Action plans related to the Risk Pooling Scheme for Trusts (RPST) and the Clinical Negligence Scheme for Trusts (CNST) as applicable		
31. Details of outstanding litigation cases		
32. Copy of the latest Care Quality Commission reports report and any progress reports received subsequently together with your clinical governance action plan.		
33. Supporting risk management policies and procedures for example Health and Safety Policy, Safer Manual Handling Policy, Untoward Incident Reporting Policy.		
34. Details of processes for risk analysis used to consider the impact of CIPs, service developments and other plans and evidence of these processes undertaken and being monitored for the current financial year		
35. Details of any environmental factor risks		
36. Details of any exposure to natural disasters		
<b>Management Reporting Framework</b>		
<b>Board Reporting</b>		
37. Policy, procedures and timetable for the annual planning cycle		
38. Board performance reports for the current financial year and last financial year end including any ration analysis, cash flow analysis and key financial and operational risks		
39. Current year KPIs and KPI reports for the current financial year and last financial year end		
40. Details of processes to ensure the accuracy of Board reports and the relationship between management reports and Board reports (e.g. reconciliations)		
41. Evidence of / plans for the adoption of 'Intelligent Board Reporting' principles		

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42. Evidence of / plans for the adoption of the NHS Foundation Trust Code of Governance		
<b>Requirement of NHSFT Status</b>		
43. Plans demonstrating awareness of the impact of Foundation Trust status on financial reporting arrangements		
44. Planned changes to Board information and management approach		
45. Planned changes to committee structure		
<b>Financial Controls and reporting</b>		
46. Diagram showing the functions and staff reporting to the Finance Director		
47. Details of experience and qualification of finance staff		
48. Overview of financial accounting systems, information flows and timetable for consolidation of data		
49. Details of the relationship between the financial statements and management accounts and reconciliation of the two for the current financial year and last financial year end		
50. Treasury policy and procedures and evidence of distribution and operation of policy by users		
51. Description of budget setting process and guidance issued to management for budget setting		
52. Policy and procedures for identifying cost pressures and cost improvement targets		
53. Details of use of reserves and the transparency of the use of reserves		
54. Details of phasing and controls over procurement		
55. Details of non clinical risk management processes		
56. Copy of signed SLA for host commissioner activity for last financial and current financial year		
<b>Audit arrangements</b>		
57. Details of external audit arrangements		
58. Year End External Audit Reports for the last two years		
59. Details of internal audit arrangements including scope of services		
60. Internal audit plan for the last financial year and current year		
61. Latest progress report regarding implementation of recommendations identified in internal audit reports		
62. Details of opinions / conclusions for all internal audit reports in the previous financial year and current year to date. Copies of internal audit reports for any red / high risk reports in that period.		
63. Details of counter fraud issues in the last and current financial years		

	Provided (✓)	Contact
<b>IT arrangements</b>		
64. Details of IT systems and control environment and arrangements to meet the present and future needs of the business		
65. IM&T Strategy and details of current IT projects considering in particular, costs to date against budget and progress to date against planned timetable		
66. Details of report/reviews on IT systems in place.		
67. Details of IT technical support arrangements		
68. IT business continuity and disaster recovery policy and details of IT back up arrangements.		
69. Details of progress against achieve level 2 NHS Information Governance Toolkit		
<b>Standards and Targets</b> – those defined in Monitor’s Compliance Framework and targets and quality measures included in contract(s) with main PCT(s)		
70. Documentary evidence of reported performance against the standards and targets at Board level		
71. Definitions of targets used		
72. Details of consistency between internal reporting, Board reporting and submissions to commissioners and these reports for the last and current financial years		
73. Detail of how the Trust assesses risk of non-achievement against the targets and the effectiveness of links to risk management processes.		
<b>Financial Analysis</b>		
74. Last two years audited annual accounts		
75. Management Accounts for the last financial year and current YTD		
76. Board reports, Finance Board reports and details of finance committee minutes for the last financial year and current YTD		
77. Annual Budgets and performance against budget, with explanations for significant variances for the last two financial years and current YTD		
78. Brokerage and loans - analysis of historic cash brokerage , revenue support received/ given, any loans and proposed repayment profiles for the last two financial years and current YTD		
79. Summary of forecast I&E, balance sheets and cash flows for the next 5 year period		
80. Detail of key assumptions within the forecast, with supporting evidence		
81. Summary of capital investment plans and major projects		