

Trust Board

13th May 2021

Paper title:	NHS England & NHS Improvement Quarterly Return Declaration	Agenda item 18
Presented by:	Mike Woodhead, Director of Finance, Contracting & Estates	
Prepared by:	Claire Risdon, Deputy Director of Finance	

Purpose of the report		
The purpose of this report is to share the recommendation from the Finance Business and Investment Committee (that was considered virtually) that the Trust Board formally approve the Quarter 4 NHS England & NHS Improvement financial submission.	For approval	X
	For discussion	
	For information	

Executive summary		
<p>The purpose of this report is to share the recommendation from the Finance Business and Investment Committee (that was considered virtually) that the Trust Board formally approve the Quarter 4 NHS England & NHS Improvement (NHSEI) financial submission. Key points in considering this report are that the Trust has delivered the following financial indicators for quarter 4 of 2020/21:</p> <ul style="list-style-type: none"> • Revenue: Outturn position of £1.19m deficit including a technical adjustment for impairments of £5.00m, £3.81m surplus excluding impairments • Closing cash balance of £30.68m • Capital expenditure is £6.63m against a plan of £5.74m • Use of Resources - reporting is currently suspended due to COVID-19 		
Do the recommendations in this paper have any impact upon the requirements of the protected groups identified by the Equality Act?	<p>State below 'Yes' or 'No'</p> <p>No</p>	If yes please set out what action has been taken to address this in your paper

Recommendation
<p>The Trust Board is asked to:</p> <ul style="list-style-type: none"> • Retrospectively approve the M12 quarterly submission made to NHS England & NHS Improvement

Strategic vision				
Providing excellent quality services and seamless access	Creating the best place to work	Supporting people to live to their fullest potential	Financial sustainability growth and innovation	Governance and well-led
			X	X

Care Quality Commission domains				
Please mark those that apply with an X				
Safe	Effective	Responsive	Caring	Well Led
	X			X

Relationship to the Board Assurance Framework (BAF)	<p>The work contained with this report links to the following strategic risk(s) as identified in the BAF:</p> <ul style="list-style-type: none"> • 5.1 If we do not meet our financial objectives then we will not be able to provide sustainable services, • 5.2 If we do not collaborate to generate system-wide efficiencies then our financial position will be undermined.
Links to the Corporate Risk Register (CRR)	<p>The work contained with this report links to the following corporate risk(s) as identified in the CRR:</p> <ul style="list-style-type: none"> • 1821 Delivery of in-year Control Total • 1825 Resource impacts from local authority pressures • 1826 Mental Health Investment
Compliance and regulatory implications	<p>The following compliance and regulatory implications have been identified as a result of the work outlined in this report:</p> <ul style="list-style-type: none"> • NHS Foundation Trusts were required to make quarterly submissions to NHSEI to confirm their Risk Rating under the Single Oversight Framework (SOF). From August 2019 the NHS Oversight Framework replaced the provider SOF and the clinical commissioning group (CCG) Improvement and Assessment Framework (IAF) and will inform assessment of providers in 2020/21 and beyond. • For providers, the Risk Assessment Rating reflects a single consolidated rating which is 'Use of Resources' (UoR). This paper considers the UoR and outlines key issues which the FBIC is specifically asked to consider in endorsing the risk assessment and to be taken into account when the Board considers the NHSEI submission. Adverse performance compared to plan and/or a high risk rating generates closer support/scrutiny.

Meeting of the Trust Board

13th May 2021

NHS England & NHS Improvement Quarterly Return and Declaration

1. Background and Context

NHS Foundation Trusts are required to make quarterly submissions to NHS England & NHS Improvement to confirm their Risk Rating under the Single Oversight Framework (SOF). From August 2019 the NHS Oversight Framework replaced the provider SOF and the clinical commissioning group (CCG) Improvement and Assessment Framework (IAF) and will inform assessment of providers in 2020/21. For providers, the Risk Assessment Rating reflects a single consolidated rating which is 'Use of Resources' (UoR).

It is expected that these arrangements will be further revised during 2021/22 to support systems back into 'recovery'.

This paper considers the UoR and outlines key issues which the FBIC is specifically asked to consider in endorsing the risk assessment and to be taken into account when the Board considers the NHS England & NHS Improvement submission.

The Trust is not currently reporting an UoR rating as reporting is suspended due to COVID-19.

2. Considerations

The key points are that the Trust has delivered the following financial indicators for quarter 4 of 2020/21:

- Financial position – A deficit of £1.19m including the technical adjustment for impairments of £5.00m. A surplus of £3.81m excluding the impairments.
- Capital expenditure - reporting £6.63m expenditure against a plan of £5.74m, a planned overspend of £0.888m relating to the ATU development
- Cash – a cash balance of £30.68m as at the end of March
- UoR – reporting is currently suspended due to COVID-19

The M12 financial templates submitted to NHSEI on the 27th April 2021 formed part of the unaudited annual accounts submission.

3. Implications

3.1 Legal and Constitutional

There are no legal or constitutional requirements in relation to this paper.

3.2 Resource

There are no direct financial implications / costs associated with this paper.

3.3 Quality and Compliance

Financial performance is a key measure under the NHS England & NHS Improvement Single Oversight Framework. Any cost improvements planned by the Trust are subject to a Quality Impact Assessment process overseen by the Medical Director and the Chief Operating Officer.

4. Communication and Involvement

The Board was sighted on 2020/21 key plan risks at the point prior to planning activities being suspended at the end of 2019/20 and additional scrutiny of key assumptions, risks and mitigation takes place at every Finance, Business and Investment Committee. Key messages are discussed through the Trust's Senior Leadership Team and through the Trust's current command structures.

5. Monitoring and review

The Finance, Business and Investment Committee review and formally recommend the NHS England & NHS Improvement Quarterly submission to Trust Board following each quarter end.

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